

U.S. Department of Justice
Office of Justice Programs
Office of Sex Offender Sentencing, Monitoring,
Apprehending, Registering and Tracking



FY 2015 Application Guidance for Invitation to Apply for SMART FY 15 SORNA Tribal Training and Technical Assistance Program

Contact Information

For technical assistance with submitting the application, contact the Grants Management System Support Hotline at 1-888-549-9901, option 3, or by e-mail to GMS.HelpDesk@usdoj.gov. The GMS Support Hotline hours of operation are Monday – Friday from 6:00 a.m. to midnight eastern time, except federal holidays.

Applicants that experience unforeseen GMS technical issues beyond their control that prevent them from submitting their application by the deadline must e-mail the SMART Office contact identified in the cover letter **within 24 hours after the application deadline** and request approval to submit their application. Additional information on reporting technical issues is found under "Experiencing Unforeseen GMS Technical Issues" in the How to Apply section.

For assistance with any other requirements of this guidance, contact Faith A. Baker, Associate Director, by telephone at (202) 305-2586, or by e-mail at Faith.Baker@usdoj.gov for specific program and/or grant-related questions.

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Application Guidance for Invitation to Apply

I. Program Description

Overview

The Office of Sex Offender Sentencing, Monitoring, Apprehending, Registering and Tracking (SMART) has responsibility for providing jurisdictions with guidance regarding implementation of the Sex Offender Registration and Notification Act (SORNA) Title I of the Adam Walsh Act (42 U.S.C. § 16909, et seq.; Pub. L. No. 113-235, 128 Stat. 2130, 2193). In particular, the SMART Office is tasked with administering national standards regarding SORNA and providing training and technical assistance to the states, the District of Columbia, territories, and certain federally recognized tribal jurisdictions to assist with the implementation of SORNA.

Program-Specific Information

Given the broad success of the Sex Offender Management and Planning Initiative (SOMAPI), in particular its initial stages, the SMART Office has recognized the need to continue to sharpen the knowledge base related specifically to the AI/AN population. The initial reviews being undertaken pursuant to the 2013 award and 2014 extension are in progress, including a review of the research and literature related to sex offender treatment, management, and reentry, and the implications of this research for AI/AN offenders. Per a completed survey of tribes under the initial grants, it has become clear that there are currently few existing resources to provide sex offender treatment and management services within tribal communities. The characteristics and dynamics of sexual offending by this population are influenced by unique cultural factors that both pre-date and follow from European colonization of North America. Failure to account for these factors may lead to a misinterpretation of the risk and needs of AI/ANs who commit sexual offenses, and the use of ineffective assessment, treatment and management strategies.

Goals, Objectives, and Deliverables

The SORNA Tribal Training and Technical Assistance Program focuses on providing training and technical assistance to tribal jurisdictions for the purpose of continuing to develop programs to substantially implement SORNA and undertake sex offender management efforts. As to sex offender management efforts, critical research to inform the SMART Office and the sex offender management field on treatment and re-entry services available to tribal communities will be used to:

- Identify programs and/or tools used in juvenile and adult sex offender treatment and sex offender management services particular to Native American sex offenders.
- Identify sex offender management experts in tribal communities or experts who provide these services to Indian Country.
- Gather these experts for an Indian Country forum in order to develop recommendations for future SMART Office activities related to sex offender management in Indian Country.

Additional deliverables will also include, but will not be limited to:

- Conduct an assessment of research in the area of juvenile and adult sex offender treatment and re-entry services, and other applicable disciplines.
- Provide a literature review of juvenile and adult sex offender treatment and re-entry services in Indian Country.
- Coordination of a forum to which experts working in the field of sex offender management and sex offender treatment and re-entry services in Indian Country will be invited to share their expertise and develop recommendation to guide federal support for sex offender management practices in Indian Country.
- Prepare reports to SMART Office staff that detail activities and recommendations for the design and execution of SMART forums, conferences, and the SMART Dispatch newsletters on sex offender treatment and re-entry services and sex offender management
- Provide recommendations and suggestions as to how SMART can provide guidance to tribal communities in the area of sex offender treatment and reentry services in Indian Country.

Evidence-Based Programs or Practices

OJP strongly emphasizes the use of data and evidence in policy-making and program development in criminal justice, juvenile justice, and crime victim services. OJP is committed to the following:

- Improving the quantity and quality of evidence OJP generates
- Integrating evidence into program, practice, and policy decisions within OJP and the field
- Improving the translation of evidence into practice

OJP considers programs and practices to be evidence-based when their effectiveness has been demonstrated by causal evidence, generally obtained through one or more outcome evaluations. Causal evidence documents a relationship between an activity or intervention (including technology) and its intended outcome, including measuring the direction and size of a change, and the extent to which a change may be attributed to the activity or intervention. Causal evidence depends on the use of scientific methods to rule out, to the extent possible, alternative explanations for the documented change. The strength of causal evidence, based on the factors described above, will influence the degree to which OJP considers a program or practice to be evidence-based. The [OJP CrimeSolutions.gov](http://OJP.CrimeSolutions.gov) Web site is one resource that applicants may use to find information about evidence-based programs in criminal justice, juvenile justice, and crime victim services.

II. Federal Award Information

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 Award¹

¹ See generally 31 U.S.C. §§ 6301-6305 (defines and describes various forms of federal assistance relationships, including grants and cooperative agreements (a type of grant)).

The SMART Office expects that it will make an award from this Invitation to Apply in the form of a cooperative agreement, which is a particular type of grant used if the SMART Office expects to have ongoing substantial involvement in award activities. Substantial involvement includes direct oversight and involvement with the grantee organization in implementation of the grant, but does not involve day-to-day project management. See Administrative, National Policy, and other Legal Requirements, under section, V. Federal Award Administration Information, for details regarding the federal involvement anticipated under an award from this Invitation to Apply.

Financial Management and System of Internal Controls

If selected for funding, the award recipient must:

(a) Establish and maintain effective internal control over the Federal award that provides reasonable assurance that the non-Federal entity 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 non-Federal entity's compliance with statute, 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 non-Federal entity considers sensitive consistent with applicable Federal, state and local laws regarding privacy and obligations of confidentiality.

In order to better understand administrative requirements and cost principles, award applicants are encouraged to enroll, at no charge, in the Department of Justice Grants Financial Management Online Training available here.

Budget Information

The SMART Office anticipates that it will make one award of up to \$500,000 for a period of up to 24 months. It is anticipated that any award that may be made under this solicitation should be awarded no later than September 30, 2015.

The SMART Office has reached the allowed limit for supplemental funding under this solicitation. Important considerations in decisions regarding supplemental funding include, among other factors, the availability of funding, strategic priorities, assessment of the quality of the management of the award (for example, timeliness and quality of progress reports), and assessment of the progress of the work funded under the award.

Applicant proposal must include funding to send staff and consultants that will be providing training and technical assistance to the SMART Office's proposed 2015 National Symposium on Sex Offender Management and Accountability.

Cost Sharing or Match Requirement

This Invitation to Apply does not require a match. However, 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.

Pre-Agreement Cost Approvals

OJP does not typically approve pre-agreement costs; an applicant must request and obtain the prior written approval of OJP for all such costs. If approved, pre-agreement costs could be paid from grant funds consistent with a grantee's approved budget, and under applicable cost standards. However, all such costs prior to award and prior to approval of the costs are incurred at the sole risk of an applicant. Generally, no applicant should incur project costs *before* submitting an application requesting federal funding for those costs. Should there be extenuating circumstances that appear to be appropriate for OJP's consideration as pre-agreement costs, the applicant should contact the point of contact listed on the title page of this announcement for details on the requirements for submitting a written request for approval. See the section on Costs Requiring Prior Approval in the Financial Guide, 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 invitation to apply, recipients may not use federal funds to pay total cash compensation (salary plus cash bonuses) to any employee of the award recipient at a rate that exceeds 110% 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 year². The 2015 salary table for SES employees is available at the Office of Personnel Management website. 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. (Any such additional compensation will not be considered matching funds where match requirements apply.)

The Assistant Attorney General for OJP may exercise discretion to waive, on an individual basis, the limitation on compensation rates allowable under an award. An applicant requesting a waiver should include a detailed justification in the budget narrative of the application. Unless the applicant submits a waiver request and justification with the application, the applicant should anticipate that OJP will request the applicant to adjust and resubmit the budget.

The justification should include the particular qualifications and expertise of the individual, the uniqueness of the service the individual will provide, the individual's specific knowledge of the program or project being undertaken with award funds, and a statement explaining that the individual's salary is commensurate with the regular and customary rate for an individual with his/her qualifications and expertise, and for the work to be done.

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

OJP strongly encourages applicants that propose to use award funds for any conference-, meeting-, or training-related activity to review carefully – before submitting an application – the OJP policy and guidance on conference approval, planning, and reporting available at

² This limitation on use of award funds does not apply to the non-profit organizations specifically named at Appendix VIII to 2 C.F.R. part 200.

www.ojp.gov/financialguide/PostawardRequirements/chapter15page1.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 such costs for cooperative agreement recipients and of some such costs for grant recipients; and (3) set cost limits, including 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 "Solicitation Requirements" in the [OJP Funding Resource Center](#).

III. Application and Submission Information

What an Application Should Include

Applicants should anticipate that if they fail to submit an application that contains all of the specified elements, it may negatively affect the review of the application; and, should a decision be made to make an award, it may result in the inclusion of special conditions that preclude the recipient from accessing or using award funds pending satisfaction of the conditions.

Applicants may combine the Budget Narrative and the Budget Detail Worksheet in one document. However, if an applicant submits only one budget, it must contain **both** narrative and detail information. Please review the "Note on File Names and File Types" under "How to Apply" to be sure applications are submitted in permitted formats.

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

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. GMS takes information from the applicant's profile to populate the fields on this form. When selecting "type of applicant," if the applicant is a for-profit entity, select "For-Profit Organization" or "Small Business" (as applicable).

Intergovernmental Review: This funding opportunity (program) is not subject to Executive Order 12372. (In completing the SF-424, applicants are to make the appropriate selection in response to question 19 to indicate that the "Program is not covered by E.O. 12372.")

2. **Project Abstract** Applications should include a high-quality project abstract that summarizes the proposed project in 400 words or less. Project abstracts should be the following:

- Written for a general public audience
- Submitted as a separate attachment with "Project Abstract" as part of its file name
- Single-spaced, using a standard 12-point font (Times New Roman) with 1-inch margins

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

3. **Program Narrative**

The program narrative should respond to the solicitation and present a detailed description of the purpose, scope, goals and objectives of the proposed project. The program narrative should be double-spaced, using a standard 12-point font (Times New Roman is preferred) with 1-inch margins, and should not exceed 25 pages. Please number pages "1 of 25," "2 of 25," etc. Submissions that do not adhere to the format will be deemed ineligible. Information required under the "Budget and Budget Narrative" and "Other Attachments" sections will not count toward the program narrative page count.

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

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

a. **Statement of the Problem**

Applicant must discuss existing challenges and/or complexities unique to developing programs to substantially implement SORNA and undertaking sex offender management efforts. In addition, the applicant must describe an assessment of research in the area of juvenile and adult sex offender treatment and re-entry services, and other applicable disciplines. Discussion should highlight the issues associated in Indian Country in the field of sex offender management, and sex offender treatment and re-entry services.

b. **Project Design and Implementation**

Applicant must detail how the project will operate during the funding period and describe the strategy that will be used to implement the proposed project. This section should illustrate what activities are proposed for the project and describe how the strategy will support the goals and objectives of this invitation to apply.

b. **Capabilities and Competencies**

Applicant must describe the management structure and staffing of the project and include information that describes the roles and responsibility of key organizational and functional components and personnel. This section must describe the experience and capability of the applicant and any contractors that will be used to implement the project and should highlight any previous experience implementing projects of similar design and magnitude. Discussion must demonstrate the applicant's competence and experience in working with tribal governments,

particularly in supporting sex offender management and sex offender treatment and re-entry services. The management and organizational structure described should match the staff needs necessary to accomplish the tasks outlined in the project work plan. Position descriptions and resumes for key positions and personnel should be submitted as an attachment.

d. Plan for Collecting the Data Required for this Invitation to Apply Performance Measures

Applicant should describe how performance will be documented, monitored, and evaluated, including how the impact of the strategy implemented and/or enhancement will be determined.

To assist the Department 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, applicants that receive funding under this program must provide data that measure the results of their work done under this program. OJP will require any award recipient, post award, to provide the data requested in the "Data Grantee Provides" column so that OJP can calculate values for the "Performance Measures" column. Performance measures for this Invitation are as follows:

Objective	Performance Measure(s)	Data Grantee Provides
Assess and document the state of SORNA implementation in tribal jurisdictions.	Percentage of tribes assessed for SORNA implementation at varying implementation stages	Number of tribal jurisdictions identified in Indian Country with SMART input Number of tribal jurisdictions identified that: - have implemented SORNA - are in the process of implementing SORNA - have not started the SORNA process - been delegated to implement SORNA
	Provide assessments on the implementation of SORNA in Indian Country on identified tribal jurisdictions	Provide information on the identified tribal jurisdictions that: - have implemented SORNA - are in the process of implementing SORNA - have started the SORNA process - been delegated to implement SORNA
Provide training and technical assistance to tribal jurisdictions	Number of on-site visits completed	Number of on-site visits to the selected sites

to develop and implement SORNA recommendations	Number of tribes or tribal organizations that received training	Number of tribes or tribal organizations that received training during the reporting period
	Number of tribes or tribal organizations that received technical assistance	Number of tribes or tribal organizations that received technical assistance during the reporting period
	Number of training events/activities conducted	Number of training events/activities conducted during the reporting period
	Number of SORNA recommendations developed	Number of SORNA recommendations developed at the forum
	Number of SORNA recommendations adopted	Number of SORNA recommendations (developed at the forum) that were adopted by tribal jurisdictions
Develop and provide materials to assist the field implement SORNA in Indian Country	Percent of deliverables that meet expectations	<p>Provide documentation (i.e. resume or CV) for the researcher skilled in qualitative research methods (Ph.D.) and with tribal knowledge/affiliation</p> <p>Provide a literature review of juvenile and adult sex offender treatment and re-entry services in Indian Country</p> <p>Develop a protocol for interviewing key stakeholders in tribal sites about the process of implementing SORNA and its effects</p> <p>Document and develop process of sharing information with other tribes and non-tribal entities (county, state, federal) and how these relationships developed</p>

		<p>Document the costs associated and efforts to ensure sustainability</p> <p>Develop case studies based upon interviews and demographic/descriptive information about each site</p> <p>Develop recommendations of quantitative research design to complement qualitative case studies in assessing the effects of SORNA in tribal jurisdictions</p>
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The SMART Office does not require applicants to submit performance measures data with their application. Performance measures are included as an alert that the SMART Office will require successful applicants to submit specific data as part of their reporting requirements. For the application, the applicant should indicate an understanding of these requirements and discuss how the applicant will gather the required data, should they receive funding.

Note on Project Evaluations

Applicants that propose to use funds awarded through this invitation to apply to conduct project evaluations should be aware that certain project evaluations (such as systematic investigations designed to develop or contribute to generalizable knowledge) may constitute “research” for purposes of applicable DOJ human subjects protection regulations. However, project evaluations that are intended only to generate internal improvements to a program or service, or are conducted only to meet OJP’s performance measure data reporting requirements likely do not constitute “research.” Applicants should provide sufficient information for OJP to determine whether the particular project they propose would either intentionally or unintentionally collect and/or use information in such a way that it meets the DOJ regulatory definition of research.

Research, for the purposes of human subjects protections for OJP-funded programs, is defined as, “a systematic investigation, including research development, testing, and evaluation, designed to develop or contribute to generalizable knowledge” 28 C.F.R. § 46.102(d). For additional information on determining whether a proposed activity would constitute research, see the decision tree to assist applicants on the “Research and the Protection of Human Subjects” section of the [OJP Funding Resource Center Web page \(www.ojp.gov/funding/Explore/SolicitationRequirements/EvidenceResearchEvaluationRequirements.htm\)](http://www.ojp.gov/funding/Explore/SolicitationRequirements/EvidenceResearchEvaluationRequirements.htm). Applicants whose proposals may involve a research or statistical component also should review the “Data Privacy and Confidentiality Requirements” section on that Web page.

4. Budget Detail Worksheet and Budget Narrative

a. Budget Detail Worksheet

A sample Budget Detail Worksheet can be found at www.ojp.gov/funding/Apply/Resources/BudgetDetailWorksheet.pdf. Applicants that

submit the budget in a different format should include the budget categories listed in the sample budget worksheet.

For questions pertaining to budget and examples of allowable and unallowable costs, see the Financial Guide at www.ojp.gov/financialguide.

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).

Applicants should demonstrate in their budget narratives how they will maximize cost effectiveness of grant 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 narrative should be mathematically sound and correspond 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 they are relevant 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 be broken down by year.

c. Non-Competitive Procurement Contracts In Excess of Simplified Acquisition Threshold

If an applicant proposes to make one or more non-competitive procurements of products or services, where the non-competitive procurement will exceed the simplified acquisition threshold (also known as the small purchase threshold), which is currently set at \$150,000, the application should address the considerations outlined in the Financial Guide.

d. Pre-Agreement Cost Approvals

For information on pre-agreement costs, see "Pre-Agreement Cost Approvals" under section V. Federal Award Information.

5. Indirect Cost Rate Agreement (if applicable)

Indirect costs are allowed only if the applicant has a current federally approved indirect cost rate. (This requirement does not apply to units of local government.) Attach a copy of the federally approved indirect cost rate agreement to the application. Applicants that do not have an approved rate may request one through their cognizant federal agency, which will review all documentation and approve a rate for the applicant organization, or, if the applicant's accounting system permits, costs may be allocated in the direct cost categories. For the definition of Cognizant Federal Agency, see the "Glossary of Terms" in the Financial Guide. For assistance with identifying your cognizant agency, please contact the Customer Service Center at 1-800-458-0786 or at ask.ocfo@usdoj.gov. If DOJ is the cognizant federal agency, applicants may obtain information needed to submit an indirect cost rate proposal at www.ojp.gov/funding/Apply/Resources/IndirectCosts.pdf.

Tribal Authorizing Resolution (if applicable) Tribes, tribal organizations, or third parties proposing to provide direct services or assistance to residents on tribal lands should include in their applications a resolution, a letter, affidavit, or other documentation, as appropriate, that certifies that the applicant has the legal authority from the tribe(s) to implement the proposed project on tribal lands. In those instances when an organization or consortium of tribes applies for a grant on behalf of a tribe or multiple specific tribes, the application should include appropriate legal documentation, as described above, from all tribes that would receive services or assistance under the grant. 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.

Applicants unable to submit an application that includes a fully-executed (i.e., signed) copy of appropriate legal documentation, as described above, consistent with the applicable tribe's governance structure, should, at a minimum, submit an unsigned, draft version of such legal documentation as part of its application (except for cases in which, with respect to a tribal consortium applicant, consortium bylaws allow action without the support of all consortium member tribes). If selected for funding, the SMART Office will make use of and access to funds contingent on receipt of the fully-executed legal documentation.

6. Applicant Disclosure of High Risk Status

Applicants are to disclose whether they are currently designated high risk by another federal grant making agency. This includes any status requiring additional oversight by the federal agency due to past programmatic or financial concerns. If an applicant is designated high risk by another federal grant making agency, you must email the following information to OJPComplianceReporting@usdoj.gov at the time of application submission:

- The federal agency that currently designated the applicant as high risk
- Date the applicant was designated high risk
- The high risk point of contact name, phone number, and email address, from that federal agency
- Reasons for the high risk status

OJP seeks this information to ensure appropriate federal oversight of any grant award. Unlike the Excluded Parties List, this high risk information does not disqualify any organization from receiving an OJP award. However, additional grant oversight may be included, if necessary, in award documentation.

7. Additional Attachments

a. Applicants should submit the following information as attachments to their application:

- Project Timeline
- Position descriptions and resumes

b. Applicant Disclosure of Pending Applications

Applicants are to disclose whether they have pending applications for federally funded grants or subgrants (including cooperative agreements) that include requests for funding to support the same project being proposed under this invitation to apply and will cover the identical cost items outlined in the budget narrative and worksheet in the application under this invitation to apply. The disclosure should include both direct applications for federal funding (e.g., applications to federal agencies) and indirect applications for such funding (e.g., applications to State agencies that will be subawarding federal funds).

OJP seeks this information to help avoid any 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.

Applicants that have pending applications as described above are 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 funding agency

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

Applicants should include the table as a separate attachment, with the file name "Disclosure of Pending Applications," to their application. Applicants that do not have pending applications as described above are to include a statement to this effect in the separate attachment page (e.g., "[Applicant Name on SF-424] does not have pending applications submitted within the last 12 months for federally funded grants or subgrants (including cooperative agreements) that include requests for funding to support the same project being proposed in response to this invitation to apply and will cover the identical cost items outlined in the budget narrative and worksheet in the application in response to this invitation to apply.").

c. Research and Evaluation Independence and Integrity

If a proposal involves research and/or evaluation, regardless of the proposal's other merits, in order to receive funds, the applicant must demonstrate research/evaluation independence, including appropriate safeguards to ensure research/evaluation objectivity and integrity, both in this proposal and as it may relate to the applicant's other current or prior related projects. This documentation may be included as an attachment to the application which addresses BOTH i. and ii. below.

- i. For purposes of this solicitation, applicants must document research and evaluation independence and integrity by including, at a minimum, one of the following two items:

- a. A specific assurance that the applicant has reviewed its proposal to identify any research integrity issues (including all principal investigators and sub-recipients) and it has concluded that the design, conduct, or reporting of research and evaluation funded by the SMART Office grants, cooperative agreements, or contracts will not be biased by any personal or financial conflict of interest on the part of part of its staff, consultants, and/or sub-recipients responsible for the research and evaluation or on the part of the applicant organization;

OR

- b. A specific listing of actual or perceived conflicts of interest that the applicant has identified in relation to this proposal. These conflicts could be either personal (related to specific staff, consultants, and/or sub-recipients) or organizational (related to the applicant or any subgrantee organization). Examples of potential investigator (or other personal) conflict situations may include, but are not limited to, 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 could not be given a grant 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), as the organization in such an instance would 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 applicants must address the issue of 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 potential personal or organizational conflicts of interest exist, then the applicant should provide a

brief narrative explanation of how and why it reached that conclusion. Applicants MUST also include an explanation of the specific processes and procedures that the applicant will put in place to identify and eliminate (or, at the very least, mitigate) potential personal or financial conflicts of interest on the part of its staff, consultants, and/or sub-recipients for this particular project, should that be necessary during the grant period. Documentation that may be helpful in this regard could include organizational codes of ethics/conduct or policies regarding organizational, personal, and financial conflicts of interest.

OR

- b. If the applicant has identified specific personal or organizational conflicts of interest in its proposal during this review, the applicant must propose a specific and robust mitigation plan to address conflicts noted above. At a minimum, the plan must include specific processes and procedures that the applicant will put in place to eliminate (or, at the very least, mitigate) potential personal or financial conflicts of interest on the part of its staff, consultants, and/or sub-recipients for this particular project, should that be necessary during the grant period. Documentation that may be helpful in this regard could include organizational codes of ethics/conduct or policies regarding organizational, personal, and financial conflicts of interest. There is no guarantee that the plan, if any, will be accepted as proposed.

Considerations in assessing research and evaluation independence and integrity will include, but are not be limited to, the adequacy of the applicant's efforts to identify factors that could affect the objectivity or integrity of the proposed staff and/or the organization 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.

d. Financial Management and System of Internal Controls Questionnaire

In accordance with 2 CFR 200.205, Federal agencies must have in place a framework for evaluating the risks posed by applicants before they receive a Federal award. To facilitate part of this risk evaluation, all applicants (other than an individual) are to download, complete, and submit this form.

e. Disclosure of Lobbying Activities

All applicants must complete this information and submit the form in GMS with the application. Access to funds may be withheld if this form is not submitted. Applicants that expend any funds for lobbying activities are to provide the detailed information requested on the form, Disclosure of Lobbying Activities (SF-LLL). Applicants that do not expend any funds for lobbying activities are to enter "N/A" in the text boxes for item 10 ("a. Name and Address of Lobbying Registrant" and "b. Individuals Performing Services"). Access the form at www.ojp.gov/funding/Apply/Resources/Disclosure.pdf.

How to Apply

Applicants must submit applications through the Grants Management System (GMS), which provides support for the application, award, and management of awards at OJP. Applicants **must register in GMS for each specific funding opportunity** and should register

immediately to meet the GMS registration deadline for this funding opportunity, especially if this is their first time using the system. Find complete instructions on how to register and submit an application in GMS at www.ojp.gov/gmscbt/. Applicants that experience technical difficulties during this process should e-mail GMS.HelpDesk@usdoj.gov or call 888-549-9901 (option 3), Monday – Friday from 6:00 a.m. to midnight, Eastern Time, except Federal holidays. OJP recommends that applicants **register immediately** to prevent delays in submitting an application package by deadline.

Note on File Types: 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.”

OJP may not make a federal award to an applicant until the applicant has complied with all applicable DUNS and SAM requirements. If an applicant has not fully complied with the requirements by the time the federal awarding agency is ready to make a federal award, the federal awarding agency may determine that the applicant is not qualified to receive a federal award and use that determination as a basis for making a federal award to another applicant.

All applicants should complete the following steps:

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

Information about SAM registration procedures can be accessed at www.sam.gov.
- 3. Acquire a GMS username and password.** New users must create a GMS profile by selecting the “First Time User” link under the sign-in box of the GMS home page. For more information on how to register in GMS, go to www.ojp.gov/gmscbt/.
- 4. Verify the SAM (formerly CCR) registration in GMS.** OJP requests that all applicants verify their SAM registration in GMS. Once logged into GMS, click the “CCR Claim” link on the left side of the default screen. Click the submit button to verify the SAM (formerly CCR) registration.

5. **Search for the funding opportunity on GMS.** After logging into GMS or completing the GMS profile for username and password, go to the "Funding Opportunities" link on the left side of the page. Select the SMART Office and the SMART FY 15 SORNA Tribal Training and Technical Assistance Program.
6. **Register by selecting the "Apply Online" button associated with the funding opportunity title.** The search results from step 5 will display the funding opportunity title along with the registration and application deadlines for this funding opportunity. Select the "Apply Online" button in the "Action" column to register for this funding opportunity and create an application in the system.
7. **Follow the directions in GMS to submit an application consistent with this guidance.** Once submitted, GMS will display a confirmation screen stating the submission was successful. **Important:** In some instances, applicants must wait for GMS approval before submitting an application. OJP urges applicants to submit the application **at least 72 hours prior** to the application due date.

Note: Duplicate Applications

If an applicant submits multiple versions of the same application, the SMART Office will review only the most recent system-validated version submitted. See Note on "File Names and File Types" under How to Apply.

Experiencing Unforeseen GMS Technical Issues

Applicants that experience unforeseen GMS technical issues beyond their control that prevent them from submitting their application by the deadline must contact the GMS Help Desk or the SAM Help Desk to report the technical issue and receive a tracking number. Then the applicant must e-mail the SMART Office contact identified in the Contact Information section on page 1 **within 24 hours after the application deadline** and request approval to submit their application. The e-mail must describe the technical difficulties and include a timeline of the applicant's submission efforts, the complete grant application, the applicant's DUNS number, and any GMS Help Desk or SAM tracking number(s). **Note: The SMART Office does not approve requests automatically.** After the program office reviews the submission, and contacts the GMS Help Desk to validate 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 applicant failed to follow all required procedures, which resulted in an untimely application submission, OJP will deny the applicant's request to submit their application.

The following conditions are generally insufficient to justify late submissions:

- Failure to register in SAM or GMS in sufficient time
- Failure to follow GMS instructions on how to register and apply as posted on the GMS Web site
- Failure to follow each instruction in the OJP invitation letter or guidance
- Technical issues with the applicant's computer or information technology environment, including firewalls

Notifications regarding known technical problems with GMS, if any, are posted at the top of the OJP funding Web page at

IV. Application Review Information

Review Process

OJP is committed to ensuring a fair and open process for awarding grants. The SMART Office reviews the application to make sure that the information presented is reasonable, understandable, measurable, and achievable, as well as consistent with the invitation to apply and any associated program(s).

OJP reviews applications for potential discretionary awards to evaluate the risks posed by applicants before they receive an award. This review may include but is not limited to the following:

1. Financial stability and fiscal integrity
2. Quality of management systems and ability to meet the management standards prescribed in the Financial Guide
3. History of performance
4. Reports and findings from audits
5. The applicant's ability to effectively implement statutory, regulatory, or other requirements imposed on non-Federal entities
6. Proposed costs to determine if the Budget Detail Worksheet and Budget Narrative accurately explain project costs, and whether those costs are reasonable, necessary, and allowable under applicable federal cost principles and agency regulations

Absent explicit statutory authorization or written delegation of authority to the contrary, all final award decisions will be made by the Assistant Attorney General, who may consider factors including, but not limited to, underserved populations, geographic diversity, strategic priorities, past performance, and available funding when making awards.

V. Federal Award Administration Information

Federal Award Notices

OJP award notification will be sent from GMS. Recipients will be required to login; accept any outstanding assurances and certifications on the award; designate a financial point of contact; and review, sign, and accept the award. The award acceptance process involves physical signature of the award document by the authorized representative and the scanning of the fully-executed award document to OJP.

Administrative, National Policy, and other Legal Requirements

If selected for funding, in addition to implementing the funded project consistent with the agency-approved project proposal and budget, the recipient must comply with award terms and conditions, and other legal requirements, including but not limited to OMB, DOJ or other federal regulations which will be included in the award, incorporated into the award by reference, or are otherwise applicable to the award. OJP strongly encourages prospective applicants to review the information pertaining to these requirements **prior** to submitting an application. To assist applicants and recipients in accessing and reviewing this information, OJP has placed pertinent information on its [Solicitation Requirements](#) page of the [OJP Funding Resource Center](#) webpages.

Please note in particular the following two forms, which applicants must accept in GMS prior to the receipt of any award funds, as each details legal requirements with which applicants must provide specific assurances and certifications of compliance. Applicants may view these forms in the Apply section of the [OJP Funding Resource Center](#) and are strongly encouraged to review and consider them carefully prior to making an application for OJP grant funds.

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

Upon grant approval, OJP electronically transmits (via GMS) the award document to the prospective award recipient. In addition to other award information, the award document contains award terms and conditions that specify national policy requirements³ with which recipients of federal funding must comply; uniform administrative requirements, cost principles, and audit requirements; and program-specific terms and conditions required based on applicable program (statutory) authority or requirements set forth in OJP solicitations and program announcements, and other requirements which may be attached to appropriated funding. For example, certain efforts may call for special requirements, terms, or conditions relating to intellectual property, data/information-sharing or -access, or information security; or audit requirements, expenditures and milestones; or publications and/or press releases. OJP also may place additional terms and conditions on an award based on its risk assessment of the applicant, or for other reasons it determines necessary to fulfill the goals and objectives of the program.

Prospective applicants may access and review the text of mandatory conditions OJP includes in all OJP awards, as well as the text of certain other conditions, such as administrative conditions, via OJP's [Mandatory Award Terms and Conditions](#) page of the [OJP Funding Resource Center](#).

As stated above, the SMART Office anticipates that it will make any award from this invitation to apply in the form of a cooperative agreement. Cooperative agreement awards include standard "federal involvement" conditions that describe the general allocation of responsibility for execution of the funded program. Generally-stated, under cooperative agreement awards, responsibility for the day-to-day conduct of the funded project rests with the recipient in implementing the funded and approved proposal and budget, and the award terms and conditions. Responsibility for oversight and redirection of the project, if necessary, rests with the SMART Office.

In addition to any "federal involvement" condition(s), OJP cooperative agreement awards include a special condition specifying certain reporting requirements required in connection with conferences, meetings, retreats, seminars, symposium, training activities, or similar events funded under the award, consistent with OJP policy and guidance on conference approval, planning, and reporting.

³ See generally 2 C.F.R. 200.300 (provides a general description of national policy requirements typically applicable to recipients of Federal awards, including the Federal Funding Accountability and Transparency Act of 2006 (FFATA)).

General Information about Post-Federal Award Reporting Requirements

Recipients must submit quarterly financial reports, semi-annual progress reports, final financial and progress reports, and, if applicable, an annual audit report in accordance with 2 CFR Part 200. Future awards and fund drawdowns may be withheld if reports are delinquent.

Special Reporting requirements may be required by OJP depending on the statutory, legislative or administrative obligations of the recipient or the program.

VI. Federal Awarding Agency Contact(s)

For additional Federal Awarding Agency Contact(s), see the Title page.

For additional contact information for GMS, see the Title page.

VII. Other Information

Provide Feedback to OJP

To assist OJP in improving its application and award processes, we encourage applicants to provide feedback on this guidance, the application submission process, and/or the application review/peer review process. Feedback may be provided to OJPSolicitationFeedback@usdoj.gov.

IMPORTANT: This email is for feedback and suggestions only. Replies are **not** sent from this mailbox. If you have specific questions on any program or technical aspect of this invitation or guidance, **you must** directly contact the appropriate number or e-mail listed on the invitation letter. These contacts are provided to help ensure that you can directly reach an individual who can address your specific questions in a timely manner.

If you are interested in being a reviewer for other OJP grant applications, please email your resume to ojppeerreview@imbps.com. The OJP Solicitation Feedback email account will not forward your resume. **Note:** Neither you nor anyone else from your organization can be a peer reviewer in a competition in which you or your organization have submitted an application.

Application Checklist

SMART FY 15 SORNA Tribal Training and Technical Assistance Program

This application checklist has been created to assist in developing an application.

What an Applicant Should Do:

Prior to Registering in GMS:

- _____ Acquire a DUNS Number (see page 17)
- _____ Acquire or renew registration with SAM (see page 17)

To Register with GMS:

- _____ For new users, acquire a GMS username and password* (see page 17)
- _____ For existing users, check GMS username and password to ensure account access (see page 17)
- _____ Verify SAM registration in GMS (see page 17)
- _____ Search for correct funding opportunity in GMS (see page 18)
- _____ Register by selecting the "Apply Online" button associated with the funding opportunity title (see page 18)
- _____ If experiencing technical difficulties in GMS, contact the SMART Office. (see page 18)

*Password Reset Notice – GMS users are reminded that while password reset capabilities exist, this function is only associated with points of contacts designated within GMS at the time the account was established. Neither OJP nor the GMS Help Desk will initiate a password reset unless requested by the authorized official nor a designated point of contact associated with an award or application."

General Requirements:

- _____ Review Solicitation Requirements webpage in the OJP Funding Resource Center.

Scope Requirement:

- _____ The federal amount requested is within the allowable limit(s) of \$500,000.

What an Application Should Include:

- _____ Application for Federal Assistance (SF-424) (see page 7)
- _____ Project Abstract (see page 8)
- _____ Program Narrative (see page 8)
- _____ Budget Detail Worksheet (see page 11)
- _____ Budget Narrative (see page 12)
- _____ Employee Compensation Waiver request and justification (if applicable) (see page 6)
- _____ Read OJP policy and guidance on conference approval, planning, and reporting available at www.ojp.gov/financialguide/PostawardRequirements/chapter15page1.htm (see page 6)

_____	Disclosure of Lobbying Activities (SF-LLL)	(see page 16)
_____	Indirect Cost Rate Agreement (if applicable)	(see page 12)
_____	Tribal Authorizing Resolution (if applicable)	(see page 13)
_____	Applicant Disclosure of High Risk Status	(see page 13)
_____	Additional Attachment	(see page 13)
	• Project Timeline	
	• Position descriptions and resumes	
_____	Applicant Disclosure of Pending Applications	(see page 14)
_____	Research and Evaluation Independence and Integrity	(see page 15)
_____	Financial Management and System of Internal Controls Questionnaire (if applicable)	(see page 16)