



The [U.S. Department of Justice](#) (DOJ), [Office of Justice Programs \(OJP\)](#), [Bureau of Justice Statistics](#) (BJS) is pleased to announce that it is seeking proposals to administer the 2011 National Survey of Tribal Court Systems (NSTCS). As the principal federal statistical agency in the Department, BJS is responsible for the collection, analysis, publication, and dissemination of statistical information on crime, criminal offenders, victims of crime, and the operations of criminal justice systems at all levels of government. This data collection program furthers the Department's mission by working in partnership with the justice community to identify the most pressing challenges confronting the justice system and to provide information in support of innovative strategies and approaches for dealing with these challenges.

National Survey of Tribal Court Systems 2011 Solicitation

Eligibility

Applicants are limited to for-profit (commercial) organizations, nonprofit organizations, faith-based and community organizations, institutions of higher learning, and consortia with demonstrated organization and community-based experience working with American Indian and Alaska Native communities, including tribal for-profit (commercial) and nonprofit organizations, tribal colleges and universities, and tribal consortia. However, consistent with OJP fiscal requirements, for-profit organizations are not allowed to make a profit as a result of this award or to charge a management fee for the performance of this award.

Deadline

Registration with [Grants.gov](#) is required prior to application submission. (See "How to Apply," page 10.) All applications are due by 11:59 p.m. Eastern time on May 10, 2011. (See "Deadlines: Registration and Application," page 3.)

Contact Information

For technical assistance with submitting the application, contact Grants.gov Customer Support Hotline at 800-518-4726 or via e-mail at support@grants.gov.

Note: The [Grants.gov](#) Support Hotline hours of operation are 24 hours a day, 7 days a week, except federal holidays.

For assistance with any other requirement of this solicitation, contact Thomas H. Cohen, BJS Statistician, at 202-307-0765 or by e-mail at askbjs@usdoj.gov. Include "NSTCS11" in the subject line.

Grants.gov number assigned to announcement: **2011-BJS-2947**

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National Survey of Tribal Court Systems 2011 (CFDA #16.734)

Overview

The Bureau of Justice Statistics (BJS) is seeking proposals to administer the 2011 National Survey of Tribal Court Systems (NSTCS). The survey will gather administrative and operational information from tribal courts, prosecutors' offices, and indigent defense providers operating in the estimated 200 federally-recognized tribal justice systems in the United States.

Applicants are strongly encouraged to review data collection instruments, datasets, and statistical reports from prior BJS-sponsored surveys that focus on court organization and court caseload statistics, such as the State Court Organization and the Court Statistics Project series. Applicants should also review BJS reports focusing on various aspects of Indian country, including Jails in Indian Country and the Census of Tribal Justice Agencies. These resources can be found on the BJS website at www.bjs.gov.

BJS anticipates making one award for a 36-month period under this solicitation. BJS is authorized to issue this solicitation under the Omnibus Crime Control and Safe Streets Act of 1968, Section 302.

Deadlines: Registration and Application

Registration is required prior to submission. OJP strongly encourages registering with Grants.gov several weeks before the deadline for application submission. The deadline for applying for funding under this announcement is 11:59 p.m. Eastern time on Tuesday, May 10, 2011. Please see the "How to Apply" section on page 10 for more details.

Eligibility

Please refer to the title page for eligibility under this program.

Project-Specific Information

The implementation of the 2011 NSTCS is part of a multifaceted effort by BJS to expand statistical activities related to American Indian and Alaska Native crime and justice issues. The NSTCS, in combination with other planned and ongoing data collections, will fulfill BJS's legislative mandate under the 2010 Tribal Law and Order Act to "establish and implement such tribal data collection systems as the BJS Director determines to be necessary." 42 U.S.C. § 3732(d)(2).

Though some information about tribal courts is available through the BJS-sponsored Census of Tribal Justice Agencies and State Court Organization series, this information is dated and limited in the areas of tribal court administration and organization, tribal prosecution, tribal criminal defense, the use of traditional methods of dispute resolution, justice system personnel, and whether and to what extent caseload and workload information are recorded in the nation's tribal courts.

The 2011 NSTCS will gather administrative and operational information about tribal court systems operating in the US, including data from courts, prosecutors, and indigent defense providers. The information to be collected will include, but not be limited to, the number of courts, number of offices, codes and statutes, staffing, budgets, case processing procedures and policies, data entry/ input systems, services offered through the courts, aggregate caseload information (including conviction rates), and other emerging court system issues.

The goal of the NSTCS is to provide baseline information upon which to build a tribal court statistics infrastructure that not only will improve the nation's understanding of the organization and operational characteristics of courts in Indian country, but may provide important information for use by American Indian tribes and Alaska Native villages in the development or expansion of their own tribal court systems. The information, moreover, may be useful by tribes in their application for various crime prevention programs such as those described in the U.S. Department of Justice Coordinated Tribal Assistance Solicitation at (www.tribaljusticeandsafety.gov).

The successful applicant will engage tribal leadership, experts in tribal court systems, and other key stakeholders to develop and implement the NSTCS. BJS anticipates making one award of up to \$700,000 to complete this work over a 36-month period.

Statement of Work

The objective of this project is to complete data collection for the 2011 National Survey of Tribal Court Systems (NSTCS) in the estimated 200 tribal justice systems in the US. Specifically, the recipient of funds will (1) develop a detailed project timetable, (2) solicit and incorporate feedback from tribal leadership and other experts in tribal judicial administration, (3) develop the survey instruments, (4) define the tribal court universe and generate a list of tribal courts to be surveyed, (5) conduct the data collection with follow-up, entry, and verification, (6) maintain regular reporting to BJS, and (7) deliver the 2011 NSTCS data file and associated documentation and analyses including final data set and documentation to BJS.

In preparing proposals for this solicitation, applicants are strongly encouraged to review data collection instruments, datasets, and statistical reports from prior BJS sponsored surveys that focus on court organization and court caseload statistics, as well as reports focusing on various aspects of Indian country, including Jails in Indian Country and the Census of Tribal Justice Agencies.

More specifically, the recipient of funds will be required to perform the following tasks:

- 1. Develop a detailed timetable for each task in the project.** All work must be completed within 36 months of the project award. The project timetable should include a planning period sufficient to allow outreach to stakeholders in tribal jurisdictions, input from an expert advisory panel, development and pretesting of data collection instruments, and the Office of Management and Budget (OMB) approval process. Data collection should commence shortly after OMB approval has been secured and should be completed within 12 months of receiving OMB approval. After the BJS project manager has agreed to the timetable, all work must be completed as scheduled. BJS will work with applicant to secure OMB approval for the project.

2. **Solicit and incorporate feedback from tribal leadership and other experts in tribal judicial administration.** Applicants should propose several mechanisms to ensure a successful and valid survey of tribal court systems. These mechanisms should include, at a minimum, outreach to tribal leadership and development of an expert panel to provide assistance and guidance surveying tribal courts.

The recipient will identify and attend appropriate tribal related meetings to solicit input from various tribal associations and groups concerning the NSTCS data collection. Applicants may also propose strategies to reach out to tribal leadership and tribal court system stakeholders to identify key measures of interest and encourage participation in the data collection.

The recipient will identify and organize an expert panel to provide guidance and assistance in developing a survey of tribal court organization and administration. The expert panel will also provide assistance in developing a workable definition of tribal courts to be surveyed for the NSTCS. The successful applicant should identify the necessary expertise to include in the panel, which may include members from professional associations, academic institutions, and practitioners with expertise in tribal courts, as well as tribal leadership. Applicants should propose mechanisms for the expert panel to provide guidance on a continual basis, including at least one in-person meeting during the course of the project. The time and place of the meeting and proposed attendees will be coordinated and approved by BJS.

3. **Develop the survey instruments for the NSTCS data collection.** The data collection instruments will be designed for the purpose of generating administrative, operational, and caseload data on the nation's tribal judicial systems, including administrative and caseload statistics from prosecutors and public defenders who were assigned cases in tribal courts.
 - a. The administrative portion will focus on the organizational and administrative structure of the nation's tribal courts. It will collect information on several aspects of tribal court organization including court structure, judicial selection, the governance and administration of tribal courts, and sentencing in tribal court systems. Some specific areas of data collection under these broad categories will include (but are not limited to)—
 - i. *Court structure:* Number of tribal courts, types of tribal courts, jurisdictional coverage of tribal courts, number of tribal court judges, and codes and statutes governing tribal court jurisdiction and administration.
 - ii. *Judicial selection:* Methods of selection and retention of tribal court judges, length of judicial term, and qualifications to serve as tribal court judge.
 - iii. *The governance and administration of tribal courts:* Expenditures and funding sources of tribal courts, tribal court administration staffing and functions, case processing procedures and policies, and types of case management systems used to count/track cases in tribal courts.
 - iv. *Sentencing in tribal court systems:* Types of sentences that can be imposed by tribal courts, including information on tribal programs aimed at counseling, drug, or alcohol rehabilitation including tribal drug courts; availability of tribally administered juvenile facilities; and other tribally run treatment programs.
 - b. The caseload component of the NSTCS will measure the number and, if possible, types of cases filed and disposed in the nation's tribal courts. Some

case types that might be identified include the number of civil, domestic relations, criminal, juvenile, and traffic/ordinance violations filed and disposed in the nation's tribal courts.

- c. The NSTCS will also survey prosecutors and public defenders working in tribal courts. Information collected from prosecutors and public defenders will include the number of prosecutors and public defenders working in tribal courts, budgets of prosecutorial and defense counsel staff, and caseloads handled by tribal court prosecutors and public defenders.

Applicants should propose to conduct pre-tests of up to nine respondents to allow opportunities for on-site review and comment of survey instruments.

4. **Define tribal court universe and generate a list of tribal courts to be surveyed for the NSTCS.** At present, there are an estimated 200 federally-recognized tribal justice systems in the US; however, a workable definition of tribal courts will have to be developed for the successful implementation of this project. The recipient will work with BJS and the expert panel to develop a clear and concise definition of tribal courts for the NSTCS. Once a workable definition of tribal courts have been developed, it will be necessary for the recipient to ensure that the entire universe of tribal courts has been enumerated. The final list of tribal courts should be assembled and verified based on available information resources including commercial databases, membership lists of tribal court professional organizations, and academic and professional researchers who specialize in tribal justice systems.
5. **Conduct the data collection.** The awardee will develop and implement a data collection system that provides respondents with multiple secure options for submitting data. Applicants should propose a data collection strategy that prioritizes web-based survey completion, but that is also flexible enough to accommodate survey responses submitted through the mail, fax, or other means.

Applicants should propose methods to send surveys to all identified respondents and provide extensive follow-up to those that require assistance, clarification, or encouragement to complete the survey. This may involve multiple follow-up telephone calls, re-mailing or re-faxing surveys, email correspondence, and site visits where necessary. Routine contact with the tribes and knowledge about the salient issues and tribal relations among various levels of government will be important, and the ability to coordinate and facilitate trust and cooperation among tribal members participating in the survey will be essential. Special attention to obtaining participation from respondents in remote areas with limited phone and/or postal access may be necessary.

Applicants should identify techniques necessary to achieve a 95% or better survey response rate and item response rates as specified in the "**Performance Measures**" on page 8. The data collection agent will have routine contact with the tribes and must be knowledgeable about the salient issues and tribal relations among various levels of government.

6. **Maintain regular reporting to BJS** and regularly meet in person or via teleconference with the BJS project manager. An initial meeting will be scheduled shortly after award, and additional meetings will be scheduled as needed. Applicants should budget for an in-person kickoff meeting to be held within 30 days of the award. Required financial and

progress reports shall be submitted through the Grants Management System in accordance with the OJP Financial Guide.

The awardee will implement and maintain an automated “real-time” system to provide ongoing status of each survey respondent and an inventory of follow-up communication and procedures for each respondent. Respondents’ method of response (website, mail, fax, or phone) shall be included in this system. This automated tracking system should remain current and accessible to the BJS project monitor.

7. Deliver 2011 NSTCS data file and associated documentation and analyses to BJS.

The 2011 NSTCS data should be delivered to BJS in an SPSS format, along with supporting documentation. Documentation should include, but is not limited to, a comprehensive codebook detailing variable positions, data coding, variable and value labels, any recoding implemented during the data cleaning process, methods used for dealing with missing data, any data allocations, imputation, or non-response adjustment, and copies of all program code used to generate data. All data and documentation will be posted on the BJS website, and the data will be archived at the Inter-University Consortium for Political and Social Research (ICPSR) at the University of Michigan.

The recipient will also prepare and deliver a set of tables describing key measures of interest from the processed and verified dataset. The number and type of tables should be proposed by the applicant, and then finalized in consultation with the BJS project manager at the conclusion of the design and development phase of the work (i.e., shortly after the OMB package is submitted). For budgeting purposes, applicants should expect to produce approximately 20 tables.

All data collected under the project remains property of BJS until such time that BJS releases the data to the public. The recipient may not use any data obtained through this project for any presentations or publications and may not disseminate these data until BJS has released the data to the public.

Amount and Length of Awards

All awards are subject to the availability of appropriated funds and any modifications or additional requirements that may be imposed by law. It is expected that the project tasks will be successfully performed within a 36-month (or shorter) period with work beginning in late 2011. The funding of this project will not exceed \$700,000.

Budget Information

Limitation on Use of Award Funds for Employee Compensation; Waiver: With respect to any award of more than \$250,000 made under this solicitation, federal funds may not be used to pay total cash compensation (salary plus 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. (The 2011 salary table for SES employees is available at www.opm.gov/oca/11tables/indexSES.asp.) Note: A recipient may compensate an employee at a higher rate, provided the amount in excess of this compensation limitation is paid with non-federal funds. (Any such additional compensation will not be considered matching funds where match requirements apply.)

The limitation on compensation rates allowable under an award may be waived on an individual basis at the discretion of the Director of BJS. An applicant that wishes to request a waiver must include a detailed justification in the budget narrative of its 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 its budget.

The justification should include: the particular qualifications and expertise of the individual, the uniqueness of the service being provided, 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 that is to be done.

Match Requirement

This solicitation does not require a match.

Performance Measures

To assist in fulfilling the Department’s responsibilities under the Government Performance and Results Act (GPRA), Public Law 103-62, applicants that receive funding under this solicitation must provide data that measure the results of their work. Any award recipient will be required, post award, to provide the data requested in the “Data Grantee Provides” column so that OJP can calculate values for the “Performance Measures” column. Performance measures for this solicitation are as follows:

Objective	Performance Measure(s)	Data Grantee Provides
Develop and finalize data collection instrument. Develop web-based and paper versions of instruments. Develop web-based system for data collection and processing.	Percentage of milestones and deadlines met.	Number of milestone and deadlines met. Number of milestones and deadlines set. Recommendations for data collection instruments result in a robust instrument that (1) is capable of obtaining essential data elements; (2) possesses maximum efficiency and clarity, which results in improved reliability and validity of the data; and (3) utilizes methods that minimize data collection costs, including a web-based option to the paper instrument.

performance measures. Please refer to the section “What an Application Should Include” (page 12) for additional information.

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

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

Notice of New Post-Award Reporting Requirements

Applicants should anticipate that all recipients (other than individuals) of awards of \$25,000 or more under this solicitation, consistent with the Federal Funding Accountability and Transparency Act of 2006 (FFATA), will be required to report award information on any first-tier subawards totaling \$25,000 or more, and, in certain cases, to report information on the names and total compensation of the five most highly compensated executives of the recipient and first-tier subrecipients. Each applicant entity must ensure that it has the necessary processes and systems in place to comply with the reporting requirements should it receive funding. Reports regarding subawards will be made through the FFATA Subaward Reporting System (FSRS), found at www.fsr.gov.

Please note also that applicants should anticipate that no subaward of an award made under this solicitation may be made to a subrecipient (other than an individual) unless the potential subrecipient acquires and provides a Data Universal Numbering System (DUNS) number.

How to Apply

Applications will be submitted through Grants.gov. Grants.gov is a “one-stop storefront” that provides a unified process for all customers of federal awards to find funding opportunities and apply for funding. Complete instructions on how to register and submit an application can be found at www.Grants.gov. If the applicant experiences technical difficulties at any point during this process, please call the Grants.gov Customer Support Hotline at **800-518-4726**, 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 up to several weeks** for first-time registrants to receive confirmation and a user password. OJP highly recommends that

applicants start the registration process as early as possible to prevent delays in submitting an application package by the specified application deadline.

All applicants are required to complete the following steps:

1. **Acquire a Data Universal Numbering System (DUNS) number.** A DUNS number is required for Grants.gov registration. 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 renewal of an existing award. A DUNS number is a unique nine-digit sequence recognized as the universal standard for identifying and keeping track of 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. Obtain a DUNS number by calling Dun and Bradstreet at 866-705-5711 or by applying online at www.dnb.com. Individuals are exempt from this requirement.
2. **Acquire or renew registration with the Central Contractor Registration (CCR) database.** OJP requires that all applicants (other than individuals) for federal financial assistance maintain current registrations in the CCR database. An applicant must be registered in the CCR to successfully register in Grants.gov. The CCR database is the repository for standard information about federal financial assistance applicants, recipients, and subrecipients. Organizations that have previously submitted applications via Grants.gov are already registered with CCR, as it is a requirement for Grants.gov registration. Please note, however, that applicants must **update or renew their CCR registration annually** to maintain an active status. Information about CCR registration procedures can be accessed at www.ccr.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. Please note that there can be more than one AOR for the organization.
5. **Search for the funding opportunity on Grants.gov.** Please use the following identifying information when searching for the funding opportunity on Grants.gov. The Catalog of Federal Domestic Assistance (CFDA) number for this solicitation is CFDA #16.734, titled "Special Data Collections and Statistical Studies" and the funding opportunity number is 2011-BJS-2947.
6. **Submit an 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 validation message will state whether the application has been received and validated, or rejected, with an explanation. **Important:** Applicants are urged to submit applications **at least 72**

hours prior to the due date of the application to allow time to receive the validation message and to correct any problems that may have caused a rejection notification.

Note: Grants.gov will forward the application to OJP's Grants Management System (GMS). 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."

Experiencing Unforeseen Grants.gov Technical Issues

If an applicant experiences unforeseen Grants.gov technical issues beyond the applicant's control that prevent submission of its application by the deadline, the applicant must contact BJS staff **within 24 hours after the deadline** and request approval to submit its application. At that time, BJS staff will instruct the applicant to submit specific information detailing the technical difficulties. The applicant must e-mail a description of the technical difficulties, a timeline of submission efforts, the complete grant application, the applicant DUNS number, and Grants.gov Help Desk tracking number(s) received. After the program office reviews all of the information submitted, and contacts the Grants.gov Help Desk to validate the technical issues reported, OJP will contact the applicant to either approve or deny the request to submit a late application. If the technical issues reported cannot be validated, the application will be rejected as untimely.

To ensure a fair competition for limited discretionary funds, the following conditions are not valid reasons to permit late submissions: (1) failure to begin the registration process in sufficient time, (2) failure to follow Grants.gov instructions on how to register and apply as posted on its web site, (3) failure to follow all of the instructions in the OJP solicitation, and (4) technical issues experienced with the applicant's computer or information technology (IT) environment.

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

What an Application Should Include

This section describes what an application should include and sets out a number of elements. Applicants should anticipate that failure to submit an application that contains all of the specified elements may negatively affect the review of the application; and, should a decision be made to make an award, it may result in the inclusion of special conditions that preclude access to or use of award funds pending satisfaction of the conditions.

Moreover, applicants should anticipate that some application elements are so critical that applications unresponsive to the scope of the solicitation or that do not include a program narrative, budget detail worksheet including a budget narrative, privacy certificate, and human subjects protection certificate of compliance, will neither proceed to peer review nor receive further consideration.

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

1. Information to complete the Application for Federal Assistance (SF-424)

The SF-424 is a standard form required for use as a cover sheet for submission of pre-applications, applications, and related information. Grants.gov and 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, please select "For-Profit Organization" or "Small Business" (as applicable).

2. Program Narrative

This should describe the activities in the Statement of Work and address the evaluation criteria. The narrative should provide a detailed timeline and budget for project activities. The narrative should demonstrate the applicant's knowledge of survey methodology and capabilities to handle a national collection of criminal justice data.

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

- a. Statement of the Problem
- b. Project Design and Implementation
- c. Capabilities and Competencies
- d. Plan for Collecting the Data Required for this Solicitation's Performance Measures

Submission of performance measures data is not required for the application. Performance measures are included as an alert that successful applicants will be required to submit specific data to BJS as part of their reporting requirements. For the application, the applicant should indicate an understanding of these requirements and discuss how the applicant will gather the required data, should applicant receive funding.

3. 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. If the budget is submitted in a different format, the budget categories listed in the sample budget worksheet should be included.

For questions pertaining to budget and examples of allowable and unallowable costs, please see the OJP Financial Guide at www.ojp.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. The narrative should be mathematically sound and correspond with the information and figures provided in the Budget Detail Worksheet. The narrative should explain how all costs were estimated and calculated 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.

4. 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.) A copy of the rate approval should be attached. If the applicant does not have an approved rate, one can be requested by contacting the applicant's 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. If DOJ is the cognizant federal agency, obtain information needed to submit an indirect cost rate proposal at www.ojp.gov/financialguide/part3/part3chap17.htm.

5. Tribal Authorizing Resolution (if applicable)

If an application is being submitted by either (1) a tribe or tribal organization or (2) a third party proposing to provide direct services or assistance to residents on tribal lands, then a current authorizing resolution of the governing body of the tribal entity or other enactment of the tribal council or comparable governing body authorizing the inclusion of the tribe or tribal organization and its membership should be included with the application. In those instances when an organization or consortium of tribes proposes to apply for a grant on behalf of a tribe or multiple specific tribes, then the application should include a resolution from all tribes that will be included as a part of the services/assistance provided 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 authorizing resolution or other enactment of each tribal governing body) may submit a copy of its consortium bylaws with the application in lieu of tribal resolutions.

6. Additional Attachments (if applicable)

Privacy Certification. The Privacy Certificate is a funding recipient's certification of compliance with federal regulations requiring confidentiality of information identifiable to a private person, which is collected, analyzed, or otherwise used in connection with an OJP-funded research or statistical activity. The funding recipient's Privacy Certificate includes a description of its policies and procedures to be followed to protect identifiable data. A model certificate is located at www.bjs.gov/content/pub/pdf/bjsmpc.pdf.

Human Subjects Protection Certificate of Compliance. BJS requires the funding recipient to submit proper documentation to be used to determine that the research project meets federal requirements for human subjects protections set forth in 28 CFR Part 46. A model certificate is located at www.bjs.gov/content/hscr.cfm

7. Other Standard Forms

Additional forms that may be required in connection with an award are available on OJP's funding page at www.ojp.gov/funding/forms.htm. For successful applicants, receipt of funds may be contingent upon submission of all necessary forms. Please note in particular the following forms.

- a. Certifications Regarding Lobbying; Debarment, Suspension and Other Responsibility Matters; and Drug-Free Workplace Requirements (required to be submitted in GMS prior to the receipt of any award funds)
- b. Disclosure of Lobbying Activities (required for any applicant that expends any funds for lobbying activities; this form must be downloaded, completed, and then uploaded)
- c. Accounting System and Financial Capability Questionnaire (required for 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; this form must be downloaded, completed, and then uploaded)
- d. Standard Assurances (required to be submitted in GMS prior to the receipt of any award funds)

Selection Criteria

Proposals should describe the plan and implementation strategies to perform the tasks outlined in the Statement of Work. Information on staffing levels and qualifications should be included for each task and descriptions of experience relevant to the project. Resumes of the proposed project director and key staff should be submitted with the proposal.

The applicant will be evaluated on the basis of—

1. Statement of the Program (10%)

The content of the proposal should completely address the tasks outlined in the Statement of Work and scheduled time line. Project goals and target dates should be clearly stated.

2. Project Design and Implementation (30%)

The applicant should demonstrate knowledge of applied survey research, including survey construction, interview techniques, data collection, the use of multi-mode data collection techniques with an emphasis on electronic methods, data coding, entry and verification, and the production of public-use data files readable by a variety of statistical software, such as SPSS and SAS.

3. Capabilities and Competencies of the Organization and Project Personnel (30%)

Demonstrated capacity and experience of the organization and project staff to (1) understand and utilize currently accepted survey research methods; (2) collect administrative data from a large number of justice system or similar entities; (3) implement multiple modes of data collection; (4) clean and verify data, reconcile data to known totals, and provide files that represent respondent data with maximum accuracy; (5) provide an adequate computing environment that includes data security, an electronic data collection, and the hardware and software for producing public-use files; (6) provide up-to-date tracking of the data collection and regular reporting of progress; and (7) identify and communicate potential problems needing to be addressed as well as

problem-solving techniques; (8) collect administrative data from diverse, culturally-specific, and/or hard-to-reach criminal justice system agencies.

4. Project Budget (20%)

Reasonableness of the project budget should be demonstrated including the degree to which the budget demonstrates fiscal, management, staff, and organizational capacities to provide sound management for this project, and the degree to which the budget demonstrates that services and products provided by the grantee are of high quality and reasonable cost. Demonstrated fiscal management on past projects of a similar scale should be demonstrated. Methods of conserving costs while maximizing use of existing resources should be presented. Applicant should include detailed breakout of staff resources and other costs, by project task.

5. Project Outcomes and Evaluation (10%)

Degree to which the application demonstrates how success in meeting the project time lines and the data collection goals (e.g., response rates and data quality), as detailed in the performance measures, will be systematically documented and monitored.

Review Process

OJP is committed to ensuring a fair and open process for awarding grants. The Bureau of Justice Statistics 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. BJS may use either internal peer reviewers, external peer reviewers, or a combination to review the applications under this solicitation. An external peer reviewer is an expert in the field of the subject matter of a given solicitation who is NOT a current US Department of Justice employee. An internal reviewer is a current U.S. Department of Justice employee who is well-versed or has expertise in the subject matter of this solicitation. Eligible applications will be evaluated, scored, and rated by a peer review panel. Peer reviewers' ratings and any resulting recommendations are advisory only. 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 (OCFO), in consultation with Bureau of Justice Statistics, conducts a financial review of 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 BJS, who also may give consideration to factors including, but not limited to, underserved populations, geographic diversity, strategic priorities, past performance, and available funding when making awards.

Additional Requirements

Applicants selected for awards must agree to comply with additional legal requirements upon acceptance of an award. OJP strongly 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.gov/funding/other_requirements.htm.

- Civil Rights Compliance
- Faith-Based and Other Community Organizations
- Confidentiality
- Research and the Protection of Human Subjects
- Anti-Lobbying Act
- Financial and Government Audit Requirements
- 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
- Nonprofit Organizations
- For-profit Organizations
- Government Performance and Results Act (GPRA)
- Rights in Intellectual Property
- Federal Funding Accountability and Transparency Act (FFATA) of 2006
- Awards in Excess of \$5,000,000 – Federal Taxes Certification Requirement
- Active CCR Registration

Application Checklist

National Survey of Tribal Court Systems 2011

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

Eligibility Requirement : Applicants are limited to for-profit (commercial) organizations, nonprofit organizations, faith-based and community organizations, institutions of higher learning, and consortia with demonstrated organization and community-based experience working with American Indian and Alaska Native communities, including tribal for-profit (commercial) and nonprofit organizations, tribal colleges and universities, and tribal consortia. However, consistent with OJP fiscal requirements, for-profit organizations are not allowed to make a profit as a result of this award or to charge a management fee for the performance of this award.

_____ The federal amount requested is within the allowable limit(s) of \$700,000.

What an Application Should Include:

- _____ Application for Federal Assistance (SF-424) (see page 13)
- _____ Program Narrative (see page 13)
- _____ Budget Detail Worksheet (see page 13)
- _____ Budget Narrative (see page 13)
- _____ Indirect Cost Rate Agreement (if applicable) (see page 14)
- _____ Tribal Authorizing Resolution, (if applicable) (see page 14)
- _____ Additional Attachments (see page 14)
- _____ Privacy Certificate
- _____ Human Subjects Protection Certification of Compliance

_____ Other Standard Forms as applicable (see page 14), including:

- _____ Disclosure of Lobbying Activities (if applicable)
- _____ Accounting System and Financial Capability Questionnaire (if applicable)