Grant Management Toolkit

Building Sustainable Anti Trafficking Programs

Revised January 2021

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ABOUT THE TOOLKIT

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

OTIP funds a range of services and programs, including the issuance of certification and eligibility letters, the operation of the National Human Trafficking Hotline, the Trafficking Victim Assistance Program, the Domestic Victims of Trafficking Assistance Program, and NHTTAC. This toolkit assists OTIP grantees and organizations in creating a culture and infrastructure that support the effective implementation and sustainability of anti-trafficking programs.

How to Use This Toolkit

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

- Step 1: Prepare the Organization

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

- Step 2: Implement the Program

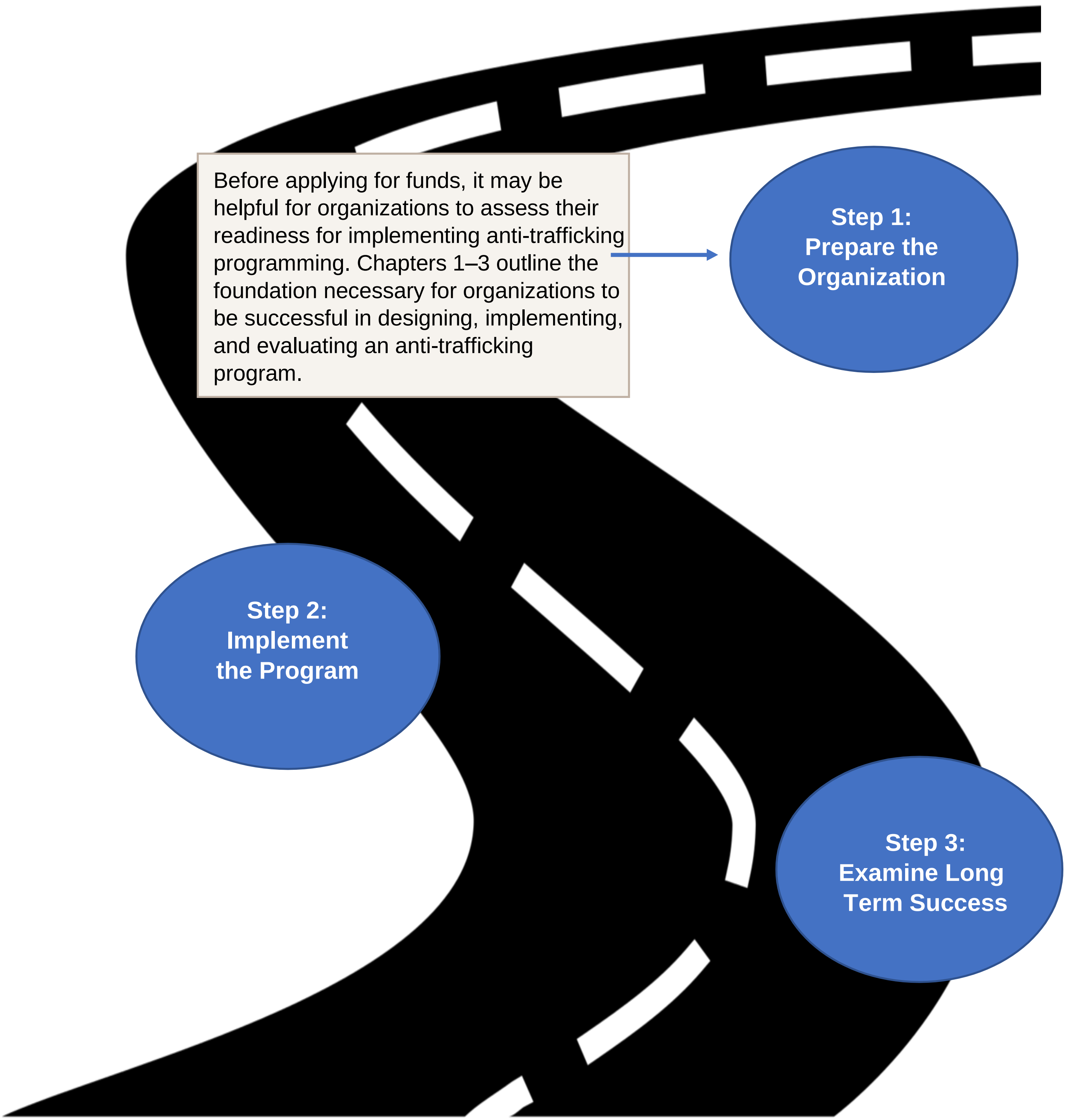
There are several components to successfully implementing and managing anti-trafficking grant programs. Chapters 4–5 offer guidance on how to implement effective anti-trafficking programs.

- Step 3: Examine Long-Term Success

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

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

Grant Management Roadmap to Success



CHAPTER 1: ORGANIZATIONAL IDENTITY

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

This chapter will help grantees:

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

Define Mission, Vision, and Value Statements

Why It's Important

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

What It Is

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

Mission	Conveys the purpose of the organization and how it will accomplish its purpose
- To foster health and well-being by providing federal leadership, partnership, and resources for the compassionate and effective delivery of human services	
Vision	Articulates the organization's highest aspiration, drives the mission, and motivates stakeholders
- Children, youth, families, individuals, and communities who are resilient, safe, healthy, and economically secure	

[1] See Reynolds, D. (2001). AMIA's new statement of vision, mission, and strategic goals. *Journal of the American Medical Informatics Association, 8*(3), 294–297. Also see Rekate, H.L. (2001, May–June). A mission and vision statement for the American Society of Pediatric Neurosurgeons. *Pediatric Neurosurgery, 37*(1), 1–7.

Values	Communicates basic principles that guide the organization's activities
- Dedication to promoting hope and opportunity for those in need of human services - Excellence in our performance, exemplified by innovations and solutions anchored in available evidence, build knowledge and transcend boundaries - Professionalism in the manner in which we provide services, the attitude we bring, the relationships we build - Integrity of ACF as an organization, personified in ethical conduct by each of us - Stewardship of the resources entrusted to us by the people of the United States and accountability for and transparency in our actions as public servants - Respect for those we serve, with whom we work, and with whom we partner	

How to Create Mission, Vision, and Value Statements

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

Determine Organizational Structure and Approach

Why It's Important

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

What It Is

Anti-trafficking programs use many different organizational structures for effective administration of programming. The table below describes different organizational structures.

Organizational Structure	Description	Examples
Mechanist	- Clearly defined roles - Hierarchical - Works with stable conditions	Government: Office on Trafficking in Persons
Organic	- Harder to define some roles - Horizontal - Works with unstable conditions	Grassroots organizations
Consensus governance	- Requires 100% agreement from all staff members on decisions	Asian Women's Shelter in San Francisco, a nonprofit that makes (nonhierarchical) consensus decisions
Hierarchical governance	- Decisions made by leaders in an organization - Information from staff and stakeholders in the organization and community may be garnered by leaders	Universities
Member driven	- Depends on recruiting members for resources and capacity - Decisions voted on by members - Members have central input into the direction of the organization	Freedom Network USA
Older organization	- Established organization - Members more likely to have awareness of the organizational functions	Salvation Army USA
Newer organization	- Members less likely to have awareness of all the organizations' functions as processes; mechanisms are still being defined	S.O.A.P. Project
Small organization	- Fewer people - Less complex operations - Tends to be more informal - Multiple roles for staff	Small businesses, grassroots organizations, etc.
Large organization	- Numerous individuals - May or may not have hierarchy - Specialized staff roles that fulfill specific functions	United States Conference of Catholic Bishops
Task force and coalition	- Broad objectives - More information about task forces: Office for Victims of Crime Training and Technical Assistance Center's (OVC TTAC's) Human Trafficking Task Force e-Guide	Central Ohio Rescue and Restore Coalition
Coordinating council/committee	- Convenes to respond to specific issues	U.S. Advisory Council on Human Trafficking

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

	Description	Examples
Person-centered approach	- Solicits individuals to share their needs, goals, interests, etc. - Uses information shared by individuals to support them in developing and actualizing their goals	Substance Abuse and Mental Health Services Administration (SAMHSA)'s Person- and Family-Centered Care and Peer Support
Public health approach	- Aims to maximize benefits to the largest number of people - Designed to expose a large portion of the population to prevention measures - Learns from experiences of persons affected to improve prevention and intervention strategies	ACF/OTIP: The Power of Framing Human Trafficking as a Public Health Issue
Trauma-informed care approach	- Understands, recognizes, and responds to the effects of trauma - Seeks to actively prevent re-traumatization	SAMHSA's Concept of Trauma and Guidance for a Trauma-Informed Approach
Human rights-based approach	- Promotes and protects human rights - Central aspects: human rights education, advocacy, and response	Waterlex: Integrating the Human Right to Water and Sanitation in Development Practice
Cultural competency approach	- Client-centered approach - Fosters self-determination for clients - Centralizes anti-oppressive practice	Suicide Prevention Resource Center's Culturally Competent Approaches

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

How to Determine Organizational Structure and Approach

There are many questions to consider as you determine what kind of organization you want to be and how you want to engage internal and external stakeholders throughout service delivery. When discussing the service delivery approach, organizations need to involve a range of stakeholders—from clients, staff, and board of directors to partner organizations and survivor leaders. By doing so, internal and external stakeholders can thoroughly discuss reasonable expectations, identify potential opportunities and threats, and consider actions that would promote desired outcomes. Consider exploring the following questions at a macro and micro level to inform your approach:

Macro

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

Micro

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

Communicate Organizational Identity

Why It's Important

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

What It Is

Communicating organizational identity is simply telling the public, community, clients, staff, and funders about the organization. This includes mission, vision, value statements, organizational approach, and so on.

How to Communicate Organizational Identity

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

Internal Stakeholders (staff, board of directors)

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

External Stakeholders (partners, vendors, clients)

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

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

Remember, if you are considering using images of actual clients, staff, volunteers, or partner organizations staff, organizations must obtain permission from each individual.

Resources

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

CHAPTER 2: STRATEGIC PLANNING

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

This chapter will help grantees:

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

Prepare for Strategic Planning

Why It's Important

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

How to Prepare

- **Collect pertinent organizational information.** Gather information on plans, demographic challenges, regulatory changes, financial trends for the past 5 years, data trends on clients, the quality of **program** indicators, and potential opportunities.[2]
- **Conduct a SWOT (strengths, weaknesses, opportunities, and threats) analysis.[3]** Before engaging in a strategic planning session, it is important for leadership to conduct a SWOT analysis to identify internal factors (strengths, weaknesses) and external factors (opportunities, threats) that may affect the organization's future. An organization may also wish to consider conducting a PEST (political, economic, social, and technological) analysis, which focuses on external factors only and is considered effective for long-term strategic planning. The sources shown in the following table may be helpful when collecting information or conducting a SWOT analysis.

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[2] Allison, M., & Kaye, J. (2015). *Strategic planning for nonprofit organizations: A practical guide and workbook*. John Wiley & Sons, Inc.
[3] Dibrell, C., Craig, J.B., & Neubaum, D.O. (2014). Linking the formal strategic planning process, planning flexibility, and innovativeness to firm performance. *Journal of Business Research, 67*, 2000–2007.

Types of Information	Sources
Trends in the field	- Industry journals (e.g., *Anti-Trafficking Review*, *Journal of Human Trafficking*) - U.S. Department of State Trafficking in Persons Report - National Human Trafficking Hotline
U.S. government reports	- OTIP's U.S. government reports
Financial trends for the past 5 years	- Organization's audited financial statements: Example from the Coalition to Abolish Slavery & Trafficking
Client data trends for the past 5 years	- Program reports, annual reports, funder reports, and other internal records - Trafficking Information Management System reports - City and County of San Francisco Department on the Status of Women, Human Trafficking in San Francisco Report, 2016 - ACF-funded program reports - Certification letters - Annual AG Report
Program satisfaction/ experience	- Client surveys and/or focus groups - Surveys of referral sources and staff perceptions
Future program opportunities	- Information from sources previously mentioned, needs assessments done by organizations or others, interviews with other service providers

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

Develop and Implement a Strategic Plan

Why It's Important

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

What It Is

A strategic plan includes several core components, including:

- Mission, vision, and value statements
- Target customers

- Prioritized goals that are specific, measurable, achievable, relevant, and time-bound (SMART)[4]
- Activities and strategies under each goal that will lead to desired outcomes
- Performance indicators (e.g., how the organization will measure success)
- Resources needed
- Potential concerns, threats, trends, and other important considerations

How to Develop the Plan

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

[4] Yemm, G. (2013). *Essential guide to leading your team: How to set goals, measure performance and reward talent.* Pearson Education.

Resources

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

CHAPTER 3: ORGANIZATIONAL CULTURE AND APPROACH

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

This chapter will help grantees:

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

Examine Organizational Culture

Why It's Important

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

How to Examine Organizational Culture

- Reflect on existing organizational culture. It may be helpful to first assess whether the actions of staff toward each other and clients align with the organization's stated mission, vision, and values. For example, an organization could survey staff to determine if staff are able to articulate the values related to a trauma-informed, strengths-based approach and whether they can describe how those values are integrated into their daily work.5 It is also important to contemplate the existing cultural diversity among staff and clients as well as how others perceive or respond to those differences.

[5] Trafficking in Persons Report 2017. U.S. Department of State. https://www.state.gov/j/tip/rls/tiprpt/202017/271110.htm

- Orient others to desired organizational culture. Often organizations envision the culture they want but are ineffective in communicating or modeling it to others, including their own staff. There are several ways organizations can articulate their values and culture, some of which include staff meetings/trainings, brochures/materials, open discussions, and day-to-day behavior.
- Build shared values and vision with partners. Anti-trafficking work requires multidisciplinary collaboration, which means working with different organizational cultures. Sometimes there may be differences between organizations regarding their values, service delivery approach, and so on. It is important to work with partners to create shared values and build a common approach to anti-trafficking work.

Integrate Values Into a Service Delivery Approach

Why It's Important

HHS-funded anti-trafficking services and outreach programs are directed to use a trauma-informed,[6] person-centered approach. Those doing anti-trafficking work have a responsibility to provide accurate, timely, and accessible information and resources to those affected by human trafficking so they can make informed decisions.

What It Is

Effective anti-trafficking programming incorporates a trauma-informed and survivor-informed[7] approach in its development and delivery of programming, including through staff development, client engagement, and outreach and awareness raising activities. "Anti-human trafficking efforts should be victim-centered and culturally relevant, holistic, comprehensive, evidence-based, gender-responsive, and trauma-informed."[8] The figure on the next page includes characteristics of trauma-informed, survivor-informed, and person-centered anti-trafficking programming.

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

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

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

Trauma Informed

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

Survivor Informed

- Empowers individuals who have experienced trafficking by engaging them throughout the process
- Aims to minimize re-traumatization by response system or intervening processes

Person Centered

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

How to Integrate Values

- **Actively and regularly engage survivors.** Organizations should continuously solicit input and feedback from survivors at all stages of program development, implementation, and evaluation. Additionally, it is important for organizations to incorporate diverse survivor perspectives such as sex and labor trafficking survivors, adult and minor survivors, U.S. citizens, and foreign nationals.
- **Develop advocates in your staff.** Staff will need to be trained on how to advocate for their clients, and the organizational culture should support the principles of victim advocacy.
- **Hire staff who reflect the community served.** Staff should be hired from the community where the agency operates and be representative of the population served. These staff members will have a better understanding of client needs and community resources. Clients also tend to feel more comfortable working with programs that demonstrate an understanding of their identity, culture, and environment.
- **Incorporate a trauma-informed approach.** Being a trauma-informed organization means engaging in ongoing learning, evaluation, and improvement of services and outreach through a trauma-informed lens. The United States Advisory Council on Human Trafficking recommends that trauma-informed approaches are implemented in service provision and outreach strategies. For more information on how to develop and

implement trauma-informed approaches in an organization, explore the resource section of this chapter.

- **Honor confidentiality and consent.** Maintaining confidentiality and obtaining consent are key to building trust with those affected by human trafficking and are critical in a trauma-informed, person-centered approach. Several legal requirements govern confidentiality and consent, including the Health Insurance Portability and Accountability Act (HIPAA), the National Association of Social Work Code of Ethics,[9] and grant agreements for ACF-funded programs. Programs are required to protect the privacy and confidentiality of client information at all times, take the necessary measures to securely store client records, and encrypt and/or password protect the electronic transmission of client information to referral agencies and other organizations. Should information sharing be required to support a client of human trafficking, programs should have an established information-sharing protocol that includes signed, time-limited consent forms. For more information on maintaining confidentiality, explore the resource section of this chapter.
- **Conduct outreach in a manner that reflects a trauma-informed, person-centered approach.** Outreach should be intentional and designed to engage specific individuals or populations at risk of trafficking. Check the funding opportunity announcement (FOA) before designing the program's outreach plan to ensure the strategy aligns with the grant's mission and objectives. Outreach should be respectful, compassionate, culturally and linguistically appropriate, trauma informed, and factual. Remember, the goal of outreach is to build capacity for a multidisciplinary response to human trafficking that identifies and serves those at risk of trafficking and those who have already experienced trafficking.

Deliver Culturally and Linguistically Appropriate Services (CLAS)

Why It's Important

Human trafficking affects a wide range of individuals, communities, demographics, and cultures in the United States. HHS's Office of Minority Health broadly defines culture as the "integrated patterns of human behavior that include the language, thoughts, communications, actions, customs, beliefs, values, and institutions of racial, ethnic, religious, or social groups."[10] Culture is dynamic in nature, and individuals may identify with multiple cultures over the course of their lifetimes.

With a population of more than 320 million people, the United States is a diverse landscape, representing members of different races and cultures who speak a variety of languages. The 2015 U.S. Census estimates that more than 60 million people speak a language other than English at home, with more than 350 different languages spoken in the United States. ACF's

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[9] The National Association of Social Work Code of Ethics can be accessed at https://umaine.edu/socialwork/files/2013/02/NASW-Code-of-Ethics.pdf.
[10] Office of Minority Health. (n.d.). *What is cultural competency?* Retrieved September 6, 2017, from https://www.cdc.gov/nchhstp/socialdeterminants/docs/what_is_cultural_competency.pdf.

SOAR training discusses factors that may put some individuals at a higher risk of becoming victims of trafficking. These include a history of substance use, domestic violence, child abuse, and/or physical/mental disabilities as well as sexual orientation, gender identity, and immigration status. While some populations are more vulnerable to human trafficking than others, trafficking is a problem that crosses all boundaries.

What It Is

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

How to Deliver CLAS Services

- **Honor each individual's cultural identity.** Do not make assumptions about someone's culture or values. Ask clients about their own perception of their culture. Also, be aware that someone's cultural background may affect how they perceive their human trafficking experiences, how they communicate about it, how they interact with others, and how they access support or resources. Be sensitive to the reality that many clients' vulnerability to human trafficking can be tied to their cultural identity.

- **Partner with a wide range of community-based organizations.** By diversifying stakeholders and partnerships, organizations can deepen their cultural awareness and ability to deliver culturally and linguistically appropriate services.

- **Complete a cultural competency self-evaluation.** The National Center for Cultural Competence developed a Self-Assessment Checklist for Personnel Providing Primary Health Care Services to assess practitioners' attitudes, knowledge, and skills that are integral to culturally and linguistically competent care. To complete the assessment, visit the resources page for more information.

- **Align the service delivery model with the National CLAS Standards.** Review current organizational policies, practices, and resources against the National CLAS Standards to ensure services are culturally and linguistically appropriate.

- **Commit resources to decrease cultural, linguistic, and communication barriers.**[11] Organizations can bridge the differences in cultures through multifaceted approaches. Examples include increasing access to information in other languages; adhering to common cultural norms, beliefs, and practices of the community served; ensuring quick and easy access to professional translators; hiring staff that belong to the communities being served; and training staff on cultural and linguistic responsiveness.

[11] Community Anti-Drug Coalitions of America. (2017, October 19). *Cultural humility vs. cultural competence: Do you know me?* http://www.cadca.org/cultural-humility-vs-cultural-competence-do- you-know-me

Commit to Staff Development

Why It's Important

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

It is essential that program staff, including funded partners, receive initial and ongoing training on key aspects of human trafficking and response.[12]

How to Commit to Staff Development

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

[12] Funded partners include any partner that receives money through the grant and may include subrecipients who were named in the grant, subcontractors, or individual consultants.

available that organizations can use, including resources through [OTIP's website]() and the [Office for Victims of Crime website]().

Onboard New Staff

Why It's Important

Onboarding is the process of bringing a new employee into an organization. Effective onboarding programs start before the first day of employment and extend well beyond that. According to the Society for Human Resource Management (SHRM), employees who benefit from a strong onboarding process are 50 percent more productive as new hires and are more likely to still be with the organization after 3 years.

How to Onboard New Staff

According to a report from SHRM, four components may be included in onboarding, referred to as the **four C's**:

- **Compliance:** Providing basic legal information and training on rules and regulations
- **Clarification:** Clarifying roles and expectations for new employees
- **Culture:** Introducing new employees to organizational norms
- **Connection:** Helping new employees establish networks and relationships

Guiding new employees through each step of the onboarding process can get them up to speed faster, ensure that appropriate goals are assigned, and help foster a sense of community and support. Processes can be both formal and informal activities.

Best Practices

- **Pre-boarding:** Prepare candidates for a job by providing information on company culture, values and goals, and time to complete some of the paperwork required for the position at an early stage prior to the first day. During this phase, the organization can deliver a welcome letter with electronic documents, notify the IT and facilities departments about what tools the new employee will need, and provide information about the company's leaders and culture. A sample email template is included in Appendix A.
- **Onboarding during the first weeks:** When the employee begins work, provide a job description and any suggested performance goals, areas of focus, and timelines. Explain how they will be trained, introduce them to staff, give them keys, get them to sign any needed benefit and tax forms, explain the time-recording system (if applicable), and provide copies of important documents such as an organization chart, last year's final report, the strategic plan, this year's budget, and the employee's policies and procedure manual if they did not already get one. Give them a tour of the office, computer and IT procedures, and office systems. Schedule computer training, if needed. Ensure a staff

member is assigned as their "buddy" to quickly establish rapport and answer any questions. Informal activities like taking them to lunch on their first day can be an opportunity for new staff to share non-work information such as family and hobbies.

- **The first 6 weeks:** Have one-on-one meetings on a weekly basis for at least 6 weeks. One of the biggest mistakes of new supervisors is to assume that new employees are doing fine if they aren't bringing problems to you. Instead, meet to discuss status on work activities, hear any pending issues or needs, and establish a working relationship with the new employee. Ask them how they like to be managed and use this to work to their self-identified strengths.

Onboarding is a continuous and iterative process. Proper on-the-job orientation and training helps reduce an employee's learning curve and boost their confidence. Over time, employees are introduced and integrated with the people, expectations, and culture of your organization, including why the work is being done. For nonprofits, ensure that your new employees understand the mission and can see it in action whenever possible. By the end of onboarding, an employee should be able to understand the organization's mission, vision, values, and goals as well as their own role and responsibility in meeting such goals. They should have a solid workplan in place with a clear roadmap of how to accomplish their goals. Onboarding is a two-way endeavor—organizations want to hire and retain talented staff, and employees want to feel like their workplace is a good fit. Clear communication from both sides is crucial to achieving positive outcomes and a healthy organizational culture.

The benefits of a strong onboarding plan have long-term results. A plan that seeks to develop strong relationships in the organization produces successful employees. They understand the expectations of their new role, are aware of written and unwritten rules and cultural norms in the organization and can navigate meeting their goals. See Appendix A for an onboarding checklist.

Support Staff Well Being

Why It's Important

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

How to Support Staff

- **Recognize and respond to signs of chronic stress and secondary trauma.**[13] Just as staff are expected to be sensitive to clients' trauma, leadership needs to recognize and respond to the chronic stress and secondary trauma that staff may experience as a result of hearing client stories on a daily basis. When secondary trauma goes unaddressed, it can have devastating effects on the individual and the organization as a whole. For the individual, secondary trauma can lead to physical and behavioral health

[13] Administration for Children and Families. (n.d.). *Secondary traumatic stress: What is secondary traumatic stress?* Retrieved July 19, 2020, from https://www.acf.hhs.gov/trauma-toolkit/secondary-traumatic-stress

challenges (increased medical concerns, feeling emotionally withdrawn), compassion fatigue (depersonalization), and impaired performance (fatigue, easily distracted from normal tasks). Organizations that do not have a culture of support to address secondary trauma can experience staff burnout, turnover, and diminished staff capacity.[14] For more information on how to address secondary trauma in an organization, explore the Vicarious Trauma Toolkit published by the Office for Victims of Crime (OVC), U.S. Department of Justice (DOJ).

- **Treat staff the way they are expected to treat clients.** Just as staff are expected to be respectful, compassionate, and honor clients' perspectives, supervisors and leadership can model these behaviors when staff share their own concerns. In addition, supervisors and leadership can frequently check in with staff using formal approaches such as regular staff meetings and trainings as well as informal approaches such as casually checking in with staff to see how they are doing.
- **Support personal self-care practices and provide opportunities.** Organizations can do more than offer staff a safe space to share their struggles. Self-care is a critical component of addressing trauma and decreasing stress. Organizations should encourage staff to take breaks (including lunch breaks) and use paid time off. In addition, organizations should consider (1) creating a wellness space for staff to rest and relax; (2) offering onsite therapeutic activities; (3) organizing midday staff workout groups; and (4) providing staff brown bag gatherings for training, socializing, or collegial support.

Promote Staff Retention

Why It's Important

Anti-trafficking work can be stressful, and employees often experience low pay, job insecurity due to lack of funding, and burnout. This can lead to significant employee turnover. However, employers can take some steps to promote staff retention and increase morale in the workplace.

How to Promote Staff Retention

Pay Attention to Needs

Engaged employees are more likely to stay. When their needs are met, employees become emotionally and psychologically attached to their work and workplace.15 Pay attention to actively engage your workforce through strategic efforts that meet performance development

[14] Middleton, J. (2015). *Addressing secondary trauma and compassion fatigue in work with older veterans: An ethical imperative.* Aging Life Care Association, Journal of Aging Life Care. http://www.aginglifecarejournal.org/addressing-secondary-trauma-and-compassion-fatigue-in-work-with-older-veterans-an-ethical-imperative

[15] Gallup. (n.d.). *State of the American workplace report*. Retrieved July 19, 2020, from https://www.gallup.com/workplace/238085/state-american-workplace-report-2017.aspx

needs: basic needs, individual needs, teamwork needs, and growth needs. Some of these may require more attention than others in times of organizational change or stress. But they cannot be left to a yearly survey or review. Tools such as Change Style Indicators16 can (1) help identify how different people respond to change by understanding differences in change style preferences, (2) increase collaboration, and (3) improve teamwork.

Communicate, Communicate, Communicate

Clear and transparent communication is your foundation for trust. Communication is about words and daily behaviors. Your staff will pick up on everything you say and do, and other staff will amplify it. Tactics to get through any difficult times include:

- Openly address upcoming changes.
- Provide information about when employees can expect updates from you.
- Share your strategies.

Leaders and staff alike can help create a positive environment with clear and transparent communication. Hold regular, scheduled, all-employee informational meetings to give leaders the chance to provide updates, talk about priorities, reinforce the vision, and recognize individual achievements. In organizations with multiple locations, a virtual meeting format can facilitate effective communication.

Strive for Transparency

Not filling staff "in on things" is one of the most common reasons why employees leave organizations. The more information you are willing to share with your employees, the more involved and trusted they will feel. Obviously, some information (human resources issues, personal info, etc.) must remain confidential, but publicly and openly sharing all appropriate information with employees creates a sense of ownership and trust. The result is staff who are willing to dive in to help overcome challenges. In addition, transparency minimizes employees' suspicions toward management and decreases the possibility that they will make inaccurate assumptions about the health and/or stability of the organization.

Foster Trust

If you already have a culture of trust in your organization, you are well ahead of the game as trust and mutual respect are key drivers of employee engagement. Trust in leaders is a key driver of engagement and is required to lay the groundwork for a great culture of positive relationships among staff. Morale can quickly dissipate whenever major disruptions occur in the organization, particularly those brought about by funding cuts. If you know that everyone will keep their jobs, tell them. If staff reductions are needed, inform staff ahead of time.

Focus on Data, Vision, and Supporting Managers **(***Leaders)*

Leaders will need to consider budgets and programming when assessing strategic opportunities

[16] Change Style Indicator. Retrieved July 21, 2020, from https://3cf83179-7920-4b3d-9c73-19a4fe164127.filesusr.com/ugd/5601ae_e57f5916925d4e769bacabfe79ab5960.pdf

to further support their staff. Plan action steps, take strategic action, and communicate your vision directly to keep the organization vibrant and the staff engaged. Supporting your program managers is key because they are responsible for managing programs as well as the relationships with each person on their team. Ask managers to identify and recognize the unique abilities of every employee on their team and maximize the utilization of those abilities. There may be some efficiencies of processes or creative ways to restructure based on this strength-based approach.

Connect to Your Shared Purpose

Employees are driven by what they are doing to achieve their mission. When one program slows down, changes, or ends, it does not mean the organization's mission ends. Recommit to the mission and show how your organization and people are performing toward meeting that vision. People who focused on the meaning and purpose in their work experienced a 60 percent drop in absenteeism and a 75 percent reduction in turnover.[17]

Listen and Respond to Staff Feedback

No staff member ever wants to work for an employer who does not value their feedback and respond appropriately to their suggestions. Be honest. Making false promises or providing little or no actual follow through is a recipe for poor morale. Leadership has an expert view of the "big picture" while program and frontline staff may have insights on how to move forward with opportunities that keep the community and mission front and center. Find a way to include their insights and creativity and they will feel valued—even if some of the ideas cannot be implemented right away. Recommend staff input for all policy changes, especially those impacted by the proposed changes.

Focus on Recognition

It is always a good idea to recognize and acknowledge staff's work and accomplishments, both individually and as teams. This is one of our basic psychological needs, and there are simple and innovative ways to accomplish it. Ask your staff how they like to be acknowledged and find ways to incorporate these ideas as quickly as possible.

Own Your Engagement (Employees)

Employees are not off the hook. They have a responsibility for their own work satisfaction. What can employees do? They can ask for the right materials and equipment and bring learning opportunities to their managers. They can be proactive and communicate their needs. For example, flexibility is cited as highly valued by millennials; perhaps this is the right time to recommend to your employer ways to increase flexibility. Look for other features you value and bring these to leadership. Leaders may reward and amplify the individuals who bring this spark of positivity and empowerment into their work culture.

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[17] Opportunity Knocks. (n.d.). Engaging the nonprofit workplace: Mission, management and emotion. Retrieved July 19, 2020, from https://www.gcn.org/sites/default/files/ctools/OK_Engaging_the_Nonprofit_Workforce_Report.pdf

The "Secret Sauce"? Employee Happiness

When it comes to creating a culture that employees love and don't want to leave, employee happiness is a metric that really matters. Luckily, happy employees are never beyond any organization's grasp. It's not the perks or the policies that matter—it's the culture that the perks grow out of. So, find the "secret sauce" in your own organization and plant the seeds for a great culture. Ask yourself: What will our employees respond to? These universal drivers of employee happiness fall into three categories: alignment, positivity, and progress. Everything employees need and everything you need to build a vibrant culture that will attract and keep the best talent rolls up into one of these three things. By pursuing them, you can create a groundswell of happiness that will grow your culture from the bottom up.

For more information and recommendations about employee retention, see Appendix B.

Resources

Transforming Organizational Culture

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

Person-Centered Approach

- Substance Abuse and Mental Health Services Administration

Trauma-Informed Practices

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

Core Principles of Victim Advocacy

- End Violence Against Women International
- Office for Victims of Crime Training and Technical Assistance Center

- United States Advisory Council on Human Trafficking—Annual Report 2016

Maintaining Confidentiality

- Administration for Children and Families—Confidentiality Toolkit
- Office for Victims of Crime Training and Technical Assistance Center—Maintaining Confidentiality

CLAS Standards

- National Standards for Culturally and Linguistically Appropriate Services
- U.S. Department of Health and Human Services, Office of Minority Health

National Center for Cultural Competence—Self-Assessments

Onboarding

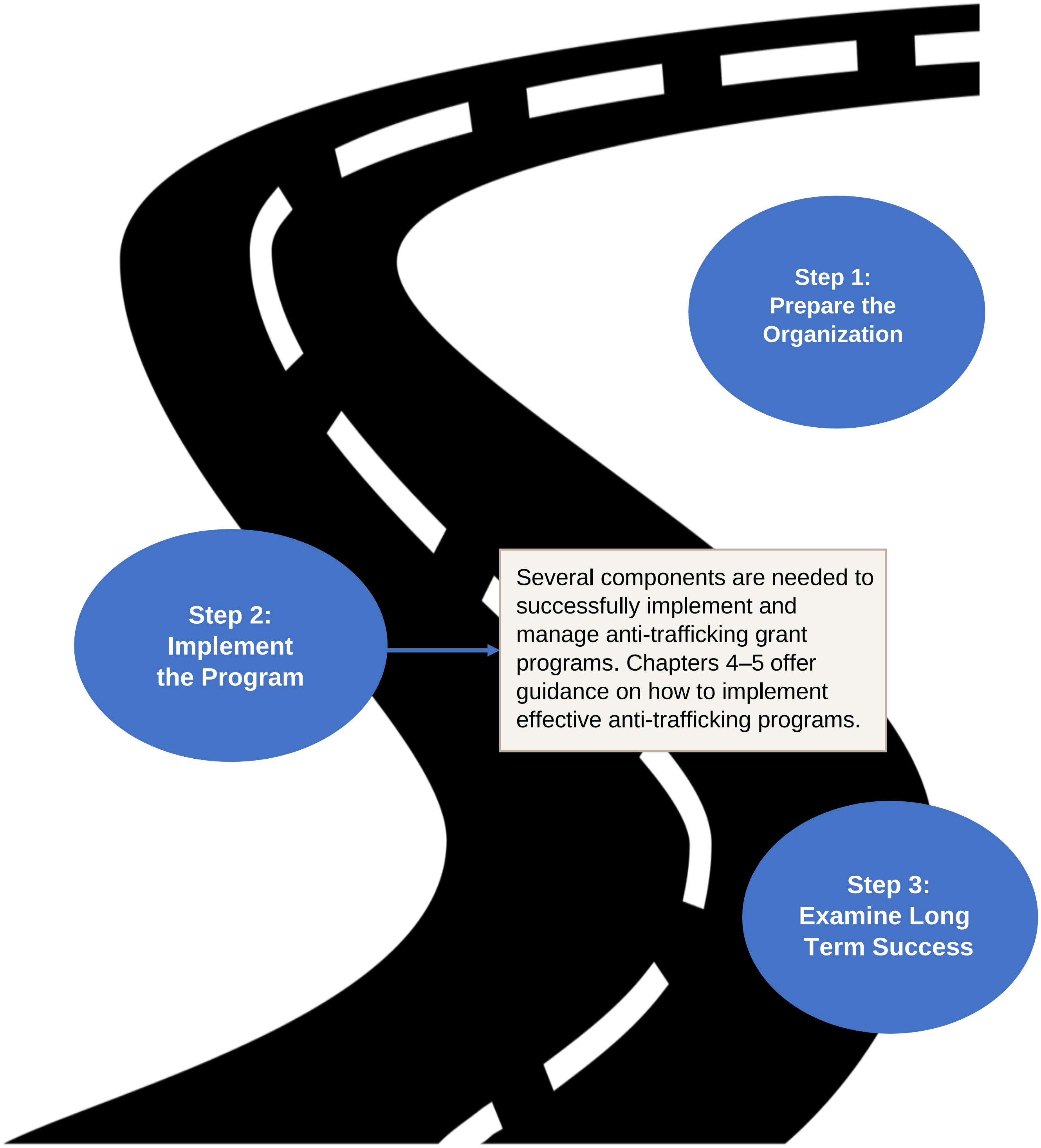
- Society for Human Resource Management: Onboarding New Employees: Maximizing Success
- Society for Human Resource Management: Importance of Effective Onboarding
- Mission Box
- Joan Garry Consulting: A Slam Dunk New Employee Orientation Process
- Free Management Library: Orienting New Employees (New Hires, Onboarding)
- Bridgespan: Guide to Best Practices in Onboarding
- Smartsheet Onboarding Checklist and Templates (Excel)
- Smartsheet Onboarding Checklist and Templates (Word)
- Zenefits New Hire Checklist
- CNE.org: Onboarding: The How and the Why

Training and Technical Assistance

- A Guide for Humanitarian, Health Care, and Human Rights Workers—Caring for Others, Caring for Yourself
- Asian Pacific Institute on Gender-Based Violence
- Child Welfare Capacity Building Collaborative
- Child Welfare Information Gateway
- Coalition to Abolish Slavery & Trafficking Training and Resource Center
- Domestic Violence Resource Network
- End Violence Against Women International
- Family and Youth Services Bureau—Domestic Violence Resource Network
- Freedom Network USA—Training
- Getting Started with Mindfulness
- Headington Institute
- Managing Stress in Humanitarian Workers—Guidelines for Good Practice in 2012

- National Clearinghouse for the Defense of Battered Women
- National Human Trafficking Hotline
- National Immigration Law Center
- Office of Refugee Resettlement
- Ohio Child Welfare Training Program
- Podcasts on Stress Management for Emergency Responders
- Professional Quality of Life (ProQOL) Measure
- Runaway and Homeless Youth Training and Technical Assistance Center
- Substance Abuse and Mental Health Services Administration—Training and Technical Assistance on Trauma
- Self-Care Starter Kit
- Self-Care Tools, Strategies, and Assessment
- SOAR to Health and Wellness
- National Human Trafficking Training and Technical Assistance Center
- Office for Victims of Crime—Vicarious Trauma Toolkit
- Trauma Stewardship Institute
- United Nations Emergency Preparedness and Support Team—Leadership in Emergencies

Grant Management Roadmap to Success



CHAPTER 4: GRANT MANAGEMENT AND ADMINISTRATION

Grant recipients are responsible for completing all administrative tasks related to the management of grant funds, implementing deliverables, and reporting on performance to the funder. The type of grant an organization receives is stated in the Notice of Award.

Grantees should refer to the Notice of Award, the HHS Grants Policy Statement, and the ACF Cooperative Agreement for standards related to specific grant types and management requirements.

This chapter will help grantees:

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

Conduct the Grant Kickoff Meeting

Why It's Important

Once the organization has received its Notice of Award, it is important to bring stakeholders together to review the grant requirements, confirm everyone's roles and responsibilities, and begin in-depth planning about how to meet grant requirements. See Appendix C for a sample program announcement.

How to Conduct a Grant Kickoff Meeting

- **Confirm grant deliverables and expectations.** One of the first steps to ensure a successful start to the project is to meet with the awarding agency's point of contact to confirm grant requirements, initial deliverables, proposed timelines, reporting structure, organizational approach to meeting requirements, and roles and responsibilities.

- **Meet with staff to brainstorm next steps.** After the awarding agency confirms grant requirements and expectations, it is important to bring together internal staff to begin brainstorming immediate next steps and discuss preliminary implementation planning. This meeting should recap confirmed grant requirements and include preliminary discussion about how the organization envisions meeting the requirements and who to include in a formal grant kickoff meeting.

- **Bring internal and external stakeholders together for a formal grant kickoff meeting.** Now that the organization has a solid sense of grant requirements and a preliminary idea of which internal and external stakeholders can support implementation, it is time to bring everyone together for a formal grant kickoff meeting. This is a time to celebrate, brainstorm how everyone will work together, and begin implementation planning.

Review the Grant Budget

Why It's Important

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

How to Consider All Aspects of Program Spending

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

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

- **Dedicated staff time.** Is allocated staff time sufficient to carry out grant commitments? Are all necessary personnel (including supervisors, on-call staff, contractors) identified? For more information on U.S. Department of Labor (DOL) guidelines for on-call staff compensation, visit https://webapps.dol.gov/elaws/whd/flsa/hoursworked/screenEr80.asp
- **Training costs.** Does the budget include costs for staff to attend relevant training? Do budgeted training costs exceed any caps in training costs set by the funding agency? Note: Training is strongly encouraged for anti-trafficking program success but is capped at 10% of the annual budget.
- **Language access.** Does the budget include allocated costs to ensure language access for Limited English Proficient individuals and hearing-impaired partners, audiences, and clients, if allowable under the FOA? This includes costs for in-person interpretation, interpretation by phone, translation of materials, and so on.
- **Mileage and travel expenses.** Does the budget include anticipated mileage and travel expenses related to carrying out grant activities?
- **Funding restrictions.** Does the budget include any costs currently excluded, as outlined in the FOA, as an allowable cost? Examples of unallowable costs include costs

related to fundraising, construction, or the purchase/lease of motor vehicles for program use.

- **Overhead costs**. Does the budget capture any costs necessary to support the operational costs of the grant (e.g., office rent/occupancy costs, maintenance, telephone, copy machines, postage, background checks for staff and volunteers, recruiting costs, and office supplies)?
- **Material development and printing costs.** Does the budget account for producing, printing, and distributing outreach materials, client information materials, printing costs, and so on?
- **Match requirements.** Does the budget reflect any match requirements? Note: Some ACF grants include match requirements; guidance can be found in the HHS Grants Policy Statement, FOA, Notice of Award, and HHS Grant Agreement.
- **Insurance coverage.** Does the organization's liability insurance adequately cover the types of services offered and the volunteers and population served by the anti-trafficking program, including professional liability, personal liability, and coverage for vehicles used for work?

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

Consider Financial Management Practices

Why It's Important

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

How to Establish Financial Management Practices

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

- Discuss allowable expenditures in the grant kickoff meeting/funded-partner orientation meetings to ensure funded-program staff are fully informed on allowable grant expenses and funding restrictions.
- Provide brief and easy-to-reference written guidance to program staff and funded partners about allowable expenditures.

- Provide program staff access to the grant budget to further their understanding of allowable expenses.
- Summarize personnel expense allocation and remove personally identifying staff information to protect individual salary/compensation information.
- Assign internal codes to grant funds to ensure grant expenses are clearly designated, including for mileage and travel.
- Use time and effort reports to document individual staff time spent on grant activities and applied to internal grant code. Example of time and effort reporting: http://www.ndnu.edu/wp-content/uploads/2013/09/sample-time-and-effort-report.pdf
- Establish clear protocols and procedures for request and approval of grant expenditures; for example, a program coordinator or manager approves all grant expenditures, which are then reviewed by finance staff.
- Require management/supervisory approval for grant-related expenditures after finance staff reviews to ensure a system of checks and balances is in place.
- Verify that expense forms indicate purpose of expense, type of expense, and designate the appropriate grant code.

For more information on financial management practices, read the Office of Management and Budget (OMB) Circular A-133 for government and tribal agencies and OMB A-110 for nonprofits. See Appendix D for a sample budget worksheet; for budgeting tips and red flags, see Appendix E.

Review Tools for Tracking Expenditures

Why It's Important

Tracking and monitoring all grant expenditures can be complicated. However, grantees can create financial management tools to facilitate the process. Many organizations have multiple grants to keep track of and multiple reporting deadlines throughout the year that often overlap with an organization's fiscal year. By using a financial management tool, grantees are more likely to ensure compliance, avoid surprises, identify shortfalls and surpluses, and make informed spending decisions. See Appendix F for a sample expenditure tracking report document.

What It Is

A financial management tool provides a monthly snapshot of the projected budget as well as the actual revenue and expenses. It can be a robust online tool or a simple spreadsheet that can be used to monitor spending and plan grant activities. See Appendix G for an example of forms used to track multiple grants and reporting deadlines.

How to Track Expenditures

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

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

Establish Reporting Protocols

Why It's Important

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

What It Is

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

How to Establish Protocols

Here are recommendations for establishing reporting protocols:

- Initiate grant reporting procedures early on and adhere to grant reporting schedules.
- Set up monthly reporting protocols, even if grant reports are due quarterly or semiannually. This allows grantees to stay updated on funded activities and spending and will save time when it comes time to report to OTIP.
  - Grantees are encouraged to provide honest feedback on grant activities, share real-world information on carrying out grant activities and barriers to achieving grant objectives, and seek advice and assistance from their federal project officer as needed.

- Consider deadlines and timelines in relation to collecting information from the internal organizational structure and protocols for report submission. Timelines may need to be adjusted, depending on whether grant reports are submitted directly to OTIP by program staff.
- Review and aggregate grantee and funded partner reports regularly, preferably monthly.
    - Once monthly deadlines are established, it becomes natural for program staff and funded partners to adhere to this schedule. It may not seem so at the beginning, but it will become practice if put into place and reinforced.
- Monitor program activities and outcomes monthly or quarterly against program objectives to assess progress and determine whether adjustment is needed.
    - This type of internal evaluation allows programs to better understand the impacts of the project and to decide how grant funding can best be used to support community needs within the appropriate grant guidelines.
- Be proactive in contacting the federal project officer if a monthly or quarterly review of progress reveals that stated objectives have not been achieved. By contacting the federal project officer early in the process, grantees can inform the project officer of the reason for the discrepancy, discuss potential solutions for addressing any challenges, and identify additional resources that may assist the program.
- Determine whether any additional information is needed (above and beyond funder reporting requirements) that will improve quality or performance. Incorporating information about internal goals, success stories, and lessons learned is a great way to use grant reporting for ongoing quality assurance. Consider capturing the following information:
    - Client self-reported milestones, goals, setbacks, or feedback
    - Requests for information and how callers found out about the program
    - Referral sources
    - Improvements in trauma-informed practices, cultural competency, or accessibility through client, stakeholder, or partner surveys
    - Client feedback on how to better serve individuals and communities
    - Staff development
    - New partnerships
    - Special recognitions related to funded activities
- Anticipated changes to program implementation costs

Establish protocols for protecting personally identifiable information (PII). Confidentiality and consent are important considerations in grant reporting. As a general rule, only report in aggregate form, removing all PII from reports. In rare cases where PII may be disclosed, clients or others identified through grant reporting should be informed that their information will be shared with OTIP. Some ways in which PII can be protected include, but are not limited to, the use of ID codes instead of names, password-protected documents, and the removal of PII from grant reporting materials.

Anticipate the End of the Grant Project Period

Why It's Important

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

How to Prepare for the End of the Grant Project Period

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

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

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

Resources

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

CHAPTER 5: PARTNERSHIP DEVELOPMENT AND MANAGEMENT

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

This chapter will help grantees:

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

Identify Existing and Potential Stakeholders

Why It's Important

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

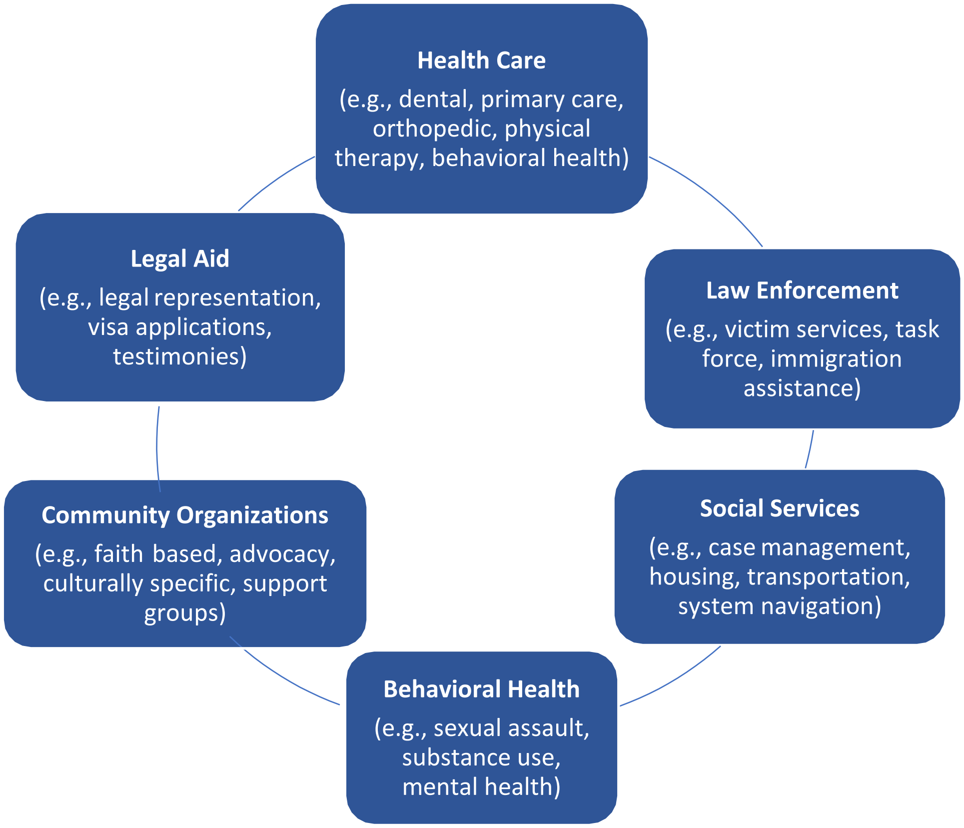
When organizations partner, they can share the risks, costs, and resources associated with the development and delivery of programming, thereby increasing the cost effectiveness of the project.[20]

What It Is

The figure on the next page from HHS' SOAR training for professionals illustrates a multidisciplinary and collaborative human trafficking response.

[20] Meyer, K. (2012). *Testing tradition: Assessing the added value of public-private partnerships*. National Council for Public-Private Partnerships. https://www.ncppp.org/wp- content/uploads/2013/03/WhitePaper2012-FinalWeb.pdf

HHS's SOAR Multidisciplinary Approach



How to Engage Stakeholders

Once you identify existing and potential stakeholders that can support a communitywide public health approach to anti-trafficking work, conduct research on (1) how each stakeholder addresses human trafficking, if at all; (2) the types of services offered that would support a human trafficking response; and (3) opportunities to leverage services and resources.

- **Conduct research on potential stakeholders.** Keep in mind that many organizations may not have up-to-date information on their websites or other public source materials about their anti-trafficking efforts. When conducting research, in addition to online research, it is critical to do direct outreach to identified stakeholders to ascertain their role, services, and resources and to build new partnerships. See the next section, "Conduct Community Resource Mapping," for more detailed information.

- **Create a multidisciplinary coalition.** By formalizing partnerships and focusing on a common goal to combat human trafficking across diverse stakeholders who share a common anti-trafficking vision, your program and its stakeholders will collaborate more effectively. This may be called many things, including task force, coalition, or working group.

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

- **Consider forming a survivor leader advisory board.** Experienced victim impact/survivor consultants can support key task force functions, particularly obtaining feedback on activities at the local level.[21] Note: Survivor consultants working outside their normal professional capacities should be offered compensation for their time consulting on anti-trafficking initiatives. The expertise survivor leaders bring to this work is not available through any other source, and survivor leaders who are asked to participate and contribute to anti-trafficking initiatives should be treated as professional consultants and compensated appropriately.[22]

Conduct Community Resource Mapping

Why It's Important

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

How to Conduct Community Resource Mapping

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

[21] U.S. Department of State. (2017). *Engaging survivors of human trafficking*. https://www.state.gov/documents/organization/272324.pdf
[22] Office to Monitor and Combat Trafficking in Persons. (2018). *United States Advisory Council on Human Trafficking annual report 2017*. https://www.state.gov/documents/organization/277080.pdf

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

Select Partners to Fund

Why It's Important

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

How to Select Funded Partners

One approach to reaching vulnerable populations is to partner with community- and faith-based organizations that serve populations known to be at risk of human trafficking. This approach supports culturally competent services, outreach, and response. Examples include organizations that serve ethnic or language-specific communities, runaway and homeless youth, immigrants, refugees, and people involved in commercial sex, farm work, and domestic work.

Many organizations choose to solicit input from potential funded partners and other stakeholders during proposal writing to help inform program goals, stakeholder roles in achieving outcomes, and logic model development.

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

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

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

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

Monitor Funded Partners

Why It's Important

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

How to Monitor

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

When monitoring subrecipients, consider the following:

- Create reporting tools that replicate the grantee-level data required in reports.
- Structure check-in meetings to address progress, questions, concerns, and challenges. Document all meetings.
- Provide a financial reporting template to each funded partner that lists their specific budget and tracks their previously reported expenditures, current month expenditures, expenditures to date, remaining balance, and reimbursement requests for the current month's expenses.
- Review funded partner financial reporting and process invoices monthly to monitor spending and address concerns, when needed, in a timely manner.
- If ACF-funded grantees believe they may exhaust all funding before the end of the budget year, they must notify ACF at least 90 days in advance of the end of the budget year.
- Examine funded partner files and financial documentation during in-person site visits conducted at least once during the grant period. Within 30 days of the site visit, grantees should provide the funded partner with a site visit report that includes objective feedback on funded partner performance; findings that require corrective action; recommendations or suggestions that may enhance funded partner performance but are not required; and any next steps that need to be taken by the grantee to help address the funded partner's needs. See Appendix J for a sample site visit report.

See Appendix K for an example of forms used for subrecipient monitoring and reporting by referring to the Subrecipient Monitoring Documentation Checklist and Agenda. Also, see Appendix L for examples of what to look for and questions to ask when monitoring subgrantees by referring to the Subgrantee Monitoring Guide.

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

Resources

Aligning Program Implementation With the Federal Strategic Action Plan

- Federal Strategic Action Plan
- U.S. Department of Health and Human Services—Grants Policy Statement

Leveraging Community Partnerships as Part of a Public Health Approach

- Centers for Disease Control—Community Partnerships
- Centers for Disease Control—Successful Health-Related Community Partnerships
- SOAR to Health and Wellness Trainings

Federal, State, or Locally Funded Programs Beyond OTIP Grantees

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

Examples of Community Resource Mapping

- Florida Institute of Education at the University of North Florida Arlington Asset Map
- University of Kansas Community Toolbox

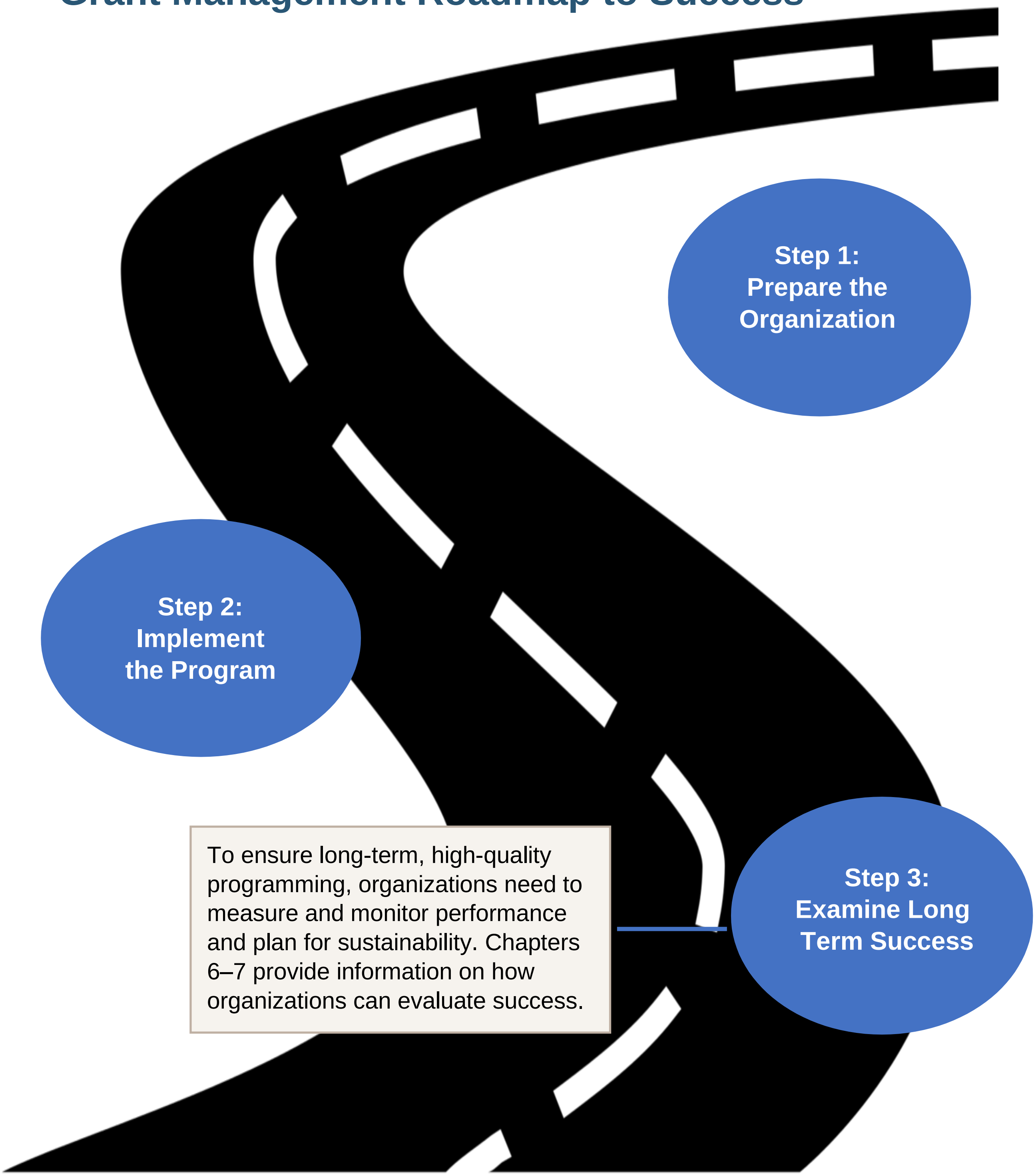
Identifying Stakeholders Working With Anti-Trafficking Coalitions

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

Subgrantee Monitoring

- Grants.gov
- Office of Justice Programs—Financial Management and Systems of Internal Controls

Grant Management Roadmap to Success



CHAPTER 6: MEASURING PERFORMANCE

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

This chapter will help grantees:

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

Develop a Logic Model

Why It's Important

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

What It Is

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

How to Develop a Logic Model

Online resources can help organizations create a logic model, which delineates an organization's vision and goals, the activities required to achieve the goals, desired outcomes, and indicators.[21] Flow charts, maps, and tables are common formats for a logic model.

Whichever format is chosen, the logic model should provide direction and clarity by presenting a "big picture" of change alongside important details. A logic model should address the following issues:

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[21] James Bell Associates. (2007). *Evaluation brief: Developing a logic model.* http://www.jbassoc.com/ReportsPublications/Developing%20a%20Logic%20Model.pdf

- **Purpose/goal.** What motivates the need for change? What is the driving force of the program's mission?
- **External factors.** What climate is your program operating in? What external factors (not controlled by the program) affect the program?
- **Inputs.** What are the "building blocks" that will be used in the program? Include the resources, infrastructure, staff, contributions, and investments that go into a program.
- **Activities.** What will the program do with its resources to direct the course of change? Include services, events, interventions, and other relevant program efforts.
- **Outputs.** What are the demonstrated results of all the program activities? What evidence is there that the activities were performed as planned?
- **Outcomes/impacts.** What kinds of short- and long-term changes came about as a direct or indirect result of the activities? Have program activities made a difference?

Sample Program Logic Model

Goal: To identify, support, and protect individuals who have experienced trafficking

			Impact	
Inputs	**Activities**	**Outputs**	**Short Term**	**Long Term**
# of Full-Time Staff **# of Part-Time Staff** **# of Volunteers** **Grant Dollars**	• 24-hour hotline services • Community outreach • Training • Case management • Housing • Direct Services	• # of calls to the hotline • # of community outreach efforts • # of outreach materials developed • # of people trained • # of clients served by the program • # of clients that received requested services • # of referrals to outside services	• Callers receive crisis support • Increased identification and response to all types of human trafficking • Increased skills and knowledge about survivor-informed practices • Survivors gain the skills and knowledge needed to make informed decisions	• Callers to hotline have increased awareness of crisis support • Community mitigates risks factors associated with human trafficking • Improved organizational response to survivors of human trafficking • Improved well-being of clients served • Survivors reach self-sufficiency
External Factors: Funding opportunities, advisory board				

Examine Models of Evaluation

What It Is

Evaluation is a structured process of collecting, analyzing, and using data to provide an objective assessment of a program, policy, or some other activity. Many different types of evaluation designs are applicable for grant management. How to select the appropriate evaluation model is included in Appendix M. The four most common types are:

- **Formative evaluation/Evaluability assessment.** The goal of this type of evaluation is to clarify or modify a program's goals, processes, or activities before full implementation and other forms of evaluation take place. It helps to determine a program's readiness for evaluation, supports building capacity for research and data collection, improves the potential for more rigorous evaluation and its success, and maximizes the likelihood that a program will succeed.
- **Process evaluation.** A process evaluation helps you learn more about the "what" and the "how." It describes and analyzes a program's operation, implementation, and service delivery—its inputs, activities, and outputs. It is most helpful when it is conducted as program implementation begins to help detect any early issues or program deviations that may arise and throughout operation of an existing program for continual monitoring of how well a program's activities are operating in relation to the intended model.
- **Outcome evaluation.** This evaluation measures program effects by assessing progress in the program's objectives or outcomes. It also detects the degree to which the program is producing the intended effects and demonstrates the short- and long-term results of the program or activity.
- **Cost-benefit analysis.** A cost-benefit analysis compares the resources used in a program, including both their direct and indirect costs, with the benefits achieved. This type of analysis can be conducted at the beginning of a program to compare different approaches and to assess cost for planning purposes. However, it can also be used throughout the operation of an existing program to quantify the overall impact of the program and look at the monetary implications for a program in terms of whether the benefits outweigh the costs.

Why It's Important

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

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

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

How to Choose an Evaluation Approach

Organizations must take several considerations into account when designing their evaluation.

- **Determine the purpose of the evaluation.** What do you want to accomplish by conducting the evaluation? What information do you want to obtain from your data collection efforts?
- **Decide which evaluation design to use.** In order to align your organization's needs with an evaluation plan, it is important to have an understanding of the various types of evaluations and the differences between them to determine which is the best fit.
- **Know your target audience.** Programs should also consider how best to (1) protect the confidentiality and safety of participants, (2) respect participants, and (3) address diversity.
- **Learn how to measure your outcomes.**[22] Success will be measured differently, depending on the type of organization and type of evaluation. Measures might include how clients access services (e.g., how they are referred to program), attitudinal and behavioral indicators of change (e.g., application of new knowledge or skills after training), types of program outreach (e.g., marketing brochures, community town hall meetings), and/or well-being (e.g., improved physical health, 1 year of consistent employment, 6 months of stable housing).
- **Determine length of time (e.g., short-term evaluations have short-term impact).** Short-term outcomes typically correspond to the more immediate results and changes that occur within a shorter timeframe since the intervention. Long-term outcomes typically correspond to the outcome/impact farther down the line (e.g., several months, a year or more) and in a more sustained change.

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[22] United Way of America. (n.d.). *Measuring program outcomes: A practical approach*. Retrieved July 13, 2020, from https://digitalcommons.unomaha.edu/cgi/viewcontent.cgi?article=1047&context=slceeval

- **Decide how the information will be collected and analyzed.** Ideally, programs will have a system that allows them to capture activities and outcomes data regularly in a cumulative way and evaluate program performance on an ongoing basis. While grant reporting is a great initial mechanism in the data collection process, the data also needs to be analyzed and evaluated with an eye toward accomplishing desired outcomes. Examples of program areas and what information to collect is provided in Appendix N.

Appendix N also provides an evaluation plan template to work through each of these considerations and act as your guide to answering questions about what the program has achieved.

Collect and Store Data

There are many ways to collect information, each with their own purpose and limitations. Every program must ultimately decide for itself how to collect evaluation information. Here are a few guiding questions to help you decide which method is best:

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

Research methods are standardized techniques and approaches used to build knowledge through observation, collection of data, and interpretation of the results. Data collection is used to develop new evidence or answer a research question based on what the data tell us. There are two types of data collection methodologies: qualitative and quantitative. Quantitative research is a systematic method of certain phenomena based on numeric or measurable data. The analysis of these measurements can provide information on the relationships and associations between items whereas qualitative research involves the collection of data that is nonnumerical and descriptive in nature. It is an observation-based approach that focuses on understanding or interpreting phenomena or behavior.

Types of Data

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

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

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

OTIP's Data Collection and Standardization Efforts

The Human Trafficking Data Collection Project examines current data collection practices, data standards, and technologies used for human trafficking data collection for the purposes of understanding human trafficking victimization and service needs.

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

Some best practices:

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

OTIP is in the process of building a data management system to collect information from and monitor performance of its grantees as informed by the Human Trafficking Data Collection (HTDC) Project findings. The new grants management system will allow for standardization in grantee data submissions and enhance OTIP's analytic capabilities to cull client-level insights and general grants performance information while easing the collection and reporting burden for grantees. This is part of larger HHS interoperability goals.

Establish a Partnership With the Evaluator

Why It's Important

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

How to Select an Evaluator

A number of considerations should be taken into account when selecting an evaluator. The relationship with the evaluator should be mutually beneficial; each of you brings expertise to the evaluation. The first question is whether to conduct the evaluation internally or hire an external evaluation partner. External evaluators can be an important asset as they bring expertise and experience in creating data collection tools and analyzing data. They also provide an objective third-party perspective to help an organization assess performance realistically and comprehensively. They might also bring some additional resources (e.g., money, time) to contribute to the evaluation, which could free up staff for other important tasks. Regardless of whether the evaluation will be conducted internally or externally, staff will play a vital role in data collection. Data collection and information sharing must adhere to strict confidentiality requirements.

How to Establish the Program–Evaluator Partnership

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

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

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

Resources

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

CHAPTER 7: SUSTAINABILITY PLANNING AND LONG-TERM FINANCIAL STABILITY

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

This chapter will help grantees:

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

Create a Sustainability Plan

Why It's Important

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

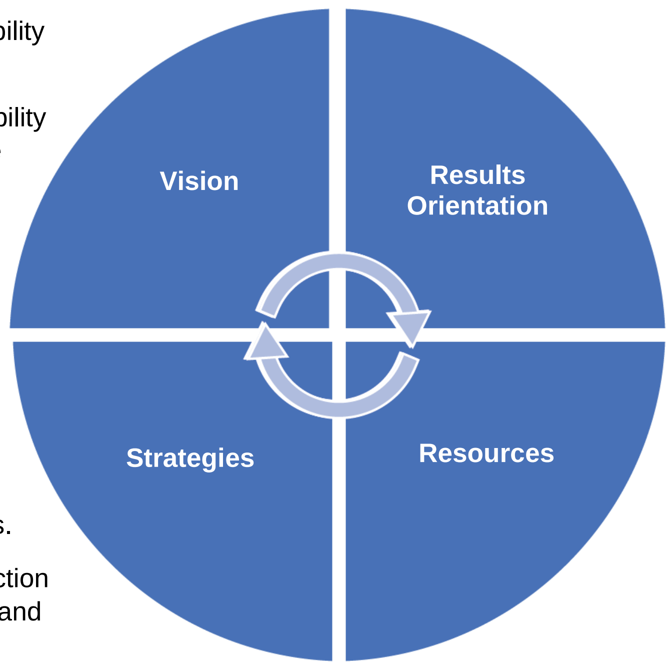
What It Is

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

How to Create a Plan

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

Components of a Sustainability Plan



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

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

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

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

Conduct a Debt to Equity Ratio Analysis

Why It's Important

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

How to Conduct a Debt-to-Equity Ratio Analysis

- **Identify and make a list of the organization's equity.** This includes any funding that comes into the organization such as public or private grants, membership dues, and private donations. These may be one time or recurring awards.
- **Identify and make a list of debts.** This includes all costs the organization is responsible for paying, including direct (e.g., salaries for grant personnel, staff training and related travel costs) and indirect expenses (e.g., salaries for administrative staff, and overhead expenses including program rent and utilities).
- **Calculate the debt-to-equity ratio.** A simple and common way to do this is by dividing the debt by the equity (debt/equity). However, there are a few ways to calculate debt-to-

equity ratio, so for information on how to better understand a debt-to-equity ratio, see the resources page at the end of this chapter.

Consider Diversification of Funding

Why It's Important

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

Fundraising events are important ways to secure unrestricted funds; however, remember that federal grant funding cannot be used for fundraising. When organizing these events, be sure to include key aspects of organizational identity throughout the process. Before accepting funding, the organization should ensure there are not any restrictions on the use of funds that would inhibit the organization's ability to address its goals and objectives. Although online donors are known to have higher incomes, they are also less likely to become regular donors and may be uncomfortable sharing their credit card information online.[23] To diversify fundraising methods, secure donations through other methods, including mail appeals and in-person fundraising.

Funding Goal	Tasks
Secure Individual Donors	- Create signup lists at your events; collect information such as name, organization, email address, and street address. - Establish a web presence (free platforms, e.g., WordPress and blogspot.com). - Organize your donor lists to identify contributors.
Solicit Online Donations	- Explore online communities such as Periscope, YouTube Live, Facebook Live, Facebook, Twitter, and other free, easy-to-use platforms. - Consider different modalities that encourage giving such as storytelling, reports, and perspectives from the field.
Secure Government Grants	- Visit the website that contains comprehensive information on federal grants. - Explore other ACF funding opportunities: • Family Violence Prevention & Services • Family & Youth Services Bureau • Community-Based Child Abuse Prevention (CBCAP) • Child Abuse Prevention and Treatment Act (CAPTA) • Social & Economic Development Strategies (SEDS) - Explore state funding opportunities: • Victims of Crime Act (VOCA) • Violence Against Women Act (VAWA)

[23] McLaughlin, S. (2017, July 5). *3 truths and 1 lie about online donors*. Huffington Post. http://www.huffingtonpost.com/entry/3-truths-and-1-lie-about-online- donors_us_595cf48de4b0326c0a8d13fb

Funding Goal	Tasks
Receive Foundation Money	- To apply for foundations grants, visit individual foundation websites to search for opportunities: - The Foundation Center
Organize Creative Fundraising	Possible fundraising venues: - Walks/Runs. Organize a run or walk for a cause. These events encourage participation across diverse populations and have a clear objective. - Crowdfunding platforms. There are free and easy ways to fundraise online, as shown in the following examples: • GoFundMe • Indiegogo • Kickstarter - *Galas*. Galas are a great way to raise awareness about your organization and pull a group together for a one-time event. For the busy donor, this is an ideal and easy way to give and be a part of an organization. Be sure to assess costs versus benefits as fundraisers like galas can be costly to organize and execute. Visit here for tips on creating a fundraising gala. Food events: - Fundraiser - Cook-off - Community collaborations. Work with members of the community across different sectors on creative ways to fundraise.

Establish a Funding Rubric

Why It's Important

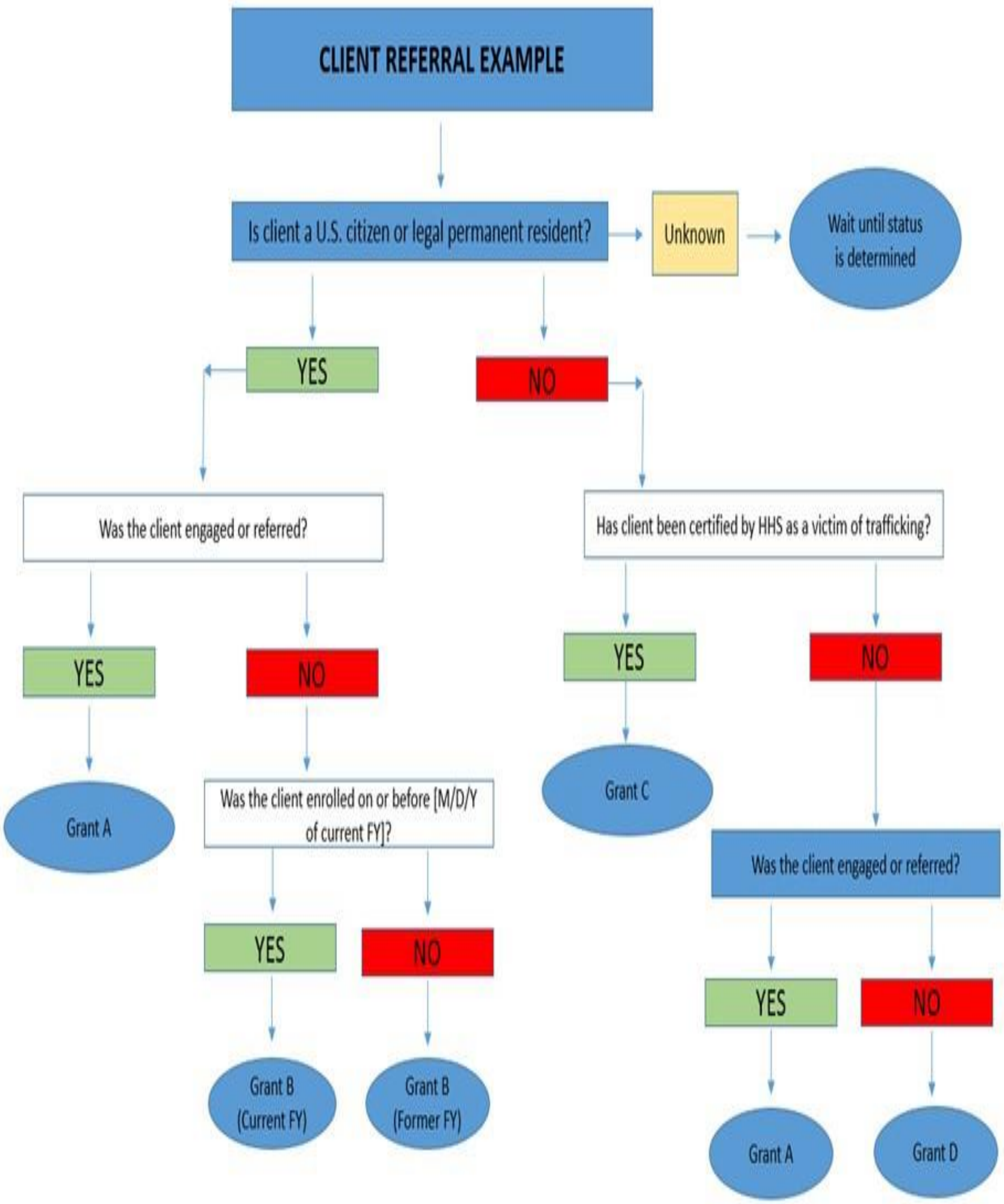
A funding rubric is an important tool that organizations can use to regularly monitor funds, plan for addressing debt, and explore how to diversify funding sources.

What It Is

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

How to Establish a Funding Rubric

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



Acronyms	
Grant A	Task Force funding
Grant B	Victim service funding - domestic
Grant C	Victim service funding - foreign
Grant D	Other victim service provider

Funding Sources	Examples of Existing Funding Types	Examples of Activities to Maintain Existing Funding	Examples of Potential Funding Types	Examples of Activities to Obtain Potential Funding Types
Government	OTIP grant	Pursue grant goals, implement activities as written in notice of award, achieve desired outcomes, obtain and track resources for match requirements, and monitor performance.	New human trafficking grant opportunity	Submit grant application.
Nonprofit	In-kind donations	Maintain strong partnership, acknowledge agency for donations, and report to nonprofit how donations were used.	Allocation	Work with nonprofit to provide specific services for their clients who have been identified as clients.
For-Profit	Loan to build transitional housing for clients	Remain in compliance with loan terms and communicate progress with lender.	In-kind services	Develop partnership with local childcare facility to provide free or low-cost childcare for clients seeking employment.
Public	Individual donations	Send newsletter to keep donors aware of program activities and accomplishments and solicit annual contributions.	Fundraising event	Use non-grant funds to organize and deliver community fundraising event.

For more information on how to develop a funding rubric and other aspects of financial management, consider reading *Financial Management for Nonprofit Human Service Organizations.*[24]

Develop Shared Financial Management Terminology

It is recommended that everyone in the agency adopt and use shared financial management terminology. This ensures consistency and reduces the opportunity for error. Below you will find standard terminology used in financial management.

Term	Definition/Examples
Assets	- Things owned by the organization (e.g., cash, investments, property)
Debt-to-Equity Ratio	- Relationship between the portion of assets financed by creditors and the portion of assets financed by stockholders

[24] Mayers, R.S. (2004). *Financial management for nonprofit human service organizations* (2nd Ed.). Charles C. Thomas.

Educational Organization	- Encompasses individual instruction as well as public instruction (Head Start, elementary and high school, postsecondary)
For-Profit Organization	- Formed to conduct lawful business activities; primary purpose is to earn profit for the owners of the company
Government Organization	- Organization through which a political unit exercises authority and performs functions (federal, state, county, local)
Liabilities	- Amounts the organization owes to others, including items to be paid in the future (accounts payable)
Long-Term Debt	- Debt due in more than a year (mortgage, business loans)
Long-Term Equity	- Capital that will accrue in the long term (capital gains)
Net Assets	- Amount available to the organization to use; difference between what is owned by the organization and what it owes - Net assets = assets
Nonprofit Organization	- Granted tax-exempt status by the Internal Revenue Service - Do not pay income tax on the donations they receive or any money they earn through fundraising activities
Owed assets	- Money the organization anticipates receiving in the future (accounts receivable)
Short-Term Debt	- Debt due in less than a year (payroll, vendors, company credit cards)
Short-Term Equity	- Capital that will accrue in the short term (individual donors, short-term grant)
Solvency	- Possession of assets in excess of liabilities - Ability to pay debts
Sustainability[25]	- Maintaining programming at a certain level
Unrestricted Funds	- Funds with no donor-imposed restrictions on how the funds should be used[26]

[25] Washington University St. Louis Center for Public Health Systems Science. (n.d.). *Program sustainability assessment tool project*. Retrieved July 20, 2020, from https://cphss.wustl.edu/Projects/Pages/Sustainability-Project.aspx
[26] Carter, T.S. (2006). *Donor-restricted charitable gifts: A practical overview revisited II.* Reprint from The Philanthropist (2003). Carters Professional Corporation. http://www.carters.ca/pub/article/charity/2006/tsc0421.pdf

Resources

Understanding Debt-to-Equity Ratio

- Accounting Simplified

Securing Individual Donors

- Facebook
- Kindful
- Mashable
- Twitter

How to Win Government Grants

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

How to Organize Creative Fundraising

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

How to Plan for Sustainability

- Sustainability Project

TOOLKIT CONCLUSION

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

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

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

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

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

For More Information

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

National Human Trafficking Training and Technical Assistance Center

Website: https://nhttac.acf.hhs.gov

Email: info@nhttac.org

Phone: 844–648–8822

APPENDIX A: ONBOARDING NEW STAFF

Sample Onboarding Email Template

Dear _________________,

As promised, this email includes [some/all] of the paperwork we will need from you as you start work. It may look like a lot, but I'm here to guide you through the process. If you are not able to complete it before your first day, we'll make sure to save time for you to get through it all during your first week. Attached to this email please find:

1. I-9 form – This will require valid forms of ID.
2. W-4 form – Let me know if you have questions.
3. Personal data form – This can be completed electronically.
4. Code of conduct certification – We will sign this on day one.
5. Personnel manual – We will go over and sign this together.
6. Direct deposit form – Please provide a blank check with VOID written across the front.
7. Signed offer letter – For your records.
8. Add any other paperwork your organization requires – (background check information, nondisclosure agreement, photo release, health insurance and benefit information, etc.).

Again, please don't worry about getting this all read and signed before your first day. We wanted to give you the opportunity to familiarize yourself with it and ask any questions.

Please note that we will need the following documents from you on your first day: valid identification documents outlined in the I-9 form and [list any other documentation (e.g., driver's license, college diploma, etc.)].

If you have any additional questions/concerns, don't hesitate to reach out! I'm looking forward to seeing you soon.

Onboarding Checklist

Preboarding

Offer letter and employment agreement

- ☐ Offer letter sent and signed (confirm start date and salary)
- ☐ Background check completed
- ☐ Employment agreement signed
- ☐ Drug screening passed (if applicable)

Employment details

- ☐ Employee contact information (address, cell, in case of emergency contact info)
- ☐ Obtain an employer identification number (EIN) if needed
- ☐ W-4 **Federal** and W-4 **State** Tax Withholding Form
- ☐ Employee I-9 form complete (confirms worker's eligibility to work in the U.S.)
- ☐ Verification documents can include:
    - Unexpired U.S. passport or passport card
    - Unexpired temporary resident card
    - Unexpired employment authorization card
    - Unexpired temporary resident card
- ☐ Submit employee information to State New Hire Reporting Agency as required.
- ☐ Submit Equal Opportunity Data Form (only needed for companies with more than 100+ employees; this varies depending on if your company handles federal contracts).
- ☐ Direct deposit form
- ☐ Employee benefits enrollment forms
- ☐ Employee handbook review
- ☐ Policy documents handled (i.e., NDA or noncompete)

Meeting schedule

- ☐ New hire training or onboarding (if applicable, connect with HR to ensure your new hire is included in their plans)
- ☐ Check-ins with your broader team to get introduced and connect on joint initiatives
- ☐ Check-ins with leadership to touch base and say welcome
- ☐ Cross-functional partners and key collaborators

Required tools and equipment

- ☐ Computer and equipment (keyboard, mouse, monitor if applicable)
- ☐ Email account set up
- ☐ Add to appropriate email alias groups
- ☐ Add to company calendar and relevant recurring meetings
- ☐ Badge for building and office access (if applicable)
- ☐ Grant access to tools and systems (passcodes and/or accounts)

New hire welcome email

- ☐ Prepare and send new hire welcome email and include:
    - Date and time of arrival
    - What to bring
    - Parking and building access
    - Who to ask for upon arrival
    - Dress code or appropriate attire
    - Office map and directions for how to enter your office
    - Employee handbook/personnel policies

Desk or Work Space

- ☐ Clean and set up work space and include something welcoming (welcome note, flowers, swag).
- ☐ Arrange applicable equipment (computer, mouse, keyboard, phone, etc.).

First Day Checklist

Introduce your team, making introductions throughout the day, and consider sharing a meal with the team and the new hire.

Host your first check-in to review:

- ☐ The week's agenda
- ☐ Their role and key responsibilities
- ☐ Typical expectations about work hours, procedures for overtime, use of flexible work policies, vacation, and sick leave

Take an office tour and highlight:

- ☐ Fire exits
- ☐ Fire extinguisher
- ☐ Bathrooms
- ☐ Stations for clocking in/clocking out (if applicable)
- ☐ Smoking areas or smoking restrictions (if applicable)
- ☐ First aid areas
- ☐ Supervisor's office
- ☐ Other locations as they relate to safety procedures

Technology

- ☐ Review how to operate telephone systems
- ☐ Note who to contact for repairs or IT support
- ☐ Arrange training dates for any new or unfamiliar technologies
- ☐ Required access codes (if applicable)
- ☐ Scheduling procedures and timelines (how to request change in schedule or shifts)
- ☐ Schedule 30-Day check-in session

Company culture

- ☐ Assign a buddy to the new hire.
- ☐ Coordinate a welcome lunch for the new hire.
- ☐ Compile company information, including values, mission, vision, neighborhood or area map, group agreements, contact information, etc.
- ☐ Review organizational and reporting structure.
- ☐ Explain the company's dress code.
- ☐ Review social media policy (if applicable).
- ☐ Create a list of "who's who" both for internal and external contacts so your new hire knows who they'll be working with.

First Week Checklist

Use the first week to ensure the proper policies and procedures are learned and absorbed and to ensure your new hire is getting introduced to the culture and the tools they need:

- ☐ Compliance training (safety, sexual harassment, ethics, etc.)
- ☐ OSHA compliance training (if applicable)
- ☐ Review of employee handbook and guidelines
- ☐ Review of expense policy

- ☐ Review of human resources point of contact and how to:
  - Request support
  - File a complaint
  - Navigate employee concerns
- ☐ Familiarity and comfort with role expectations and responsibilities
- ☐ Familiarity with time and attendance procedures

First 30 Days Check-In

Use this time to ensure that all is going well, identify any blocks, and ensure that appropriate integration into the team and culture are being accomplished. Continue to build trust by ensuring that regular meetings are scheduled.

- ☐ Review and record what's working well.
- ☐ Review and record what's not working well or needs attention.
- ☐ Review performance with day-to-day systems and address any concerns.
- ☐ Ensure employee has all necessary equipment, tools, or resources required.
- ☐ Examine first project or work product.
- ☐ Solicit feedback from relevant managers and colleagues.
- ☐ Solicit feedback on their onboarding experience and what went well and what could use more attention (and use for future onboarding).
- ☐ Schedule a 90-day check-in meeting.

First 90 Days Check-In

Use this time to ensure that the employee understands the projects and their role within them, that trust and collaboration is building, and that workload is appropriate. Identify new projects and goals for the next quarter. Identify gaps, answer questions, and address any issues.

Employee work performance

- ☐ Are tasks completed on time?
- ☐ Are tasks of quality?

What needs improvement

- ☐ Consider feedback from other employees and peers.
- ☐ Consider areas of opportunity to help enhance the employee's performance.

What's going well

- ☐ Identify a project they've contributed to and highlight their success.
- ☐ Deliver positive feedback you've heard from others.
- ☐ Ask what they've enjoyed working on and weave it into their next 90 days.

A look at the next 90 days

- ☐ What does the employee need to be aware of in the coming weeks and months?
- ☐ Set goals for how to achieve maximum potential.
- ☐ Plan for deadlines, initiatives, and imminent changes.

Adapted from The Essential New Hire Checklist, Zenefits. https://learn.zenefits.com/new-hire-checklist

APPENDIX B: TIPS FOR INCREASING STAFF RETENTION

In this section, you will find some of the most common causes of staff turnover and tips for improving retention.

1. **Low Pay and Overall Compensation.** This is often cited as the main reason why employees leave.

What to Do	Action Steps
Implement full-cost budgeting.	- Set goals and communicate this strategy to boards and donors. - Develop a plan to bring compensation up over a multi-year schedule.
Stay well-informed of industry trends.	- Include paid time off and paid family leave.
Solicit input from staff to prioritize benefits.	- Ask your staff what is most important to them. - Remember that priorities change over time.
Recognize cost of turnover.	- Weigh the cost of a 5% raise against the cost to fill a position (i.e., $8,000 to fill a $40,000 position).

In Bloomerang's State of the Nonprofit Workplace 2019 Poll, 1,000 nonprofit employees were surveyed to determine which employee benefits mattered most. Below you will find the top 10 responses:

Top 10 Benefits Listed by Importance	
1. Paid time off	6. 401(k)/retirement savings
2. Paid family leave	7. Pension plan
3. Salary	8. Health insurance quality
4. Paid overtime	9. Access to disability insurance
5. Paid sick days off	10. Health insurance cost

2. **Language Skills Are Not Valued.** Those with language skills can be highly sought after. Competition for those who are qualified can be intense, ultimately leading to high staff turnover.

What to Do	Action Steps
Prioritize and place value on hiring and retaining staff with special skills.	- Modify job requirements appropriately (more experience > education). - Implement different compensation structure for highly sought after skills. - Ensure all staff understand how employees with specialized skills further your organization's mission.

3. **Poor Workplace Culture and Leadership.** This covers a lot of territory from dealing with conflict among employees to providing an inclusive and supportive work environment.

What to Do	Action Steps
Build leadership and communication skills.	- Provide professional development opportunities to all staff.
Prioritize diversity, equity, and inclusion (DEI).	- Know your organization's DEI strategy. - Use your DEI strategy to build an inclusive work environment.
Discover what workplace qualities your staff prioritizes.	- Survey staff about which workplace qualities are most important (flexible work schedule, paid continuing education, engaged supervisor, supportive board, tuition reimbursement, etc.).
Plan for the future.	- Survey staff to determine what would encourage them to stay with the organization long term.

APPENDIX C: SAMPLE PROGRAM ANNOUNCEMENT

This announcement was taken from:

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

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

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

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

QUICK FACTS • Human Trafficking has been reported in all 50 states and at least 185 countries • It has been estimated that as many as 17,500 – 22,000 people are trafficked into the United States annually • International Labor Organization estimates 20.9 million people across the globe for are trafficked for both labor and sexual exploitation • The United Nations estimates that about 26% of the global number of modern day slaves are minors • Human trafficking is estimated to be a $150 billion global industry (International Labor Organization) • The current average cost of a slave around the world is $90 •There are less than 30 beds in Michigan totally for either long or short term treatment for adults •There are no long-term comprehensive programs for rescued women in need of healing and restoration in Southeastern Michigan • Michigan and the nation are experiencing an increase in incident rate based on calls to the National Human Trafficking Resource Center To discover more about Sanctum House and how you can get involved visit www.sanctumhouse.org or contact us at info@sanctumhouse.org or 248 574-9373. Sanctum House is a 501(c) 3 non-profit organization.

APPENDIX D: SAMPLE BUDGET WORKSHEET

Grant/Project Budget Worksheet

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

I. Budget Summary

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

II. Budget Details

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

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

b. Fringe Benefits	Total Personnel	Fringe Rate			
Key Staff	$ 50,000	27.75%	12	1	$ 13,875
Supervising Staff	$ 16,250	27.75%	12	0.25	$ 4,509
Finance Staff	$ 2,750	27.75%	12	0.05	$ 763
		27.75%	12		$ -
		27.75%	12		$ -
Total Fringe Benefits					**$ 19,148**

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

d. Equipment	# of Items	Cost per Item		
Computer/Laptop	1.0	$ 1,200.00	1	$ 1,200
Equipment 2		$ -		$ -
Total Equipment				**$ 1,200**

e. Supplies	# of Items	Cost per Item per Mont	# of Months	
Program Supplies	1	$ 60.00	12	$ 720
Total Supplies				**$ 720**

f. Contractual		
Subgrant 1	$ 40,000	$ 40,000
Subgrant 2	$ 40,000	$ 40,000
Subgrant 3	$ 17,500	$ 17,500
Subgrant 4	$ 17,500	$ 17,500
Total Contractual		**$ 115,000**

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

h. Other

	Mileage	Staff/Items Etc	# of Months	$ Per Mile	
Mileage	200	1	12	$ 0.535	$ 1,284

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

i. Total Direct Costs	$ 220,000

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

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

k. Total Charges	$ 220,000

APPENDIX E: TIPS FOR CREATING A BUDGET

Tip #1: Think Big of the Picture. What is the purpose of a budget? An approved budget is part of the grantee's contractual obligation and:

- A financial blueprint for the scope of work
- Helpful to ensure compliance
- A tool for measuring progress and monitoring

Tip #2: Build to Full Cost. All organizations need to cover the full cost of delivering on their missions. According to the Nonprofit Finance Fund, three practices will help:

1. Budget to an annual surplus.
2. Name and effectively communicate full cost needs.
3. Build full cost over multiple years with a long-term plan in mind.

Tip #3: Go Back to the Basics—Budgeting 101. Separate your program budget into major categories and divide it into two sections: (1) what the grant pays for and (2) what the organization pays for. This will ensure you have enough funds to implement the program.

Budget Structure	
Direct Costs: *Attributable to Grant*	**Indirect Costs:** *Attributable to Organization*
• Program staff salaries and fringe benefits • Staff travel • Staff training • Other program operating costs	• Management staff salary and fringe benefits • Accounting and legal services • Office equipment • Rent and leases • General liability insurance

Tip #4: Take It Step by Step. Walk through each category and get the information you need for each one from available data sources. Questions to ask and red flags to look out for:

Personnel and Fringe Benefits Questions and Red Flags

• Are staff fairly compensated? If not, how much more should they be paid? • Are staff offered reasonable benefits? If not, how much would it cost to offer them? • Are you planning to offer cost of living or merit increases? If yes, enter the percentages. • Are any positions unfilled and unbudgeted? If yes, include the salary and benefits for these. • Are contractors hired to deliver services and are they fairly compensated? If not, how much more should they be paid	• The program plans to provide language access for people with limited English proficiency (LEP) and/or who are hearing-impaired, but the budget does not include funding for language services/translation • The program needs to hire someone to maintain financial records, but the budget does not include finance staff • The budget includes over or understaffing for the level of program services • On-call staff compensation is outside of the DOL guidelines

Travel, Training Costs, and Mileage

• Are staff required to attend trainings? What will be the mode of travel (rental car, flight)? Will staff need lodging? Will staff be responsible for meals? • Is there a cost for the training? Who pays for it?	• Using an incorrect mileage rate or incorrect per diem • Not including the cost of the staff training if there is one • Forgetting to include on-ground travel from airports to conference • Unreasonable costs associated with air or hotel; not based on any data

Supplies, Material Development, and Printing Costs

• Do you produce outreach materials requiring paper and printing or have you moved to online outreach? • Do you need supplies for outreach and training, or to direct services on a regular basis?	• Some costs could be considered direct and some overhead. Have you placed these in the correct category? • Placing a computer purchase under supplies if it is a depreciable item

Match or Cost Sharing

• Did you identify any Match and/or Cost Sharing and check to make sure ensure it complies with the criteria?	• You use in-kind contributions as a match but do not have any backup documentation • Match is less or more than required according to the formula applied

Unallowable Costs

• Did you review all costs to ensure unallowable costs are removed – in both the budget detail and the narrative?	Do **not** include these unallowable costs into your budget or in any of your expense reports: • Lobbying • Entertainment and alcohol • Expenses not tied to program objectives • Costs that constitute waste, fraud, and abuse • Unreasonable from "prudent person" perspective • Costs with no logical basis projected budget

Tip #5: Pay Attention to Budget Narratives. Follow instructions very carefully. Include only allowable, reasonable, and necessary costs as defined. Organize narrative to fit the budget categories. Provide adequate descriptions.

Tip #6: Pay Attention to Details. Proofread and check for math errors.

Tip # 7: Zoom Out Again. What red flags do YOU see? If you identify deficiencies, is there a way to rectify these in the budget or the program plan? For example, you may have concerns about a recent change in staffing. Red flags aren't dealbreakers, but they do suggest a need to assess. Some red flags are easy to deal with; others may require more strategic planning. It is helpful to identify any red flags so that you can begin addressing them in your program planning, budget, and budget narrative.

APPENDIX F: SAMPLE EXPENDITURE TRACKING REPORT

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

Monthly Budget vs. Actual Expense Tracking Report

OTIP Human Trafficking Project

Grant No. ____________ **; Internal Grant/Project Code** ____________

Financial Report Covering the Month: Sep-17

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

Review & Approvals

____________ ____________
Signature, Project Manager Date

____________ ____________
Signature, Regional Controller, Finance Date

____________ ____________
Signature, Senior Program Officer, Grants Unit Date

APPENDIX G: SAMPLE FILLABLE GRANTS CALENDAR

The calendar can be filled with all current and upcoming grants. This tool provides a summary view of the annual and/or multi-year grants, including key reporting deadlines and match requirements. There is also a month-by-month view that details specific grant deadlines for reports or other deliverables and identifies assigned personnel for each.

		Summary Grants Calendar	
	TYPE	NAME & DESCRIPTION	FISCAL YEAR
1	State	Governor's Crime Commission: VOCA Spanish Grant	July 2020–June 2021
		Monthly Expense Reports submitted by the 15th	
2	State	DHHS Grant	June 2020–May 2021
		GRANT AMOUNT: $75,000 25% MATCH: $25,000 (salaries, utilities, insurance, etc.)	
		Monthly Expense Reports due by the 10th	
3	State	DHHS Domestic Violence Grant	Oct. 2020–Sept. 2021
		GRANT AMOUNT: $20,651 25% MATCH: $5,163 (salaries and benefits)	
		Monthly Expense Reports due on the 10th are submitted to AG via email	
		Quarterly Performance Reports due on 1/15/20, 4/15/20/, and 7/15/20	
		END-OF-YEAR Performance Reports due on 10/16/2020 and 10/22/2020	

	Month by Month Grant Calendar- All Grants	
Month	Item	Assigned To
10-Jul	DHHS-FVP expense report	LP/AG

APPENDIX H: SAMPLE MEMORANDUM OF UNDERSTANDING AGREEMENT

This Memorandum of Understanding is entered into by and between

[Organization]

and

[Subgrantee Name]

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

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

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

Now therefore, the parties hereto do agree as follows:

ARTICLE I: Scope of Work

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

ARTICLE II: Period of Performance

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

ARTICLE III: Project Direction

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

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

ARTICLE IV: Consideration and Payment

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

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

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

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

[Consider providing language regarding review of records.]

ARTICLE V: Cost Sharing

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

ARTICLE VI: Key Personnel

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

ARTICLE VII: Travel

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

ARTICLE VIII: Programmatic and Financial Reporting

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

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

ARTICLE IX: Subgrantee Status

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

ARTICLE X: Liability

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

ARTICLE XI: Termination

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

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

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

[Subgrantee]

BY:-- ------------------------------------

Date

[Organization]

BY:-- ------------------------------------

Date

APPENDIX I: SAMPLE CONFIDENTIALITY AGREEMENT

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

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

Safety Audit Team Member Signature: ____

Print Name: _____________________________________ Date: ________________

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

APPENDIX J: SAMPLE SITE VISIT REPORT

Organization Name
Grant Name
Site Visit Report

Subrecipient Name:

Date of Site Visit:

Subrecipient Staff/Board Members Who Participated in Site Visit:

OrganizationStaff Who Conducted Site Visit:

OVERVIEW OF SITE VISIT GENERAL DISCUSSION

FINDINGS

Personnel:

Fiscal:

Programming:

SITE ACTION ITEMS (including corrective action, if needed)

ADDITIONAL RECOMMENDATIONS

APPENDIX K: SUBRECIPIENT MONITORING DOCUMENTATION CHECKLIST AND AGENDA

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

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

* Required information

RIC AAU Subrecipient Monitoring		
Subrecipient	Reviewers	Date
Administrative Review		
	Complete	**Incomplete**
Signed agreement and any addenda*		
Notes:		
Progress reports*		
Notes:		
Most recent audit		
Notes:		
Explanation of how payroll costs are allocated to the grant		
Notes:		

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

APPENDIX L: SUBGRANTEE MONITORING GUIDE

This Monitoring Guide is intended for use by ACF grantees who have subgrantees. This provides a guide to the frequency of monitoring, questions, and actions that may be required during this relationship. It is not a comprehensive list but should provide an overall view of the types of ongoing support, technical assistance, and accountability suitable for subgrantees.

Programs/Programming

Frequency	Questions	Actions: Review/Clarify/Provide TA
Onboarding	- Is the program eligible to receive a grant? - Does the organization deliver similar programs? - Are the programs evidence based? - What data needs to be collected to meet basic elements? - How will it be collected?	- Review and assess technical and programmatic quality and competency. - Assess substance of program. - Review staff job descriptions and bios of key staff. - Review data collection plans for the program.
Monthly/ Quarterly	- Have performance progress reports been turned in? - Is data consistent over time? If not, what has changed? - Is PII protected in reporting? - Are individuals served reported as duplicated or unduplicated? - Are new programs being delivered? - Are programs being dropped?	- Review progress reports. - Clarify inconsistencies with site. - Provide technical assistance to ensure compliance with award agreement.
Semi-Annually and Annually	- Have reports been turned in? - Does data match monthly/quarterly reports? - Does project data support the program's stated impact?	- Review semi-annual and final reports. - Provide technical assistance contacts.
Annual Site Visit	Site visits provide the opportunity for two-way communication between the grantor and the award recipient. Site visits can include detailed questions and strategic discussions: - How is quantitative data collected and tracked? - Who collects the data? - Where is performance data stored? - Is it secure? - Is PII secure? - Walk through an entire data collection sequence from start to finish. - Has the program had the intended impact?	- Conduct annual site visit. - Tour facility. - Meet and talk to key staff. - Observe a client interaction, if appropriate. - Review program implementation procedures. - Review documentation processes. - Follow up with recommendations. - Provide technical assistance.

	- What are the big picture takeaways? - Where are weaknesses or gaps? - What can be modified to garner best results and improve impact?	

Finance

Frequency	Questions	Actions: Review/Clarify/Provide TA
Onboarding	- Does the budget reflect the requirements of the grant program? - Is the total budget enough/not enough to implement programming? - What needs to be included in the financial reports to ensure compliance? - How are financial reports collected?	- Conduct cost analysis and review budget line item to ensure compliance with statutory and financial regulations. - Provide subgrantees with a report schedule. - Ensure subgrantees know how to report.
Monthly/ Quarterly	- Have expense reports been turned in? - Are expenses allowable? - Is there a narrative justification for every cost? - Do expenses match the original budget line items? - Are financials consistent over time? If not, what has changed? - Are they accurate? - Do budget adjustments need to be made? - Are budget adjustments made in accordance with grant? - Is cost sharing or matching required? Is there documentation to support allowable expenses for matching dollars? Is there a shortfall? - Is indirect cost rate agreement met or has recipient elected to use the “de minimis” rate? Is this being applied? - Is there a limitation on use of award funds for employee compensation? Is this being applied? - Are cost limits for conferences, meetings, and trainings within grant guidelines? - Are costs associated with access delivered within civil rights compliance? - Do the comparison of expenditures with budget amounts match up? - Are expenses properly documented, recorded, or tracked?	- Review financial reports. - Review expense reports. - Review reimbursement requests. - Clarify inconsistencies with site. - Provide technical assistance.

Semi-Annually and Annually	- Have expenditure reports been turned in? - Do reports add up? - Do budget adjustments need to be made? - Have monthly/quarterly match reports been collected?	- Review semi-annual and final reports.
Annual Site Visit	- Review the results of previous audits as needed, including whether or not the subrecipient receives a single audit in accordance with [Subpart F—Audit Requirements]() of this part, and the extent to which the same or similar subaward has been audited as a major program. - Review financial processes and identify gaps. - Have reports been delinquent, not submitted, or late? - Have reports been inaccurate—math errors, mistakes from previous periods, needed revisions? - Do reports reconcile with or track back to accounting records? - Do the reports show actual expenditures, or do they report the same amount each month as 1/12 of one year's budget?	- Review records and financial statements. - Review any issues that need attention.

Administrative

Frequency	Questions	Actions: Review/Clarify/Provide TA

Onboarding	- Is the program eligible to receive a grant?
	- Are all compliance documents in place?
	- Are staff trained appropriately?
	- Are personnel background checks in place?
	- What are reporting requirements for subrecipients?
	  • What is the prime grantee responsible for?
	  • What is the subgrantee responsible for?
	  • What data needs to be reported?
	- What is the subrecipient's risk of noncompliance?
	- Does this organization have prior experience with the same or similar awards?
		- Each awarding agency will have a checklist of items required with the application. Have all required items been completed and submitted with the grant application or the subgrantee MOU?
		- Review staff job descriptions and bios of key staff.
		- Review and assess administrative elements (e.g., grant compliance and capacity checklist).
		Each grant will have a list of forms to turn in after the award has been made. Have all applicable postaward reporting forms been turned in (e.g., disclosure of lobbying activities, federal financial report, real property status report(s), and tangible personal

		property report(s)?
Monthly/ Quarterly	- Track personnel. • Are timesheets signed by the supervisor? • Is staff time properly documented and allocated? • Are charges actual after-the-fact records, not pre-established amounts or percentages? • Do timesheets comply with OMB cost principles? - Review financial processes and identify gaps.	
Semi-Annually and Annually	- Conduct financial and programmatic audit to ensure compliance with grant requirements and government regulations.	
Annual Site Visit	- Evaluate and monitor compliance with statutes, regulations, and terms and conditions of federal awards. - Update key documents. - Are reasonable measures to safeguard PII and other sensitive information consistent with federal, state, local, and tribal laws regarding privacy and confidentiality? - Are processes related to executive compensation in place? - Is there new personnel in place? - Are there substantially changed systems? - Is the subrecipient also monitored by a federal agency? - If delinquencies were identified, how have they been remedied and are now in compliance? - What are the methods for collection, transmission, and storage of information? - Is there access to records? - What are the restrictions on public access to records? - What are the record retention requirements?	- Take prompt action when instances of noncompliance are identified in audit findings. - Conduct desk audit review of documents.

Resources

Effective internal controls are the basis for strong financial systems, programmatic oversight, and processes that prevent fraud, waste, and abuse and ensure proper stewardship of federal funds. Recipients of federal awards are required to follow one of two approved internal control frameworks: (1) the Government Accountability Office (GAO) Standards for Internal Control in the Federal Government ("Green Book") or (2) the Community of Sponsoring Organizations (COSO) Internal Control – Integrated Framework. Both GAO and COSO provide a framework for designing, implementing, and operating an effective internal control system to achieve objectives related to:

- Operations—Effectiveness and efficiency of operations
- Reporting—Reliability of reporting for internal and external use
- Compliance—Compliance with applicable laws and regulations

APPENDIX M: PROGRAM EVALUATION MODELS

How to Select the Appropriate Evaluation Model

The appropriate evaluation model depends on a program's stage of development and the question that is trying to be answered. The flowchart below provides information on when to use each type of evaluation model, depending on what you want to answer and where the program is in its lifecycle.[1]

Formative Evaluation / Evaluability Assessment	USE THIS when a program is being developed, modified, or used in a new setting or with a new population PROVIDES the extent to which an evaluation is feasible, based on goals and objectives, and identifies the program elements aligned with the population served
Process / Implementation Evaluation	USE THIS once program implementation begins or throughout operation of an existing program PROVIDES the extent to which the program is being implemented as designed, tracking program milestones and progress, and determining whether the program is accessible to the target population as planned
Outcome Evaluation	USE THIS after the program has collected data and assisted clients PROVIDES the degree to which the program has an effect on the target population and demonstrates the short- and long-term results of the program
Cost-Benefit Analysis	USE THIS at the beginning of a program or throughout operation of an existing program PROVIDES a comparison of the resources used in relation to the program (direct and indirect costs) and the relative outcomes to assess effectiveness

[1] Adapted from Centers for Disease Control and Prevention. (n.d). *Types of evaluations*. Retrieved November 8, 2017, from https://www.cdc.gov/std/Program/pupestd/Types%20of%20Evaluation.pdf

APPENDIX N: EXAMPLES OF PROGRAM AND DATA COLLECTION AREAS

This appendix provides an overview of program data collection areas that can be used to measure whether the program is achieving desired outcomes. Please refer to Appendix M to determine the appropriate program evaluation model. Program areas to collect data include (1) participant needs and experience; (2) staff, funded partners, and other stakeholder experience; (3) finance; and (4) prevention and education. The table below provides goals within each program area, how they are measured, and the potential outcomes of measuring the data elements. After reviewing the examples listed below, refer to Sample A in this appendix for a template to work through each element and develop your evaluation plan considering your own program's/initiative's needs.

Participant Needs and Experience		
Goal	**Outcome**	**How It's Measured**
Demonstrate who is being served.	Ensure the program is serving the target population.	Measure through demographic data collected through intake or screening procedures; examples include age, race, ethnicity, gender, type of trafficking, immigration status, education, employment, and location.
Assess client needs and track how those needs were addressed by the program.	Measure the severity of needs between intake, a predetermined midpoint, and upon completion. Provide appropriate identification and provision services or referrals to ensure needs are being met.	Identify by using a validated needs assessment tool of the grantee's choice. Track through case management records and tools to report on the type and dosage of programming or services received by client, client type, and in summary form.
Assess client change in outcomes such as access to services, needs addressed, goals met, or knowledge of available services/legal remedies.	Ensure the program is achieving intended short- and long-term outcomes.	Collect administrative data to track the type of services provided, dosage of the program, referrals to outside organizations, and behavioral changes. Compare identified needs, types of services offered, and resulting well-being at intake, a predetermined midpoint, and upon completion. Measure through surveys with the same measures at the start of services and upon completion or conclusion of services to determine whether any changes have occurred since the first time you met with

		the client; see Sample C for example question about demographics.
Use participant/client experience to advance the mission or program.	Apply the experience of participants to improve services.	Conduct focus groups (preferably by a third party). Create a confidential platform for clients to share service experiences, satisfaction, voice concerns, and exchange ideas on how systems or processes can be improved; see Sample C for example measures to capture experience and satisfaction.
Staff, Funded Partners, and Other Stakeholder Experiences *Used in formative evaluation, process evaluation, outcome evaluation, and cost benefit analysis*		
Goal	**Outcome**	**How It's Measured**
Review staff and partner involvement and roles/ responsibilities in the program.	Improve operations, refine roles/responsibilities, or adjust services provided to clients.	Conduct regular check-in meetings to review alignment between program activities and goals with the stakeholders involved. Conduct regular observation feedback to provide an outside perspective on partner engagement. Create a social diagram or map of stakeholders to define connections among partners, identify channels of communication, and how the network functions.
Use staff experience to advance the mission or program.	Improve services driven by experience of staff and stakeholders in the program.	Create a confidential platform for staff to share experiences, voice concerns, and exchange ideas on how systems or processes can be improved.
Finance *Used in cost benefit analysis*		
Goal	**Outcome**	**How It's Measured**
Determine true program costs and associated benefits of the program to contribute to the evidence on impact over time for the programming.	Determine allocation of funds for the overall program and specific program activities in subsequent years.	Regularly review budget reports and alignment with program functioning. Assess actual program expenditures by activity or service to compare the estimated cost allocation, resources spent, operational activities (e.g., direct, indirect, management costs by activity), program goals, and the outcomes achieved. Monetize the benefits of the program to determine the real (full) impact of the program.

Assess and evaluate financial procedures.	Provide transparency and accountability, which increases user, stakeholder, and donor confidence.	Consider working with a financial auditor who can assess the organization's financial performance and systems.
Prevention and Education *Used in formative evaluation, process evaluation, outcome evaluation, and cost benefit analysis*		
Goal	**Outcome**	**How It's Measured**
Determine continued relevance and efficacy of training curriculum.	Provide an improvement in quality with up-to-date information and use of best practices.	Analyze curriculum content. Assess improved learning, skill development, behavioral outcomes, and utility for the field using surveys before and after the training or activity.
Identify interest and engagement with educational awareness campaign and associated materials.	Determine reach of the campaign and consumers of the outreach.	Assess attitudinal changes about the topics included in the campaign and level of market penetration.
Ensure prevention and education services are accessible to the population served.	Community demonstrates an increase in awareness of the issue.	Collect demographics on who is requesting or receiving materials; examples include organization type, service type, population served, age, race, ethnicity, gender, marital status, income, education, employment, and location. Collect measures of engagement; examples include number of calls for service, hits to website or app downloads, social media followers, brochures or materials disseminated, training or outreach events, and people engaged at training or outreach events.
Improve training, presentation, materials, or resources.	Provide immediate feedback improvement on training or presentation.	Create simple paper or online survey for clients to complete after program-sponsored training or presentation. Refer to examples in Sample C and see https://www.surveymonkey.com/r/httrainingfeedback. Refer to Sample C.

SAMPLE A: EVALUATION PLAN TEMPLATE[1]

Use this template to design your evaluation plan and work through each step using the example data collection areas described above.

Focus Area What program or aspect of the program do we want to evaluate?		
Evaluation Questions What do we want to know?	**Measures and Types of Data** How will we define what we know and the types of evidence to capture?	
Existing Sources Who has this information?	**Data Collection/Method** How will we gather new information?	**Target Audience** Whom will we question?
Timing When should we collect the data?		
Findings and Defining Results How will the data be analyzed and interpreted?		
Communication and Dissemination To whom, how, when, and where?		

[1] University of Wisconsin, Division of Cooperative Extension, Program Development and Evaluation. Enhancing Program Performance with Logic Models.

SAMPLE B: MEASURING SHORT- AND LONG-TERM OUTCOMES

This sample provides an example of how to measure short- and long-term outcomes from your program's or initiative's logic model.

<table>
<tr><td colspan="4">SOAR to Health and Wellness Goal: To build the capacity of communities to identify and respond to the complex needs of victims and survivors of human trafficking and respond to the root causes that make individuals, families, and communities at risk of trafficking</td></tr>
<tr><th>Short Term Outcome</th><th>How to Measure</th><th>Long Term Outcome</th><th>How to Measure</th></tr>
<tr>
<td>Increase in skills and knowledge in identifying all types of victims of trafficking</td>
<td>- Immediate survey feedback post training/participation
Example question:
"I am confident that I will be able to use the knowledge and skills I learned during the training when I return to my job."
Response options:
Strongly Disagree, Disagree, Agree, Strongly Agree
- Measure confidence in learning objectives pre- and posttraining/ participation
Ask participants the same question before and after the training. Example question:
"Please rate your level of confidence in your ability to screen and identify individuals who have experienced trafficking."
Response options: Very Low, Low, High, Very High. Use this for each learning objective.</td>
<td>Increase in identification of individuals at risk of trafficking and individuals who have experienced trafficking</td>
<td>- Followup survey(s) after determined time posttraining (e.g., 3, 6, or 9 months posttraining)
- Measure long-term application of learning objectives
Example question: "Please indicate the extent to which you have used or applied the following outcomes in your profession since [the training]."
Response options: Not At All, Rarely, Sometimes, Regularly, Always. Use this for each learning objective.
Measure long-term training outcomes.
Example question:
"As a result of participating in this training I have… <Improved identification and reporting methods for trafficking>."
Response options:
Strongly Disagree, Disagree, Agree, Strongly Agree</td>
</tr>
</table>

SAMPLE C: SURVEY ITEMS AND QUESTIONS

This sample provides example formatting and measures for survey questionnaires related to service satisfaction, training feedback, open-ended feedback, and demographic data collection.

Example of Service Satisfaction

Satisfaction With Services	Strongly Disagree									Strongly Agree
Overall, I am satisfied with the services I received.	1	2	3	4	5	6	7	8	9	10
I am satisfied with my interactions with staff at service organizations.	1	2	3	4	5	6	7	8	9	10
I am satisfied with the way my needs were handled by service organizations.	1	2	3	4	5	6	7	8	9	10
The services I received helped me to deal more effectively with the impact of my victimization.	1	2	3	4	5	6	7	8	9	10
Because of the services I received, I learned skills to help me better manage my life.	1	2	3	4	5	6	7	8	9	10
Contacting the service organization made me feel empowered.	1	2	3	4	5	6	7	8	9	10
As a result of my interactions with victim services organizations, I have a better understanding of my rights as a victim.	1	2	3	4	5	6	7	8	9	10
The services I received helped improve my sense of safety and security.	1	2	3	4	5	6	7	8	9	10
The service organization helped me improve my housing/living situation.	1	2	3	4	5	6	7	8	9	10
Because of the services I received, I feel I have better employment opportunities.	1	2	3	4	5	6	7	8	9	10
Because of the services I received, my health, medical, and dental needs are being met.	1	2	3	4	5	6	7	8	9	10
The services I received helped me with my immigration concerns.	1	2	3	4	5	6	7	8	9	10

Please rate how satisfied you were with the quality of the services provided.

Poor	Fair	Good	Excellent

How useful were the services provided to you?

Not Useful	Somewhat Useful	Useful	Very Useful

How well have the services met your needs?

Not At All	Somewhat	Very Much	Entirely

Example Training Feedback

Presenter/Trainer Feedback	Strongly Disagree									Strongly Agree
The facilitator's knowledge was appropriate for this training.	1	2	3	4	5	6	7	8	9	10
The facilitator delivered the content clearly and logically.	1	2	3	4	5	6	7	8	9	10
The facilitator responded positively to questions/ comments.	1	2	3	4	5	6	7	8	9	10
The facilitator created a respectful environment for participants.	1	2	3	4	5	6	7	8	9	10

Please rate the overall quality of this <session> <training>.

Poor Fair Good Excellent

How useful was the <session><training> for you?

Not Useful Somewhat Useful Useful Very Useful

As a result of participating in this technical assistance, do you plan to do any of the following? (Mark all that apply.)

- ☐ Change my management/leadership or interpersonal communication style.
- ☐ Further develop skills and knowledge about serving victims of trafficking.
- ☐ Write grants/fundraise/identify new funding resources.
- ☐ Advocate or meet with leadership of my organization to develop/enhance vision, mission, or strategic plan.
- ☐ Advocate or meet with leadership of my organization to develop/enact policy changes at my organization.
- ☐ Improve programs/practices.
- ☐ Improve technology/websites/infrastructure.
- ☐ Integrate victim-centered, survivor-informed strategies.
- ☐ Expand services or types of services.
- ☐ Begin a new project or initiative.
- ☐ Develop/strengthen collaborative or strategic relationships.
- ☐ Network with other participants.
- ☐ Share materials with colleagues.
- ☐ Provide information to clients/families/youth.
- ☐ Train/educate others in content/skills learned.
- ☐ Raise public awareness/advocacy/ outreach activities offered to victims.
- ☐ Refer colleagues to NHTTAC events/ resources.
- ☐ Conduct research.
- ☐ Strengthen evaluation or needs assessment activities.
- ☐ Improve identification and reporting methods for trafficking.
- ☐ Take additional training on human trafficking.
- ☐ Other (please explain): _______________

Of the barriers listed below, which do you believe will be a significant challenge to performing the activities you selected in the previous question? (Mark all that apply.)

- ☐ Competing priorities
- ☐ Continuous turnover
- ☐ Difficulty in establishing and/or maintaining a multidisciplinary team
- ☐ Inaccessible research and/or information
- ☐ Lack of frontline support and accountability
- ☐ Lack of information and/or data sharing among organizations
- ☐ Lack of information sharing among organizations
- ☐ Lack of senior leadership support
- ☐ Lack of shared responsibility across organizational collaboration
- ☐ Lack of time to implement changes
- ☐ Lack of time to implement changes
- ☐ Lack of training for staff in how to implement change
- ☐ Lack of urgency
- ☐ Need for partnership building with other organizations
- ☐ Shortages of key personnel
- ☐ Variation in mission and regulatory frameworks when partnering with other organizations
- ☐ Other (please explain): _______________

Examples of Open-Ended Feedback

- What aspects of the <session> <service> <training> were most helpful and why?
- What could be done differently to improve the <session> <service> <training>?
- Do you have any other comments or suggestions?

Examples of Demographic Data Collection

How old are you? _______

What is your gender? (*choose one*)

- ☐ Male
- ☐ Female
- ☐ Transgender
- ☐ Other (please describe): _______________

Do you think of yourself as (*choose one*):

- ☐ Lesbian, gay, or homosexual
- ☐ Straight or heterosexual
- ☐ Bisexual
- ☐ Don't know/Prefer not to answer
- ☐ Other (please describe): _______________

What is your race/ethnicity? (*check all that apply*)

- ☐ American Indian/Alaska Native
- ☐ Asian
- ☐ Black/African American
- ☐ Native Hawaiian/Other Pacific Islander
- ☐ White/Caucasian
- ☐ Hispanic, Latino, or Spanish origin
- ☐ Other (*please describe*): _________________

APPENDIX O: DATA COLLECTION METHODOLOGIES

Data collection is the standardized process of gathering and measuring information to answer specific questions. There are various methods to capture data; quantitatively (through numbers) and qualitatively (through nonnumerical means). Qualitative methodologies include interviews, focus groups, written survey responses, and field observation. Quantitative data methodologies include survey research, correlational research, and experimental research. Secondary data provides opportunities for qualitative and quantitative analysis. See below for a brief description of data collection methods and the pros and cons of each.[2]

Interviews. This method of data collection is more individualized and offers the opportunity to gather personal, indepth experience from a stakeholder or program participant. The interview can be structured so that all interviewees are asked the same questions; unstructured in which the questions arise out of the conversation; or semi-structured, which allows for general topics or questions and natural conversation.

Pros	Cons
- Allows for clarification - High response rate - Able to gather in depth information - Can tailor the discussion to each participant - Easier to reach underserved populations - Easier to ask open-ended questions and pick up on nonverbal cues - More personalized approach	- Interviewer's presence may bias the results - Requires strong interview skills - Slowest method of data collection - Lack of anonymity - Difficult to analyze and quantify results - Expensive

Focus groups. A focus group is a method of collecting people's inputs, ideas, or beliefs on a certain topic in a small group setting guided by a facilitator. Focus groups provide an indepth and flexible approach to obtaining feedback and ideas.

Pros	Cons
- Generates fresh ideas - Allows for clarification - Efficient way to obtain breadth and depth of information - Less expensive and faster than interviews - Group members stimulate each other	- Moderately time consuming - Moderately expensive - Lack of confidentiality - Input may be unbalanced because some group members dominate - May be difficult to analyze or quantify data

Activity observations. Activity or direct observation is a method of data collection in which the researcher observes program participants in their natural setting. The purpose of this method is to be as unobtrusive as possible to better understand people in the context of the program.

[2] Adapted from Center for Disease Control and Prevention. (n.d.). *Selecting data collection methods*. Retrieved July 16, 2020, from https://www.cdc.gov/std/Program/pupestd/Selecting%20Data%20Collection%20Methods.pdf

Pros	Cons
- Natural, flexible, and unstructured setting - Can be combined with other data collection methods - Generates relevant, quantifiable information - Most useful for studying "small units," such as a group counseling session, intakes, etc.	- Requires skilled observer - Evaluator has less control over the situation - If observation is known to participants, it may influence their behavior - Not realistic for large groups - Observations are not generalizable

Surveys or Questionnaires. Survey research is one of the most common tools for quantitative research methodologies. Surveys are an easy way to measure satisfaction, identify problems or barriers, and identify opportunities for improvement. Participant satisfaction surveys help providers or organizations measure their client's level of satisfaction with their service or program. Pre/postintervention surveys can provide information on whether change or improvement has occurred since the first survey.

Pros	Cons
- Anonymity and confidentiality - Standardization - Easy to administer - Easy to do with large group - Efficient and cost effective - Usefulness enhanced if combined with other methods - Sample can be used to provide information about a population - Participants can complete them at a time convenient for them	- Prone to error - Requires data entry and or data cleaning - Subject to misinterpretation, depending on how questions are designed and asked - Samples must be carefully selected to ensure statistical meaning - Time consuming compared with less formal methods - Requires that participants be functionally literate

Secondary/Archival Data. Archival research or secondary data analysis involves extracting information from sources that already exist such as program documents, client case files, official records, and databases. These can be analyzed descriptively (qualitatively) or statistically (quantitatively), depending on the content of the secondary data.

Pros	Cons
- Low cost - Relatively quick to obtain and analyze - Unobtrusive - Allows for historical comparisons or trend analysis	- Recordkeeping might be inconsistent or variable - Data will be limited in scope, usually not including information on knowledge, attitudes, or opinions - May not provide a complete picture of what is being evaluated