

## **Notice regarding the solicitation “Tribal-Researcher Capacity Building Grants”**

April 13, 2018: Grants.gov will be offline for scheduled maintenance from 12:01am ET on April 21 through 6am ET on April 23.

March 12, 2018: Links directing to "Overview of Legal Requirements Generally Applicable to OJP Grants and Cooperative Agreements - FY 2017 Awards" have been updated to the FY 2018 link throughout this funding opportunity document.

March 6, 2018: NIJ hosted a webinar discussion on February 22, 2018, that provided an overview of this solicitation. The transcripts and slides have been appended to this document.

The original solicitation document begins on the next page.

**U.S. Department of Justice**  
Office of Justice Programs  
National Institute of Justice



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The [U.S. Department of Justice](#) (DOJ), [Office of Justice Programs](#) (OJP), [National Institute of Justice](#) (NIJ) is seeking applications for funding for grants to support research involving federally recognized tribes (or tribally based organizations) on issues of crime and justice in the United States. This program furthers the Department's mission by sponsoring research to provide objective, independent, evidence-based knowledge and tools to meet the challenges of crime and justice, particularly at the tribal level.

## **Tribal-Researcher Capacity Building Grants**

**Applications Due: April 23, 2018**

### **Eligibility**

In general, NIJ is authorized to make grants to, or enter into contracts or cooperative agreements with, States (including territories), units of local government, federally recognized Indian tribal governments that perform law enforcement functions (as determined by the Secretary of the Interior), nonprofit and for-profit organizations (including tribal nonprofit and for-profit organizations), institutions of higher education (including tribal institutions of higher education), and certain qualified individuals. Foreign governments, foreign organizations, and foreign colleges and universities are not eligible to apply.

All recipients and subrecipients (including any for-profit organization) must forgo any profit or management fee.

NIJ welcomes applications under which two or more entities would carry out the federal award; however, only one entity may be the applicant. Any others must be proposed as subrecipients (subgrantees)<sup>1</sup>. The applicant must be the entity that would have primary responsibility for carrying out the award, including administering funding, managing the entire project, and monitoring and appropriately managing any subawards ("subgrants").

Under this solicitation, any particular applicant entity may submit more than one application, as long as each application proposes a different project in response to the solicitation. Also, an entity may be proposed as a subrecipient (subgrantee) in more than one application.

NIJ may elect to fund applications submitted under this FY 2018 solicitation in future fiscal years, dependent on, among other considerations, the merit of the applications and on the availability of appropriations.

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<sup>1</sup> For additional information on subawards, see "Budget and Associated Documentation" under [Section D. Application and Submission Information](#)

## Deadline

Applicants must register with Grants.gov at <https://www.grants.gov/web/grants/register.html> prior to submitting an application. All applications are due by 11:59 p.m. eastern time on April 23, 2018.

To be considered timely, an application must be submitted by the application deadline using Grants.gov, and the applicant must have received a validation message from Grants.gov that indicates successful and timely submission. OJP urges applicants to submit applications at least 72 hours prior to the application due date, to allow time for the applicant to receive validation messages or rejection notifications from Grants.gov, and to correct in a timely fashion any problems that may have caused a rejection notification.

OJP encourages all applicants to read this [Important Notice: Applying for Grants in Grants.gov](#).

For additional information, see [How to Apply](#) in [Section D. Application and Submission Information](#).

## Contact Information

For technical assistance with submitting an application, contact the Grants.gov Customer Support Hotline at 800-518-4726, 606-545-5035, at <https://www.grants.gov/web/grants/support.html>, or via email to [support@grants.gov](mailto:support@grants.gov). The [Grants.gov](#) Support Hotline operates 24 hours a day, 7 days a week, except on federal holidays.

An applicant that experiences unforeseen Grants.gov technical issues beyond its control that prevent it from submitting its application by the deadline may email the NIJ contact identified below **within 24 hours after the application deadline** to request approval to submit its application. Additional information on reporting technical issues appears under Experiencing Unforeseen Grants.gov Technical Issues in the [How to Apply](#) section.

For assistance with any other requirements of this solicitation, contact the National Criminal Justice Reference Service (NCJRS) Response Center: toll-free at 1-800-851-3420; via TTY at 301-240-6310 (hearing impaired only); email [grants@ncjrs.gov](mailto:grants@ncjrs.gov); fax to 301-240-5830; or web chat at <https://webcontact.ncjrs.gov/ncjchat/chat.jsp>. The NCJRS Response Center hours of operation are 10:00 a.m. to 6:00 p.m. eastern time, Monday through Friday, and 10:00 a.m. to 8:00 p.m. eastern time on the solicitation close date. General information on applying for NIJ awards can be found at [www.nij.gov/funding/Pages/welcome.aspx](http://www.nij.gov/funding/Pages/welcome.aspx). Answers to frequently asked questions that may assist applicants are posted at [www.nij.gov/funding/Pages/faqs.aspx](http://www.nij.gov/funding/Pages/faqs.aspx).

Grants.gov number assigned to this solicitation: NIJ-2018-13840

Release date: February 1, 2018

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# Tribal-Researcher Capacity Building Grants

(CFDA # 16.560)

## A. Program Description

### Overview

NIJ actively supports research that involves federally recognized tribes (or tribally based organizations) on issues of crime and justice in the United States. In doing so, NIJ is committed to ethical and engaged efforts in line with responsible research conduct and federal trust responsibilities. This solicitation seeks to enhance and expand such research through the provision of grants to support development of relevant, new and innovative research projects. To ensure proposed projects result in tangible and mutually beneficial studies, they must include a new tribal-researcher partnership component.

**Statutory Authority:** Any awards under this solicitation would be made under statutory authority provided by a full-year appropriations act for FY 2018. As of the writing of this solicitation, the Department of Justice is operating under a short-term "Continuing Resolution"; no full-year appropriation for the Department has been enacted for FY 2018.

### Program-Specific Information

Through this solicitation, NIJ will provide small grants to fund applicants that wish to both (1) initiate new and innovative research projects involving federally recognized tribes (or tribally based organizations) and (2) to facilitate a new tribal-researcher investigator partnership.<sup>2</sup> Under this solicitation, grant funding may be awarded to cover costs associated with:

- Engaging and conferring with tribal nations on criminal justice research, development, testing (e.g., technology), and evaluation aimed to improve public safety in tribal communities;
- Establishing new tribal nation and tribal program partnerships and participation (e.g., technical and factual presentations to tribal leadership or governing bodies, including those requested by a tribe in connection with its process for providing its authorization (through tribal resolution or other appropriate documentation) to participate in the funded project; obtaining participatory agreements; and securing tribal Institutional Review Board (IRB) approvals);
- Developing research questions and study designs using community-based participatory research principles that involve the tribal partner in all aspects of the research process;
- Conducting pilot, feasibility, or evaluability assessment studies that may involve collecting preliminary data and/or secondary data analysis; and
- Drafting a tribal-researcher investigator criminal justice proposal for submission based on the new partnership.

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<sup>2</sup> Under such an arrangement, the applicant research entity (or applicant researcher) may make subawards to tribal (or tribal organization-) partners that would participate in the funded project.

While the scope of this solicitation is defined as investigator initiated, the following research topics are of particular interest to the U.S. Department of Justice:

- Administration of justice for Native youth and adults
- Alcohol and other drugs of use and abuse
- Crime prevention and intervention efforts
- Criminal offending
- Enhancing investigations and prosecutions in Indian country
- Murdered, missing, and trafficked women and girls
- Reducing violent crime
- Responding to and reducing victimization
- Strengthening tribal justice systems
- Tools and technologies to improve policy and practice in Indian country

The period of performance is limited to 18 months and is not renewable.

### **Goals, Objectives, Deliverables, and Expected Scholarly Products**

The ultimate goal of this solicitation is to build an increased capability to conduct rigorous research and evaluation projects in Indian Country and Alaska native Villages through promotion of engagement between researchers and tribal nations. The objective of this solicitation is to fund multiple planning grants for projects promoting such engagements that address criminal justice issues in Indian country and Alaska Native villages.

Final Research Report. Any recipient of an award under this solicitation will be expected to submit a final research report in the form of a research or evaluation proposal based on the results of the activities funded under the planning grant. Such proposal will comport with the instructions provided in [Section D Application and Submission Information](#) of this solicitation. NIJ will consider such proposals for potential award based on the criteria provided in [Section E Application Review Information](#) of this solicitation. Additional information on the final research report requirement for the solicitation is posted on the [Post Award Reporting Requirements Page](#) on NIJ's website.

Special Report. The awardee will be expected to submit a special report detailing the tribal-research partnership. The report should thoroughly capture the process and substance of the collaboration including lessons learned, challenges and successes experienced, and overall reflections. The special report should also map out key issues that can help inform existing or future partnerships of a similar nature.

Required Data Sets and Associated Files and Documentation. Any recipient of an award under this solicitation will be expected to submit to the National Archive of Criminal Justice Data

(NACJD) all data sets that result in whole or in part from the work funded by the award, along with associated files and any documentation necessary for future efforts by others to reproduce the project’s findings and/or to extend the scientific value of the data set through secondary analysis. For more information, see Program Narrative in [Section D. Application and Submission Information](#).

In addition to these deliverables (and the required reports and data on performance measures described in [Section F. Federal Award Administration Information](#)), NIJ expects scholarly products to result from each award under this solicitation, taking the form of one or more published, peer-reviewed, scientific journal articles, and/or (if appropriate) law review journal articles, book chapter(s) or book(s) in the academic press, technological prototypes, patented inventions, or similar scientific products.

NIJ also expects copies of products developed specifically for the tribal partner (e.g., interim or final reports, presentations, newsletters/articles),

The Goals, Objectives, Deliverables, and Expected Scholarly Products are directly related to the performance measures that demonstrate the results of the work completed.

### Performance Measures

OJP will require each successful applicant to submit regular performance data that demonstrate the results of the work carried out under the award (see “[General Information about Post-Federal Award Reporting Requirements](#)” in [Section F. Federal Award Administration Information](#)).

Applicants should visit OJP’s performance measurement page at [www.ojp.gov/performance](http://www.ojp.gov/performance) to view the specific reporting requirements for this grant program.

The application should demonstrate the applicant’s understanding of the performance data reporting requirements for this grant program and detail how the applicant will gather the required data should it receive funding.

Please note that applicants are **not** required to submit performance data with the application. Performance measures information is included as an alert that successful applicants will be required to submit performance data as part of the reporting requirements under an award.

Objective	Performance Measure(s)	Data Recipient Provides
Conduct research in science, technology, engineering, and/or mathematics having clear implications for criminal justice policy and practice in the United States.	Relevance to the needs of the field as measured by whether the project’s substantive scope did not deviate from the funded project or any subsequent agency-approved modifications to the scope.	Quarterly financial reports, semi-annual and final progress reports, and products of the work performed under the NIJ award (including, at minimum, a final research report and special report on the partnership).  If applicable, an annual audit report.
Conduct research in social and behavioral sciences having clear implications	Quality of the research as demonstrated by the scholarly products that result in whole or in	List of citation(s) to all scholarly products that resulted in whole or in

<p>for criminal justice policy and practice in the United States.</p>	<p>part from work funded under the NIJ award, such as published, peer-reviewed, scientific journal articles, and/or (as appropriate for the funded project) law review journal articles, book chapter(s) or book(s) in the academic press, technological prototypes, patented inventions, or similar scientific products.</p> <p>Quality of management as measured by such factors as whether significant project milestones were achieved, reporting and other deadlines were met, and costs remained within approved limits.</p> <p>Number of technologies fielded as a result (in whole or in part) of work funded under the NIJ award.</p>	<p>part from work funded under the NIJ award.</p> <p>Description of all technologies fielded as a result (in whole or in part) of work funded under the NIJ award (if applicable).</p>
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## Evaluation Research

If an application includes an evaluation research component (or consists entirely of evaluation research), the application is expected to propose the most rigorous evaluation design appropriate for the research questions to be addressed. If the primary purpose of the evaluation is to determine the effectiveness or impact of an intervention (e.g., program, practice, or policy), the most rigorous evaluation designs may include random selection and assignment of participants (or other appropriate units of analysis) to experimental and control conditions. In cases where randomization is not feasible, applicants should propose a strong quasi-experimental design that can address the risk of selection bias.

Applications that include evaluation research should consider the feasibility of including cost/benefit analysis. In cases where evaluations find that interventions have produced the intended benefit, cost/benefit analysis provides valuable and practical information for practitioners and policymakers that aids decision-making.

Evaluation research projects may also address a wide range of research questions beyond those focused on the effectiveness or impact of an intervention. Different research designs may be more appropriate for different research questions and at different stages of program development. The intervention strategies, setting, other contextual factors, and resources should be taken into account when selecting an evaluation design. In all cases, applications are expected to propose the most rigorous evaluation design appropriate for the research questions to be addressed.

Applicants are encouraged to review evidence rating criteria at [https://www.crimesolutions.gov/about\\_starttofinish.aspx](https://www.crimesolutions.gov/about_starttofinish.aspx) for further information on high-quality evaluation design elements.

## B. Federal Award Information

NIJ expects to make up to five awards with an estimated total amount awarded of up to \$500,000. *Awards will normally not exceed an 18-month period of performance.*

To allow time for (among other things) any necessary post-award review and financial clearance by OJP of the proposed budget and for any associated responses or other action(s) that may be required of the recipient, applicants should propose an award start date of January 1, 2019.

NIJ may, in certain cases, provide additional funding in future years to awards made under its research, development, and evaluation solicitations, through continuation awards. In making decisions regarding continuation awards, OJP will consider, among other factors, the availability of appropriations, when the program or project was last competed, OJP's strategic priorities, and OJP's assessment of both the management of the award (for example, timeliness and quality of progress reports), and the progress of the work funded under the award.

All awards are subject to the availability of appropriated funds and to any modifications or additional requirements that may be imposed by law.

### Type of Award

NIJ expects to make any award under this solicitation in the form of a grant. See [Administrative, National Policy, and Other Legal Requirements](#), under [Section F. Federal Award Administration Information](#), for a brief discussion of important statutes, regulations, and award conditions that apply to many (or in some cases, all) OJP grants.

**Please note:** Any recipient of an award under this solicitation will be required to comply with DOJ regulations on confidentiality and protection of human subjects. See "Requirements related to Research" under "[Overview of Legal Requirements Generally Applicable to OJP Grants and Cooperative Agreements - FY 2018 Awards](#)" in the OJP Funding Resource Center at <https://ojp.gov/funding/index.htm>.

### Financial Management and System of Internal Controls

Award recipients and subrecipients (including recipients or subrecipients that are pass-through entities<sup>3</sup>) must, as described in the Part 200 Uniform Requirements<sup>4</sup> as set out at 2 C.F.R. 200.303:

- (a) Establish and maintain effective internal control over the Federal award that provides reasonable assurance that [the recipient (and any subrecipient)] is managing the Federal award in compliance with Federal statutes, regulations, and the terms and conditions of the Federal award. These internal controls should be in compliance with guidance in "Standards for Internal Control in the Federal Government" issued by the Comptroller General of the United States and

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<sup>3</sup> For purposes of this solicitation, the phrase "pass-through entity" includes any recipient or subrecipient that provides a subaward ("subgrant") to carry out part of the funded award or program.

<sup>4</sup> The "Part 200 Uniform Requirements" means the DOJ regulation at 2 C.F.R. Part 2800, which adopts (with certain modifications) the provisions of 2 C.F.R. Part 200.

the “Internal Control Integrated Framework”, issued by the Committee of Sponsoring Organizations of the Treadway Commission (COSO).

- (b) Comply with Federal statutes, regulations, and the terms and conditions of the Federal awards.
- (c) Evaluate and monitor [the recipient’s (and any subrecipient’s)] compliance with statutes, regulations and the terms and conditions of Federal awards.
- (d) Take prompt action when instances of noncompliance are identified including noncompliance identified in audit findings.
- (e) Take reasonable measures to safeguard protected personally identifiable information and other information the Federal awarding agency or pass-through entity designates as sensitive or [the recipient (or any subrecipient)] considers sensitive consistent with applicable Federal, state, local, and tribal laws regarding privacy and obligations of confidentiality.

To help ensure that applicants understand applicable administrative requirements and cost principles, OJP encourages prospective applicants to enroll, at no charge, in the DOJ Grants Financial Management Online Training, available at <https://ojpfgm.webfirst.com/>. (This training is required for all OJP recipients.)

Also, applicants should be aware that OJP collects information from applicants on their financial management and systems of internal controls (among other information) which is used to make award decisions. Under [Section D. Application and Submission Information](#), applicants may access and review the OJP Financial Management and System of Internal Controls Questionnaire (<https://ojp.gov/funding/Apply/Resources/FinancialCapability.pdf>) that OJP requires **all** applicants (other than an individual applying in his/her personal capacity) to download, complete, and submit as part of the application.

## **Budget Information**

### What will not be funded:

- Applications primarily to purchase equipment, materials, or supplies. (A budget may include these items if they are necessary to conduct research, development, demonstration, evaluation, or analysis.)
- Applications that are not responsive to this specific solicitation.
- Programs or services unrelated to the scope of the project or existing programs or services being evaluated.
- Training in support of programs or direct services unrelated to or associated with the proposed project.

## Cost Sharing or Matching Requirement

See “Cofunding” paragraph under item 4 (“Budget and Associated Documentation”) under [What an Application Should Include](#) in [Section D. Application and Submission Information](#).

## Pre-agreement Costs (also known as Pre-award Costs)

Pre-agreement costs are costs incurred by the applicant prior to the start date of the period of performance of the federal award.

OJP does **not** typically approve pre-agreement costs; an applicant must request and obtain the prior written approval of OJP for all such costs. All such costs incurred prior to award and prior to approval of the costs are incurred at the sole risk of the applicant. (Generally, no applicant should incur project costs *before* submitting an application requesting federal funding for those costs.) Should there be extenuating circumstances that make it appropriate for OJP to consider approving pre-agreement costs, the applicant may contact the point of contact listed on the title page of this solicitation for the requirements concerning written requests for approval. If approved in advance by OJP, award funds may be used for pre-agreement costs, consistent with the recipient’s approved budget and applicable cost principles. See the section on “Costs Requiring Prior Approval” in the DOJ Grants Financial Guide at <https://ojp.gov/financialguide/DOJ/index.htm> for more information.

## Limitation on Use of Award Funds for Employee Compensation; Waiver

With respect to any award of more than \$250,000 made under this solicitation, a recipient may not use federal funds to pay total cash compensation (salary plus cash bonuses) to any employee of the recipient at a rate that exceeds 110 percent of the maximum annual salary payable to a member of the Federal Government’s Senior Executive Service (SES) at an agency with a Certified SES Performance Appraisal System for that year<sup>5</sup>. The 2018 salary table for SES employees is available at the Office of Personnel Management website at <https://www.opm.gov/policy-data-oversight/pay-leave/salaries-wages/salary-tables/18Tables/exec/html/ES.aspx>. Note: A recipient may compensate an employee at a greater rate, provided the amount in excess of this compensation limitation is paid with non-federal funds. (Non-federal funds used for any such additional compensation will not be considered matching funds, where match requirements apply.) If only a portion of an employee’s time is charged to an OJP award, the maximum allowable compensation is equal to the percentage of time worked times the maximum salary limitation.

The Director of the National Institute of Justice may exercise discretion to waive, on an individual basis, this limitation on compensation rates allowable under an award. An applicant that requests a waiver should include a detailed justification in the budget narrative of its application. An applicant that does not submit a waiver request and justification with its application should anticipate that OJP will require the applicant to adjust and resubmit the budget.

The justification should address, in the context of the work the individual would do under the award, the particular qualifications and expertise of the individual, the uniqueness of a service the individual will provide, the individual’s specific knowledge of the proposed program or

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<sup>5</sup> OJP does not apply this limitation on the use of award funds to the nonprofit organizations listed in Appendix VIII to 2 C.F.R. Part 200.

project, and a statement that explains whether and how the individual's salary under the award would be commensurate with the regular and customary rate for an individual with his/her qualifications and expertise, and for the work he/she would do under the award.

### **Prior Approval, Planning, and Reporting of Conference/Meeting/Training Costs**

OJP strongly encourages every applicant that proposes to use award funds for any conference-, meeting-, or training-related activity (or similar event) to review carefully—before submitting an application—the OJP policy and guidance on approval, planning, and reporting of such events, available at [www.ojp.gov/financialguide/DOJ/PostawardRequirements/chapter3.10a.htm](http://www.ojp.gov/financialguide/DOJ/PostawardRequirements/chapter3.10a.htm). OJP policy and guidance (1) encourage minimization of conference, meeting, and training costs; (2) require prior written approval (which may affect project timelines) of most conference, meeting, and training costs for cooperative agreement recipients and of some conference, meeting, and training costs for grant recipients; and (3) set cost limits, which include a general prohibition of all food and beverage costs.

### **Costs Associated With Language Assistance (if applicable)**

If an applicant proposes a program or activity that would deliver services or benefits to individuals, the costs of taking reasonable steps to provide meaningful access to those services or benefits for individuals with limited English proficiency may be allowable. Reasonable steps to provide meaningful access to services or benefits may include interpretation or translation services, where appropriate.

For additional information, see the "Civil Rights Compliance" section under "[Overview of Legal Requirements Generally Applicable to OJP Grants and Cooperative Agreements - FY 2018 Awards](#)" in the OJP Funding Resource Center at <https://ojp.gov/funding/index.htm>.

## **C. Eligibility Information**

For eligibility information, see title page.

For information on cost sharing or match requirements, see "[What an Application Should Include](#)" in [Section D. Application and Submission Information](#).

## **D. Application and Submission Information**

### **What an Application Should Include**

This section describes in detail what an application should include. An applicant should anticipate that if it fails to submit an application that contains all of the specified elements, it may negatively affect the review of its application; and, should a decision be made to make an award, it may result in the inclusion of award conditions that preclude the recipient from accessing or using award funds until the recipient satisfies the conditions and OJP makes the funds available.

Moreover, an applicant should anticipate that an application that OJP determines is nonresponsive to the scope of the solicitation, or that OJP determines does not include the application elements that NIJ has designated to be critical, will neither proceed to peer review nor receive further consideration. For this solicitation, NIJ has designated the following

application elements as critical: Program Narrative, Budget Detail Worksheet and Budget Narrative, and resumes/curriculum vitae of key personnel. (For purposes of this solicitation, “key personnel” means the principal investigator, and any and all co-principal investigators.)

**NOTE:** OJP has combined the Budget Detail Worksheet and Budget Narrative in a single document collectively referred to as the Budget Detail Worksheet. See “Budget Information and Associated Documentation” below for more information about the Budget Detail Worksheet and where it can be accessed.

OJP strongly recommends that applicants use appropriately descriptive file names (e.g., “Program Narrative,” “Budget Detail Worksheet,” “Timelines,” “Memoranda of Understanding,” “Resumes”) for all attachments. Also, OJP recommends that applicants include resumes in a single file.

Please review the “Note on File Names and File Types” under [How to Apply](#) to be sure applications are submitted in permitted formats.

### **1. Information to Complete the Application for Federal Assistance (SF-424)**

The SF-424 is a required standard form used as a cover sheet for submission of pre-applications, applications, and related information. Grants.gov and OJP’s Grants Management System (GMS) take information from the applicant’s profile to populate the fields on this form. When selecting “type of applicant,” if the applicant is a for-profit entity, select “For-Profit Organization” or “Small Business” (as applicable).

To avoid processing delays, an applicant must include an accurate legal name on its SF-424. On the SF-424, current OJP award recipients, when completing the field for “Legal Name” (box 8a), should use the same legal name that appears on the prior year award document (which is also the legal name stored in OJP’s financial system.) Also, these recipients should enter the Employer Identification Number (EIN) in box 8c exactly as it appears on the prior year award document. An applicant with a current, active award(s) must ensure that its GMS profile is current. If the profile is not current, the applicant should submit a Grant Adjustment Notice updating the information on its GMS profile prior to applying under this solicitation.

A new applicant entity should enter its official legal name in box 8a, its address in box 8d, its EIN in box 8b, and its Data Universal Numbering System (DUNS) number in box 8c of the SF-424. A new applicant entity should attach official legal documents to its application (e.g., articles of incorporation, 501(c)(3) status documentation, organizational letterhead ) to confirm the legal name, address, and EIN entered into the SF-424. OJP will use the System for Award Management (SAM) to confirm the legal name and DUNS number entered in the SF-424; therefore, an applicant should ensure that the information entered in the SF-424 matches its current registration in SAM. See the [How to Apply](#) section for more information on SAM and DUNS numbers.

**Intergovernmental Review:** This solicitation (“funding opportunity”) is **not** subject to [Executive Order 12372](#). (In completing the SF-424, an applicant is to answer question 19 by selecting the response that the “Program is not covered by E.O. 12372.”)

### **2. Project Abstract**

The project abstract is a very important part of the application, and serves as an introduction to the proposed project. NIJ uses the project abstract for a number of purposes, including

assignment of the application to an appropriate review panel. If the application is funded, the project abstract typically will become public information and be used to describe the project.

Applications should include a high-quality project abstract that summarizes the proposed project in 250-400 words. Project abstracts not submitted in the template below should be —

- Written for a general public audience.
- Submitted as a separate attachment with “Project Abstract” as part of its file name.
- Single-spaced, using the form’s standard 12-point font (with 1-inch margins).

As a separate attachment, the project abstract will **not** count against the page limit for the program narrative.

Project abstracts should follow the detailed template (including the detailed instructions as to content) available at [www.nij.gov/funding/documents/nij-project-abstract-template.pdf](http://www.nij.gov/funding/documents/nij-project-abstract-template.pdf).

### 3. Program Narrative

The program narrative section of the application should not exceed 30 double-spaced pages in 12-point font with 1-inch margins. If included in the main body of the program narrative, tables, charts, figures, and other illustrations count toward the 30-page limit for the narrative section. The project abstract, table of contents, appendices, and government forms do not count toward the 30-page limit.

If the program narrative fails to comply with these length-related restrictions, NIJ may consider such noncompliance in peer review and in final award decisions.

The following sections should be included as part of the program narrative.

#### Program Narrative Guidelines:

**a. Title Page** (not counted against the 30-page program narrative limit).

The title page should include the title of the project, submission date, funding opportunity number, and the name and complete contact information (that is, address, telephone number, and e-mail address) for both the applicant and the principal investigator.

**b. Resubmit Response** (if applicable) (not counted against the 30-page program narrative limit).

If an applicant is resubmitting an application presented previously to NIJ, but not funded, the applicant should indicate this. A statement should be provided, no more than two pages, addressing: (1) the title, submission date, and NIJ-assigned application number of the previous application, and (2) a brief summary of revisions to the application, including responses to previous feedback received from NIJ.

**c. Table of Contents and Figures** (not counted against the 30-page program narrative limit).

#### **d. Main Body**

The main body of the program narrative should describe the proposed project in depth. The following sections should be included as part of the program narrative:

- **Statement of the Problem and Research Questions.** The statement of the problem should address the need for research in this area. Applicants should discuss current gaps in data, research, and knowledge, including those for particular justice sectors, for certain populations, and to answer questions relevant to current policy and practice needs and public interests. As part of this discussion, applicants should present a review of previous literature and discuss previous research related to these problems.

This section should also identify the proposed research questions and discuss the purpose, goals, and objectives of the proposed project.

- **Project Design and Implementation.** Applicants should provide a detailed description of the strategies to implement this research project and address the research questions. Design elements should follow directly from the research project's goals and objectives and address the program-specific information noted on page 4. Applicants should describe the research methodology in detail and demonstrate the validity and usefulness of the data they will collect. Applicants should consider the rigor and soundness of the methodology and analytical and technical approaches for the proposed research and address the feasibility of the proposed project and potential challenges or problems in carrying out the activities.

- **Potential Impact.** Applicants should describe the potential impact of the research and how it may inform or improve criminal or juvenile justice-related policy, practice, or theory in the United States.

The discussion of impact should include a discussion of the deliverables, including planned scholarly products indicated in the project-specific information on page 5 and a plan for dissemination to appropriate audiences. Applicants should identify plans to produce or make available to broader interested practitioners and policy makers in a form that is designed to be readily accessible and useful to them.

- **Capabilities/Competencies.** This section should describe the experience and capability of the applicant organization, key staff, and any proposed subgrantees (including consultants) that the applicant will use to implement and manage this effort and the federal funds under this award, highlighting any previous experience implementing projects of similar scope, design, and magnitude. Applicants should address:

- Experience and capacity to work with the proposed data sources in the conduct of similar research efforts.

- Experience and capacity to design and implement rigorous research and data analysis projects.
- Experience producing and disseminating meaningful deliverables.

Applicants should also outline the management plan and organization that connects to the goals and objectives of the project.

**e. Appendices** not counted against the 30-page program narrative limit) include:

- Bibliography/references
- Any tools/instruments, questionnaires, tables/charts/graphs, or maps pertaining to the proposed project that are supplemental to such items included in the main body of the narrative
- Curriculum vitae or resume of the principal investigator and any and all co-principal investigators. In addition, curriculum vitae, resume, or biographical sketches of all other individuals (regardless of “investigator” status) who will be significantly involved in substantive aspects of the proposed project (including, for example, individuals such as statisticians used to conduct proposed data analysis)
- To assist OJP in assessing actual or apparent conflicts of interest (including such conflicts on the part of prospective reviewers of the application), a complete list of the individuals named or otherwise identified anywhere in the application (including in the budget or in any other attachment) who will or may work (or advise or consult) on the proposed research, development, or evaluation project. This applies to all such individuals, including, for example, individuals who are or would be employees of the applicant or employees of any proposed subrecipient entity, any individuals who themselves may be a subrecipient, and individuals who may (or will) work without compensation (such as advisory board members). This appendix to the program narrative is to include, for each listed individual: name, title, employer, any other potentially-pertinent organizational affiliation(s), and the individual's proposed roles and responsibilities in carrying out the proposed project. If the application identifies any specific entities or organizations (other than the applicant) that will or may work (or advise or consult) on the proposed project, without also naming any associated individuals, the name of each such organization also should be included on this list. Applicants should use the “Proposed Project Staff, Affiliation, and Roles” form available at <https://www.nij.gov/funding/documents/nij-project-staff-template.xlsx> to provide this list.

If the application (including the budget) identifies any proposed non-competitive agreements that are or may be considered procurement "contracts" (rather than subawards) for purposes of federal grants administrative requirements the applicant also must list the entities with which the applicant proposes to contract. Applicants should provide this list as a separate sheet entitled "Proposed non-competitive procurement contracts."

For information on distinctions -- for purposes of federal grants administrative requirements -- between subawards and procurement contracts under awards, see “Budget and Associated Documentation,” below.

- Proposed project timeline and expected milestones
- Human Subjects Protection paperwork (documentation and forms related to Institutional Review Board (IRB) review).  
(See [nij.gov/funding/humansubjects/Pages/welcome.aspx](https://www.nij.gov/funding/humansubjects/Pages/welcome.aspx)) **Note:** Final IRB approval is not required at the time an application is submitted.
- Privacy Certificate (for further guidance go to [nij.gov/funding/humansubjects/pages/confidentiality.aspx](https://www.nij.gov/funding/humansubjects/pages/confidentiality.aspx))
- List of any previous and current NIJ awards to the applicant and investigator(s), including the NIJ-assigned award numbers and a brief description of any scholarly products that resulted in whole or in part from work funded under the NIJ award(s). (See “Goals, Objectives, Deliverables, and Expected Scholarly Products” under “Program-Specific Information,” above, for definition of “scholarly products.”)
- List of other agencies, organizations, or funding sources to which this application has been submitted (if applicable)
- Applicants proposing to use incentives or stipends payments as part of their research project design, must submit an incentive or stipend approval request, as a separate document, according to the requirements set forth at <https://www.nij.gov/funding/Pages/research-participant-costs-and-incentives.aspx>
- Data archiving plan. Applicants should anticipate that NIJ will require (through special award conditions, that data sets resulting in whole or in part from projects funded under this solicitation be submitted for archiving with the NACJD. See [www.nij.gov/funding/data-resources-program/applying/Pages/data-archiving-strategies.aspx](https://www.nij.gov/funding/data-resources-program/applying/Pages/data-archiving-strategies.aspx).)

Applications should include as an appendix a brief plan – labeled “Data Archiving Plan” – to comply with data archiving requirements. The plan should provide brief details about proposed data management and archiving, including submission to NIJ (through NACJD) of **all files and documentation** necessary to allow for future efforts by others to reproduce the project’s findings and/or to extend the scientific value of the data set through secondary analysis. Pertinent files and documentation include, among other things, qualitative and quantitative data produced, instrumentation and data collection forms, codebook(s), any specialized programming code necessary to reproduce all constructed measures and the original data analysis, description of necessary de-identification procedures, and (when required) a copy of the privacy certificate and informed consent protocols.

The plan should be one or two pages in length and include the level of effort associated with meeting archiving requirements.

Note that required data sets are to be submitted 90 days before the end of the period of performance.

- Letters of cooperation/support or administrative agreements from organizations collaborating in the project, such as law enforcement and correctional agencies (if applicable).

#### 4. Budget and Associated Documentation

The Budget Detail Worksheet and the Budget Narrative are now combined in a single document collectively referred to as the Budget Detail Worksheet. The Budget Detail Worksheet is a user-friendly, fillable, Microsoft Excel-based document designed to calculate totals. Additionally, the Excel workbook contains worksheets for multiple budget years that can be completed as necessary. **All applicants should use the Excel version when completing the proposed budget in an application, except in cases where the applicant does not have access to Microsoft Excel or experiences technical difficulties.** If an applicant does not have access to Microsoft Excel or experiences technical difficulties with the Excel version, then the applicant should use the 508-compliant accessible Adobe Portable Document Format (PDF) version.

Both versions of the Budget Detail Worksheet can be accessed at <https://ojp.gov/funding/Apply/Forms/BudgetDetailWorksheet.htm>.

##### a. Budget Detail Worksheet

The Budget Detail Worksheet should provide the detailed computation for each budget line item, listing the total cost of each and showing how it was calculated by the applicant. For example, costs for personnel should show the annual salary rate and the percentage of time devoted to the project for each employee paid with grant funds. The Budget Detail Worksheet should present a complete itemization of all proposed costs.

For questions pertaining to budget and examples of allowable and unallowable costs, see the DOJ Grants Financial Guide at <https://ojp.gov/financialguide/DOJ/index.htm>

##### b. Budget Narrative

The budget narrative should thoroughly and clearly describe every category of expense listed in the Budget Detail Worksheet. OJP expects proposed budgets to be complete, cost effective, and allowable (e.g., reasonable, allocable, and necessary for project activities).

An applicant should demonstrate in its budget narrative how it will maximize cost effectiveness of award expenditures. Budget narratives should generally describe cost effectiveness in relation to potential alternatives and the goals of the project. For example, a budget narrative should detail why planned in-person meetings are necessary, or how technology and collaboration with outside organizations could be used to reduce costs, without compromising quality.

The budget narrative should be mathematically sound and correspond clearly with the information and figures provided in the Budget Detail Worksheet. The narrative should explain how the applicant estimated and calculated all costs, and how those costs are

necessary to the completion of the proposed project. The narrative may include tables for clarification purposes, but need not be in a spreadsheet format. As with the Budget Detail Worksheet, the budget narrative should describe costs by year.

**c. Cofunding**

An award made by NIJ under this solicitation may account for up to 100 percent of the total cost of the project. The application should indicate whether it is feasible for the applicant to contribute cash, facilities, or services as non-federal support for the project. The application should identify generally any such contributions that the applicant expects to make and the proposed budget should indicate in detail which items, if any, will be supported with non-federal contributions.

For additional match information, see the [Cost Sharing or Match Requirement](#) section under [Section B. Federal Award Information](#).

If a successful application proposes a voluntary match amount, and OJP approves the budget, the total match amount incorporated into the approved budget becomes mandatory and subject to audit.

**d. Information on Proposed Subawards (if any), as well as on Proposed Procurement Contracts (if any)**

Applicants for OJP awards typically may propose to make *subawards*. Applicants also may propose to enter into procurement *contracts* under the award.

Whether an action – for federal grants administrative purposes – is a subaward or procurement contract is a critical distinction as significantly different rules apply to subawards and procurement contracts. If a recipient enters into an agreement that is a subaward of an OJP award, specific rules apply – many of which are set by federal statutes and DOJ regulations; others by award conditions. These rules place particular responsibilities on an OJP recipient for any subawards the OJP recipient may make. The rules determine much of what the written subaward agreement itself must require or provide. The rules also determine much of what an OJP recipient must do both before and after it makes a subaward. If a recipient enters into an agreement that is a procurement contract under an OJP award, a substantially different set of federal rules applies.

OJP has developed the following guidance documents to help clarify the differences between subawards and procurement contracts under an OJP award and outline the compliance and reporting requirements for each. This information can be accessed online at <https://ojp.gov/training/training.htm>.

- [Subawards under OJP Awards and Procurement Contracts under Awards: A Toolkit for OJP Recipients](#).
- [Checklist to Determine Subrecipient or Contractor Classification](#).
- [Sole Source Justification Fact Sheet and Sole Source Review Checklist](#).

In general, the central question is the relationship between what the third-party will do under its agreement with the recipient and what the recipient has committed (to OJP) to do under its award to further a public purpose (e.g., services the recipient will provide,

products it will develop or modify, research or evaluation it will conduct). If a third party will provide some of the services the recipient has committed (to OJP) to provide, will develop or modify all or part of a product the recipient has committed (to OJP) to develop or modify, or will conduct part of the research or evaluation the recipient has committed (to OJP) to conduct, OJP will consider the agreement with the third party a *subaward* for purposes of federal grants administrative requirements.

This will be true **even if** the recipient, for internal or other non-federal purposes, labels or treats its agreement as a procurement, a contract, or a procurement contract. Neither the title nor the structure of an agreement determines whether the agreement -- for purposes of federal grants administrative requirements -- is a *subaward* or is instead a procurement *contract* under an award. The substance of the relationship should be given greater consideration than the form of agreement between the recipient and the outside entity.

### **1. Information on proposed subawards**

A recipient of an OJP award may not make subawards ("subgrants") unless the recipient has specific federal authorization to do so. Unless an applicable statute or DOJ regulation specifically authorizes (or requires) subawards, a recipient must have authorization from OJP before it may make a subaward.

A particular subaward may be authorized by OJP because the recipient included a sufficiently-detailed description and justification of the proposed subaward in the Program Narrative, Budget Detail Worksheet, and Budget Narrative as approved by OJP. If, however, a particular subaward is not authorized by federal statute or regulation, and is not approved by OJP, the recipient will be required, post-award, to request and obtain written authorization from OJP before it may make the subaward.

If an applicant proposes to make one or more subawards to carry out the federal award and program, the applicant should-- (1) identify (if known) the proposed subrecipient(s), (2) describe in detail what each subrecipient will do to carry out the federal award and federal program, and (3) provide a justification for the subaward(s), with details on pertinent matters such as special qualifications and areas of expertise. Pertinent information on subawards should appear not only in the Program Narrative, but also in the Budget Detail Worksheet and Budget Narrative.

### **2. Information on proposed procurement contracts (with specific justification for proposed noncompetitive contracts over \$150,000)**

Unlike a recipient contemplating a subaward, a recipient of an OJP award generally does not need specific prior federal authorization to enter into an agreement that -- for purposes of federal grants administrative requirements -- is considered a procurement contract, **provided that** (1) the recipient uses its own documented procurement procedures and (2) those procedures conform to applicable federal law, including the Procurement Standards of the (DOJ) Part 200 Uniform Requirements (as set out at 2 C.F.R. 200.317 - 200.326). The Budget Detail Worksheet and Budget Narrative should identify proposed procurement contracts. (As discussed above, subawards must be identified and described separately from procurement contracts.)

The Procurement Standards in the Part 200 Uniform Requirements, however, reflect a general expectation that agreements that (for purposes of federal grants administrative requirements) constitute procurement “contracts” under awards will be entered into on the basis of full and open competition. All noncompetitive (sole source) procurement contracts must meet the OJP requirements outlined at <https://ojp.gov/training/subawards-procurement.htm>. If a proposed procurement contract would exceed the simplified acquisition threshold -- currently, \$150,000 -- a recipient of an OJP award may not proceed without competition unless and until the recipient receives specific advance authorization from OJP to use a non-competitive approach for the procurement. An applicant that (at the time of its application) intends – without competition – to enter into a procurement contract that would exceed \$150,000 should include a detailed justification that explains to OJP why, in the particular circumstances, it is appropriate to proceed without competition.

If the applicant receives an award, sole source procurements that do not exceed the Simplified Acquisition Threshold (currently \$150,000) must have written justification for the noncompetitive procurement action maintained in the procurement file. If a procurement file does not have the documentation that meets the criteria outlined in 2 C.F.R. 200, the procurement expenditures may not be allowable. Sole source procurement over the \$150,000 Simplified Acquisition Threshold must have prior approval from OJP using a Sole Source Grant Adjustment Notice (GAN). Written documentation justifying the noncompetitive procurement must be submitted with the GAN and maintained in the procurement file.

**e. Pre-Agreement Costs**

For information on pre-agreement costs, see [Section B. Federal Award Information](#).

**5. Indirect Cost Rate Agreement (if applicable)**

Indirect costs may be charged to an award only if:

- (a) The recipient has a current (unexpired), federally approved indirect cost rate;  
or
- (b) The recipient is eligible to use, and elects to use, the “de minimis” indirect cost rate described in the Part 200 Uniform Requirements, as set out at 2 C.F.R. 200.414(f).

An applicant with a current (unexpired) federally-approved indirect cost rate is to attach a copy of the indirect cost rate agreement to the application. An applicant that does not have a current federally-approved rate may request one through its cognizant federal agency, which will review all documentation and approve a rate for the applicant entity, or, if the applicant’s accounting system permits, applicants may propose to allocate costs in the direct cost categories.

For assistance with identifying the appropriate cognizant federal agency for indirect costs, please contact the Office of the Chief Financial Officer (OCFO) Customer Service Center at 1-800-458-0786 or at [ask.ocfo@usdoj.gov](mailto:ask.ocfo@usdoj.gov). If DOJ is the cognizant federal agency, an applicant may obtain information needed to submit an indirect cost rate proposal at <https://www.ojp.gov/funding/Apply/Resources/IndirectCosts.pdf>.

Certain OJP recipients have the option of electing to use the “de minimis” indirect cost rate. An applicant that is eligible to use the “de minimis” rate that wishes to use the “de minimis” rate should attach written documentation to the application that advises OJP of both-- (1) the

applicant's eligibility to use the "de minimis" rate, and (2) its election to do so. If an eligible applicant elects the "de minimis" rate, costs must be consistently charged as either indirect or direct costs, but may not be double charged or inconsistently charged as both. The "de minimis" rate may no longer be used once an approved federally-negotiated indirect cost rate is in place. (No entity that ever has had a federally-approved negotiated indirect cost rate is eligible to use the "de minimis" rate.) For additional eligibility requirements please see Part 200 Uniform Requirements, as set out at [https://www.ecfr.gov/cgi-bin/text-idx?node=se2.1.200\\_1414&rqn=div8](https://www.ecfr.gov/cgi-bin/text-idx?node=se2.1.200_1414&rqn=div8)

### **Tribal Authorizing Resolution (if applicable)**

A tribe, tribal organization, or third party that proposes to provide direct services or assistance to residents on tribal lands should include in its application a resolution, letter, affidavit, or other documentation, as appropriate, that demonstrates (as a legal matter) that the applicant has the requisite authorization from the tribe(s) to implement the proposed project on tribal lands. In those instances when an organization or consortium of tribes applies for an award on behalf of a tribe or multiple specific tribes, the application should include appropriate legal documentation, as described above, from all tribes that would receive services or assistance under the award. A consortium of tribes for which existing consortium bylaws allow action without support from all tribes in the consortium (i.e., without an authorizing resolution or comparable legal documentation from each tribal governing body) may submit, instead, a copy of its consortium bylaws with the application.

## **6. Financial Management and System of Internal Controls Questionnaire (including applicant disclosure of high-risk status)**

Every OJP applicant (other than an individual applying in his or her personal capacity) is required to download, complete, and submit the [OJP Financial Management and System of Internal Controls Questionnaire](https://ojp.gov/funding/Apply/Resources/FinancialCapability.pdf) (Questionnaire) at <https://ojp.gov/funding/Apply/Resources/FinancialCapability.pdf> as part of its application. The Questionnaire helps OJP assess the financial management and internal control systems, and the associated potential risks of an applicant as part of the pre-award risk assessment process.

The Questionnaire should only be completed by financial staff most familiar with the applicant's systems, policies, and procedures in order to ensure that the correct responses are recorded and submitted to OJP. The responses on the Questionnaire directly impact the pre-award risk assessment and should accurately reflect the applicant's financial management and internal control system at the time of the application. The pre-award risk assessment is only one of multiple factors and criteria used in determining funding. However, a pre-award risk assessment that indicates that an applicant poses a higher risk to OJP may affect the funding decision and/or result in additional reporting requirements, monitoring, special conditions, withholding of award funds, or other additional award requirements.

Among other things, the form requires each applicant to disclose whether it currently is designated "high risk" by a federal grant-making agency outside of DOJ. For purposes of this disclosure, high risk includes any status under which a federal awarding agency provides additional oversight due to the applicant's past performance, or other programmatic or financial concerns with the applicant. If an applicant is designated high risk by another federal awarding agency, the applicant must provide the following information:

- The federal awarding agency that currently designates the applicant high risk.
- The date the applicant was designated high risk.
- The high-risk point of contact at that federal awarding agency (name, phone number, and email address).
- The reasons for the high-risk status, as set out by the federal awarding agency.

OJP seeks this information to help ensure appropriate federal oversight of OJP awards. An applicant that is considered “high-risk” by another federal awarding agency is not automatically disqualified from receiving an OJP award. OJP may, however, consider the information in award decisions, and may impose additional OJP oversight of any award under this solicitation (including through the conditions that accompany the award document).

## 7. Disclosure of Lobbying Activities

Each applicant must complete and submit this information. An applicant that expends any funds for lobbying activities is to provide all of the information requested on the form Disclosure of Lobbying Activities (SF-LLL) posted at <https://ojp.gov/funding/Apply/Resources/Disclosure.pdf>. An applicant that does not expend any funds for lobbying activities is to enter “N/A” in the text boxes for item 10 (“a. Name and Address of Lobbying Registrant” and “b. Individuals Performing Services”).

## 8. Additional Attachments

### a. Applicant disclosure of pending applications<sup>6</sup>

Each applicant is to disclose whether it has (or is proposed as a subrecipient under) any pending applications for federally-funded grants or cooperative agreements that (1) include requests for funding to support the same project being proposed in the application under this solicitation, and (2) would cover the identical cost items outlined in the budget submitted to OJP under this solicitation. The applicant is to disclose both applications made directly to federal awarding agencies, and also applications for subawards of federal funds (e.g., applications to State agencies that will subaward (“subgrant”) federal funds).

OJP seeks this information to help avoid inappropriate duplication of funding. Leveraging multiple funding sources in a complementary manner to implement comprehensive programs or projects is encouraged and is not seen as inappropriate duplication.

Each applicant that has one or more pending applications as described above is to provide the following information about pending applications submitted within the last 12 months:

- The federal or State funding agency
- The solicitation name/project name
- The point of contact information at the applicable federal or State funding agency

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<sup>6</sup> Typically, the applicant is **not** the principal investigator. Rather, the applicant, most frequently, is the institution, organization, or company in which the principal investigator is employed.

Federal or State Funding Agency	Solicitation Name/Project Name	Name/Phone/E-mail for Point of Contact at Federal or State Funding Agency
DOJ/Office of Community Oriented Policing Services (COPS)	COPS Hiring Program	Jane Doe, 202/000-0000; jane.doe@usdoj.gov
Health and Human Services/ Substance Abuse and Mental Health Services Administration	Drug-Free Communities Mentoring Program/North County Youth Mentoring Program	John Doe, 202/000-0000; john.doe@hhs.gov

Each applicant should include the table as a separate attachment to its application. The file should be named “Disclosure of Pending Applications.” The applicant’s Legal Name on the application must match the entity named on the disclosure of pending applications statement.

Any applicant that does not have any pending applications as described above is to submit, as a separate attachment, a statement to this effect: “[Applicant Name on SF-424] does not have (and is not proposed as a subrecipient under) any pending applications submitted within the last 12 months for federally-funded grants or cooperative agreements or for subawards under federal grants or cooperative agreements) that request funding to support the same project being proposed in this application to OJP and that would cover the identical cost items outlined in the budget submitted as part of this application.”

**b. Research and Evaluation Independence and Integrity**

When an application proposes research (including research and development) and/or evaluation, the applicant must demonstrate research/evaluation independence and integrity, including appropriate safeguards, before it may receive award funds. The applicant must demonstrate independence and integrity regarding both this proposed research and/or evaluation, and any current or prior related projects.

Each application should include an attachment that addresses **both** i. and ii. below.

- i. For purposes of this solicitation, each applicant is to document research and evaluation independence and integrity by including one of the following two items:
  - a. A specific assurance that the applicant has reviewed its application to identify any actual or potential apparent conflicts of interest (including through review of pertinent information on the principal investigator, any co-principal investigators, and any subrecipients), and that the applicant has identified no such conflicts of interest – whether personal or financial or organizational (including on the part of the applicant entity or on the part of staff, investigators, or subrecipients) – that could affect the independence or

integrity of the research, including the design, conduct, and reporting of the research.

OR

- b. A specific description of actual or potential apparent conflicts of interest that the applicant has identified – including through review of pertinent information on the principal investigator, any co-principal investigators, and any subrecipients – that could affect the independence or integrity of the research, including the design, conduct, or reporting of the research. These conflicts may be personal (e.g., on the part of investigators or other staff), financial, or organizational (related to the applicant or any subrecipient entity). Some examples of potential investigator (or other personal) conflict situations are those in which an investigator would be in a position to evaluate a spouse’s work product (actual conflict), or an investigator would be in a position to evaluate the work of a former or current colleague (potential apparent conflict). With regard to potential organizational conflicts of interest, as one example, generally an organization would not be given an award to evaluate a project, if that organization had itself provided substantial prior technical assistance to that specific project or a location implementing the project (whether funded by OJP or other sources), because the organization in such an instance might appear to be evaluating the effectiveness of its own prior work. The key is whether a reasonable person understanding all of the facts would be able to have confidence that the results of any research or evaluation project are objective and reliable. Any outside personal or financial interest that casts doubt on that objectivity and reliability of an evaluation or research product is a problem and must be disclosed.
- ii. In addition, for purposes of this solicitation, each applicant is to address possible mitigation of research integrity concerns by including, at a minimum, one of the following two items:
    - a. If an applicant reasonably believes that no actual or potential apparent conflicts of interest (personal, financial, or organizational) exist, then the applicant should provide a brief narrative explanation of how and why it reached that conclusion. The applicant also is to include an explanation of the specific processes and procedures that the applicant has in place, or will put in place, to identify and prevent (or, at the very least, mitigate) any such conflicts of interest pertinent to the funded project during the period of performance. Documentation that may be helpful in this regard may include organizational codes of ethics/conduct and policies regarding organizational, personal, and financial conflicts of interest. There is no guarantee that the plan, if any, will be accepted as proposed.

OR

- b. If the applicant has identified actual or potential apparent conflicts of interest (personal, financial, or organizational) that could affect the independence and integrity of the research, including the design, conduct, or reporting of the research, the applicant is to provide a specific and robust mitigation plan to address each of those conflicts. At a minimum, the applicant is expected to

explain the specific processes and procedures that the applicant has in place, or will put in place, to identify and eliminate (or, at the very least, mitigate) any such conflicts of interest pertinent to the funded project during the period of performance. Documentation that may be helpful in this regard may include organizational codes of ethics/conduct and policies regarding organizational, personal, and financial conflicts of interest. There is no guarantee that the plan, if any, will be accepted as proposed.

OJP will assess research and evaluation independence and integrity based on considerations such as the adequacy of the applicant's efforts to identify factors that could affect the objectivity or integrity of the proposed staff and/or the applicant entity (and any subrecipients) in carrying out the research, development, or evaluation activity; and the adequacy of the applicant's existing or proposed remedies to control any such factors.

### **How to Apply**

Applicants must register in and submit applications through [Grants.gov](https://www.grants.gov), a primary source to find federal funding opportunities and apply for funding. Find complete instructions on how to register and submit an application at <https://www.grants.gov/web/grants/support.html>. Applicants that experience technical difficulties during this process should call the Grants.gov Customer Support Hotline at **800-518-4726** or **606-545-5035**, which operates 24 hours a day, 7 days a week, except on federal holidays.

**Important Grants.gov update.** Grants.gov has updated its application tool. The legacy PDF application package was phased out on December 31, 2017. Grants.gov Workspace is now the standard application method for applying for grants. OJP applicants should familiarize themselves with the Workspace option now. For complete information and instructions on using Workspace (and other changes), go to the Workspace Overview page at <https://www.grants.gov/web/grants/applicants/workspace-overview.html>.

Registering with Grants.gov is a one-time process; however, **processing delays may occur, and it can take several weeks** for first-time registrants to receive confirmation of registration and a user password. OJP encourages applicants to **register several weeks before** the application submission deadline. In addition, OJP urges applicants to submit applications at least 72 hours prior to the application due date, in order to allow time for the applicant to receive validation messages or rejection notifications from Grants.gov, and to correct in a timely fashion any problems that may have caused a rejection notification.

OJP strongly encourages all prospective applicants to sign up for Grants.gov email notifications regarding this solicitation at <https://www.grants.gov/web/grants/manage-subscriptions.html>. If this solicitation is cancelled or modified, individuals who sign up with Grants.gov for updates will be automatically notified.

**Browser Information:** Grants.gov was built to be compatible with Internet Explorer. For technical assistance with Google Chrome, or another browser, contact Grants.gov Customer Support.

**Note on Attachments.** Grants.gov has two categories of files for attachments: "mandatory" and "optional." OJP receives all files attached in both categories. Attachments are also labeled to describe the file being attached (e.g., Project Narrative, Budget Narrative, Other, etc.) Please

ensure that all required documents are attached in the correct Grants.gov category and are labeled correctly. Do not embed “mandatory” attachments within another file.

**Note on File Names and File Types:** Grants.gov only permits the use of certain specific characters in file names of attachments. Valid file names may include only the characters shown in the table below. Grants.gov rejects any application that includes an attachment(s) with a file name that contains any characters not shown in the table below. Grants.gov forwards successfully-submitted applications to the OJP Grants Management System (GMS).

Characters	Special Characters		
Upper case (A – Z)	Parenthesis ( )	Curly braces { }	Square brackets [ ]
Lower case (a – z)	Ampersand (&)*	Tilde (~)	Exclamation point (!)
Underscore ( _ )	Comma ( , )	Semicolon ( ; )	Apostrophe ( ‘ )
Hyphen ( - )	At sign ( @ )	Number sign ( # )	Dollar sign ( \$ )
Space	Percent sign ( % )	Plus sign ( + )	Equal sign ( = )
Period ( . )			

\*When using the ampersand (&) in XML, applicants must use the “&amp;” format.

**GMS does not accept executable file types as application attachments.** These disallowed file types include, but are not limited to, the following extensions: “.com,” “.bat,” “.exe,” “.vbs,” “.cfg,” “.dat,” “.db,” “.dbf,” “.dll,” “.ini,” “.log,” “.ora,” “.sys,” and “.zip.” GMS may reject applications with files that use these extensions. It is important to allow time to change the type of file(s) if the application is rejected.

All applicants are required to complete the following steps:

**Unique Entity Identifier (DUNS Number) and System for Award Management (SAM)**

Every applicant entity must comply with all applicable System for Award Management (SAM) and unique entity identifier (currently, a Data Universal Numbering System [DUNS] number) requirements. SAM is the repository for certain standard information about federal financial assistance applicants, recipients, and subrecipients. A DUNS number is a unique nine-digit identification number provided by the commercial company Dun and Bradstreet. More detailed information about SAM and the DUNS number is in the numbered sections below.

If an applicant entity has not fully complied with the applicable SAM and unique identifier requirements by the time OJP makes award decisions, OJP may determine that the applicant is not qualified to receive an award and may use that determination as a basis for making the award to a different applicant.

**Applying as an Individual**

An individual who wishes to apply in his/her personal capacity should search Grants.gov for funding opportunities for which individuals are eligible to apply. Use the Funding Opportunity Number (FON) to register. (An applicant applying as an individual must comply with all applicable Grants.gov individual registration requirements.)

Enter the FON at <https://apply07.grants.gov/apply/IndCPRregister> to complete the registration form and create a username and password for Grants.gov. (An applicant applying as an individual should complete all steps except 1, 2 and 4.)

## Registration and Submission Steps

- 1. Acquire a unique entity identifier (currently, a DUNS number).** In general, the Office of Management and Budget requires every applicant for a federal award (other than an individual) to include a "unique entity identifier" in each application, including an application for a supplemental award. Currently, a DUNS number is the required unique entity identifier. This unique entity identifier is used for tracking purposes, and to validate address and point of contact information for applicants, recipients, and subrecipients. It will be used throughout the life cycle of an OJP award. Obtaining a DUNS number is a free, one-time activity. Call Dun and Bradstreet at 866-705-5711 to obtain a DUNS number or apply online at <https://www.dnb.com>. A DUNS number is usually received within 1-2 business days.
- 2. Acquire or maintain registration with SAM.** All applicants for OJP awards (other than individuals) must maintain current registrations in the SAM database. Applicants will need the authorizing official of the organization and an Employer Identification Number (EIN). An applicant must be registered in SAM to successfully register in Grants.gov. Each applicant must **update or renew its SAM registration at least annually** to maintain an active status. SAM registration and renewal can take as long as 10 business days to complete (2 more weeks to acquire an EIN).  
An application cannot be successfully submitted in Grants.gov until Grants.gov receives the SAM registration information. Once the SAM registration/renewal is complete, **the information transfer from SAM to Grants.gov can take as long as 48 hours.** OJP recommends that the applicant register or renew registration with SAM as early as possible. Information about SAM registration procedures can be accessed at [www.sam.gov](http://www.sam.gov).
- 3. Acquire an Authorized Organization Representative (AOR) and a Grants.gov username and password.** Complete the AOR profile on Grants.gov and create a username and password. An applicant entity's "unique entity identifier" (DUNS number) must be used to complete this step. For more information about the registration process for organizations and other entities, go to <https://www.grants.gov/web/grants/applicants/organization-registration.html>. Individuals registering with Grants.gov should go to <https://www.grants.gov/web/grants/applicants/registration.html>.
- 4. Acquire confirmation for the AOR from the E-Business Point of Contact (E-Biz POC).** The E-Biz POC at the applicant organization must log into Grants.gov to "confirm" the applicant organization's AOR. The E-Biz POC will need the Marketing Partner Identification Number (MPIN) password obtained when registering with SAM to complete this step. Note that an organization can have more than one AOR.
- 5. Search for the funding opportunity on Grants.gov.** Use the following identifying information when searching for the funding opportunity on Grants.gov. The Catalog of Federal Domestic Assistance (CFDA) number for this solicitation is 16.560; *National Institute of Justice Research, Evaluation, and Development Project Grants* and the funding opportunity number is NIJ-2018-13840.
- 6. Access Funding Opportunity and Application Package from Grants.gov.** Select "Apply for Grants" under the "Applicants" column. Enter your email address to be notified of any

changes to the opportunity package before the closing date. Click the Workspace icon to use Grants.gov Workspace.

- 7. Submit a valid application consistent with this solicitation by following the directions in Grants.gov.** Within 24-48 hours after submitting the electronic application, the applicant should receive two notifications from Grants.gov. The first will confirm the receipt of the application. The second will state whether the application has been validated and successfully submitted, or whether it has been rejected due to errors, with an explanation. It is possible to first receive a message indicating that the application is received, and then receive a rejection notice a few minutes or hours later. Submitting an application well ahead of the deadline provides time to correct the problem(s) that caused the rejection. **Important:** OJP urges each applicant to submit its application **at least 72 hours prior** to the application due date, to allow time to receive validation messages or rejection notifications from Grants.gov, and to correct in a timely fashion any problems that may have caused a rejection notification. Applications must be successfully submitted through Grants.gov by 11:59 p.m. eastern time on April 23, 2018.

Click <https://www.grants.gov/web/grants/applicants/organization-registration.html> for further details on DUNS numbers, SAM, and Grants.gov registration steps and timeframes.

#### **Note: Application Versions**

If an applicant submits multiple versions of the same application, OJP will review only the most recent system-validated version submitted.

#### **Experiencing Unforeseen Grants.gov Technical Issues**

An applicant that experiences unforeseen Grants.gov technical issues beyond its control that prevent it from submitting its application by the deadline must contact the [Grants.gov Customer Support Hotline](#) at <https://www.grants.gov/web/grants/support.html> or the [SAM Help Desk](#) (Federal Service Desk) at <https://www.fsd.gov/fsd-gov/home.do> to report the technical issue and receive a tracking number. The applicant must e-mail the NIJ contact identified in the Contact Information section on the title page **within 24 hours after the application deadline** to request approval to submit its application after the deadline. The applicant's e-mail must describe the technical difficulties, and must include a timeline of the applicant's submission efforts, the complete grant application, the applicant's DUNS number, and any Grants.gov Help Desk or SAM tracking number(s).

**Note: OJP does not automatically approve requests to submit a late application.** After OJP reviews the applicant's request, and contacts the Grants.gov or SAM Help Desks to verify the reported technical issues, OJP will inform the applicant whether the request to submit a late application has been approved or denied. If OJP determines that the untimely application submission was due to the applicant's failure to follow all required procedures, OJP will deny the applicant's request to submit its application.

The following conditions generally are insufficient to justify late submissions:

- Failure to register in SAM or Grants.gov in sufficient time (SAM registration and renewal can take as long as 10 business days to complete. The information transfer from SAM to Grants.gov can take up to 48 hours.)

- Failure to follow Grants.gov instructions on how to register and apply as posted on its website
- Failure to follow each instruction in the OJP solicitation
- Technical issues with the applicant's computer or information technology environment, such as issues with firewalls or browser incompatibility

**Notifications regarding known technical problems with Grants.gov, if any, are posted at the top of the OJP Funding Resource Center at <https://ojp.gov/funding/index.htm>.**

## **E. Application Review Information**

### **Review Criteria**

Applications that meet basic minimum requirements will be evaluated by peer reviewers using the following review criteria. Each individual criterion is assigned a different weight based on the percentage value listed. For example, the first criterion, Statement of the Problem, is worth 20 percent of the score in the assessment of an application's technical merit.

**Statement of the Problem and Research Questions** (Understanding of the problem, research questions, and their importance) – 20%

1. Demonstrated understanding of the problem.
2. Demonstrated importance of research questions, goals and objectives, including alignment with the aims of the solicitation.
3. Demonstrated awareness of the state of current research.

**Project Design and Implementation** (Quality and technical merit) – 30%

1. Soundness of methods and analytic and technical approach to addressing the stated aim(s) of the proposed project.
2. Feasibility of proposed project.
3. Awareness of potential pitfalls of proposed project design and feasibility of proposed actions to minimize and/or mitigate them.
4. Feasibility of completing the deliverables noted in the solicitation.

**Potential Impact** – 15%

Potential for a significant scientific or technical advance(s) that will improve criminal/juvenile justice in the United States, such as:

- Potential for significantly improved understanding of the stated criminal/juvenile justice problem.

- Potential for innovative solution to address (all or a significant part of) the stated criminal/juvenile justice problem.

**Capabilities/Competencies** (Capabilities, demonstrated productivity, and experience of the applicant organization and proposed project staff) – 35%

1. Qualifications and experience of proposed project staff (that is, the principal investigator, any and all co-principal investigators, and all other individuals (and organizations) identified in the application (regardless of “investigator” status) who will be significantly involved in substantive aspects of the proposed project).
2. Demonstrated ability of the applicant organization to implement the proposed strategies and manage the effort.
3. Relationship between the capabilities/competencies of the proposed project staff (including the applicant organization) and the scope and strategies of the proposed project.

### **Budget**

In addition, peer reviewers will consider and may comment on the following additional items in the context of scientific and technical merit.

1. Total cost of the project relative to the perceived benefit (cost effectiveness)
2. Appropriateness of the budget relative to the level of effort
3. Use of existing resources to conserve costs
4. Alignment of the proposed budget with proposed project activities
5. Proposed plan (if any) to produce or to make available to broader interested audiences, such as criminal/juvenile justice practitioners or policymakers, summary information from the planned scholarly products of the project.

### **Plan for Dissemination to Broader Audiences (if applicable to the proposed project)**

Peer reviewers may comment—in the context of scientific and technical merit—on the proposed plan (if any) to produce or to make available to broader interested audiences, such as criminal/juvenile justice practitioners or policymakers, summary information from the planned scholarly products of the project.

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### **Review Process**

OJP is committed to ensuring a fair and open process for making awards. NIJ reviews the application to make sure that the information presented is reasonable, understandable, measurable, and achievable, as well as consistent with the solicitation.

Peer reviewers will review the applications submitted under this solicitation that meet basic minimum requirements. For purposes of assessing whether an application meets basic

minimum requirements and should proceed to further consideration, OJP screens applications for compliance with those requirements. Although specific requirements may vary, the following are common requirements applicable to all solicitations for funding under OJP programs:

- The application must be submitted by an eligible type of applicant.
- The application must request funding within programmatic funding constraints (if applicable).
- The application must be responsive to the scope of the solicitation.
- The application must include all items designated as “critical elements.”
- The applicant must not be identified in SAM as excluded from receiving federal awards.

For a list of the critical elements for this solicitation, see “What an Application Should Include” under [Section D. Application and Submission Information](#).

Peer review panels will evaluate, score, and rate applications that meet basic minimum requirements. NIJ may use internal peer reviewers, external peer reviewers, or a combination, to assess applications on technical merit using the solicitation’s review criteria. An external peer reviewer is an expert in the subject matter of a given solicitation who is not a current DOJ employee. An internal reviewer is a current DOJ employee who is well-versed or has expertise in the subject matter of this solicitation. Peer reviewers’ ratings and any resulting recommendations are advisory only, although reviewer views are considered carefully. Other important considerations for NIJ include underserved populations, geographic diversity, strategic priorities, and available funding, as well as the planned scholarly products and the extent to which the Budget Detail Worksheet and Budget Narrative accurately explain project costs that are reasonable, necessary, and otherwise allowable under federal law and applicable federal cost principles.

Pursuant to the Part 200 Uniform Requirements, before award decisions are made, OJP also reviews information related to the degree of risk posed by applicants. Among other things to help assess whether an applicant that has one or more prior federal awards has a satisfactory record with respect to performance, integrity, and business ethics, OJP checks whether the applicant is listed in SAM as excluded from receiving a federal award. In addition, if OJP anticipates that an award will exceed \$150,000 in federal funds, OJP also must review and consider any information about the applicant that appears in the non-public segment of the integrity and performance system accessible through SAM (currently, the Federal Awardee Performance and Integrity Information System; “FAPIS”)

**Important note on FAPIS:** An applicant, at its option, may review and comment on any information about itself that currently appears in FAPIS and was entered by a federal awarding agency. OJP will consider any such comments by the applicant, in addition to the other information in FAPIS, in its assessment of the risk posed by the applicant.

The evaluation of risks goes beyond information in SAM, however. OJP itself has in place a framework for evaluating risks posed by applicants for competitive awards. OJP takes into account information pertinent to matters such as —

1. Applicant financial stability and fiscal integrity
2. Quality of the applicant's management systems, and applicant's ability to meet prescribed management standards, including those outlined in the DOJ Grants Financial Guide
3. Applicant's history of performance under OJP and other DOJ awards (including scholarly products, and compliance with reporting requirements and award conditions), as well as awards from other federal agencies
4. Reports and findings from audits of the applicant, including audits under the Part 200 Uniform Requirements
5. Applicant's ability to comply with statutory and regulatory requirements, and to effectively implement other award requirements

All final award decisions will be made by the Director of the National Institute of Justice, who may take into account not only peer review ratings and NIJ recommendations, but also other factors as indicated in this section.

## **F. Federal Award Administration Information**

### **Federal Award Notices**

Award notifications will be made by September 30, 2018. OJP sends award notifications by email through GMS to the individuals listed in the application as the point of contact and the authorizing official (E-Biz POC and AOR). The email notification includes detailed instructions on how to access and view the award documents, and steps to take in GMS to start the award acceptance process. GMS automatically issues the notifications at 9:00 p.m. eastern time on the award date.

For each successful applicant, an individual with the necessary authority to bind the applicant will be required to login; execute a set of legal certifications and a set of legal assurances; designate a financial point of contact; thoroughly review the award, including all award conditions; and sign and accept the award. The award acceptance process requires physical signature of the award document by the authorized representative and the scanning and submission of the fully-executed award document to OJP.

### **Administrative, National Policy, and Other Legal Requirements**

If selected for funding, in addition to implementing the funded project consistent with the OJP-approved application, the recipient must comply with all award conditions, as well as all applicable requirements of federal statutes and regulations (including applicable requirements referred to in the assurances and certifications executed in connection with award acceptance). OJP strongly encourages prospective applicants to review information on post-award legal requirements and common OJP award conditions **prior** to submitting an application.

Applicants should consult the "[Overview of Legal Requirements Generally Applicable to OJP Grants and Cooperative Agreements - FY 2018 Awards](https://ojp.gov/funding/index.htm)", available in the OJP Funding Resource Center at <https://ojp.gov/funding/index.htm>. In addition, applicants should examine the following two legal documents, as each successful applicant must execute both documents

before it may receive any award funds. (An applicant is not required to submit these documents as part of an application.)

- [Certifications Regarding Lobbying; Debarment, Suspension and Other Responsibility Matters; and Drug-Free Workplace Requirements](#)
- [Certified Standard Assurances](#)

The webpages accessible through the “[Overview of Legal Requirements Generally Applicable to OJP Grants and Cooperative Agreements - FY 2018 Awards](#)” are intended to give applicants for OJP awards a general overview of important statutes, regulations, and award conditions that apply to many (or in some cases, all) OJP grants and cooperative agreements awarded in FY 2018. Individual OJP awards typically also will include additional award conditions. Those additional conditions may relate to the particular statute, program, or solicitation under which the award is made; to the substance of the funded application; to the recipient's performance under other federal awards; to the recipient's legal status (e.g., as a for-profit entity); or to other pertinent considerations.

As stated above, NIJ expects that it will make any award under this solicitation in the form of a cooperative agreement.

### **General Information about Post-Federal Award Reporting Requirements**

In addition to the deliverables and expected scholarly products described in [Section A. Program Description](#), any recipient of an award under this solicitation will be required to submit the following reports and data.

Required reports. Recipients typically must submit quarterly financial reports, semi-annual progress reports, final financial and progress reports, and, if applicable, an annual audit report in accordance with the Part 200 Uniform Requirements or specific award conditions. Applicants should anticipate that progress reports will be required to follow the non-budgetary components of the Research Performance Progress Report (RPPR) template/format. General information on RPPRs may be found at [www.nsf.gov/bfa/dias/policy/rppr/](http://www.nsf.gov/bfa/dias/policy/rppr/). Future awards and fund drawdowns may be withheld if reports are delinquent. (In appropriate cases, OJP may require additional reports.)

Awards that exceed \$500,000 will include an additional condition that, under specific circumstances, will require the recipient to report (to FAPIIS) information on civil, criminal, and administrative proceedings connected with (or connected to the performance of) either the OJP award or any other grant, cooperative agreement, or procurement contract from the federal government. Additional information on this reporting requirement appears in the text of the award condition posted on the OJP webpage at <https://ojp.gov/funding/FAPIIS.htm>.

Data on performance measures. In addition to required reports, an award recipient under this solicitation also must provide data that measure the results of the work done under the award. To demonstrate program progress and success, as well as to assist DOJ with fulfilling its responsibilities under the Government Performance and Results Act of 1993 (GPRA), Public Law 103-62, and the GPRA Modernization Act of 2010, Public Law 111-352, OJP will require any award recipient, post award, to provide performance data listed as part of regular progress reporting. Successful applicants will be required to access OJP's performance measurement

page at [www.ojp.gov/performance](http://www.ojp.gov/performance) to view the specific reporting requirements for this grant program.

## **G. Federal Awarding Agency Contact(s)**

For questions directed to the Federal Awarding Agency, see NCJRS contact information on the title page. For contact information for Grants.gov, see the title page.

## **H. Other Information**

### **Freedom of Information Act and Privacy Act (5 U.S.C. 552 and 5 U.S.C. 552a)**

All applications submitted to OJP (including all attachments to applications) are subject to the federal Freedom of Information Act (FOIA) and to the Privacy Act. By law, DOJ may withhold information that is responsive to a request pursuant to FOIA if DOJ determines that the responsive information either is protected under the Privacy Act or falls within the scope of one of nine statutory exemptions under FOIA. DOJ cannot agree in advance of a request pursuant to FOIA not to release some or all portions of an application.

In its review of records that are responsive to a FOIA request, OJP will withhold information in those records that plainly falls within the scope of the Privacy Act or one of the statutory exemptions under FOIA. (Some examples include certain types of information in budgets, and names and contact information for project staff other than certain key personnel.) In appropriate circumstances, OJP will request the views of the applicant/recipient that submitted a responsive document.

For example, if OJP receives a request pursuant to FOIA for an application submitted by a nonprofit or for-profit organization or an institution of higher education, or for an application that involves research, OJP typically will contact the applicant/recipient that submitted the application and ask it to identify -- quite precisely -- any particular information in the application that the applicant/recipient believes falls under a FOIA exemption, the specific exemption it believes applies, and why. After considering the submission by the applicant/recipient, OJP makes an independent assessment regarding withholding information. OJP generally follows a similar process for requests pursuant to FOIA for applications that may contain law-enforcement sensitive information.

### **Provide Feedback to OJP**

To assist OJP in improving its application and award processes, OJP encourages applicants to provide feedback on this solicitation, the application submission process, and/or the application review process. Provide feedback to [OJPSolicitationFeedback@usdoj.gov](mailto:OJPSolicitationFeedback@usdoj.gov).

**IMPORTANT:** This e-mail is for feedback and suggestions only. OJP does not send replies from this mailbox to messages it receives in this mailbox. Any prospective applicant that has specific questions on any program or technical aspect of the solicitation **must** use the appropriate telephone number or e-mail listed on the front of this solicitation document to obtain information. These contacts are provided to help ensure that prospective applicants can directly reach an individual who can address specific questions in a timely manner.

If you are interested in being a reviewer for other OJP grant applications, please e-mail your resume to [ojpperreview@l-secb.com](mailto:ojpperreview@l-secb.com). (Do not send your resume to the OJP Solicitation

Feedback email account.) **Note:** Neither you nor anyone else from your organization or entity can be a peer reviewer in a competition in which you or your organization/entity has submitted an application.

## Application Checklist

### Tribal-Researcher Capacity Building Grants

This application checklist has been created as an aid in developing an application.

#### What an Applicant Should Do:

##### *Prior to Registering in Grants.gov:*

\_\_\_\_\_ Acquire a DUNS Number (see page 27)

\_\_\_\_\_ Acquire or renew registration with SAM (see page 27)

##### *To Register with Grants.gov:*

\_\_\_\_\_ Acquire AOR and Grants.gov username/password (see page 27)

\_\_\_\_\_ Acquire AOR confirmation from the E-Biz POC (see page 27)

##### *To Find Funding Opportunity:*

\_\_\_\_\_ Search for the funding opportunity on Grants.gov (see page 27)

\_\_\_\_\_ Access Funding Opportunity and Application Package (see page 27)

\_\_\_\_\_ Sign up for Grants.gov [email](#) notifications (optional) (see page 25)

\_\_\_\_\_ Read [Important Notice: Applying for Grants in Grants.gov](#)

\_\_\_\_\_ Read OJP policy and guidance on conference approval, planning, and reporting available at [ojp.gov/financialguide/DOJ/PostawardRequirements/chapter3.10a.htm](http://ojp.gov/financialguide/DOJ/PostawardRequirements/chapter3.10a.htm) (see page 11)

##### *After Application Submission, Receive Grants.gov Email Notifications That:*

\_\_\_\_\_ (1) application has been received

\_\_\_\_\_ (2) application has either been successfully validated or rejected with errors (see page 28)

##### *If no Grants.gov receipt, and validation or error notifications are received:*

\_\_\_\_\_ Please refer to the section: Experiencing Unforeseen Grants.gov Technical Issues (see page 28)

#### Overview of Post-Award Legal Requirements:

\_\_\_\_\_ Review the [Overview of Legal Requirements Generally Applicable to OJP Grants and Cooperative Agreements - FY 2018 Awards](#) in the OJP Funding Resource Center at <https://ojp.gov/funding/index.htm>.

#### Scope Requirement:

\_\_\_\_\_ The federal amount requested is within the allowable limit(s).

**Eligibility Requirement:** See cover page.

#### What an Application Should Include:

\_\_\_\_\_ Application for Federal Assistance (SF-424) (see page 12)

\_\_\_\_\_ Project Abstract (if applicable) (see page 12)

\_\_\_\_\_ Program Narrative (critical element) (see page 13)

\_\_\_\_\_ Budget Detail Worksheet (critical element) (see page 17)

\_\_\_\_\_ Indirect Cost Rate Agreement (if applicable) (see page 20)

\_\_\_\_\_ Tribal Authorizing Resolution (if applicable) (see page 21)

\_\_\_\_\_ Financial Management and System of Internal Controls Questionnaire

- \_\_\_\_\_ [Disclosure of Lobbying Activities \(SF-LLL\)](#) (see page 21)
- \_\_\_\_\_ Additional Attachments (see page 22)
  - \_\_\_\_\_ Applicant Disclosure of Pending Applications (see page 22)
  - \_\_\_\_\_ Curriculum vitae or resume (critical element) (see page 15)
  - \_\_\_\_\_ Research and Evaluation Independence and Integrity (see page 23)
- \_\_\_\_\_ Request and Justification for Employee Compensation; Waiver (if applicable) (see page 10)

## Funding Webinar Transcript

On Thursday, February 22, 2018, NIJ hosted a webinar that provided an overview of our open solicitation Tribal-Researcher Capacity Building Grants

Following are the transcript and slide presentation from that webinar.

MARY JO GIOVACCHINI: Good afternoon everyone and welcome to today's webinar, Funding Opportunities through NIJ for Tribal-Researcher Capacity Building Grants in FY 2018. At this time, I would like to introduce you to Tina Crossland, Senior Social Science Analyst with the National Institute of Justice.

TINA CROSSLAND: Thank you Mary Jo and welcome everyone, and thank you for taking part in today's webinar. The key goals of this webinar are to highlight the solicitation's purpose, goals, and expectations; review areas of interest and what activities are permissible under the request for proposals; provide a general overview of the application requirements; identify tools and resources for applicants that will facilitate the submission process; explain the application review process; and then offer an opportunity for prospective applicants and partners to ask questions.

NIJ respects the government-to-government relationship that exists between the federal government and tribes as sovereign nations, by ensuring all research efforts are tribally engaged. NIJ has also committed to activities that maintain high standards of scientific integrity, rigor, and ethics to fill our federal trust responsibility. To ensure the work of tribal nations and people takes the most appropriate approach and is of the highest quality, NIJ understands the need to continually improve its funding priorities and processes. Consequently, NIJ is introducing a new solicitation to address research capacity. This solicitation came about after a year of engaging with tribal leaders, community members, researchers, and other federal agency officials. The purpose of the outreach was to gather information, feedback, suggestions, and to coordinate information and resources. Feedback from these listening sessions was generally positive and there was a strong preference for a program that was responsive to tribal needs and focused on building the capacity of tribal people.

It was emphasized that we should focus on building research capacity using a tribe-centered approach. Previous tribal-researcher partnerships have been unsuccessful in part because of the limited amount of time a solicitation is open and the ability to conduct outreach to tribal stakeholders in order to enter into mutually beneficial and equitable partnerships. This process is counter to community-based participatory research principles, and lacks the tribe-centered approach to address public safety issues most important to tribal partners. One of the key recommendations coming out of this effort is the need to provide planning grants to ensure that a tribal-researcher partnership has sufficient time and resources to develop. Through this solicitation, NIJ will provide small grants to fund applicants that wish to both facilitate a new tribal-researcher partnership and initiate a new and innovative research project involving federally recognized tribes or tribally based organizations.

Tribal organizations could include a tribal coalition, regional intertribal co-organizations, tribal training and technical assistance provider serving tribal citizens, and so on. NIJ expects to make at least five awards this year, with individual awards not exceeding \$100,000. In addition, awards will not exceed an 18-month period of performance. Future funding may be made based upon the final deliverables that I will discuss later in this webinar.

NIJ has been supporting and directing research and evaluation studies on tribal crime and justice issues since the 1980s. Knowing the long history of unethical and unequitable research practices that so many indigenous populations have been subjected to, NIJ follows a basic premise that all of our tribal studies must establish equitable and mutually beneficial research partnerships, which means both partners benefit from the partnership and relationship.

The ultimate goal of this solicitation is to build an increased capacity to conduct rigorous research and evaluation projects in Indian country and Alaska Native villages or other tribal communities or settings through promotion of engagement between researchers and tribal nations, citizens, and stakeholders. The objective of this solicitation is to fund multiple planning grants for projects promoting such engagements that address criminal justice issues that tribal partners wish to address. NIJ encourages research that will support tribal nation building and cultural goals and values. Specifically, we encourage studies designed to acquire information and knowledge that will enable tribes to make informed decisions about policies, programs, and community action that address crime and victimization. Therefore, research teams are expected to demonstrate a commitment to conducting sensitive research with tribal communities using a collaborative and participatory approach that ensures transparency, local buying, and coordination. Research teams must go into this process with an understanding that developing and implementing project activities must be done collaboratively with tribal partners. By doing so, results from these studies are expected to help establish and enhance justice systems that successfully restore safety and promote healing.

While the scope of this solicitation is defined as investigator-initiated, the following research topics are of particular interest: administration of justice for Native youth and adults, alcohol and other drugs of use and abuse, crime prevention and intervention efforts, criminal offending, enhancing investigations and prosecutions in Indian country and Alaska, murdered and missing indigenous people, trafficking of Native women and girls, reducing violent crimes, responding to and reducing victimization, strengthening tribal justice systems, and the development, testing, and evaluation of tools and technology to improve policy and practice in tribal communities. Clearly this list is not exhaustive; other investigated initiative criminal justice topics will be considered, especially since the focus will be driven by the tribal partner. This partnership should prioritize tribal issues for the benefit of the tribal community.

Under this solicitation, outreach and engagement activities are permissible. Given the nature of the partnership, conferring with tribal partners will be a key task. Types of engagement may include developing and presenting technical and factual presentations for tribal leadership or other governing bodies and to the tribal communities at large. Documentation of the partnership is also required.

All projects involving tribal nations and/or citizens will be required to secure appropriate authorizations to engage in research activities. This may require obtaining a tribal resolution or executive order, or some other appropriate documentation from authorized tribal officials. Other similar tasks may include obtaining participatory agreements that set out the goals, objectives, priorities, and plans, and the roles and responsibilities of each partner. It also requires securing a tribal institutional review approval where required or from some other analogous bodies, such as the tribal research board or subcommittee. That is in addition to the applicant's Institutional Review Board. This will most likely entail several site visits and meetings of tribal executive branch and program staff, and presentations to the tribal council and other offshoot, such as a district within a tribal nation.

Once legal documents and agreements have been put in place, the tribal research team should develop research questions and an appropriate study design. The entire process should use community-based participatory research principles that involve the tribal partner in all aspects of the research process; in general, NIJ funds quantitative, qualitative, and mixed-method studies that includes indigenous research methodologies. Projects to be considered under this solicitation include social and behavioral science projects, forensic sciences such as enhancing forensic investigations in Indian country, as well as technology development testing and evaluation. One tribal partner or community may want to do a cost of crime study, while another may wish to test out new technology (for example, a study of body-worn cameras of tribal law enforcement), and others may wish to test and evaluate correctional equipment or technologies or engage in geospatial analysis and crime mapping. Once again, the research must be driven by the tribal partner.

In preparation of developing final deliverables, the team may conduct pilot tests or feasibility or evaluability assessment studies that may involve collecting preliminary data and/or conducting secondary data analysis.

Besides the standard grant reporting requirements like semi-annual research performance progress and quarterly financial reports, there are three key deliverables under this solicitation. They include a final research report in the form of a research or evaluation proposal based on the results of the activities funded under the grant. NIJ will consider such proposals for potential funding moving forward. A special report is also required that shall describe the tribal-researcher partnership in detail. The report should thoroughly capture the process, acceptance of the collaboration including lessons learned, challenges and successes experienced, and overall reflections. This report should also map out key issues that may help inform existing or future partnerships of a similar nature. One of the strengths of the program lies in disseminating lessons learned to the tribal community at large. Additionally, any data sets and associated files and documentation are required if applicable and appropriate. However, NIJ will not archive any data that are identifiable to an individual or tribe.

In addition to the three key deliverables mentioned before, NIJ wishes to get copies of products developed by the partnership that were created specifically for tribal stakeholders. However, tribal permission must be obtained before this dissemination. NIJ also anticipates copies of materials taking the form of one or more published, periodic scientific journal articles or similar scientific products that a tribal partner authorized.

Specific expenses that are not allowed are listed in this solicitation, By way of reminder, NIJ will not fund applications that are not responsive to the specific solicitation. We will not fund applications whose primary purpose is to purchase equipment, materials, or supplies. However, the budget may include these items if they are necessary to conduct research, development, testing, and evaluation. NIJ will not fund applications whose work is funded under another federal award (for example, ongoing work or a similar project). NIJ will not fund training in support of programs or direct services unrelated to or associated with the proposed project. And NIJ will not fund programs or services unrelated to the scope of the project or existing programs and services being evaluated.

As I mentioned earlier, we held several listening sessions on capacity building and what tribal-researcher partnership should look like. In many cases, we were told that these partnerships should involve a mentorship component, where the researcher works with tribal members to help develop the research and evaluation capacity and infrastructure in tribal communities and in turn the tribal partner can mentor researchers on tribal issues and affairs. Therefore, these

activities are permissible. As always, please see the solicitation for more information on what will not be funded.

To ensure costs are allowable, we strongly encourage applicants to review the Funding Resource Center for additional information and helpful guidance. In addition, we also encourage applicants to review the Department Grant Financial Guide and take the online training, which is a requirement for all funded grantees.

Next, I'll be talking about the application process. The application checklist can be found on pages 36 and 37 of the solicitation. Please carefully review the checklist when preparing your application and prior to submission. NIJ has designated application elements as critical and they are shown on this slide with an asterisk. If any of these elements are missing, a proposal will not move into the peer review phase. The four critical elements are the program narrative, budget detail worksheet, budget narrative, and résumés or curriculum vitae of key personnel. For purposes of this solicitation, key personnel means principal investigator and any and all co-principal investigators and/or project director, coordinator, tribal partners, and key staff.

As it pertains to legal documentation of the tribal partnership, a tribal resolution, letter, affidavit, or other documentation, as appropriate, that demonstrates (as a legal matter) that the applicant has the requisite authorization from the tribe(s) to implement the proposed project should be provided. In those instances when an organization or consortium of tribes applies for an award on behalf of a tribe or multiple specific tribes, the application should include appropriate legal documentation, from all tribes.

To further clarify, letters of support or commitment are not equivalent to a tribal legal document. For example, a tribal program manager does not have the authority to commit to the partnership and project unless legal documentation is provided by the tribal government stating otherwise. Similarly, if a tribally-based organization is the partner, the authorized representative or executive authority is the only one authorized to commit to the project (e.g., executive director). If a tribal resolution or other legal documentation cannot be secured prior to the application submission, a copy of the draft document should be provided with information indicating when it was submitted and when an anticipated response is expected. Be mindful, no awards will be made without fully executed tribal documents.

Please see the solicitation for guidance and details on each of these items.

Other items that may be included in appendices of the application include bibliography and references; any tools, instruments, questionnaires, tables, charts, graphs, or maps pertaining to the proposed project; a proposed project timeline and expected milestones; human subjects protection paperwork; a list of any previous and current NIJ awards to the applicant and partners; justification for stipends or compensation payments as part of the project; a data archiving plan, if applicable; and letters of cooperation or support or administrative agreements from organizations collaborating on the project. Once again, these are not in lieu of tribal legal documents. As a reminder, if you have submitted questions, we will answer them during the Q&A section at the end of the webinar. Once again, please see the solicitation for guidance and more information on application submissions.

Some key application processes that are time sensitive include registering for Grants.gov. Registering with Grants.gov is a one-time process. However, processing delays may occur and it can take several weeks for first-time recipients. We strongly encourage applicants to register several weeks before the application submission deadline, which is April 23. In addition, we

urge applicants to submit applications at least 72 hours prior to the application due date in order to allow time for the applicants to receive validation messages or rejection notifications from grants.gov, and to correct in a timely fashion any problems that may have caused a rejection notice. For any technical difficulties, you will contact Grants.gov customer support.

Finally, Grants.gov has two categories of files per attachment: mandatory and optional. NIJ receives all files attached in those categories. Attachments are also labeled to describe the file being attached. Therefore, mandatory files include the program narrative, budget narrative, and budget worksheet, and curriculum vitae/résumés of the key staff. Optional files include the other forms and appendices mentioned earlier. Please ensure that all of the required documents are attached in the correct Grants.gov category and labeled correctly.

Now we'll talk about the review process. Once again, there are four critical elements for the application. The program narrative of the application that should not exceed 30 double-spaced pages in 12-point font with 1-inch margins. If included in the main body of the program narrative, tables, charts, figures, and other illustrations count toward the 30-page limit for the narrative section. The project abstract, table of contents, appendices, and government forms do not count toward the 30-page limit. If the program narrative fails to comply with these length-related restrictions, NIJ may consider such noncompliance in peer review and in final award decisions. Other expected documents include a program abstract that summarizes the project in 250-400 words and a the title page that includes the title of the project, submission date, funding opportunity number, and the name and complete contact information (that is, address, telephone number, and e-mail address) for both the applicant and the principal investigator and partners. There are other attachments that should be included with an application, such as the Application for Federal Assistance also known as the SF-424, and Human Subjects and Privacy documentation, which is required for ALL projects, whether human subjects are involved or not. While these are not critical elements, failure to include these items may result in a less favorable review, or a delay in releasing funds if awarded.

As you can see, proposals received under the solicitation will be evaluated according to four criteria, each of which carries a different weight based on its importance. The statement of the problem should address the needs of the research in the area. Applicants should discuss current gaps in data, research, and knowledge, including those for a particular justice sector, and to answer questions relevant to current policy and practice needs. This section should also identify any initial research questions and discuss the purpose, goals, and objectives of the proposed project. Once again, input from the tribal partner is key.

Applicants should provide a detailed description of the strategies to implement the project. Design elements should follow directly from the research project goals and objectives and address the program's specific information. Applicants should consider the rigor and soundness of the methods and the analytical and technical approaches for the proposed research, and address the feasibility of the proposed project and potential challenges or problems in carrying out the activities. Applicants should describe the potential impact of the research and how it may inform or improve criminal or juvenile justice-related policy, practice, or theory in the United States, but most importantly for the tribal partner. The discussion of impact should include a discussion of the deliverables. Applicants should identify plans to produce or make the deliverables available to a broader, interested group of practitioners and policymakers in a form that is designed to be readily accessible and useful.

Finally, the experience and capability of the applicant organization's key staff and any of the proposed subgrantees, including consultants that the applicant will use to implement and

manage this effort and the federal funds under the award, should be described. It's important to highlight any previous experience implementing projects of similar scope, design, and magnitude. In addition, the budget and dissemination plans are elements of consideration when making funding recommendations.

After the solicitation closes, all applications will receive a preliminary review. Applications will be evaluated, determined if they have been submitted by an eligible type of applicant, whether they are responsive to the scope of the solicitation, and whether the four basic minimum required elements have been included. All applications that pass the preliminary review will be forwarded for external peer review, which is composed of technical and practitioner reviewers with expertise in research methods, analyses, and the subject matter, as well as tribal affairs and matters. This process includes those individual reviews by a panelist and a consensus review developed by the entire panel. These reviewers will discuss the merits and limitations of each proposal. In addition, an internal review by NIJ's scientific staff, department subject-matter experts, and leadership will also be completed. Both the external and internal reviews are provided to the NIJ director. All funding decisions are ultimately at the discretion of the NIJ director.

We are providing an estimated application and award timeline for the solicitation. The closing date is April 23. We will immediately commence the basic minimum requirements review after that date. Applicants who did not provide the required elements of the application, or did not meet the scope, will receive notification in May. External and internal peer review will also commence immediately and continue until late June. Funding decisions are expected in June and July but the processing of awards will continue over the summer, with anticipated awards announced between August and October. To allow time for, among other things, any necessary post-award review and financial clearances of the proposed budget, and for any associated responses or other actions that may be required of the recipient, applicants should propose an award start date of January 1, 2019.

And now we'll open it up for questions. If you have not done so already, please remember to submit your question via the Q&A panel, not the chat panel, and make sure it's directed to all. Mary Jo what is our first question.

MARY JO GIOVACCHINI: Hi, everyone. Thank you. We do have some questions here. So the first question is, can the tribal partnership be with a Native American researcher who works with specific tribes and is a member of a tribe, or does it need to be directly with the tribes?

TINA CROSSLAND: The answer is yes. The tribal partnership can be with Native American researcher who works with tribes.

MARY JO GIOVACCHINI: Must a partnership between a university and a tribe be new? Meaning that the two groups have never worked together before?

TINA CROSSLAND: New in the sense that it's a new project, not in the sense that it's a completely new partnership.

MARY JO GIOVACCHINI: Given the research is driven by the tribal partner, will the narrative be expected to be detailed regarding these research methods?

TINA CROSSLAND: No, and that's what makes this particular solicitation perhaps a little bit more difficult in developing, but as you reach out to your tribal research partners, you can come

up with some preliminary areas that the tribal partner is interested in examining. So the research questions and the methods won't be fully vetted until after these awards are made, and so, no, the answer is it can be a little bit ambiguous, but it should be clear that the tribal partner has already provided direct input into what they would like to see happen in the project.

MARY JO GIOVACCHINI: For Institutional Review Board approval, do you mean tribal IRB or institutional IRB, or both? What if the tribe does not have its own IRB?

TINA CROSSLAND: If the tribe doesn't have an IRB, they may have another analogous body. Sometimes the tribal council may have a subcommittee or a board. If the tribe doesn't have any of those things, we will go with the Institutional Review Board of the applicant. All recipients of awards with the department have to have a federal-wide assurance with HHS [U.S. Department of Health and Human Services]. So, we will be looking at the applicant's Institutional Review Board, but if a tribe is involved and they do have an Institutional Review Board, additional reviews will be required.

MARY JO GIOVACCHINI: Can charts, graphs, and textboxes be single spaced?

TINA CROSSLAND: Yes.

MARY JO GIOVACCHINI: Does the \$100,000 budget apply to direct cost or to total cost? Direct cost plus negotiated F&A [Facilities and Administrative]?

TINA CROSSLAND: Total cost.

MARY JO GIOVACCHINI: Can grant funds be used for a single training as part of the building capacity designed in the planning phase?

TINA CROSSLAND: I probably have to know a little bit more about what the training involves and how it relates to the project, unfortunately, because I can't get into the details of the project and the design. I really can't answer that question at this time.

MARY JO GIOVACCHINI: What would be an example of appropriate legal documentation from a tribal-serving organization?

TINA CROSSLAND: Whoever is the authorized representative. So for instance, if that organization has ever applied for funding, whoever that organization has deemed as the legal authority. In many cases, it may be the executive director or president, or however it's been organized and set up.

MARY JO GIOVACCHINI: Is a list of tribal partners and their locations available online?

TINA CROSSLAND: I don't understand the question. As far as federally recognized tribes, there are currently 573. Those tribes can be found on the Department of Interior's Bureau of Indian Affairs page that lists all of the tribes. As far as research partners, we don't have a specific list for those.

MARY JO GIOVACCHINI: Is there a cap on indirect cost rate admin overhead that can be included in the project budget?

TINA CROSSLAND: No.

MARY JO GIOVACCHINI: Is there a cross-match share required for this project?

TINA CROSSLAND: No.

MARY JO GIOVACCHINI: So the main point is to focus on research questions, not methods?

TINA CROSSLAND: You may have initially discussed with your research partner what they feel is the best method or what is the preferred method driven by the tribe. In other words, they may want to do more oral histories rather than quantitative work. All of that can be discussed in general terms.

MARY JO GIOVACCHINI: Given the funding limitations, is NIJ paying full and direct rates on these projects? Universities with higher indirect rates will end up not leaving much left to the project.

TINA CROSSLAND: We go with the negotiated indirect rates that are provided. So, that may be a consideration in who becomes the applicant and who is the subrecipient of the grant.

MARY JO GIOVACCHINI: What if funding from another federal grant uncovered gaps or areas for additional research with a tribal organization? Is this acceptable?

TINA CROSSLAND: Since apparently there's already a pre-established relationship there and the project was previously done, that would not qualify under this solicitation.

MARY JO GIOVACCHINI: And this last question I'll actually answer. Would all the slides be available following the webinar? Yes. The slides and a full transcript of the webinar will be posted to the NIJ website in approximately 10 business days. And you will also receive an email notifying you that the information has been posted and how to access it. How many grants do you anticipate awarding? In other words, are you trying to fund a certain number of projects?

TINA CROSSLAND: We're not exactly sure how many applications we'll receive, since this is the first time that we released this solicitation. I've mentioned earlier that we plan on funding at least five this year. And then based on the final deliverable, that is the research proposal, we could fund one or all, depending what happens with those particular projects. We hope that this will be an ongoing program, so as it's released, we'll be looking at expanding the program.

MARY JO GIOVACCHINI: Who should we contact if we have additional questions following the webinar? And I moved the slide to show the National Criminal Justice Reference Service Response Center and their 800 number. They have a TTY line and email address, and a web chat as well. Can equipment purchased through the grant for research purposes be retained by the tribal organization or the university that retains the equipment?

TINA CROSSLAND: It would have to depend on what the equipment is and I would recommend that you read the financial guide, which provides information on equipment and so forth in the budget.

MARY JO GIOVACCHINI: Are in-kind contributions required?

TINA CROSSLAND: In-kind contributions are not required.

MARY JO GIOVACCHINI: Can a partnership be between two different departments in a large organization, such as between a research department and a hospital both owned by the same organization?

TINA CROSSLAND: I would have to know a little bit more information about that setup. So if you could provide more detail by sending that specific question to NCJRS [National Criminal Justice Reference Service], we may be able to have a better response for you.

MARY JO GIOVACCHINI: If the researcher has previously worked with a tribal organization, would they be excluded?

TINA CROSSLAND: No. So once again, although we were hoping to develop new research partnerships, whatever the project is, it should be new. It's something that should not already have been in development or already been implemented. We're really looking at new projects.

MARY JO GIOVACCHINI: At this time, all the questions have been answered. There is one question that really would pertain more to the scope of the design and would not be able to be answered at this time. So we'll give you a few more minutes just to see if any other questions come through. One more question just came through. I think this is a follow-up to the last question. The organization is a tribally affiliated organization or a tribally sanctioned organization that owns a hospital and research department.

TINA CROSSLAND: They would be eligible.

MARY JO GIOVACCHINI: It looks like we have some questions that are going directly to one individual. The question is, you mentioned a second phase of potential funding. When do you anticipate that being made available?

TINA CROSSLAND: The awards are currently established where they cannot exceed an 18-month period. So, depending on when these projects are submitted, we will be reviewing those proposals, which is the first deliverable (the research proposal), and making determinations. It would more than likely follow the same fiscal funding award cycle that we have at the institute, which means awards would be announced in an August to October timeframe from the time that it's submitted and reviewed.

MARY JO GIOVACCHINI: I forgot to mention earlier, when you send your messages or your questions, please send them to all the panelists, not directly to an individual person or to the host directly. How do you define tribal nation building in the context of an RFP?

TINA CROSSLAND: The project should be supporting a tribal nation. That's what was meant by my statement earlier. So once again, the projects really should be driven by the tribal partner, whoever that is, a tribal organization or a tribal nation, or a tribal stakeholder.

MARY JO GIOVACCHINI: Would a nonprofit tribal organization that works with Native Americans in an urban area be considered a tribally based organization?

TINA CROSSLAND: Yes.

MARY JO GIOVACCHINI: Just looking to see if we've missed any questions. I don't think we've asked this question. Our tribe has its own research department. Can a university partner be a consultant or do they have to be a subaward?

TINA CROSSLAND: They can be a consultant.

MARY JO GIOVACCHINI: One more question, is there a good resource for understanding what the NIJ scientific reviews tend to look for?

TINA CROSSLAND: In the solicitation, under the review criteria, it gives you a list of items there and specifically what the reviewers will be looking for.

MARY JO GIOVACCHINI: So to be clear, a Native American community services that serves all nations in the urban area can be a tribal partner?

TINA CROSSLAND: Yes.

MARY JO GIOVACCHINI: It looks like that's all of the questions. So again, right now, on the screen, you're looking at a slide that has contact information for the National Criminal Justice Reference Service Response Center. If you have any questions after the webinar, please feel free to contact them. You may contact them via the 800 number that you see or the email address listed. They also have a chat feature available on a limited basis. As a reminder, the slides and the presentation will be posted to the NIJ website and you will receive notification via the email address that you registered. We have one more question. We have worked with the tribal organization, and through previous data analysis uncovered a large number of missing persons. This is not a focus of an implementation strategy. Could a project focusing on this be acceptable? Again, as a reminder, NIJ staff cannot answer questions regarding the scope or design of your proposal.

TINA CROSSLAND: Once again, if you do have questions that you would like answered or you received answers for which you would like further clarification, please contact the National Criminal Justice Reference Service and they will be addressed. I do want to thank everybody for participating today and we look forward to your submissions. Thank you.

# Funding Opportunities through NIJ for Tribal- Researcher Capacity Building Grants in FY 2018

February 22, 2018 | 3:00 PM EST

**The webinar will begin shortly**



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# Important Information for Today's Webinar

- **Live-captioning** is available for the hearing impaired. Please click on the “Media Viewer” to log in.
- **Difficulty hearing via your computer?** Click on “Communicate” at the top left, and then “Audio Connection” to adjust the speakers. Still can't hear? Dial in using the information located in the meeting invite.
- **Need technical assistance?** Please use the [Chat Box](#), and send your issue to the Host.
- **Questions about the presentation?** Submit questions at any time by **using the Q&A box and selecting all panelists**. Questions will be answered at the end of the presentation.
- A transcript of this presentation, and the related slides will be posted to the NIJ website.



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# Funding Opportunities through NIJ for Tribal- Researcher Capacity Building Grants in FY 2018

Solicitation: NIJ-2018-13840

Solicitation Post Date: February 1, 2018

Solicitation Close Date: April 23, 2018 11:59 PM EDT

## Today's Presenter:

Christine "Tina" Crossland, Senior Social Science Analyst  
Office of Research & Evaluation



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# Webinar Overview

- Background & Purpose
- Goals & Expectations
- Areas of Inquiry & Permissible Activities
- Application Requirements & Submission Procedure
- Tools and Resources
- Review Process & Selection Criteria
- Q&A Session

# Background and Purpose

- **NEW!**
  - Recommendation coming from tribal engagement
  - Focuses on building research capacity using a tribe-centered approach
- **Objective**
  - Facilitate a new tribal-researcher partnership; and
  - Initiate new and innovative research projects involving federally recognized tribes (or tribally-based organizations)
- **Science Areas**
  - Social and behavioral science
  - Investigative forensics science
  - Technology development, testing, and evaluation
- Funds awarded through a competitive process with future funding possible

# Goals and Expectations

- Promote engagement between researchers and tribal nations, citizens, and stakeholders
- Establish equitable and mutually beneficial research partnerships
- Develop research plans that address criminal justice issues of importance to tribal partners
- Increase the ability to conduct rigorous research and evaluation projects in tribal communities

# Areas of Inquiry

- Administration of justice for Native youth and adults
- Alcohol and other drugs of use and abuse
- Crime prevention and intervention efforts
- Criminal offending
- Enhancing investigations and prosecutions in Indian country and Alaska
- Murdered, missing, and trafficked Native women and girls
- Reducing violent crime
- Responding to and reducing victimization
- Strengthening tribal justice systems
- Tools and technologies to improve policy and practice
- Other criminal justice investigator initiated topics

# Types Of Activities That Can Be Funded

- **Outreach and Engagement Activities**

- Developing, presenting, and disseminating materials for tribal leadership (or governing bodies), communities members, and stakeholders
  - Presentations, FAQs, newsletter articles, infographics
- Drafting and securing tribal resolutions or executive orders
- Drafting and executing participatory agreements and/or data sharing agreements

# Types Of Activities (cont.)

- **Conducting Research**

- Developing research questions and study designs with tribal partner
  - community-based participatory research principals
- Securing tribal institutional review board approval
- Conducting pilot studies
- Performing feasibility or evaluability assessments
- Completing secondary data analysis
- Drafting a tribal-researcher criminal justice research proposal

# Expected Deliverables

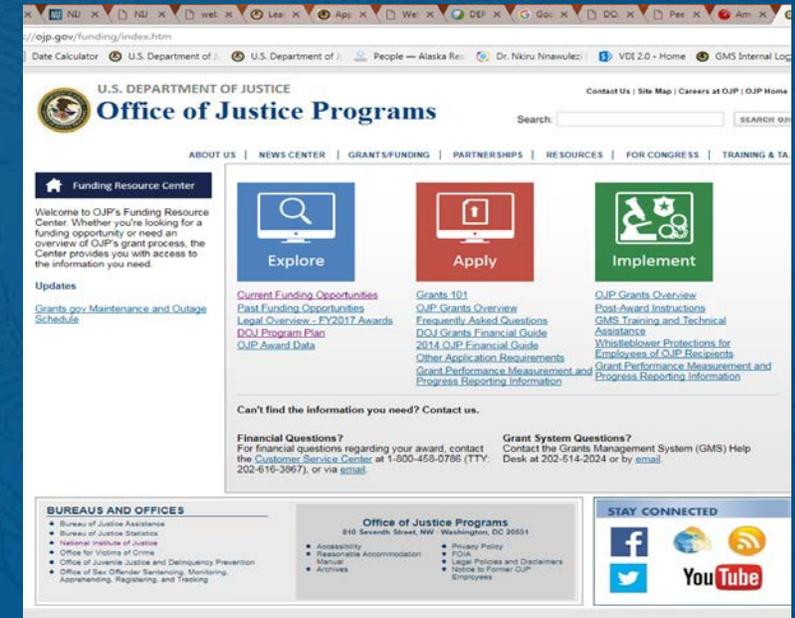
- **Standard grant reporting requirements**
  - Quarterly and final financial reports
  - Semi-annual research performance progress reports
- **Criminal justice research or evaluation proposal**
- **Special report describing the tribal-researcher partnership**
- **Associated data sets or files, if appropriate**
- **Community and scholarly products**
  - Peer-reviewed journal articles
  - Presentations to tribe stakeholders and at appropriate scientific conferences
- **The strength of the research lies in disseminating the results to the tribal community at large.**

# What will not be funded

- Applications...
  - that are not responsive to this specific solicitation
  - whose primary purpose is to purchase equipment, materials, or supplies
  - whose work is funded under another federal award
  - that request training in support of programs or direct services unrelated to or associated with the proposed project
  - that request programs or services unrelated to the scope of the project or existing programs or services being evaluated
    - However: “A budget may include these items if they are necessary to conduct research, development, demonstration, evaluation, or analysis.”

# Recommended Resources

- **OJP Funding Resource Center**
  - <https://ojp.gov/funding/index.htm>
- **DOJ Grants Financial Guide**
  - <https://ojp.gov/financialguide/DOJ/index.htm>
- **DOJ Grants Financial Management Online Training**
  - <https://ojpfgm.webfirst.com/>



# APPLICATION PROCESS



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*NIJ FY18 Tribal-Researcher Capacity Building Grants Solicitation*

# Application Checklist | Requirements

– See pages **36- 37** of the solicitation

- What an Application Should Include:

- Application for Federal Assistance (SF-424)
- Project Abstract
- **Program Narrative (critical element) \***
- **Budget Detail Worksheet & Narrative (critical elements) \***
- Indirect Cost Rate Agreement (if applicable)
- **Tribal Authorizing Resolution or Executive Order**
- Financial Management and System of Internal Controls Questionnaire
- Disclosure of Lobbying Activities (SF-LLL)



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# Application Checklist | Requirements

– See pages **36- 37** of the solicitation

- Additional Attachments

- Applicant Disclosure of Pending Applications
- **Curriculum vitae or resume (critical element) \***
- Research and Evaluation Independence and Integrity
- Request and Justification for Employee Compensation; Waiver (if applicable)
- Complete list of the individuals named or otherwise identified anywhere in the application

# Application Submission

- Grants.gov

- Registering in advance of deadline
- Acquire a unique entity identifier (currently, a DUNS number).
- Acquire or maintain registration with SAM
- Submit application packet at least 72 hours prior to deadline
  
- Workspace
- Mandatory and Optional Attachments
  - Files labeled to describe the file being attached (e.g., program narrative)



# REVIEW PROCESS



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*NIJ FY18 Tribal-Researcher Capacity Building Grants Solicitation*

# Basic Minimum Requirements

1. Program narrative
  2. Budget detail worksheet
  3. Budget narrative
  4. CVs, resumes, or biographical sketches of key personnel
- Other key elements
    - Tribal resolution or other tribal legal documentation

# Selection Criteria

- **Statement of the Problem and Research Questions** 20%
  - Understanding of the problem, research questions, and their importance
- **Project Design and Implementation** 30%
  - Quality and technical merit
- **Potential Impact** – 15%
- **Capabilities/Competencies** – 35%
  - Demonstrated productivity, and experience of the applicant organization and proposed project staff
  
- **Budget**
- **Dissemination plans**

# External and Internal Review

- **BMR/Responsiveness Review**
  - Submitted by an eligible type applicant
  - Responsive to the scope of the solicitation
  - Basic Minimum Requirements included
- **External Peer Reviewer**
  - Technical and practitioner reviewers
  - Tribal Expertise
- **Internal Review**
  - NIJ scientific staff and leadership
  - Department subject matter experts
- **All funding decisions are at the discretion of the NIJ Director**

# Application and Award Timeline

- Solicitation closing date – April 23, 2018 at 11:59 PM EDT
- Basic Minimal Review – April 2018
  - Notification to non-BMR applicants – May 2018
- External and Internal Peer Review – April to June 2018
- Funding Decisions – June to July 2018
- Award Processing – July to September 2018
- Award Announcements – August to October 2018
- Project Start Date – No sooner than January 1, 2019
  - Project Period – Not to exceed 18 months (not renewable)



# QUESTIONS & ANSWERS

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## DISCUSSION



**NIJ**

# Contact Information

**National Criminal Justice Reference Service Response Center (NCJRS)**

**Toll-free +1 (800) 851-3420**

**TTY +1 (301) 240-6310 for hearing impaired only**

**Email [Grants@ncjrs.gov](mailto:Grants@ncjrs.gov)**

**Fax +1 (301) 240-5830**

**Web chat <https://webcontact.ncjrs.gov/ncjchat/chat.jsp>**

**NIJ FAQs <https://www.nij.gov/funding/Pages/faqs.aspx>**



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Thank You!



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