

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

April 15, 2019: On March 28, 2019, NIJ hosted a webinar which included an overview and discussion on this funding opportunity. The slides and transcript from this webinar have been added to the end of this solicitation document.

The original solicitation document begins on the next page.



---

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: May 13, 2019**

### **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),<sup>1</sup> 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>2</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 2019 solicitation in future fiscal years, dependent on, among other considerations, the merit of the applications and on the availability of appropriations.

---

<sup>1</sup> A determination by the Secretary of the Interior is not required for tribes to which federal recognition was extended by virtue of Public Law 115-121, the Thomasina E. Jordan Indian Tribes of Virginia Federal Recognition Act of 2017.

<sup>2</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 May 13, 2019.

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-2019-15203

Release date: March 14, 2019

## Contents

A. Program Description .....	4
Overview .....	4
Program-Specific Information .....	4
Goals, Objectives, Deliverables, and Expected Scholarly Products .....	5
B. Federal Award Information.....	8
Type of Award .....	8
Financial Management and System of Internal Controls .....	9
Budget Information .....	10
Cost Sharing or Matching Requirement .....	10
Pre-agreement Costs (also known as Pre-award Costs) .....	10
Limitation on Use of Award Funds for Employee Compensation; Waiver.....	10
Prior Approval, Planning, and Reporting of Conference/Meeting/Training Costs .....	11
Costs Associated with Language Assistance (if applicable) .....	11
C. Eligibility Information.....	12
D. Application and Submission Information .....	12
What an Application Should Include .....	12
How to Apply .....	27
E. Application Review Information.....	31
Review Criteria .....	31
Review Process.....	33
F. Federal Award Administration Information .....	35
Federal Award Notices .....	35
Administrative, National Policy, and Other Legal Requirements .....	35
General Information about Post-Federal Award Reporting Requirements.....	36
G. Federal Awarding Agency Contact(s) .....	36
H. Other Information.....	37
Freedom of Information Act and Privacy Act (5 U.S.C. 552 and 5 U.S.C. 552a) .....	37
Provide Feedback to OJP .....	37
Application Checklist .....	38

# Tribal-Researcher Capacity Building Grants

(CFDA No. 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 planning 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:** Title I of the Omnibus Crime Control and Safe Streets Act of 1968 (sections 201 and 202); the Homeland Security Act of 2002 (sections 231-233); and 28 U.S.C. 530C.

### Program-Specific Information

Through this solicitation, NIJ will provide small planning grants to fund applications to develop new and innovative criminal justice research projects involving federally-recognized tribes (or tribally-based organizations), and that represent a new tribal-researcher investigator partnership.<sup>3</sup> For the purposes of this solicitation, a new partnership is defined as a newly-developed partnership where a partnership did not previously exist. Applications that do not involve a new tribal-researcher investigative partnership will not be considered (i.e., a pre-existing partnership or project continuation). 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;

---

<sup>3</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.

- 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.

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:

- The impact of concurrent criminal jurisdiction on the administration of justice in Indian country and Alaska Native villages.
- The effectiveness of the criminal justice response to combating the opioid crisis, and more broadly the use and abuse of alcohol and other drugs (e.g., methamphetamine, heroin, and other opioids including fentanyl, diverted pharmaceuticals, synthetic drugs, and analogues).
- Combating violent crime and responding to, and reducing victimization.
- Enhancing investigations and prosecutions.
- Murdered, missing, and trafficked persons.
- Sexual assault.
- Exploited children.
- Provision, role, and impact of forensic science services (including medicolegal death investigation), particularly as it relates to combating the opioid crisis and violent crime.
- Strengthening tribal justice systems (e.g., evaluating tribal healing to wellness courts, tribal-state collaborations, wellness court collaborations, technology-based court systems that improve court operations and outcomes, tribal-reentry programs).
- Developing and testing tools and technologies to improve criminal justice policy and practice (e.g., unmanned aircraft systems, body-worn cameras, drug-detecting technology, location-based technology, digital devices or applications, victim technology-based services).

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

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

The 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 the promotion of engagement between researchers and tribal nations. The objective of this solicitation is to fund multiple planning grants for projects promoting such arrangements 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 proposal for a criminal justice research or evaluation project 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](#). 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](#).

For tribal nations with specific data access and/or ownership policies that prohibit or limit data archiving, NIJ expects the recipient of an award made under this solicitation to work with any participating or impacted tribe to ensure that an appropriate data sharing agreement is developed and implemented with the tribe that provides, among other things (as applicable to the project), that the designated tribal entity (tribal council, tribal IRB or analogous body) can review and approve data access requests.

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 and/or tribal stakeholders (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) for an overview of performance measurement activities at OJP.

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.	1. 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.	1. 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 proposal and special report on the partnership).
Conduct research in social and behavioral sciences having clear implications for criminal justice policy and practice in the United States.	2. Quality of the research as demonstrated by the scholarly products that result in whole or in 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.	If applicable, an annual audit report.
	3. 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.	2. List of citation(s) to all scholarly products that resulted in whole or in part from work funded under the NIJ award.
	4. Number of technologies fielded as a result (in whole or in part) of work funded under the NIJ award, if applicable.	3. Description of all technologies fielded as a result (in whole or in part) of work funded under the NIJ award (if applicable).

## 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 (approximately \$100,000 per award). 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, 2020.

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>4</sup>) must, as described in the Part 200 Uniform Requirements<sup>5</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 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://onlinegfmt.training.ojp.gov>. (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.

---

<sup>4</sup> For the 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>5</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.

## 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.
- Applications that do not involve a new tribal-researcher investigative partnership.
- Applications involving tribal governments or being conducted on tribal lands that do not have an executed tribal resolution, executive order, or letter of commitment from the tribal authorized representative (e.g., tribal council, tribal administrator, executive director) sanctioning the partnership/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>6</sup> The 2019 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/19Tables/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 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>.

---

<sup>6</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.

## 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; resumes/curriculum vitae of key personnel; and, if applicable, an executed tribal resolution, executive order, or letter of commitment from the tribal authorized representative (e.g., tribal council, tribal administrator, executive director) sanctioning the partnership/project.<sup>7</sup> (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

---

<sup>7</sup> See item 6, “Tribal Authorizing Resolution,” below, in this section for details.

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, current recipients should enter the Employer Identification Number (EIN) in box 8b 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 the 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. Content beyond the specified page number will not be reviewed. Failure to follow the guidance and format will negatively impact the application, with NIJ considering such noncompliance in peer review and in final award decisions.

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(s) and key project partners.

**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 new partnership and project. The Program Narrative should include all of the following headings: Background, Work Plan, Approach, and Organizational Capacity of Applicant. The program narrative should be succinct, self-explanatory, and in the order outlined in this section. It should address outcomes and activities to be conducted over the entire period of performance.

**Background.** Applicants should provide a detailed description of the new tribal-researcher investigator partnership, how the tribal partner/stakeholder input was sought, and how it was incorporated into the proposal. In addition, the applicant should describe possible criminal justice projects the tribal partner has identified as priority matters. Applicants should include any relevant data, background, and any other information to show the significance and importance of the issue or issues

under consideration, using data that are pertinent to understanding the identified problem (e.g., statistics, research findings, other objective evidence, as appropriate). If the partnership has already resulted in identifying a priority matter, this section should identify the research questions and discuss the purpose, goals, and objectives of the proposed project. Finally, the applicant should describe how tribal interests and priorities will drive research planning, design, and implementation.

**Work Plan.** Applicants should provide a proposed work plan detailing each task and activity to be carried out during the period of performance. Applicants should address all the steps in partnership development and research planning. Also, applicants must provide a timeline with clearly defined milestones. The work plan should include a discussion of anticipated deliverables, including planned scholarly products indicated in the program-specific information on page 4 and a plan for dissemination to appropriate tribal stakeholders. Applicants should identify plans to produce or disseminate to broader interested practitioners and policy makers in a form that is designed to be readily accessible and useful to them.

**Approach.** Applicants should provide a detailed description of the strategies to fulfill the new tribal-researcher partnership and in developing and submitting a criminal justice research or evaluation project. Applicants should explain what strategies will be applied for capacity building, project planning, communication, and dissemination. In addition, applicants should describe the potential impact of both the tribal-researcher partnership and research development project and how it may inform or improve criminal or juvenile justice-related policy, practice, or theory in the United States. Finally, applicants should consider the feasibility of the proposed project and potential challenges or problems in carrying out the activities. Where appropriate, the applicant should describe capacity, plans, and willingness to share successful approaches widely through various venues for broad diffusion of innovation.

**Organizational Capacity of Applicant.** This section should describe the experience and capability of the applicant organization, key staff [researcher(s) and tribal partner(s)], 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 (if any) and capacity working with federally recognized tribes (or tribally based organizations) and in conducting similar research efforts.
- Experience implementing community-engaged research and evaluation projects.
- 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, structure, and organization proposed to complete proposed tasks/projects and provide a description of the roles, responsibilities, and qualifications of the applicant's proposed staff and partners. The management plan should connect 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)).
- 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 <https://nij.gov/funding/data-resources-program/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 on or 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) and 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 \$250,000<sup>8</sup>)**

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

---

<sup>8</sup> Consistent with the provisions of Office of Management and Budget memorandum, OMB M-18-18, dated June 20, 2018, and entitled, "Implementing Statutory Changes to the Micro-Purchase and the Simplified Acquisition Thresholds for Financial Assistance," DOJ will allow recipients (and any subrecipients) of awards made under this solicitation to use a simplified acquisition threshold of \$250,000 and a micro-purchase threshold of \$10,000, for federal grants administrative purposes.

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, \$250,000 — 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 \$250,000 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 \$250,000) 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 \$250,000 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 preagreement 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 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 the “de minimis” rate requirements (including information on eligibility to elect to use the rate), see the Part 200 Uniform Requirements, at 2 C.F.R. 200.414(f).

## **6. 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 must 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 must 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.

## **7. 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 (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).

## **8. 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”).

## **9. Additional Attachments**

### **a. Applicant disclosure of pending applications<sup>9</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.

---

<sup>9</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.

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.

<b>Federal or State Funding Agency</b>	<b>Solicitation Name/Project Name</b>	<b>Name/Phone/E-mail for Point of Contact at Federal or State Funding Agency</b>
DOJ/Office of Community Oriented Policing Services (COPS Office)	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. Applicant Disclosure and Justification – DOJ High Risk Grantees<sup>10</sup> (if applicable)**

An applicant that is designated as a DOJ High Risk Grantee is to submit, as a separate attachment to its application, information that OJP will use, among other pertinent information, to determine whether it will consider or select the application for an award under this solicitation. The file should be named “DOJ High Risk Grantee Applicant Disclosure and Justification.” (See, also, “[Review Process](#),” below, under [Section E. Application Review Information](#), for a brief discussion of how such information may be considered in the application review process.)

OJP constantly seeks to optimize its investments in criminal- and juvenile justice-focused programs and activities, increase program effectiveness, and maximize the return – and program impact – from limited programmatic resources. Therefore, OJP may remove from consideration or not select for award a “DOJ High Risk Grantee” applicant that is determined to pose a substantial risk of program implementation failure. In making such determinations, OJP will consider one or more of the following factors: the applicant’s lack of sufficient progress in addressing required corrective actions necessary for removal of the DOJ High Risk Grantee designation; the nature and severity of the issues leading to or accompanying the applicant’s DOJ High Risk Grantee designation; or the applicant’s expected ability to manage grant funds and achieve grant goals and objectives.

In this attachment, the applicant is to provide any additional information or justification – especially with regard to corrective actions yet to be implemented (as of the application date) – that may help demonstrate how the applicant has addressed or otherwise mitigated such uncorrected matters, such that any negative impact on the proposed program and its implementation would be immaterial or would be significantly reduced or eliminated. (To the extent that the applicant believes that any of the information provided pursuant to this disclosure may be confidential in nature, the applicant should specifically identify it.)

**c. 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,

---

<sup>10</sup> A “DOJ High Risk Grantee” is a recipient that has received a DOJ High-Risk designation based on a documented history of unsatisfactory performance, financial instability, management system or other internal control deficiencies, or noncompliance with award terms and conditions on prior awards, or that is otherwise not responsible.

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, 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.

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). 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.

An applicant must use the **Add Attachment** button to attach a file to its application. Do not click the paperclip icon to attach files. This action will not attach the files to the application. After

adding an attachment, select the **View Attachment** button to confirm you attached the correct file. To remove the file, select the **Delete Attachment** button.

An application can be checked for errors via the **Check Application** button on the **Forms** tab of the **Manage Workspace** page. The button is active if the set of forms in the workspace matches those required in the application package. If you receive a **Cross-Form Errors** message after clicking the **Check Application** button, refer to the Cross-Form Errors help article for more detailed information about this validation error.

**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 SAM and unique entity identifier (currently, a 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/IndCPRegister> 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).** 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 [www.dnb.com](http://www.dnb.com). A DUNS number is usually received within 2 business days.

2. **Acquire or maintain registration with SAM.** Any applicant for an OJP award creating a new entity registration (or updating or renewing a registration) in SAM.gov must submit an original, signed notarized letter appointing the authorized Entity Administrator within thirty (30) days of the registration activation. **Notarized letters must be submitted via U.S. Postal Service Mail.** Read the Alert at [sam.gov/SAM/](http://sam.gov/SAM/) to learn more about what is required in the notarized letter, and read the Frequently Asked Questions (FAQs) at [www.gsa.gov/samupdate](http://www.gsa.gov/samupdate) to learn more about this process change. 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). Information about SAM registration procedures can be accessed at [sam.gov/SAM/](http://sam.gov/SAM/).

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.

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-2019-15203.
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.** To preview the application prior to (or after) submitting, go to the **View Application** tab in Workspace. For additional information, review the [View Application Tab](#) help article and [Attachments Tab](#) help article. 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 May 13, 2019.

Go to <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, "Background" is worth 25 percent of the score in the assessment of an application's technical merit.

#### **Background – 25%**

1. Demonstrated an understanding of the complex justice system issues involving American Indian and Alaska Native communities.
2. Demonstrated an understanding of the appropriate role of federal, tribal, state, and local agencies in addressing crime and victimization.
3. Demonstrated an understanding of the principles behind tribally-driven research that results in tangible and mutually beneficial studies.
4. Demonstrated importance of research questions, goals and objectives, including alignment with the aims of the solicitation.
5. Demonstrated awareness of the state of current research.

#### **Work Plan – 30%**

1. Feasibility of proposed partnership, project, and timeline.

2. Soundness of methods and analytic and technical approach to addressing the stated aim(s) of the proposed project.
3. Awareness of potential pitfalls of proposed project design and feasibility of proposed actions to minimize and/or mitigate them.
4. Achievability of proposed deliverables and dissemination plan.

#### **Approach – 20%**

- Feasibility of proposed approach toward the partnership, project, capacity building, communication, and dissemination.
- 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.

#### **Organizational Capacity of Applicant** (Capabilities, demonstrated productivity, and experience of the applicant organization and proposed project staff) – 25%

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 tribal stakeholders and/or broader interested audiences, such as criminal/juvenile justice practitioners or policymakers, summary information from the planned scholarly products of the project.

---

## **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 application, if submitted by an applicant that is a DOJ High Risk Grantee,<sup>11</sup> or is designated “high risk” by a federal grant-making agency outside of DOJ, must not have been determined by the Director/Administrator to pose a substantial risk of program implementation failure, based on 1) the applicant’s lack of sufficient progress in addressing required corrective actions necessary for removal of the DOJ High Risk Grantee (or non-DOJ high risk) designation, 2) the nature and severity of the issues leading to or accompanying the DOJ High Risk Grantee (or non-DOJ high risk) designation, and/or 3) the applicant’s expected ability to manage grant funds and achieve grant goals and objectives.

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 internal reviewer is a current DOJ employee who is well-versed or has expertise in the subject matter of this solicitation. An external peer reviewer is an expert in the subject matter of a given solicitation who is not a current DOJ employee. Peer reviewers’ ratings and any resulting

---

<sup>11</sup> See “Applicant Disclosure and Justification – DOJ High Risk Grantees” under “What an Application Should Include,” above, for a definition of “DOJ High Risk Grantee.”

recommendations are advisory only, although reviewer views are considered carefully. Other important considerations for NIJ include 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.

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.

**Note on applicants with a “high risk” designation:** Risks associated with DOJ High Risk Grantees, or applicants designated as “high risk” by a federal grant-making agency outside of DOJ, are taken into account during the review process, and each applicant with such “high risk” designations will be considered for funding on a case-by-case basis, depending on the nature and severity of the issues that led to the DOJ High Risk Grantee (or non-DOJ high risk) designation, status of progress in addressing corrective actions, and expected ability to manage grant funds and achieve grant goals and objectives. A “high risk” designated applicant is to submit disclosure and justification documentation consistent with the requirements specified, above, under [“What an Application Should Include”](#) in [Section D. Application and Submission Information](#).

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, 2019. 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 a physical signature on the award document by the authorized representative. The fully-executed award document must then be scanned and submitted 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](https://ojp.gov/funding/index.htm)” 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 2019. 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.

Awards under this solicitation will include a condition (the specific terms of which will govern the award) related to verification of employment eligibility. The condition will, generally speaking, require the recipient (and any subrecipient) that accepts the award to verify the employment eligibility of any individual hired under the award, consonant with 8 U.S.C. § 1324a(a)(1).

Awards under this solicitation will include a condition (the specific terms of which will govern the award) related to competition requirements set forth at 2 C.F.R. § 200.319. The condition will, generally speaking, prohibit recipients (and any subrecipients) from procuring goods and services with award funds by means of any competition that disadvantages or excludes vendors on the basis of their having (or their having had) a prior or existing contractual relationship with the federal government.

### **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) for an overview of performance measurement activities at OJP.

### **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 [ojpprsupport@usdoj.gov](mailto:ojpprsupport@usdoj.gov). (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 29)
- \_\_\_\_\_ Acquire or renew registration with SAM (see page 29)

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

- \_\_\_\_\_ Acquire AOR and Grants.gov username/password (see page 29)
- \_\_\_\_\_ Acquire AOR confirmation from the E-Biz POC (see page 29)

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

- \_\_\_\_\_ Search for the funding opportunity on Grants.gov (see page 30)
- \_\_\_\_\_ Access Funding Opportunity and Application Package (see page 30)
- \_\_\_\_\_ Sign up for Grants.gov [email](#) notifications (optional) (see page 27)
- \_\_\_\_\_ 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](https://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 30)

##### *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 30)

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

- \_\_\_\_\_ Review the “[Overview of Legal Requirements Generally Applicable to OJP Grants and Cooperative Agreements – FY 2018 Awards](https://ojp.gov/funding/index.htm)” 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 13)
- \_\_\_\_\_ Program Narrative (critical element) (see page 14)
- \_\_\_\_\_ Budget Detail Worksheet (critical element) (see page 18)
- \_\_\_\_\_ Budget Narrative (critical element) (see page 18)
- \_\_\_\_\_ Indirect Cost Rate Agreement (if applicable) (see page 21)
- \_\_\_\_\_ Tribal Authorizing Resolution (critical element, if applicable) (see page 22)

- \_\_\_\_\_ Financial Management and System of Internal Controls Questionnaire (see page 22)
- \_\_\_\_\_ [Disclosure of Lobbying Activities \(SF-LLL\)](#) (see page 23)
- \_\_\_\_\_ Additional Attachments
  - \_\_\_\_\_ Applicant Disclosure of Pending Applications (see page 23)
  - \_\_\_\_\_ Curriculum vitae or resume (critical element) (see page 16)
  - \_\_\_\_\_ Applicant Disclosure and Justification – DOJ High Risk Grantees (if applicable) (see page 25)
  - \_\_\_\_\_ Research and Evaluation Independence and Integrity (see page 25)
- \_\_\_\_\_ Request and Justification for Employee Compensation; Waiver (if applicable) (see page 10)

## Funding Webinar Transcript

On March 28, 2019, NIJ hosted a webinar that provided an overview of this solicitation. Following are the transcript and slide presentation from that webinar.

MARY JO GIOVACCHINI: Good afternoon, everybody, and welcome to today's webinar, Funding Opportunities through the National Institute of Justice for Tribal-Research--Researcher Capacity Building Grants, which is hosted by the National Institute of Justice. At this time, I would like to hand it over to your presenter, Tina Crossland, Social Science Analyst with the National Institute of Justice.

CHRISTINE CROSSLAND: Okay. Thank you, Mary Jo, and welcome everybody and thank you for taking part into today's webinar. The key goals of the webinar are to highlight the solicitation purpose, goals, and expectations, review areas of what activities are permissible under the solicitation, highlight changes from last year's solicitation, provide a general overview of the application requirements, highlight specific tools and resources for applicants that will facilitate the application submission, explain the application review process, and finally, offer an opportunity for our perspective applicants and partners to ask questions. So with this next slide, I want to emphasize that NIJ respects the government-to-government relationship that exists between federal government and tribes as sovereign nations by ensuring all research efforts are tribally engaged. NIJ is also committed to activities that maintain high standards of scientific integrity, rigor, and ethics, and fulfill our federal trust responsibility. To ensure the work with tribal nations and people are of the most appropriate approach and of the highest quality, NIJ understands the end--the need to continually improve its funding priorities and processes. Consequently in 2018, NIJ introduced 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 and suggestions, and to coordinate information and resources. Feedback from these listening sessions were 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 tribal-centered approach. Previous researcher tribal partnership happens 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 let the tribe-centered approach in order to address public safety issues most salient to our tribal partners. One of the key recommendations coming out of this effort was the need to provide planning grants to ensure tribal researcher partnerships had a sufficient time and resources to develop in a productive, successful way. So through this year's solicitation, we will provide small grants to fund applicants that wish to both facilitate a new tribal researcher partnership and initiate a new--a criminal justice project involving federally recognized tribes or tribally-based

organizations. Tribal organizations could include tribal coalitions, regional intertribal organizations, tribal training and technical assistance providers serving tribal citizens, and these are just a few examples. NIJ expects to make up to five awards this year with individual awards not exceeding \$100,000 and addition awards will not exceed an eighteen-month period of performance. Future funding may be made based upon one of the final deliverables that I will discuss momentarily. So with the next slide, I'll speak to solicitation goals and expectations. NIJ has been supporting and directing research and evaluation studies in tribal crime and justice issues since the 1980s. Knowing the long history of unethical and un-equitable 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 partnership. That means both partner--both partners benefit from the relationship. The ultimate goal of this particular 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 that promote the engagement between researchers and tribal nations, citizens, and stakeholders. The objective of the solicitation is to fund multiple planning grants for projects promoting such engagements that address criminal justice issues that are important to our tribal partners. 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 buy-in, 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.

And then so with the next slide, I'm going to talk to you about what are some of the areas of inquiry. While the scope of the solicitation is defined as an investigator initiative, the following research topics of this are of particular interest to the Department of Justice. To name just a few, to the impact of the current criminal jurisdiction on the administration of justice in Indian Country and Alaska Native villages, the effectiveness of criminal justice responses to combating the opioid crisis and more broadly, the use and abuse of alcohol and other drugs, combating violent crime and responding to and reducing victimization, enhancing investigations and prosecutions, examining the provision, role, and impact of forensic science services in Indian Country, strengthening tribal justice systems, and developing and testing tools and technologies to improve criminal justice policy and practice. Of the most importance that needs to be conveyed is that the areas of inquiry must be criminal justice topics driven by the tribal partner. These partnerships should prioritize tribal issues for the benefit of the tribal community.

So next, I'm going to talk about the types of activities that can be funded. So given the nature of the partnership, conferring with tribal partners will be key tasks. Types of engagement may include developing and presenting technical and factual presentations for tribal leadership, or governing bodies, and to the tribal communities at large. Documentation of the partnership is required, while projects involving tribal nations and

their citizens will be required to secure appropriate authorization to engage in research activities. This may require obtaining a tribal resolution, executive order, or other appropriate documentation from authorized tribal officials. Other similar tasks may include obtaining participatory agreements that set out the goals and objectives, priorities, plans, and the roles and responsibilities of each partner. It also requires securing tribal institutional review board approval where necessary, or for some other analogies body such as tribal research board or sub-communities. That is in addition to the tribes or to the researchers institutional review board. This mostly entails several site visits and meetings with the tribal executive branch and program staff, and presentations to the tribal council and other offshoots such as the districts, chapters within a tribal nation. Some other activities that can also be included under this task would be once legal documents and agreements have been put in place, the tribal research team should develop research questions and appropriate study designs. The entire process should use community-based participatory research principals that involve the tribal partner in all aspects of the research process. In general, NIJ funds quantitative, qualitative, and mixed method studies that include indigenous research methods. Projects to be considered under the solicitation include social and behavioral science projects, the forensic sciences, as well as technology development, testing and evaluation. One tribal community partner may want to do a cost of crime study while another may wish to test out new technologies. Once again, the research should be driven by the tribal partner. In preparation of developing final deliverables, the team may conduct pilot tests or feasibility or evaluability assessments studies that may involve collecting preliminary data and/or conducting secondary data analysis. However, the primary activities under these awards should be in support of developing and enhancing partnerships and developing a scientific criminal justice research or evaluation proposal. So, let me talk about the expected deliverables. So besides the standard grant reporting requirements like semi-annual performance progress reports, which I'll also refer to as RPPR, and quarterly financial reports, there are four key deliverables. The first one is the final research report in the form of a criminal justice research or evaluation proposal based on the results of the activities under the grant. NIJ will consider such proposals for potential funding moving forward. The second deliverable is a special report that describes partnership in detail. The report should thoroughly capture the process and substance of the collaboration, including lessons learned, challenges and successes experienced and overall reflections. This report should also map out key issues that can help inform existing or future partnerships of a similar nature. One of the strengths of this program lies in disseminating lessons learned to tribal communities at large. Third, any data sets and associated files and documentation are required if applicable and appropriate. NIJ will not archive any data that is identifiable to an individual or tribe. Archiving of data will be rare with these planning grants as NIJ only archives research data. If primary and secondary research is not part of the planning grant, archiving data is not expected. If data are collected as part of a pilot test or evaluability assessment, the data that the tribe provides to the study belongs to the tribe though the combined data set the work product must be archived. In addition to the three deliverables mentioned, NIJ does take copies of products developed under the partnership that were created specifically for our tribal

stakeholders, for example, presentations, news articles and newsletters. However, tribal permission must be obtained for the dissemination as well as copies of manuscripts for peer-reviewed scientific journals and/or law review articles or similar scientific or policy products that the tribal partner authorized. Manuscripts may be in process under review or published. So let me talk about what will not be funded or applicable under this solicitation. So, specific expenses that are not allowed include anything that is not responsive to the specific solicitation. NIJ will not fund any application whose primary purpose is to purchase equipment, materials, or supplies. However, a budget may include these if they are necessary to conduct research, development, demonstration, evaluation, or analysis. NIJ will not fund applications whose work is funded under another federal award, for example ongoing work or similar projects. 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 or services being evaluated. As I mentioned earlier, we held several listening sessions and capacity building and what tribal research or partnerships 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 and tribal communities and in turn, the tribal partners can mentor researchers on tribal issues and affairs. Therefore, these activities are permissible. So, on the next slide, what additional things will not be funded include--and this goes to our basic minimum requirements, which I'll go into more detail. So under the solicitation, NIJ will not fund nor will applications move past the Basic Minimum Review or BMR phase if the application does not include a new tribal researcher investigative partnership. In other words, if a pre-existing partnership already exists and/or the application isn't to fund a project already developed or has been implemented, it will fail the basic minimum review. We also will not fund or move past the basic minimum review any application that does not have an executed tribal resolution, executive order or letter of commitment from the tribal authorized representatives is applicable. Applications involving tribal governments are being conducted on tribal lands that do not have an executed tribal resolution, executive order, or letter of commitment from the tribal authorized represents--representatives sanctioning the partnership will not be included. As always, please see the solicitation for more information on what will be funded. So, let me summarize on this slide what are some of the main details here. Applications must be a new partnership between researchers or a team and a tribal entity. Applications must discuss a partnership to develop a relevant and new criminal justice research project. The application must have an executed tribal resolution or executive order along with letters of support or cooperation with other relevant organizations if applicable. The project is expected to follow all tribal policies including submitting the project for institutional review, board review, project cannot exceed an 18-month period of performance and planning grants should not exceed \$100,000. So, now we're going to go into the review process. And I will cover the next slide which talks about the basic minimum requirements. So, there are five here. The program narrative of the application should not exceed 30 double-spaced pages in 12-point font with one inch margin. If included in the main body of the program narrative, tables,

charts, figures, and other illustrations count towards the 30-page limit. The project abstract, table of contents, appendices and government forms do not count towards that page limit. If the program narrative fails to comply with these length-related restrictions, we will consider such noncompliance in peer review and in our final funding decision. Other expected documents included a program abstract consisting of 250 to 400 words describing the project, and that the title page will include the following information, that would include the title of the project, the submission date, the funding opportunity number, and the name and complete contact information for both the applicant and the principal investigator and partners. So that would include addresses, telephone numbers, and email address. There are other forms that should be included, so please review the solicitation for further details such as making sure the application for federal assistance form is provided, human subjects and privacy documentations and others.

So now I'd like to talk to you about the selection criteria. This is something that we have modified from last year's solicitation. So, I'll spend a little bit more time here. So, the main body of the program narrative should describe the proposed new partnership and project. Proposals received under the solicitation will be evaluated according to four criteria, each of which carry the different weight, as you can see on the slide, based on its importance, and two additional categories that do not have a weighted based importance applied. The first two criteria are background and work plan. For the background, applicants should provide a detailed description of the new tribal-researcher investigator partnership, how the tribal partners stakeholder input was thought, how it was incorporated into the proposal. In addition, the applicant should describe possible criminal justice projects that the tribal partner has identified as a priority matter. Applicants should include any relevant data background and any other information to show the significance and importance of the issue or issues under consideration using data or information that are pertinent to understanding the identified problem. If the partnership has already resulted in identifying a priority matter, this section should also include research questions and discuss the purpose, goals, and objectives of the proposed project. And finally, under background, the applicant should describe how tribal interests and priorities will drive research planning, design, and implementation. For the second criteria in work plan, applicants should provide a proposed work plan detailing each task and activity to be carried out during the period of performance. Applicants should address all steps in the partnership development and research planning. Applicants must provide a timeline with clearly-defined milestones. The work plan should include a discussion of anticipated deliverables, including planned products indicated in the project-specific information of the solicitations, and a plan for dissemination to appropriate tribal stakeholders. Applicants should identify plans to produce or disseminate to a broader interested practitioners and policymakers in the form that is designed to be readily accessible and useful to them. The other two selection criteria are the approach. So this is the third criteria. Application should provide a detailed description of the strategies to fulfill the new tribal researcher partnership, and in developing and submitting a criminal justice research or evaluation proposal. Applicants should explain what strategies will be applied for capacity building, project planning, communication, and dissemination.

In addition, applicants should describe the potential impact of both the tribal researcher partnership and research development project, and how it will inform or improve criminal or juvenile justice-related policy, practice, or theory. And finally, applicants should consider the feasibility of the proposed project, potential challenges in carrying out the activities, and what they will do to mitigate any obstacles. Where appropriate the applicant should describe capacity plans and willingness to share successful] approaches widely through various venues for broad diffusion of innovation.

The fourth weighted criterion is organizational capacity. Applicants should describe the experience and capability of the applicant organization, chief staff, which would include researchers and tribal partners, and any proposed sub-grantees 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 a similar scope, design, and magnitude. Applicants should also outline the management plan, structure, and organization proposed to complete the proposed task and projects, and provide a description of the roles, responsibilities, and qualifications of the applicant's proposed staff and partners. The management plan should connect to the goals and objectives of the project. So on our next slide, we'll talk about the external and internal review process. So after the solicitation closes, all applications will receive a preliminary review. Applications will be evaluated to determine if they have been submitted by an eligible type of applicant, whether they are responsive to the scope of the solicitation, and whether the basic minimum required elements that I have discussed have been included. All applications that pass the preliminary review will be forwarded for external peer review that is comprised of both technical and practitioner reviewers with expertise in tribal affairs and matters, as well as research methods and analysis in criminal and tribal justice systems. This process includes both individual review by each panelists and a consensus review developed by the entire panel. These reviews--reviewers discuss the merits and limitations of each proposal. In addition, an internal review by NIJ scientific staff, department subject matter experts, and senior management will be completed. Both the external and internal reviews are presented to the NIJ Director. All funding decisions are ultimately at the discretion of the NIJ Director.

So on the next slide, we'll be talking about other review considerations. And this includes whether an applicant has been designated as a DOJ high-risk grantee. If that is the case, a separate attachment to the application is required that provides information that the department will use among other pertinent information to determine whether it will consider or select the applicant for award under the solicitation. NIJ may remove from consideration or not select for an award a DOJ high-risk grantee applicant that is determined to pose a substantial risk of program implementation failure. For more information, see the solicitation, specifically pages 26, 27, 28, and 29. 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 also provide information. Examples of other federal agencies may include, but not be limited to, the U.S. Department of Health and Human Services, National Institute of Health, the National Science Foundation, and Departments of Education, State, and Interior.

So in the next sets of slides, we want to highlight what was actually funded in 2018. And the first award that we will talk about was titled the Northwest Juvenile Justice Alliance Project, which seeks to address research gaps identified by tribes in the Pacific Northwest. The tribal researcher partnership involves the Northwest Portland Area Indian Health Board, tribes in Oregon, Washington, and Idaho, the Northwest Professional Consortium research staff, and the State's Juvenile Justice Department. The study will identify, test, and expand promising practices that improve juvenile justice assistance for tribes in the Pacific Northwest, determine if non-native justice systems are improving life outcomes to interact with these services, and build tribal capacity to access and use data that support quality improvements at the community level. The next project is a collaboration between the Tribal Law and Policy Institute and the Hoopa Valley Tribe. This partnership will examine the linkages between Hoopa's recent legal sovereignty challenges, and the tenacity of violent crime and substance abuse in the community. The third project was awarded to ICF Incorporated who has partnered with the Pathfinder Center to conduct an 18-month formative and preliminary outcome evaluation of the Pathfinder services for Native American victims of sex trafficking using a community-based participatory research approach that is culturally responsive and trauma-informed. And then finally, the Center for Court Innovation has partnered with the Office of the Public Defender of the Confederated Salish and Kootenai Tribes to gain an understanding of the landscape of risk/needs assessments, data collection, and management information systems across Indian Country, and build the necessary partnerships to implement a large-scale study for the development and validation of a risk/needs assessment for Indian Country. So that just can give you some ideas of the things that we were looking at and have funded to date.

Next, I'll provide on the next slide some frequently asked questions that came up last year that some of you actually may be wanting to hear the answers to. So first, there appears to be a lot of confusion as to who is an authorized representative. If a project involves a tribe or tribes, and/or will be conducted on tribal land, tribal resolutions must be obtained. And if you can just hold on a second, we're having a little problem with progressing our slides, and I will talk slowly while we try to move that forward. Okay. Okay. So this--if a--so let me just repeat that. There appears to be a lot of confusion as to who is an authorized representative if a project involves a tribe or tribes, and/or will be conducted on tribal lands. Tribal resolutions must be obtained from the appropriate body, which in most cases will be the tribal council. A program administrator does not have the legal authority to authorize the partnership. For tribal organizations, such as a Tribal Victim Service provider, the individual who has the legal authority will most likely be the Executive Director. As it pertains to Alaska, each federally-recognized Alaska tribe has the authority to authorize a partnership. It does not require researcher partner going to a regional body for approval. Another common question posed by several

applicants was who should be the grantee? That is the tribe, tribal organization, or the research entity, or individual. That determination is best made by the partner. However, there are some things to consider when making that decision. For example, indirect rates for universities are very high. That said, if the majority of the work is being performed off-campus, off-campus rates should be applied. Another option is to have the tribal partner manage the award. Ultimately, it comes down to who has the organizational capacity to manage and execute all requirements of the award. We also received questions about who can be the researcher. Does the researcher have to be Native American? The answer is that the research partner can be anyone interested in establishing a tribal partnership, and who will ensure the efforts will be done collaboratively. Ultimately, the partnership between the tribe or a tribal entity and the researcher should be co-learning and bidirectional capacity building. Unsuccessful 2018 applicants tended to inadequately demonstrate that a new partnership is being established or any relapse--relationship existed with a tribe or tribes, or tribal organization. In other words, no tribal legal documentations were provided. They didn't demonstrate the potential to improve our understanding of or provide solutions to a criminal or juvenile justice problem, or the topics of consideration were not within the scope of the solicitation. And finally, we received questions on how best to identify a partner. So the next series of slides will show some resources the applicants can review to find some answers. Okay. So guidance for researchers is our next slide. And for researchers, I encourage you to access these documents publicly available on websites provided. Keep in mind, too, that all of these slides will be provided to everybody within 10 business days. For those less familiar who have not worked with tribes, I encourage you to take the free online training program titled "Working Effectively with Tribal Governments." This training curriculum has been developed to provide some basic skills and knowledge you can use to work more effectively with tribal governments. We are also providing a link to the National Congress of American Indians Policy Research Centers who have several informative documents and toolkits. We are also encouraging you to view the webinar hosted by The Center for Victims Research titled "Engaging Tribal Leadership and Community Stakeholders." And finally, we've listed a link to report on guidelines for successful researcher practitioner partnership. Another set of guidelines for some--or guidance for tribal partners, we are encouraging you to access the following organizations or associations. We've provided e-mail addresses, links to websites with contact information, or directories that can be searched. On our next slide, we have some additional resources, so for those seeking tribal partnerships, we're highlighting some federal sites where you can review and download information on federally recognized tribes if you can go to the next slide. Regional Intertribal Organizations, Alaska Native Corporations, and other collaborations and I know we're going through this rather quickly. So we'd like to remind you again we will be providing this information to you as well. We're also providing you some links to some tribal organizations and programs working on crime and justice issues. This list is not exhaustive, but shows some of the many tribal organizations and/or programs that could be partnered with under the solicitation to include the National Indigenous Women's Resource Center, Alaska Native Women's Resource Center, Tribal Domestic Violence and Sexual Assault Coalitions, Tribal Access Program for National Crime

Information, and Urban Indian Health Organization. And then I think we have one other resource slide here that provides similar information linking to Indian Health Services at the Epidemiological Centers and other Native American organizations. I also encourage applicants to review the National Congress of American Indians' previous Tribal Leader/Scholar Forum website, as well as the National Indian Nation Conference website to get an understanding of some of the key criminal justice areas of concern.

And so now, I would like to briefly talk about data archiving as I know this is one of our key areas that require a lot of inquiry. So before I talk about the application process, I do want to address another item that was frequently asked about which is NIJ's Data Archiving Requirement. NIJ has a longstanding commitment to making the results and accomplishments of research that it funds and conducts available to the public. An NIJ's new data should be made as widely and freely available as possible while safeguarding the privacy of participants and protecting confidentiality and proprietary data. Increasing access to specific data resulted from NIJ funding or support offers many benefits and reflects NIJ's responsibility to maintain dealership over taxpayer funds. Specifically sharing a scientific data and results enables researchers to more vigorously test the validity of research findings, strengthen analyses by combining datasets, access hard to generate data, and explore new inquiries. Because of the number of questions raised about data archiving, NIJ has developed a frequently asked questions document on data archiving that we will post with the webinar slides. Questions that are addressed in the FAQ include, "Why does NIJ archive these data?" "Who has access to these data?" "For what purpose are data queries?" And "Can participating tribes determine how the data are used once it is archived?" For tribal nations with specific data access and/or ownership policies that prohibit or limit data archiving, NIJ will work with the tribe to set up a data-sharing agreement in which the designated tribal entity, for example a tribal council, a tribal institutional review board or some analogous body, can review and approve data access request. This will be done on a case by case basis only after awards have been made.

And now we would like to talk about the application process. So, the application checklist can be found on pages 12, 33 through 34 of the solicitation. Please carefully review the checklist in preparing your application and prior to submission. NIJ has designated application elements as critical and they are shown on the slide with an asterisk. If any of these elements are missing, a proposal will not move on to the peer review phase. The four critical elements are the program narrative, budget detail worksheet, budget narrative, and resumes and a curriculum vitae as key personnel. For purposes of this solicitation, key personnel means, principal research investigators and any and all co-principal investigators and or project director coordinator title 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 demonstrate as a legal matter that the applicant has the pre-requisite authorizations from the tribe or tribes 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. Once again, 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 tribal-based organization is the partner, the authorized representative or executive authority is the only one authorized to commit to the project. So please see the solicitation for guidance and details on each of these items. The second site continues on with the checklist, other items that should be included and the appendices of the application include a bibliography or references of all citations documented in the Program Narrative. Any tools, instruments, questionnaires, tables, charts, graphs, or math pertaining to the proposed project that supplements the Program Narrative, proposed project timeline, expected milestones, human subject protection paperwork, list of any previous and current NIJ awards of the applicant and partners. Justification for stipends or compensation payments is part of the project and data archiving plan is applicable. Letters of cooperation and 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 any other questions, we will answer them during the Q&A section at the end of the webinar. So the next slide, we'll talk about the application submission process. So once again, please read the solicitation for guidance and more information on application submissions. Some key application submissions that are time sensitive include registering on Grants.gov. Registering with Grants.gov is a onetime process, however processing delays may occur and it can take several weeks for time--for first time registrants. We strongly encourage applicants to register several weeks before the application submission deadline. Which for this solicitation is May 13th, in fact I encourage you to register as soon as possible. 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 applicant to receive validation messages or rejection notifications from Grants.gov and to correct in a timely fashion, any problems that may be caused a rejection notification. The closing date for this solicitation is Monday May 13. So I encourage applicants to submit no later than Friday May 10th, should any submission errors or issues arrive so there is time to resolve them. Grants.gov has two categories of files for attachments, mandatory and optional. NIJ receives all files attached in both categories. Attachments also labeled to describe the file being attached, therefor mandatory files include program narrative, budget narrative and worksheet, CV worksheet, CVs, resumes, or bio sketches of key staff and the tribal authorization if applicable. Optional files include other forms and appendices that I have described earlier. For any technical difficulties, contact Grants.gov customer support. The next slide, talks about recommended grant resources that we are encouraging our applicant's to review prior to submitting their application. The first is the 2019 Office of Justice Programs Grant Application resource guide which provides guidance to assist grant applicant in preparing and submitting applications for OJP funding and information that may help potential applicants making the decision on whether to apply for funding. To ensure cost or allow we strongly encourage applicants to review the Funding Resource Center for additional information and helpful guidance. In addition, we're also encouraging applicants to review the department's grant financial guide and take the

online training which is a prerequisite for all funded grantees. On the next slide, we're talking about the application in a work timeline. These are estimates. So the closing date is May 13th, the basic minimal review will commence immediately. Applicants who do not provide the required elements or the application did not meet the scope of work of the solicitation will receive notification on or after May 31st. External and internal peer review will also commence immediately and continue until late June, possibly early July. Funding decisions are expected in June and July, but the processing awards will continue over the summer with anticipated awards announced anytime 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 on January 1st, 2020 and an end date that does not exceed 18 months which will more likely be June 30th, 2021. So, in the next slide, now we'd like to open things up for questions and answers. If you have not done so already, please remember to submit your questions via the Q&A panel, not the chat box, and make sure it is directed to all. Mary Jo, do we have a first question?

MARY JO GIOVACCHINI: Yes. We have our first question here. Other tribal organizations in the same area of the state and receive letters of support from these organizations but they are not providing data and are not part of the project teams. Could we work with these tribal organizations as a new tribal partner?

CHRISTINE CROSSLAND: Yes.

MARY JO GIOVACCHINI: If you are working with one tribal agency, can your partner--can you partner with another agency in the same tribe?

CHRISTINE CROSSLAND: As long as it can be established as a new partnership and that it is a new project, then, yes. It would be eligible under the solicitation.

MARY JO GIOVACCHINI: All right. So, while we're waiting for some questions to come in, we are going to--go to the next slide and we're going to go ahead and show you some information. This information actually does also appear in the solicitation itself. It's referencing the National Criminal Justice Reference Service. You can contact them if you're having--if you have questions or need assistance with the solicitation. They will work with Tina and give an answer to your question. You can reach them through [grants@ncjrs.gov](mailto:grants@ncjrs.gov). They also have a web chat and that URL is listed on the slide right now. You can reach them through the toll--toll-free number at 800-851-3420. And there's also a number for the hearing impaired. They have hours of--hours of operation, 10:00 a.m. to 6:00 p.m., Monday through Friday.

CHRISTINE CROSSLAND: So, while we're waiting for our next couple of questions, I want to go over some that we have left here just to make that clear in case somebody has the same type of question. So, we were--got posted a question that said, would a non-profit tribal organization that works with Native Americans in an urban area be

considered a tribal-based organization? And the answer is yes. Can a Native American community service agency that serves all nations in urban areas be a travel partner? The answer is yes. Our tribe has its own research department. Can a university partner be a consultant or do they have to be a subaward? They can be a consultant or a subaward. It's really up to the partnership.

MARY JO GIOVACCHINI: Can you please repeat the type of information of authorization that's needed if the partner is non-prof--a non-profit tribal organization, community-based organization?

CHRISTINE CROSSLAND: So, it would be the authorized individual who can enter into a legal authorized agreement which tends to be the executive director. It could be a president, anybody who has the legal authority and can document that in the award.

MARY JO GIOVACCHINI: Can non-research place organizations apply for funding if partnering with a researcher?

CHRISTINE CROSSLAND: So, once again, we're talking about researcher-tribal partnerships. So, if the organization is a tribally-based organization serving those in tribal communities or stakeholders, then yes. It would have to be clearly established in the program narrative, the partnership relationship.

MARY JO GIOVACCHINI: One second, please.

CHRISTINE CROSSLAND: So, we had another question about 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? We mean both. All parties, IRB must be in view with the project. For example, if a researcher is attached to a university or college or a research organization, their institutional review board of record must review and approve the project. If the tribal partner has an IRB, the project must also be reviewed and approved by that body. Sometimes, the tribal council will need to approve the project or the tribe may have a subcommittee or board who reviews research on the tribe's behalf. If the tribe doesn't have any of those bodies, we will go with the institutional review board of the researcher. To be clear, all recipients of awards with the department have to have an IRB approval from a body that has a federal right assurance with the U.S. Department of Health and Human Services.

MARY JO GIOVACCHINI: A Native American researcher in our organization is considering developing a partnership with her own tribe. Would this be considered a new partnership and eligible for this award?

CHRISTINE CROSSLAND: If she has not--if she or he has never worked with the tribe before and this is a new project that they're developing, then that would be eligible under the solicitation. What would be an example of appropriate legal documentation from a tribal serving organization? And I think this is somewhat what I already responded, but I'll respond again. Documentation should be authorized and approved

by the representative who has the legal authority to enter into such agreements. Most of the time, this will be the executive director or president. We have another question that talks about can charts, graphs, and text box be single space? And the answer is yes. Okay. Someone has asked, does the 100,000 budget apply to direct cost or total cost, direct cost was negotiated. The answer is yes. This is a total cost keeping in mind that these are planning grants. Is there a cap on indirect cost rate administration overhead that can be included in the project budget? There is no cap on indirect. Another question, is there a cross match share required for this project? And the answer is no. And another question, are in-kind contributions required? They are not required. There are no in-kind contributions required. Another question is, can equipment purchased through the grant for research purposes be retained by the tribal organization or the university that retains the equipment? It would depend on the type of equipment. And I would recommend that you read the OJP Financial Guide that was highlighted on the earlier slides that will guide and provide specific guidance on the matter. So, what if funding from another federal grant uncovered gaps or areas for additional research with a tribal organization? Is this acceptable? With this specific example, it's apparent that there's already a pre-established relationship or partnership and the project already realized and therefore, it would not be eligible. Keep in mind the two key elements of this program are a new partnership and a new project. How many grants do you anticipate rewarding or awarding? In other words, are you trying to fund a certain number of projects? NIJ plans to fund at least five grants this year. Based on a grant's final deliverable in the form of the criminal justice research proposal that I outlined earlier, NIJ could fund the planning grants research proposal at the end of the project.

MARY JO GIOVACCHINI: How does a researcher identify interest in a unique topic? We specialize in impairment and safety issues with cannabis. We work with first responders, environment safety and driving. Tribal nations are being left out of the nature of cannabis concerns.

CHRISTINE CROSSLAND: So, I would strongly encourage you if you have not worked with other tribes before to review the resource guides that we provided in the earlier slides and reach out to the organization to see if they can provide you some assistance in partnering up with different groups. Someone asked about the earlier funding that I talked about and what does that mean. So, a second phase of potential funding was mentioned. When do you anticipate that being made? So, if an initial planning grant is awarded to you that would be for an eighteen-month period of performance with a start date that always will start on January 1st. So, for these grants, that would be January 1st, 2020. So, upon the receipt of the criminal justice proposal which is either due 90 days prior to the grant's end date or no later than the end date which for most of these grants will be June 30th, 2021. Research proposals could be funding during that year's fiscal cycle which would be for school year '20-'21 depending on the director's approval and available funds. If sufficient funds are not available at that time, awards could be made to conduct the research in the next fiscal year. Okay. And I don't see that we have any other questions. I just want to reiterate that our slides will be provided to

everybody within 10 business days. That will include the transcript. And we will also be including the frequently asked questions as it pertains to data archiving as I know many of our research partners have many discussions of tribes about this. And this is a document that they could willingly share with that potential partner or partners that they will be working with.

MARY JO GIOVACCHINI: Thank you all on behalf of the National Institute of Justice for your time today and for attending this webinar. We appreciate it and good luck.

# Funding Opportunities through NIJ for Tribal- Researcher Capacity Building Grants in FY 2019

Solicitation: NIJ-2019-15203  
Solicitation Post Date: March 14, 2019  
Solicitation Close Date: May 13, 2019

## Today's Presenter:

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



**NIJ**

**NIJ** | *National Institute  
of Justice*

STRENGTHEN SCIENCE. ADVANCE JUSTICE.

# Webinar Overview

- Background & Purpose
- Goals & Expectations
- Areas of Inquiry & Permissible Activities
- Review Process & Selection Criteria
- Tools and Resources
- Highlights from 2018
- Application Requirements & Submission Procedure
- Q&A Session

# Background and Purpose

- **Purpose**

- Building research capacity using a tribe-centered approach

- **Objective**

- Facilitate a new tribal-researcher partnership; and
- Initiate new criminal justice research projects involving federally recognized tribes (or tribally-based organizations)

- **Science Areas**

- Social and behavioral science
- Investigative forensic sciences
- 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

- Criminal justice or public safety research and evaluation
- DOJ topics of interest
  - ❖ Criminal jurisdiction on the administration of justice
  - ❖ Response to the opioid crisis and more broadly the use and abuse of alcohol and other drugs
  - ❖ Violent crime and responding to and reducing victimization
    - Murdered, missing, and trafficked persons
  - ❖ Enhancing investigations and prosecutions
  - ❖ Provision, role, and impact of forensic science services
  - ❖ Development and testing of tools and technologies to improve criminal justice policy and practice

# 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
  - ❖ tribally-driven participatory research
- 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 and final research performance progress reports
- **Specific solicitation required deliverables**
  - Criminal justice research or evaluation proposal
  - Special report describing the tribal-researcher partnership
  - Associated data sets or files, if appropriate
  - Associated manuscripts, presentations, articles, etc. resulting from partnership
- 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

# What will not be funded (cont.)

- Applications that do not involve a new tribal researcher investigative partnership (i.e., pre-existing partnership or project continuation)
- Applications that do not have an executed tribal resolution, executive order, or letter of commitment from the tribal authorized representative

# Summary of Key Details

- New partnership between researcher(s) and tribal entity(ies)
- Relevant and innovative criminal justice research project
- Tribal resolution or executive order
- Letters of support/cooperation with other relevant organizations
- Tribal institutional review boards or analogous bodies
- 18-month period of performance, no extensions
- \$100,000 planning grants

# REVIEW PROCESS



**NIJ**

*NIJ FY19 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 all key personnel
5. Tribal resolution or other tribal legal documentation

**\*All applicants should use the Excel version of OJP's Budget Detail Worksheet**

<https://ojp.gov/funding/Apply/Forms/BudgetDetailWorksheet.htm>



**NIJ**

# Selection Criteria

- **25% Background should describe:**

- How the tribal partner/stakeholder input was sought;
- How input was incorporated into the proposal;
- Possible criminal justice projects the tribal partner has identified as priority matters;
- How tribal interests and priorities will drive research planning, design, and implementation; and
- Research questions, purpose, goals, objectives (if applicable).

- **30% Work Plan should describe:**

- Each task and activity;
- Anticipated deliverables; and a
- Timeline with milestones.

# Selection Criteria (cont.)

- **20% Approach should describe strategies to:**
  - Fulfill the partnership
  - Develop and submit a criminal justice research project
  - Address challenges; and
  - Inform or improve criminal or juvenile justice-related policy, practice, or theory.
- **25% Organizational Capacity of Applicant should describe:**
  - Experience and capability of the applicant organization
  - Key staff and partners, and subgrantees/consultants
- **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 senior management
  - Department subject matter experts
- **All funding decisions are at the discretion of the NIJ Director**

# Other Review Considerations

- **DOJ High Risk Grantee Applicant Disclosure and Justification**
  - Nature and severity of the issues leading to or accompanying the applicant's DOJ High Risk Grantee designation
  - How the applicant has addressed or otherwise mitigated such uncorrected matters
  - Ability to manage grant funds and achieve grant goals and objectives
- **High risk designation by other federal grant-making agency outside DOJ disclosure**
  - Federal awarding agency that currently designates the applicant high risk
  - Date the applicant was designated high risk
  - High-risk point of contact at that federal awarding agency (name, phone number, and email address)
  - Reasons for the high-risk status, as set out by the federal awarding agency

# HIGHLIGHTS FROM 2018



***NIJ***

# Fiscal Year 2018 TRCBG Awards

- Northwest Portland Area Indian Health Board
  - “NW Juvenile Justice Alliance”
- Tribal Law and Policy Institute
  - “Hoopa Valley Tribe and Tribal Law and Policy Institute Research Partnership”
- ICF Incorporated, LLC
  - “Pathfinder: Evaluating Services to Native American Victims of Sex Trafficking”
- Center for Court Innovation
  - “Building Tribal-Researcher Capacity to Inform Data-Driven Practices, Technology, and Tribal Justice”

# Frequently Asked Questions

- Who is the authorized representative or body for a tribe or tribal organization?
  - Tribal council, not a program or department administrator
  - Executive director with full, legal authority
- Who can be the researcher?
- How do researchers find tribal partners?
- How do tribes find a research partners?

# Guidance for Researchers

- **“Working Effectively with Tribal Governments”**
  - <https://tribal.golearnportal.org/>
- **NCAI Policy Research Center** (<http://www.ncai.org/prc>)
  - Research-based toolkit
  - “Walk Softly and Listen Carefully: Building Research Relationships with Tribal Communities”
  - “Tribal Nations and the United States: An Introduction”
- **Center for Victim Research**  
([https://www.youtube.com/channel/UCkah8Y6AjhwIqHnIOW6\\_ENw/featured](https://www.youtube.com/channel/UCkah8Y6AjhwIqHnIOW6_ENw/featured))
  - “Engaging Tribal Leadership and Community Stakeholders”
- **“Guidelines for Successful Researcher-Practitioner Partnerships in the CJS”** (<https://www.ncjrs.gov/pdffiles1/nij/grants/243918.pdf>)

# Guidance for Tribal Partners

- **Native Research Network**
  - [email@nativeresearchnetwork.org](mailto:email@nativeresearchnetwork.org)
- **Society of Indian Psychologists**
  - [Admin@aiansip.org](mailto:Admin@aiansip.org)
- **American Public Health Association's American Indian/Alaska Native/Native Hawaiian Caucus**
  - <http://www.aiannhcaucus.com/contact.html>
- **American Society of Criminology**
  - <http://www.asc41.com/divisions.htm>
- **American Evaluation Association**
  - <https://www.eval.org/findanevaluator>
- **Center for Victim Research**
  - <https://victimresearch.org/get-connected/find-a-partner/>

# Other Resources

- **Tribal Directory | Regional Intertribal Organizations**

- <https://www.bia.gov/tribal-leaders-directory>
- <https://data.doi.gov/dataset/tribal-leader-directory>
- [https://www.bia.gov/sites/bia.gov/libraries/maps/tld\\_map.html](https://www.bia.gov/sites/bia.gov/libraries/maps/tld_map.html)
- <http://www.ncai.org/tribal-directory/tribal-organizations>
- <https://narf.org/nill/triballaw/directories.html>

- **Alaska Native Corporations**

- <http://dhss.alaska.gov/ocs/Pages/icwa/Regional-Corporations.aspx>
- <http://www.ncai.org/tribal-directory/alaska-native-corporations>

- **Tribal-State Collaboration and Justice Capacity Building Project**

- <http://tloa.ncai.org/>
- <http://www.nijc.org/projects.html>

# Other Resources (cont.)

- **National Indigenous Women's Resource Center (NIWRC)**
  - <http://www.niwrc.org/>
- **Alaska Native Women's Resource Center (ANWRC)**
  - <http://www.aknwrc.org/>
- **Tribal Domestic Violence and Sexual Assault Coalitions**
  - <https://www.justice.gov/ovw/local-resources>
- **Tribal Access Program for National Crime Information (TAP)**
  - <https://www.justice.gov/tribal/tribal-access-program-tap>
- **Urban Indian Organizations (UIO)**
  - <https://www.ihs.gov/urban/nationalprograms/>

# Other Resources (cont.)

- **Indian Health Service Tribal Epidemiology Centers**
  - <https://www.ihs.gov/epi/tecs/centers/>
- **National American Indian Court Judges Association**
  - <http://www.naicja.org/>
- **NICWA - National Indian Child Welfare Association**
  - <https://www.nicwa.org/our-research-expertise/>
- **IACP's Law Enforcement Indian Country Section**
  - <https://www.theiacp.org/working-group/section/indian-country-law-enforcement-section>
- **NCAI PRC's Annual Tribal Leader Scholar Forum**
  - <http://www.ncai.org/policy-research-center/initiatives/tribal-leader-scholar-forum>
- **The National Indian Nations Conference**
  - <http://www.ovcinc.org/home>

# Data Archiving Requirements

## Data Archiving Requirements

- National Archive of Criminal Justice Data (NACJD)
  - <https://www.icpsr.umich.edu/icpsrweb/content/NACJD/index.html>
- **Why are data archived?**
  - To increase transparency;
  - To preserve data; and
  - To support new research aimed at reproducing original findings, replicating results, and testing new hypotheses.
- **Who can access these data?**
  - Individuals with a documented legitimate research purpose
- **Tribal Data Access and Ownership Agreements**

# APPLICATION PROCESS



**NIJ**

*NIJ FY19 Tribal-Researcher Capacity Building Grants Solicitation*

# Application Checklist | Requirements

– See pages **12, 33-34** 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 (critical elements)\***
  - Financial Management and System of Internal Controls Questionnaire
  - Disclosure of Lobbying Activities (SF-LLL)

# Application Checklist | Requirements

- See pages **12, 33-34** of the solicitation

- Additional Attachments
  - Applicant Disclosure of Pending Applications
  - **Curriculum vitae or résumé (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)



# Recommended Grant Resources

- **OJP Funding Resource Center**
  - <https://ojp.gov/funding/index.htm>
- **2019 OJP Grant Application Resource Guide**
  - <https://ojp.gov/funding/Apply/Resources/Grant-App-Resource-Guide.htm>
- **DOJ Grants Financial Guide**
  - <https://ojp.gov/financialguide/DOJ/index.htm>
- **DOJ Grants Financial Management Online Training**
  - <https://ojpfgm.webfirst.com/>

# Application and Award Timeline

- Solicitation closing date – May 13, 2019 at 11:59 PM EDT
- Basic Minimal Review – May 14-17, 2019
  - Notification to non-BMR applicants – May 31, 2019
- External and Internal Peer Review – May to July 2019
- Funding Decisions – June/July 2019
- Award Processing – July to September 2019
- Award Announcements – August to October 2019
- Project Start Date – No sooner than January 1, 2020
  - Project Period – Not to exceed 18 months (not renewable)



# QUESTIONS & ANSWERS

---

## DISCUSSION



**NIJ**

*NIJ FY19 Tribal-Researcher Capacity Building Grants Solicitation*

# Application Assistance and Support

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

<https://www.ncjrs.gov>

- Provides solicitation support and general assistance.
- Links to all current OJP funding opportunities.
- Funding Notices - subscribe to receive email notifications of new opportunities:
  - Sign up to receive the bi-weekly JUSTINFO newsletter as well as the weekly Funding News From NCJRS email.
  - Be sure to select “Grants/funding” as an area of interest in your NCJRS registration profile when you subscribe.
- **email** - [grants@ncjrs.gov](mailto:grants@ncjrs.gov)
- **web chat** - <https://webcontact.ncjrs.gov/ncjchat/chat.jsp>
- **toll free** at 800–851–3420;
- **TTY** at 301–240–6310 (hearing impaired only)

**The NCJRS Response Center hours of operation are 10:00 a.m. to 6:00 p.m. eastern time, Monday through Friday.**



# Application Assistance

## Grants.gov

- Provides technical assistance with submitting an application:
  - **Customer Support Hotline** – 800-518-4726 or 606-545-5035
    - The Grants.gov Support Hotline operates 24 hours a day, 7 days a week, except on federal holidays.
  - **Email**
    - support@grants.gov
  - **Website**
    - <https://www.grants.gov/web/grants/support.html>
- Provides information on available federal funding opportunities for various federal agencies.



**NIJ**

Thank You!



**NIJ**

*NIJ FY19 Tribal-Researcher Capacity Building Grants Solicitation*