



The [U.S. Department of Justice](#) (DOJ), [Office of Justice Programs](#) (OJP), [National Institute of Justice](#) (NIJ) is seeking applications for funding for methodological research to support the development and testing of a questionnaire and modes of delivery designed to survey American Indian (AI) and Alaska Native (AN) youth regarding their victimization experiences. As the principal research agency within the Department, NIJ is dedicated to improving knowledge and understanding of crime and justice issues through science. This solicitation furthers the Department's mission by sponsoring research to provide objective, independent knowledge and tools to meet the challenges of crime and justice, particularly at the state, tribal, and local levels.

Methodological Research to Support NIJ's Program of Research Examining Violence and Victimization of American Indian (AI) and Alaska Native (AN) Youth 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 (including federally recognized Indian tribal governments as determined by the Secretary of the Interior), nonprofit and for-profit organizations (including tribal nonprofit or for-profit organizations), institutions of higher education (including tribal institutions of higher education), and certain qualified individuals. For-profit organizations must agree to forgo any profit or management fee. Foreign governments, foreign organizations, and foreign institutions of higher education are not eligible to apply.

NIJ welcomes applications that involve two or more entities, however, one eligible entity must be the applicant, and the other(s) must be proposed as subrecipient(s). The applicant must be the entity with primary responsibility for conducting and leading the research.

NIJ may elect to make awards for applications submitted under this solicitation in future fiscal years, dependent on the merit of the applications and on the availability of appropriations.

Deadline

Applicants must register with [Grants.gov](#) prior to submitting an application. (See "How to Apply," page 32.) All applications are due by 11:59 p.m. eastern time on June 17, 2014. (See "Deadlines: Registration and Application," page 3.)

All applicants are encouraged to read this [Important Notice: Applying for Grants in Grants.gov](#).

Contact Information

For technical assistance with submitting an application, contact the Grants.gov Customer Support Hotline at 800-518-4726 or 606-545-5035, or via e-mail to support@grants.gov. The [Grants.gov](#) Support Hotline hours of operation are 24 hours a day, 7 days a week, except federal holidays. Applicants that experience unforeseen Grants.gov technical issues beyond their control that prevent them from submitting their application by the deadline must e-mail the NIJ contact identified below **within 24 hours after the application deadline** and request approval to submit their application. For assistance with any other requirements of this solicitation, contact TribalResearch@usdoj.gov. General information on applying for NIJ awards can be found at 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.

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Methodological Research to Support NIJ's Program of Research Examining Violence and Victimization of American Indian (AI) and Alaska Native (AN) Youth

(CFDA No. 16.560)

Overview

This solicitation seeks applicants to develop and test optimum data collection procedures for self-report data on violence and victimization experienced by American Indian (AI) and Alaska Native (AN) youth living in tribal communities or settings. The focus of the work under this solicitation is to develop, implement, and pilot test a survey and methods for providing estimates of victimization, and to determine the feasibility of using these procedures in tribal communities and settings.

Authorizing Legislation: Title I of the Omnibus Crime Control and Safe Streets Act of 1968 (sections 201 and 202); Department of Justice Appropriations Act, 2014 (Public Law 113-76); 28 U.S.C. § 530C.

Deadlines: Registration and Application

Applicants must register with Grants.gov prior to submitting an application. OJP encourages applicants to **register several weeks before** the application submission deadline. In addition, OJP urges applicants to submit applications 72 hours prior to the application due date. The deadline to apply for funding under this announcement is 11:59 eastern time on June 17, 2014. See "How to Apply" on page 32 for details.

Eligibility

Refer to the title page for eligibility under this program.

Program-Specific Information

In accordance with the trust relationship that is fundamental to the government-to-government relationship with American Indian tribes and Alaska Native villages, DOJ provides assistance, including through grants, to tribal governments and their justice systems. The Department can better carry out this critical function through improved data collection, research, analyses, and reporting on crime and justice issues facing tribal communities. As a result, one of the key priority areas of the Department is to address the lack of tribal data and research to inform justice policy and practice.

Existing research, accounts from tribal leaders and administrators, as well as anecdotal accounts from law enforcement authorities and child protective services indicate that violence against and among AI and AN youth is a critical public health and public safety issue facing many tribal communities. In general, research has shown that children exposed to violence (CEV) are at a higher risk of engaging in criminal behavior later in life as well as being afflicted

with elevated levels of victimization, drug use, and suicidal behaviors. To date, only a few of these studies have been conducted in tribal communities or settings with tribal youth. However, these studies¹ have found that exposure to violence was widespread among AI and AN boys and girls and associated with a number of subsequent behavioral health disparities such as long-term physical, psychological, and emotional harm.

Despite these compelling indications, there has never been a national study of tribal youth regarding their victimization experiences that provides reliable, valid estimates of the scope of the problem. As a result, the incidence, prevalence, and nature of victimization experienced by AI and AN tribal youth who are enrolled, affiliated, or descendants of a federally recognized tribe² living in Indian Country,³ Alaska Native Villages or hub areas,⁴ or other tribal settings (e.g., off-reservation boarding schools, peripheral dormitories near reservations for students attending public schools, tribal colleges) are unknown.

Because this area remains an understudied issue that suffers from a lack of scientifically rigorous research, NIJ, in partnership with the Office of Juvenile Justice and Delinquency Prevention (OJJDP) and the Office for Victims of Crime (OVC), seeks to fund research that will provide prevalence data and research detailing the occurrence and forms of victimization experienced by AI and AN youth living in or near tribal communities. The goals behind this effort are to (1) improve our understanding of the programmatic, service, and policy needs of AI and AN girls and boys and (2) educate and inform policymakers and the public about the public safety and health issues affecting tribal communities and, in particular, its youth.

¹ Covell, K. (2005). *United Nations Secretary-General's Study on Violence Against Children in North America: North American Regional Consultation*; Earle, K., & Cross, A. (2001). Child Abuse and Neglect Among American Indian/Alaska Native children. Seattle, Washington: Casey Family Programs. Ellickson, P L & McGuigan, K A. (2000). *Early predictors of adolescent violence*. American Journal of Public Health. April; 90(4): 566–572; Finkelhor, D., Ormrod, R.K., & Turner, H.A. (2007). *Poly-victimization: A neglected component in child victimization*. Journal of Child Abuse & Neglect. Volume 31, Issue 1, January, Pages 7–26. Finkelhor, D., Ormrod, R., Turner, H., & Hamby, S. (2005). *The victimization of children and youth: A comprehensive national survey*. Child Maltreatment, 10(1), 5-25; Kilpatrick, D. G., Ruggiero, K.J., Acierno, R., Saunders, B.E., Resnick, H.S., & Best, C. L. (2003) *Violence and risk of PTSD, major depression, substance abuse/dependence, and comorbidity: Results from the National Survey of Adolescents*. Journal of Consulting and Clinical Psychology, Vol. 71(4), Aug, 692-700; NAIC. National Clearing House on Child Abuse and Neglect Information, (2002). Child Maltreatment 2002. Retrieved from: <http://nccanch.acf.hhs.gov/pubs/factsheets/canstats.cfm>; Rumbaugh Whitesell, N., Beals, J., Mitchell, C.M., Manson, S.M., & Turner, J.R. (2009). *Childhood Exposure to Adversity and Risk of Substance-Use Disorder in Two American Indian Populations: The Meditational Role of Early Substance-Use Initiation*. Journal of Studies on Alcohol and Drugs.70:971-981; Wagman Borowsky, I., Resnick, M.D., Ireland, M., & Blum, R.W. (1999). *Suicide Attempts Among American Indian and Alaska Native Youth: Risk and Protective Factors*. Archives of Pediatrics and Adolescent Medicine. 153(6):573-580.

² For purposes of this solicitation, “Indian tribe” is an Indian or Alaska Native tribe, band, nation, pueblo, village, or community that the Secretary of the Interior acknowledges to exist as an Indian tribe pursuant to the Federally Recognized Indian Tribe List Act of 1994, 25 U.S.C. 479a.

³ “Indian Country” is defined by 18 U.S.C. § 1151 as—

(a) all land within the limits of any Indian reservation under the jurisdiction of the United State Government, notwithstanding the issuance of any patent, and, including the rights-of-way through the reservation, (b) all dependent Indian communities within the borders of the United States whether within the original or subsequently acquired territory thereof, and whether within or without the limits of a state, and (c) all Indian allotments, the Indian titles to which have not been extinguished, including rights-of-way running through the same.

⁴ Hub refers to a service/commercial center, often a centrally located village or town, that has grown to include services for surrounding villages.

Expected Benefits of this Research

This solicitation seeks to fund methodological research to support the development and testing of a tribal youth survey as well as testing different modes of delivery. This work will contribute to our understanding of violence and victimization experienced by tribal youth. In turn, this understanding will provide information that can guide policies to prevent and respond to these issues. More specifically, this research will —

- Provide tested measures of violence and victimization among tribal youth.
- Develop improved collection procedures for self-report data from tribal youth.
- Evaluate the accuracy, utility, and costs of collection procedures relative to those used up until now.
- Determine the optimal design for measuring violence and victimization among tribal youth.
- Determine whether the optimal design can be accommodated using different modes of administration.

In developing the optimal design, the funding recipient and NIJ will hold one or more meetings with federal and tribal stakeholders and AI and AN research and evaluation experts. The purpose of these meetings is to gather information on (1) policy and program needs for data on tribal youth exposed to violence; (2) best methods for representing the definitions in survey instruments so their meaning is clear to respondents; and (3) best methods for obtaining as complete reporting as possible, including methods whereby respondents may report anonymously. The deliberations and recommendations of the meetings will shape the optimal design that ultimately is developed and tested. Following development and build out of the optimal design, the funding recipient and NIJ will review the results in an effort to refine the design prior to pilot testing.

Goals, Objectives, Deliverables, and Expected Scholarly Products

The goals of this study are to develop and test a survey designed to collect self-report data on violence and victimization experienced by tribal youth along with testing different modes of survey administration and to compare outcomes of each design against the other. These comparisons will be used to determine whether the optimal design can yield quality data feasibly at a relatively reasonable cost. The successful applicant then will conduct a pilot test of the optimal design.

Major Study Objectives

In developing different designs, the funding recipient will review approaches used by previous researchers and surveys addressing children exposed to violence and youth victimization. The test should assess the relative feasibility, cost, and error components of each design. In addition, testing should address the relative accuracy and quality of the estimates of violence and victimization among tribal youth across survey designs. The successful applicant will be asked to examine all the evidence on the relative desirability of various design attributes and to assess the best design and best vehicle most appropriate for this population.

The research team also will be asked to determine the relative cost-benefit trade-offs among the different designs. This objective assumes the funding recipient will conduct an evaluation of the different designs and examine how data from these data collection strategies compare to one another. Such an evaluation should include an assessment of the feasibility of each design as well as an assessment of the validity, reliability, data quality, cost-effectiveness, and relative yield of the differing collection strategies.

Assessing the quality of the data produced by each design is important in evaluating these procedures. Determining the relative accuracy of the data across designs is difficult in self-report surveys because there is no gold standard of validity against which the results can be compared. Therefore, the creativity with which applicants approach this task will be an important determinant of success.

One approach to establishing the quality of the data may involve demonstrating that specific procedures produce the results that past survey research practices say they should. Assessing accuracy in this manner assumes that the funding recipient is knowledgeable of the theory and practice of surveying this population and builds into the instrument information that will permit the necessary comparisons.

The following section lists the major study tasks and activities to be conducted by the winning research team during the course of the study. The deliverables and guidance on the contents of a successful application are provided for each task.

Major Study Tasks

The following outline of major study tasks is intended to provide applicants with sufficient information to enable them to judge the complexity and cost of the developmental work. The applicants are asked to use the parameters provided to create a cost estimate for the expected research, fieldwork, and data processing activities. NIJ will use these estimates to compare applicants on an identical or like set of deliverables.

The optimal survey design tested in this project may differ from this initial design and will be determined collaboratively during the course of the project. For each task submitted in response to this solicitation, the applicant should: (1) provide descriptions of specific strategies or approaches that would be part of the applicant's work to complete the task; (2) describe and demonstrate their capabilities and expertise that will enable them to complete the task successfully; and (3) provide detailed cost estimates for performing the work, using the parameters described below, as applicable.

PHASE 1 – INITIATION, RESEARCH, DESIGN

Task 1. Project Initiation, Planning, and Management

- a) Estimated Timetable: Start Date: January 1, 2015; End Date: June 30, 2017

Within three weeks of the award start date, the recipient will meet with NIJ and its federal agency partners to discuss the proposed tasks. The recipient will develop a detailed timetable for each task, subtask, and deliverable (including progress reports); scheduled meetings; and conference calls for the project. The timetable should identify short-term

and long-term deliverables. The recipient is expected to follow this overall timetable, measured from project start:

- Within three weeks of award, Phase 1, Task 1b, Kick-off Meeting
- Within one month, Phase 1, Task 1a, Completed, Approved Timetable
- Phase 1, Tasks 2-3, Methodological Development (~3-9 months – 1/1/2015 to 9/30/2015)
- Phase 2, Tasks 4-6 Systems Development, Cognitive Testing, and Pilot Testing (~12months – 10/1/2015 to 9/30/2016)
- Phase 3, Tasks 7-9, Post-Data Collection: Processing, Estimation, Analysis, Files, and Documentation (~3 to 6 months – 10/1/2016 to 3/31/2017)
- Phase 4, Project Summary and Recommendations (draft summary document due 4/1/2017 with final due 6/15/2017).

After the NIJ Project Officer (PO) has agreed to the timetable, it is important that all work be completed as scheduled.

b) Meetings

The recipient will conduct meetings with specified organizations to inform project planning, development, and management. These meetings include, but are not limited to:

- A kick-off meeting at NIJ to discuss plans for, and scheduling of, project activities.
- Conference calls to discuss project progress/status, conducted bi-weekly.
- Department-scheduled stakeholder meetings (e.g., [federal advisory task force](#) meetings) in which the recipient will observe/participate as directed. These stakeholders include, but are not limited to, other federal agencies; academics; federal, state, tribal, and local law enforcement; and victim service providers. Recipients should be prepared to assist NIJ and participate in meetings on this study.
- Wrap-up meeting to present project results and findings to NIJ, OJJDP, OVC, and other Department components.

c) Status Reports

The recipient will provide monthly reports that update status of areas such as tasks and expenditures. During the pilot study, the recipient will provide bi-weekly reports, including status updates on various aspects of data collection (e.g., number of interviews, response rates, non-response follow-up, and status of ongoing survey operations).

Deliverables associated with this task include: a timetable, monthly progress reports (due 10 business days after the end of the period covered), and bi-weekly reports during pilot testing (due by close of business the Monday following the week covered by the report).

For this solicitation, the applicant's submission should a) briefly describe how they will accomplish this task; b) demonstrate the capability to plan and implement large-scale data collections, form expert panels, plan and conduct meetings, and provide status reports, all in a timely manner; and c) provide a detailed cost estimate for performing the tasks described above.

Task 2. Methodological Development

a) Developing the Data Collection Instrument

One of the primary goals of this solicitation is to develop and test a tribal youth survey expected to collect respondent characteristics and ask questions regarding their experiences with violence and victimization, health and wellness, service needs, help-seeking behavior in addition to their opinions about safety issues in their community, the kinds of support available to them, and their opinions about justice system personnel and service providers. The tribal youth survey will be a robust instrument that (1) is capable of obtaining essential data elements; (2) possesses maximum efficiency and clarity; (3) uses methods that minimize data collection costs; and (4) is appropriate culturally.

The tribal youth survey instrument should be designed to:

- maximize respondent cooperation and confidentiality;
- be easily understood by a respondent with a 4th grade education (English language only);
- accommodate multiple modes of administration [e.g., personal (face-to-face), telephone, web, and a combination of all of these methods, using different survey technologies such as, audio computer-assisted self-interviewing (ACASI), computer-assisted interviewing (CAI), computer-assisted personal interviewing (CAPI), computer-assisted self-interview (CASI), and computer-assisted telephone interviewing (CATI)]; and
- not exceed an average respondent burden of 60 minutes (from informed consent to survey conclusion) with variables collecting specific times of administration of key sections and breakoffs.

To accomplish these goals, the winning applicant will complete a systematic and comprehensive review of all relevant youth surveys, studies, and findings [e.g., Adolescent Health (Add Health), National Crime Victimization Survey (NCVS), National Longitudinal Survey of Youth (NLSY), National Survey of Children's Exposure to Violence (NatSCEV), National Survey of Adolescents (NSA), National Youth Survey (NYS), National Youth Victimization Prevention Study (NYVPS), Youth Risk Behavior Survey (YRBS)]. This review will include a thorough review and assessment of current

and past methodologies used to measure violence and victimization among youth. Included in this review shall be documented sources of measures used in these surveys to include: (1) constructs; (2) sources; and (3) corresponding variables. The research team will be asked to make recommendations for potential inclusion and exclusion of items in the tribal youth survey by reviewing each data collection instrument.

Because the methodology used to elicit reports of these events can differ dramatically and produce very different estimates, NIJ is interested in analyses of various survey design features, including screening strategy, respondent incentive strategies, reference period, bounding, cuing strategy, types of cues, and context. The recipient will review the research in the area and draw upon its expertise in survey design and implementation to provide NIJ with a written summary of its recommendations. Further, the summary should include the cost estimates for each design. The findings from this review will guide the recipient in refining the parameters of the optimal design prior to pilot testing.

b) Developing Data Collection Protocols

This task includes the development of study protocols that includes all relevant data collection information. The recipient will develop survey protocols that address the following:

- survey definitions, regarding the outcomes of the interviewing process— partial, completed, hard refusal, and ineligible.
- quality control procedures for data collection.
- interviews.
- interviewer manuals.
- interviewer training materials (e.g., question-by-question review).
- data collection interview procedures:
 - selection procedures for respondents.
 - allowable incentives for respondent participation.
 - procedures for confidentiality and respondent/interviewer safety.
 - enhanced informed consent protocols (assent/consent).
- selection criteria for hiring interviewers.
- selection procedures for hiring interviewers.
- vicarious trauma training materials for field interviewers.
- procedures for minimizing risk of emotional reaction by survey participants, such as providing toll-free numbers for victim assistance, referring respondents to local and

national victim assistance providers, training interviewers in detecting and responding to emotional distress of survey participants.

- legal documents needed to secure transfer and/or collection of data [MOU/MOAs, information transfer agreements, tribal resolutions, and tribal IRB review(s)].

This task should result in a stand-alone reference document/manual that fully describes the methods to be used, along with all training materials.

c) Materials for Respondents

The recipient will develop materials for respondents to include Frequently Asked Questions (FAQs) for respondents and their parents/guardians or other appropriate authority (tribal administrators/councils). Examples of the FAQs include information on confidentiality, how the data will and will not be used, voluntary status of the survey, definitions of terms, and general sample information.

Task 3. Office of Management and Budget (OMB) Proposal Preparation and Submission

The tasks described above will facilitate and ease the recipient's production of the OMB clearance materials prior to conducting the cognitive interviews or pilot testing to be conducted in Phase II. The recipient will work with his/her assigned NIJ Project Officer to develop and submit the OMB clearance package. The package will include the 30- and 60-day notices, Form 83I, supporting statement, justification memorandum, and copies of all related survey documents (e.g., the questionnaires, follow-up documents, scripts, FAQ's, and consent forms).

For this solicitation, the applicant's submission should a) briefly describe how the applicant proposes to do this task, b) describe his/her experience in drafting the necessary documents or demonstrate his/her ability to perform the task and c) include estimates of the cost of performing this task.

Deliverables associated with this task and subtasks include: (1) a written summary of the designs, including mode of interviewing and development and implementation costs; (2) a review and assessment of current and past methodologies; (3) a tribal youth survey; (4) data collection protocols. (5) materials for respondents; and (6) OMB clearance materials.

NOTE: At the end of Phase 1, if NIJ determines that the project does not meet the stated objectives or that funding is not available, the project will not move forward to Phase 2.

PHASE 2 – SYSTEMS DEVELOPMENT, COGNITIVE TESTING, AND PILOT TESTING

Task 4. Systems Development

The recipient will develop and test the NIJ- and OMB-approved optimal survey design developed in Phase I. For purposes of this solicitation, the optimal design is assumed to include ACASI, but a final decision will not be reached until the end of Phase 2. The system should include the capability to collect paradata such as timestamps, interviewer IDs, interviewer status (newly trained or experienced), status of interviews (e.g., the numbers of completed interviews, incomplete interviews, call-backs/returns, and hard refusals),

interviewer feedback, and other paradata as needed by NIJ. Moreover, the instruments must have the capacity to collect data on violence and victimization; incorporate appropriate measures for bounding and recall based on referent periods, if applicable; and provide bi-weekly reports to update NIJ on the feedback, paradata, and other information listed above.

The recipient will develop system programming and case management procedures for NIJ approval. With the involvement of NIJ staff, the recipient will conduct usability tests using these developed systems.

Deliverables associated with this task include: an operational instrument with full documentation and system capabilities that include precise skip patterns, programming for collecting the required paradata and that performs selected data checks and edits.

For this solicitation, the applicant's submission should a) briefly describe how the applicant proposes to do this task, b) demonstrate the capability to develop operational instruments and systems, and c) provide detailed estimates of costs for this development.

Task 5. Cognitive Testing

Cognitive testing will begin after OMB and Institutional Review Board (IRB) approvals are received and ratified by NIJ.

The recipient will be expected to conduct cognitive testing of the tribal youth survey with no fewer than 50 total respondents for the cognitive testing phase. Depending on findings, refinements and modifications will most likely need to be made to the survey and survey systems, as needed, prior to pilot testing.

At the conclusion of the cognitive testing phase, the recipient will submit a report to NIJ. A reconciliation meeting will be held with the recipient, NIJ, and NIJ's federal partners. The purpose of the meeting will be to discuss findings from the cognitive testing.

Deliverables associated with this task include: a written plan delivered by the recipient for development and implementation of cognitive testing to NIJ for approval. This plan will describe the testing specifications and procedures and the process by which data will be used in evaluating the outcome of the testing, a demonstrated approach to analyzing the test data, and a method for incorporating the findings into refinements of the questionnaires and survey systems. This task requires the recipient to write an OMB cognitive testing clearance memorandum that incorporates findings and changes that arise from the cognitive testing in Task 5.

For this solicitation, the applicant's submission should a) briefly describe how it proposes to do this task, b) demonstrate its capability to design and implement cognitive testing successfully, and c) include cost estimates for developing, administering, and assessing the cognitive testing.

Task 6. Pilot Testing

Pilot testing will be undertaken to ensure that the developed design can be fielded successfully.

a) Pilot Testing Monitoring

The recipient will provide NIJ with bi-weekly status reports throughout the data collection period. In addition to reporting on the paradata and progress of the survey, the field progress reports will highlight any identified problems with the data collection activities and recommend remedial actions. The recipient will work with NIJ to determine the exact content and format of the report.

Deliverables associated with this task include: operational status reports containing the timing, response rates, necessary paradata, and required data checks and edits.

For this solicitation, the applicant's submission should a) briefly describe how it proposes to do this task, and b) provide detailed estimates for the costs associated with these activities.

b) Pilot Data Collection

The recipient may hire (if necessary to augment organizational interviewing staff) and train an adequate number of interviewers using a recipient-developed sampling plan targeting tribal youth in tribal communities and/or settings.

The recipient will conduct pilot testing with an adequate sample that will provide sufficient power and precision to observe change in key estimates. The recipient will identify the quantifiable metrics to be used in assessing the outcomes of pilot testing, identify the manner in which the collected data will be analyzed (including software that will be used), and specify how the findings from the testing will be incorporated into subsequent refinements of survey instruments and systems. Such metrics should include but are not limited to:

- response rates.
- timing.
- buttons pushed.
- measurement of keystrokes.
- interview break offs.

Using the NIJ- and OMB-approved instrument developed in Phase 1 and modified, if necessary, after cognitive testing (Phase 2, Task 5), the recipient will conduct interviews. During the pilot testing phase, the research team will review interviews for quality assessment. The recipient will evaluate and test the quality control aspects of the system developed to administer the survey. The recipient will prepare a summary report of the findings from these interviews. The report will examine the response patterns associated with the completion of these interviews, the missing data patterns in the responses, the occurrence of any out-of-range or misreported information (e.g., responses that would suggest a prior response was incorrectly assigned) and any other skip-pattern issues.

At the conclusion of pilot testing, the recipient will submit a functionality report to NIJ. A final reconciliation meeting will be held with the recipient, NIJ, and NIJ's federal partners. The purpose of the meeting will be to discuss findings from the pilot testing.

Deliverables associated with this task include: a written plan for development and implementation of pilot testing to NIJ for approval. This plan will describe the testing specifications and procedures, quantifiable metrics, and process data to be used in evaluating the outcome of the testing, a demonstrated approach to analyzing the test data, and a method for incorporating the findings into refinements of the questionnaires and survey systems. This task requires the recipient to write an OMB pilot testing clearance memorandum that incorporates findings and changes that arise from the pilot testing.

For this solicitation, the applicant's submission should a) briefly describe how they propose to do this task, b) demonstrate their capability to design and implement a test of functionality successfully, and c) include cost estimates for developing, administering, and assessing the pilot of the optimal and comparison designs in a pilot study.

PHASE 3 – POST-DATA COLLECTION: PROCESSING, ANALYSIS, FILES, AND DOCUMENTATION

Task 7. Data Processing Procedures

During this phase of the work, the recipient will develop the proposed data edits, conversion, non-response adjustment procedures, and data documentation for review by NIJ.

A data codebook must be supplied with each of the data files to document the definitions for the categorical variable values, the range of values observed for each data element, and any formatting applied.

The data files may be in SPSS or SAS format. The documentation must include record layout; variable and value lists, labels, definitions, and formats; recode information and syntax; the survey questionnaire; and survey background information. The recipient will coordinate with the [National Archive of Criminal Justice Data](#) (NACJD) to ensure the data files and codebook and study documentation deliverables meet Inter-University Consortium for Political and Social Research (ICPSR) [formats and standards](#) for data upload and archiving.

The recipient will develop and document data processing and editing procedures for:

- Data cleaning, skip pattern, consistency, and out-of-range checks.
- Data conversion.
- Non-response adjustment procedures.
- The preliminary data file and codebook documentation.

Deliverables associated with this task include all the documents and procedures described in Task 7.

For this solicitation, the applicant's submission should a) briefly describe how it proposes to do this task, b) describe its knowledge and experience in drafting complex data processing procedures, and c) provide detailed estimates for costs of performing this task.

Task 8. Data Analysis

The recipient will implement the post-data collection data processing procedures developed in Task 7, identify remaining data issues, and report these findings to NIJ for resolution.

Following the pilot test and preparation of the data files, the recipient will conduct a detailed evaluation and analysis of the paradata. The recipient also will conduct detailed analyses to estimate the potential bias in the study's approach.

The recipient is encouraged to consider a broad range of metrics to assess reliability and validity. These metrics should include, but are not limited to:

- Response rates and representativeness of the resulting sample.
- Qualitative examination of narratives.
- Cost per interview.
- Data quality.
- Reporting accuracy.

The applicant should explain in detail how these metrics will be computed and employed to assess relative data quality.

For this solicitation, the applicant's submission should a) briefly describe how they propose to do this task, b) provide examples of the analyses to be performed and how the analyses will contribute to success of this project, c) demonstrate their ability to conduct the required analyses, and d) provide detailed cost estimates for conducting components of this research and the proposed analyses. Although the level of complexity associated with this work is not fully known, NIJ expects applicants to provide their best estimate of the level of effort required to perform this task based on similar experiences in this area.

Task 9. Final Data File and Codebook Documentation

The recipient will produce a final data file and codebook documentation following specifications used by the National Archive of Criminal Justice Data (NACJD) and [standards](#) issued by the Inter-University Consortium for Political and Social Research (ICPSR).

Deliverables associated with this task include: electronic versions of the datasets created in Task 5 (pilot test) in either SPSS or SAS format and supporting documentation. Supporting documentation includes, but is not limited to, a comprehensive codebook detailing variable

positions; variable and value labels; procedures for data verification; any recoding implemented during the data cleaning process; and copies of all programs used to generate data or published statistics. The recipient will continue to coordinate these efforts with NACJD to ensure the final data and documentation adhere to ICPSR standards.

For this solicitation, the applicant's submission should a) briefly describe how it proposes to create the data files, b) demonstrate its ability to create the data files, and c) provide detailed cost estimates for the research and analyses that will be associated with this task.

PHASE 4 – PROJECT SUMMARY AND RECOMMENDATIONS

The recipient will produce a draft report summarizing the project 90 days before the project's end date. Specifically, the report will outline the findings related to the development of the questionnaire, cognitive testing, and pilot testing, contain detailed analyses on the data collection effort, and contain an outline of the projected costs per interview for any future field implementation.

Deliverables associated with this task include: a preliminary draft of the project summary and recommendations; a final summary document that addresses all revisions requested by NIJ (due 15 days prior to the project's end date).

For this solicitation, the applicant's submission should a) briefly describe how it proposes to do this task, b) discuss its capability and expertise in preparing this type of report, and c) estimate the costs to prepare this summary document.

Other Deliverables and Expected Scholarly Products

In addition to required data sets, a draft and final summary overview of research results, interim and final progress and financial reports,⁵ 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.

Amount and Length of Awards

NIJ anticipates that up to a total of \$750,000 may become available for an award under this solicitation for a project period of 30 months.

To allow time for, among other things, any necessary post-award review, modification, and clearance by OJP of the proposed budget, applicants should propose an award start date of January 1, 2015.

If the applicant is proposing a project that reasonably could be conducted in discrete phases, with each phase resulting in completion of one or more significant, defined milestones, then NIJ strongly recommends that the applicant structure the application – specifically including the narrative, expected scholarly products, timelines/milestones, and budget detail worksheet and budget narrative – to clearly set out each phase. (This is particularly the case if the applicant proposes a project that will exceed – in cost or length of project period – the amount or length

⁵ See "Additional Requirements" section of this solicitation, below, for additional information.

anticipated for an individual award (or awards) under this solicitation.) Given limitations on the availability to NIJ of funds for research, development, and evaluation awards, this information will assist NIJ in considering whether partial funding of proposals that would not receive full funding would be productive. (If NIJ elects to fund only certain phases of a proposed project in FY 2014, the expected scholarly products from the partial-funding award may, in some cases, vary from those described above.)

NIJ may, in certain cases, provide supplemental funding in future years to awards under its research, development, and evaluation solicitations. Important considerations in decisions regarding supplemental funding include, among other factors, the availability of funding, strategic priorities, NIJ's assessment of the quality of the management of the award (for example, timeliness and quality of progress reports), and NIJ's assessment of the progress of the work funded under the award.

Applicants should be aware that the total period of an award, including one that receives a funding supplement or a no-cost extension, ordinarily will not exceed three years.

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 anticipates that any award under this solicitation will be made in the form of a cooperative agreement, which is a particular type of grant used if NIJ expects to have ongoing substantial involvement in award activities. As discussed later in the solicitation, important rules (including limitations) apply to any conference/meeting/training costs under cooperative agreements.

Budget Information

What will not be funded:

- Proposals primarily to purchase equipment, materials, supplies, training, and programs or services. (A budget may include these items if they are necessary to conduct research, development, demonstration, evaluation, or analysis.)
- Proposals that are not responsive to this specific solicitation.

Limitation on Use of Award Funds for Employee Compensation; Waiver

With respect to any award of more than \$250,000 made under this solicitation, 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 year.⁶ The 2014 salary table for SES employees is available at www.opm.gov/salary-tables. Note: A recipient may compensate an employee at a greater rate, provided the amount in excess of this compensation

⁶ This limitation on use of award funds does not apply to the non-profit organizations specifically named at Appendix C to 2 C.F.R. Part 230.

limitation is paid with non-federal funds. (Any such additional compensation will not be considered matching funds where match requirements apply.)

The Director of NIJ 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 www.ojp.gov/funding/confcost.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 of the OJP "Other Requirements for OJP Applications" Web page at www.ojp.usdoj.gov/funding/other_requirements.htm.

Match Information

See “Cofunding” paragraph under “What an Application Should Include” (below).

Performance Measures

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 solicitation must provide data that measure the results of their work done under this solicitation. 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. (Submission of performance measures data is not required for the application.) Performance measures for this solicitation are as follows:

Objective	Performance Measure(s)	Data Grantee Provides
<p>Conduct research that increases understanding of violence and victimization experienced by tribal youth and has clear implications for criminal justice policy and practice in the United States.</p>	<ol style="list-style-type: none"> 1. Relevance to the needs of the field as measured by whether the project's substantive scope did not deviate from the funded proposal or any subsequent agency-approved modifications to the scope. 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 (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). 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. 	<ol style="list-style-type: none"> 1. Quarterly financial reports, semi-annual and final progress reports, and a draft and final summary overview of the work performed under the NIJ award. 2. List of citation(s) to all scholarly products that resulted in whole or in part from work funded under the NIJ award. 3. Each data set that resulted in whole or in part from work funded under the NIJ award. 4. Timetable, monthly progress reports, and bi-weekly reports during pilot testing (see Task 1c.) 5. A systematic and comprehensive review of all relevant youth surveys, studies, and findings including a thorough review and assessment of current and past methodologies used to measure violence and victimization among youth (see Task 2a). 6. Stand-alone reference document/manual that fully describes the methods to be used, along with all training materials (see Task 2b). 7. Materials for respondents to include Frequently Asked Questions (FAQs) for respondents and their parents/guardians or other appropriate authority (tribal administrators/councils) (see Task 2c). 8. A written summary of the designs, including mode of interviewing and development and implementation costs; (2) a review and assessment of current and past methodologies; (3) a tribal youth survey; (4) data collection protocols. (5) materials for respondents; and (6) OMB clearance materials (see Task 3). 9. An operational instrument with full documentation and system capabilities that include precise skip patterns, programming for collecting the required paradata and that performs selected data checks and edits (see Task 4). 10. A written plan delivered by the recipient for development and implementation of cognitive testing to NIJ for approval (see Task 5). 11. Operational status reports containing the timing, response rates, necessary paradata, and required data checks and edits (see Task 6a). 12. A written plan for development and implementation of pilot testing to NIJ for approval (see Task 6b). 13. Data codebook with each of the data files to document the definitions for the categorical variable values, the range of values observed for each data element, and any formatting applied (see Task 7). 14. A preliminary draft of the project summary and recommendations; a final summary document that addresses all revisions requested by NIJ (see Phase 4).

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 affect negatively the review of their 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.

Moreover, applicants should anticipate that applications determined to be nonresponsive to the scope of the solicitation, or that do not include the application elements that NIJ has designated to be critical, will neither proceed to peer review nor receive further consideration. Under this solicitation, NIJ has designated the following application elements as critical: Program Narrative, Budget Detail Worksheet, Budget Narrative, and resumes/curriculum vitae of key personnel. For purposes of this solicitation, “key personnel” means the principal investigator, and any and all co-principal investigators.

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. Grants.gov and OJP’s Grants Management System (GMS) take information from the applicant’s profile to populate the fields on this form. When selecting “type of applicant,” if the applicant is a for-profit entity, select “For-Profit Organization” or “Small Business” (as applicable).

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 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 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.

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.

3. Program Narrative

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

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

The following sections should be included as part of the program narrative.⁷

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 organization and the principal investigator.

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

If an applicant is resubmitting a proposal 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 proposal, and (2) a brief summary of revisions to the proposal, including responses to previous feedback received from NIJ.

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

d. **Main Body.**

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

⁷ As noted earlier, if the proposed program or project reasonably could be conducted in discrete phases, with each phase resulting in completion of one or more significant, defined milestones, then NIJ strongly recommends that the applicant structure the application – specifically including the narrative, expected scholarly products, timelines/milestones, and budget detail worksheet and budget narrative – to set out each phase clearly. (In appropriate cases, the expected scholarly product(s) from a particular phase may vary from those described above.) See generally, “Goals, Objectives, Deliverables, and Expected Scholarly Products” under “Program-Specific Information,” above.

Statement of the Problem.

- Project Design and Implementation.
- Potential Impact.
- Capabilities/Competencies.

Within these sections, the narrative should address:

- Purpose, goals, and objectives.
- Review of relevant literature.
- Detailed description of research design and methods, such as research questions, hypotheses, description of sample, and analysis plan.
- Planned Scholarly Products (See “Goals, Objectives, Deliverables, and Expected Scholarly Products” under “Program-Specific Information,” above, for a discussion of expected scholarly products.)
- Implications for criminal justice policy and practice in the United States.
- Management plan and organization.
- Plan for Dissemination to Broader Audiences (if applicable to the proposed project). Applicants should identify plans (if any) to produce or to make available to broader interested audience – such as criminal justice practitioners or policy makers – summary information from the planned scholarly products of the proposed project (such as summaries of articles in peer-reviewed scientific journals), in a form designed to be readily accessible and useful to those audience. (Such dissemination might include, for example, trade press articles and webinars.)

Note: Applicants for funding under this announcement should provide a synopsis of their background in the field that documents their expertise with the issues, demonstrating they have the infrastructure necessary to complete cognitive testing and large-scale pilot testing, and describe the administrative capabilities necessary to undertake a project of this scope.

In addition, NIJ requires applicants to test the relative feasibility, cost, and error components of each design proposed. The testing must address the relative accuracy and quality of the estimates of violence and victimization among tribal youth across survey designs, as well as the relative cost-benefit trade-offs among the different designs. Further, the applicant should demonstrate knowledge of the theory and practice of surveying this population within their proposal and how they built that information into their proposal.

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 resumes of the principal investigator and any and all co-principal investigators. In addition, curriculum vitae, resumes, or biographical sketches of all other individuals (regardless of “investigator” status) who will be significantly involved in substantive aspects of the proposal (including, for example, individuals such as statisticians serving as consultants to conduct proposed data analysis).
- List (to the extent known) of all proposed project staff members, including those affiliated with the applicant organization or any proposed subrecipient organization(s), any proposed consultant(s) and contractors (whether individuals or organizations), and any proposed members of an advisory board for the project (if applicable). The list should include, for each individual and organization: name, title (if applicable), employer or other organizational affiliation, and roles and responsibilities proposed for the project. Applicants should use the “Proposed Project Staff, Affiliation, and Roles” form available at www.nij.gov/funding/documents/nij-project-staff-template.xlsx to provide this listing.
- Proposed project timeline and expected milestones.

Note: Applicants’ timelines and milestones should take into account that a few of the tasks have separate requirements. For example, Task 5 requires the recipient to write an OMB cognitive testing clearance memorandum that incorporates findings and changes that arise from the cognitive testing in Task 5. Task 6 requires the recipient to write an OMB pilot testing clearance memorandum that incorporates findings and changes that arise from the pilot testing.

- Human Subjects Protection paperwork (documentation and forms related to Institutional Review Board (IRB) review).
(See www.nij.gov/funding/humansubjects/Pages/welcome.aspx.) NOTE: Final IRB approval is not required at the time an application is submitted.
- Privacy Certificate (for further guidance go to www.nij.gov/funding/humansubjects/pages/confidentiality.aspx).
- List of any previous and current NIJ awards to applicant organization 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.”)

- Letters of cooperation/support or administrative agreements from organizations collaborating in the project, such as law enforcement and correctional agencies (if applicable).
- List of other agencies, organizations, or funding sources to which this proposal has been submitted (if applicable).
- Data archiving plan. Applicants should anticipate that NIJ will require (through special award conditions, including a partial withholding of award funds) that data sets resulting in whole or in part from projects funded under this solicitation be submitted for archiving with the National Archive of Criminal Justice Data (NACJD)). (For a detailed discussion of the information NIJ expects to find in a data archiving plan, see www.nij.gov/funding/data-resources-program/applying/Pages/data-archiving-strategies.aspx.)

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

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

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

4. Budget Detail Worksheet and Budget Narrative

a. Budget Detail Worksheet

A sample Budget Detail Worksheet can be found at www.ojp.gov/funding/forms/budget_detail.pdf. Applicants that submit their budget in a different format should include the budget categories listed in the sample budget worksheet. (Work associated with satisfying data archiving requirements should be reflected.) **Please note:** NIJ expects applicants to provide a thorough narrative to each section of the Budget Detail Worksheet, as described under “Budget Narrative,” below.

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

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 sound mathematically, 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. 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.

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. 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 [OJP Financial Guide](#).

5. Indirect Cost Rate Agreement (if applicable)

Indirect costs are allowed only if the applicant has a 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 assistance with identifying your cognizant agency, please contact the OJP Office of the Chief Financial Officer (OCFO) 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.usdoj.gov/funding/pdfs/indirect_costs.pdf.

6. 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 submit, at a minimum, 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, NIJ will make use of and access to funds contingent on receipt of the fully executed legal documentation.

7. 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; and
- 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.

8. Additional Attachments

a. Applicant disclosure of pending applications⁸

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 solicitation and will cover the identical cost items outlined in the budget narrative and worksheet in the application under this solicitation. 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 subaward 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

⁸ 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.

project being proposed under this solicitation and will cover the identical cost items outlined in the budget narrative and worksheet in the application under this solicitation.”).

b. 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.

For purposes of this solicitation, research and evaluation independence and integrity pertains to ensuring that the design, conduct, or reporting of research and evaluation funded by NIJ grants, cooperative agreements, or contracts will not be biased by any personal or financial conflict of interest on the part of the investigators responsible for the research and evaluation or on the part of the applicant organization. Conflicts can be either actual or apparent. Examples of potential investigator (or other personal) conflict situations may include 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 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 project, 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 is a problem.

In the attachment dealing with research and evaluation independence and integrity, the applicant should explain the process and procedures that the applicant has 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 subrecipients. It also should identify any potential organizational conflicts of interest on the part of the applicant with regard to the proposed research/evaluation. If the 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. 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.

For situations in which potential personal or organizational conflicts of interest exist, in the attachment, the applicant should identify the safeguards the applicant has or will put in place to eliminate, mitigate, or otherwise address those conflicts of interest.

Considerations in assessing research and evaluation independence and integrity will include, but may 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.

9. Accounting System and Financial Capability Questionnaire (if applicable)

Any applicant (other than an individual) that is a non-governmental entity and that has not received any award from OJP within the past 3 years is to download, complete, and submit this [form](#).

Selection Criteria

Applications that meet basic minimum requirements will be evaluated by peer reviewers using the following review criteria.

Statement of the Problem (Understanding of the problem and its importance) – 10%

1. Demonstrated understanding of the problem.
2. Demonstrated awareness of the state of current research.

Project Design and Implementation (Quality and technical merit) – 50%

1. Soundness of methods and analytic and technical approach to addressing the stated aim(s) of the proposed project.
2. Feasibility of proposed project.
3. Awareness of potential pitfalls of proposed project design and feasibility of proposed actions to minimize and/or mitigate them.
4. Efforts to ensure research methods are respectful of tribal sovereignty, customs, and traditions.

Potential Impact – 20%

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

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

Capabilities/Competencies (Capabilities, demonstrated productivity, and experience of the applicant organization and proposed project staff) – 20%

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 proposal).
2. Demonstrated ability of the applicant organization to manage the effort.

3. Relationship between the capabilities/competencies of the proposed project staff (including the applicant organization) and the scope of the proposed project.
4. Adequacy of the plan to manage the project, including how various tasks are subdivided and resources are used.
5. Appropriate use of and access to qualified and culturally competent personnel (including consultants) and subject matter experts.
6. Experience conducting Native American or indigenous research and evaluation in Indian Country and Alaska Native villages in the U.S., including developing research capacity and culturally appropriate research methods and tools.
7. Demonstrated knowledge of and expertise addressing potential limitations and challenges of conducting research in Indian Country and Alaska Native villages with members of indigenous communities on sensitive topics.
8. Demonstrated knowledge of and expertise with community-based participatory research (CBPR) principles, practices, and ethical issues as it specifically relates to tribal communities.

Budget

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. Proposed budget alignment with proposed project activities.

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

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

As discussed further under “Review Process,” below, award decisions will be made by the Director of NIJ, who may consider factors including, but not limited to, planned scholarly products, proposed budgets, past performance (including scholarly products) under prior NIJ and OJP awards.

Review Process

OJP is committed to ensuring a fair and open process for awarding grants. 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. NIJ may use internal peer reviewers, external peer reviewers, or a combination, to review the applications. An external peer reviewer is an expert in the subject matter of a given solicitation who is NOT a current DOJ employee. An internal reviewer is a current DOJ employee who is well-versed or has expertise in the subject matter of this solicitation. A peer review panel will evaluate, score, and rate applications that meet basic minimum requirements. Peer reviewers' ratings and any resulting recommendations are advisory only, although their views are considered carefully. In addition to peer review ratings, considerations for award recommendations and decisions may include, but are not limited to, underserved populations, geographic diversity, strategic priorities, past performance, and available funding.

The Office of the Chief Financial Officer, in consultation with NIJ, reviews applications for potential discretionary awards to evaluate the fiscal integrity and financial capability of applicants, examines proposed costs to determine if the Budget Detail Worksheet and Budget Narrative accurately explain project costs, and determines whether costs are reasonable, necessary, and allowable under applicable federal cost principles and agency regulations.

All final award decisions will be made by the Director of NIJ, who may consider factors including, but not limited to, underserved populations, geographic diversity, strategic priorities, past performance, and available funding.

Additional Requirements

Applicants selected for awards must agree to comply with additional legal requirements upon acceptance of an award. OJP encourages applicants to review the information pertaining to these additional requirements prior to submitting an application. Additional information for each requirement can be found at www.ojp.usdoj.gov/funding/other_requirements.htm.

- Civil Rights Compliance
- Civil Rights Compliance Specific to State Administering Agencies
- Faith-Based and Other Community Organizations
- Confidentiality
- Research and the Protection of Human Subjects
- Anti-Lobbying Act
- Financial and Government Audit Requirements
- Reporting of Potential Fraud, Waste, and Abuse, and Similar Misconduct

- National Environmental Policy Act (NEPA)
- DOJ Information Technology Standards (if applicable)
- Single Point of Contact Review
- Non-Supplanting of State or Local Funds
- Criminal Penalty for False Statements
- Compliance with [Office of Justice Programs Financial Guide](#)
- Suspension or Termination of Funding
- Non-profit Organizations
- For-profit Organizations
- Government Performance and Results Act (GPRA)
- Rights in Intellectual Property
- Federal Funding Accountability and Transparency Act of 2006 (FFATA)
- Awards in Excess of \$5,000,000 – Federal Taxes Certification Requirement
- Active SAM Registration
- Policy and Guidance for Approval, Planning, and Reporting of Conferences (including Meetings and Trainings)
- OJP Training Guiding Principles for Grantees and Subgrantees

As indicated earlier in this solicitation, NIJ expects scholarly products to result from any award under this solicitation. Please review the “Goals, Objectives, Deliverables, and Expected Scholarly Products” segment of the “Program-Specific Information” section of this solicitation, as well as the “Performance Measures” section.

In addition to the expectation of scholarly products, successful applicants under this solicitation will be required to submit the following deliverables regarding the work funded by the NIJ award:

Semi-Annual and Final Progress Reports

Applicants should anticipate that progress reports will be required to follow the non-budgetary components of the Research Performance Progress Report (RPPR) template/format. More information on post-award reporting requirements and RPPRs may be found at www.nij.gov/funding/Pages/welcome.aspx. Future award and fund draw-downs may be withheld if reports are delinquent.

Quarterly and Final Financial Reports; Audit Reports

Quarterly and final financial status reports are required. If applicable, an annual audit report in accordance with Office of Management and Budget requirements must be submitted. Future award and fund draw-downs may be withheld if reports are delinquent.

Draft and Final Summary Overview of the Work Conducted under the Award

The overview is expected to provide an overall summary of the work under, and results of, the project funded by NIJ under this solicitation. Among other things, the summary overview should address the purpose of the project, project subjects (if applicable), project design and methods, data analysis, project findings, and implications for criminal justice policy and practice in the United States.

A draft summary overview no longer than 10 pages long (double-spaced) is to be submitted 90 days prior to the end of the project period for NIJ review and comment.

Required Data Sets and Associated Files and Documentation

As discussed earlier, NIJ requires recipients of an award under this solicitation to submit to NACJD all data sets that result in whole or in part from the work funded by NIJ, along with associated files and any 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. All data sets and necessary documentation are to be submitted 90 days prior to the end of the project period. For more information, see the "Program Narrative" section of "What an Application Must Include," above.

How to Apply

Applicants must register in, and submit applications through Grants.gov, a "one-stop storefront" to find federal funding opportunities and apply for funding. Find complete instructions on how to register and submit an application at www.Grants.gov. Applicants that experience technical difficulties during this process should call the Grants.gov Customer Support Hotline at **800-518-4726** or **606-545-5035**, 24 hours a day, 7 days a week, except 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 and a user password. OJP encourages applicants to **register several weeks before** the application submission deadline. In addition, OJP urges applicants to submit applications 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.

NIJ strongly encourages all prospective applicants to sign up for Grants.gov email notifications regarding this solicitation. If this solicitation is cancelled or modified, individuals who sign up with Grants.gov for updates will be notified.

Note on File Names and File Types: Grants.gov only permits the use of certain specific characters in names of attachment files. Valid file names may include only the characters shown in the table below. Grants.gov is designed to reject any application that includes an attachment(s) with a file name that contains any characters not shown in the table

below. Grants.gov is designed to forward successfully submitted applications to OJP's Grants Management System (GMS).

Characters	Special Characters		
Upper case (A – Z)	Parenthesis ()	Curly braces { }	Square brackets []
Lower case (a – z)	Ampersand (&)	Tilde (~)	Exclamation point (!)
Number 0 – 9	Comma (,)	Semicolon (;)	Apostrophe (')
Underscore (_)	At sign (@)	Number sign (#)	Dollar sign (\$)
Hyphen (-)	Percent sign (%)	Plus sign (+)	Equal sign (=)
Space	When using the ampersand (&) in XML, applicants must use the “&amp;” format.		
Period (.)			

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:

- 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 applications 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 all applicants (other than individuals) for federal financial assistance to maintain current registrations in the SAM database. Applicants must be registered in SAM to successfully register in Grants.gov. Applicants must **update or renew their SAM registration annually** to maintain an active status.

Applications cannot be successfully submitted in Grants.gov until Grants.gov receives the SAM registration information. The information transfer from SAM to Grants.gov can take up to 48 hours. OJP recommends that the applicant register or renew registration with SAM as early as possible.

Information about SAM registration procedures can be accessed at www.sam.gov.

- 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. The applicant organization's DUNS number must be used to complete this step. For more information about the registration process, go to www.grants.gov/applicants/get_registered.jsp.

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. 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 number for this solicitation is 16.560, titled "National Institute of Justice Research, Evaluation, and Development Project Grants," and the funding opportunity number is NIJ-2014-3897.
6. **Complete the Disclosure of Lobbying Activities.** All applicants must complete this information. Applicants that expend any funds for lobbying activities must provide the detailed information requested on the form *Disclosure of Lobbying Activities (SF-LLL)*. Applicants that do not expend any funds for lobbying activities should enter "N/A" in the required highlighted fields.
7. **Submit a valid application consistent with this solicitation by following the directions in Grants.gov.** Within 24–48 hours after submitting the electronic application, the applicant should receive an e-mail validation message from Grants.gov. The message will state whether the application has been received and validated, or 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 well ahead of the deadline provides time to correct the problem(s) that caused the rejection. **Important:** OJP urges applicants to submit applications **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.

Click [here](#) for further details on DUNS, SAM, and Grants.gov registration steps and timeframes.

Note: Duplicate Applications

If an applicant submits multiple versions of an application, NIJ will review only the most recent valid version submitted.

Experiencing Unforeseen Grants.gov Technical Issues

Applicants that experience unforeseen Grants.gov technical issues beyond their control that prevent them from submitting their application by the deadline must e-mail the NIJ 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 Grants.gov Help Desk or SAM tracking number(s). **Note: NIJ does not automatically approve requests.** After the program office reviews the submission, and contacts the Grants.gov or SAM Help Desks 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 generally are insufficient to justify late submissions:

- Failure to register in SAM or Grants.gov in sufficient time.
- 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, including firewalls.

Notifications regarding known technical problems with Grants.gov, if any, are posted at the top of the OJP funding Web page at www.ojp.usdoj.gov/funding/solicitations.htm.

Provide Feedback to OJP

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

IMPORTANT: This e-mail 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 the solicitation, **you must** directly contact the appropriate number or e-mail listed on the front of this solicitation document. 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 e-mail your resume to ojppeerreview@lmbps.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 has submitted an application.

Application Checklist

Methodological Research to Support NIJ's Program of Research Examining Violence and Victimization of American Indian (AI) and Alaska Native (AN) Youth

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

What an Applicant Should Do:

Prior to Registering in Grants.gov:

- _____ Acquire a DUNS Number (see page 33)
- _____ Acquire or renew registration with SAM (see page 33)

To Register with Grants.gov:

- _____ Acquire AOR and Grants.gov username/password (see page 33)
- _____ Acquire AOR confirmation from the E-Biz POC (see page 34)

To Find Funding Opportunity:

- _____ Search for the funding opportunity on Grants.gov (see page 34)
- _____ Download Funding Opportunity and Application Package (see page 34)
- _____ Sign up for Grants.gov email notifications (optional) (see page 32)
- _____ Read [Important Notice: Applying for Grants in Grants.gov](#)

General Requirements:

- _____ Review "[Other Requirements](#)" webpage

What an Application Should Include:

- _____ Application for Federal Assistance (SF-424) (see page 19)
- _____ Project Abstract (see page 19)
- _____ Program Narrative (see page 20)
- _____ Appendices (see page 22)
 - _____ Bibliography/references
 - _____ Any tools/instruments, questionnaires, tables/charts/graphs, or maps pertaining to the proposed study (if applicable)
 - _____ Curriculum vitae/resumes of principal investigator and any and all co-principal investigators
 - _____ List of all project staff members, contractors, and advisory board members; their professional affiliation; and titles or roles and responsibilities proposed for the project
 - _____ Project timeline and research calendar with expected milestones
 - _____ Human Subjects Protection paperwork
 - _____ Privacy Certificate
 - _____ List of previous and current NIJ awards to applicant organization and investigators
 - _____ Letters of cooperation/support or administrative agreements from organizations collaborating in the project (if applicable)
 - _____ List of other agencies, organizations, or funding sources to which this proposal has been submitted (if applicable)

_____	Budget Detail Worksheet	(see page 23)
_____	Budget Narrative	(see page 24)
_____	Employee Compensation Waiver request and justification (if applicable)	
	(see page 16)	
_____	Read OJP policy and guidance on “conference” approval, planning, and reporting available at www.ojp.gov/funding/confcost.htm	(see page 17)
_____	Disclosure of Lobbying Activities (SF-LLL)	(see page 34)
_____	Indirect Cost Rate Agreement (if applicable)	(see page 24)
_____	Tribal Authorizing Resolution (if applicable)	(see page 25)
_____	Applicant Disclosure of High Risk Status	(see page 25)
_____	Additional Attachments	
_____	Data archiving plan	
_____	Applicant Disclosure of Pending Applications	(see page 26)
_____	Research and Evaluation Independence and Integrity	(see page 27)
_____	Accounting System and Financial Capability Questionnaire (if applicable)	
	(see page 28)	