

# **U.S. Department of Justice Coordinated Tribal Assistance Solicitation (CTAS)**

## ***Fiscal Year 2019 Application Resource Guide***

The 2019 U.S. Department of Justice (DOJ) CTAS Application Resource Guide (“Guide”) provides guidance to assist CTAS grant applicants in preparing and submitting applications for CTAS funding, and to inform potential CTAS applicants making the decision whether or not to apply for funding. It addresses a variety of policies, statutes, and regulations that apply to many (or in some cases, all) CTAS grants and cooperative agreements awarded in fiscal year (FY) 2019.

*The provisions of this 2019 Guide apply to FY 2019 CTAS applications.*

# Contents

<b>A. Table of Statutory Authorities Listed by Purpose Area</b> .....	1
<b>B. Frequently Asked Questions</b> .....	2
What an application should include .....	2
Tribal authority to apply for grants under CTAS.....	7
Additional budget information/funding restrictions.....	122
Prior approval, reporting, & minimization of costs related to conferences, meetings, and trainings.	133
Costs associated with language assistance (if applicable).....	144
Application review .....	144
<b>C. How to Apply</b> .....	15
DOJ policy on late submissions.....	17
Experiencing unforeseen GMS technical issues .....	17
Extraordinary natural or manmade disasters.....	18
<b>D. Federal Award Administration Information</b> .....	18
Federal award notices .....	18
Compliance with administrative, national policy, and other requirements.....	19
General information about post-federal award reporting requirements.....	191

## A. Table of Statutory Authorities Listed by Purpose Area

Purpose Area	Authority
1. Public safety and community policing (COPS Office Tribal Resources Grant Program—Hiring and Equipment/Technology )	Omnibus Crime Control and Safe Streets Act of 1968, 34 U.S.C. § 10381, as amended; Violent Crime Control and Law Enforcement Act of 1994, Title I, Part Q, Public Law 103-322
2. Comprehensive Tribal Justice Systems Strategic Planning (BJA, OJJDP, OVC, COPS Office, OVW)	Any awards under this solicitation would be made under statutory authority provided by a full-year appropriations act for FY 2019.*
3. Tribal Justice Systems (BJA)	Any awards under this solicitation would be made under statutory authority provided by a full-year appropriations act for FY 2019.*
4. Tribal Justice System Infrastructure Program (BJA)	Any awards under this solicitation would be made under statutory authority provided by a full-year appropriations act for FY 2019.*
5. Office on Violence Against Women (OVW) Tribal Governments Program	34 U.S.C. § 10452.
6. Children’s Justice Act Partnerships for Indian Communities (OVC)	34 U.S.C. § 20101(g).
7. Tribal Victim Services Program (OVC)	Any awards under this solicitation would be made under statutory authority provided by a full-year appropriations act for FY 2019.*
8. Juvenile Tribal Healing to Wellness Courts (OJJDP)	34 U.S.C. §§ 10611-10619; additional authority may be provided by a full-year appropriations act for FY 2019.*
9. Tribal Youth Program (OJJDP)	Any awards under this solicitation would be made under statutory authority provided by a full-year appropriations act for FY 2019.*
10. Addressing Violent Crime in Tribal Communities (BJA)	Any awards made under this solicitation would be made under statutory authority provided by a full-year appropriations act for FY 2019.*

\*As of the writing of this solicitation, DOJ is operating under a short-term Continuing Resolution. No full-year appropriation has been enacted for the Department for FY 2019.

## B. Frequently Asked Questions

For further information on CTAS requirements and supporting documents, see the frequently asked questions (FAQ) at <https://www.justice.gov/tribal/open-solicitations>. The FAQs will be updated as necessary. It is highly recommended that prospective applicants regularly visit [www.justice.gov/tribal/](http://www.justice.gov/tribal/) for updates.

### What an Application Should Include

This section describes what an application should include and its required elements. Applicants should anticipate that failure to submit an application containing 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 the recipient from accessing or using award funds pending satisfaction of the conditions.

**Note:** Certain purpose areas (PAs) may be subject to Executive Order 12372 regarding State Single Points of Contact. For more information about which purpose areas and what is required, please see the FAQs.

It is the applicant's responsibility to ensure that the application is complete and submitted by the deadline. To be considered for funding, applicants must submit the application by the deadline, meet the eligibility criteria, and include all required application elements.

If an application fails to comply with the length-related guidance stated as follows for the Tribal Community and Justice Profile and the Purpose Area Narrative(s), this noncompliance may be considered in peer review and final award decisions.

DOJ strongly recommends that uploaded files be clearly named to indicate the applicant tribe name and the file contents to ensure that reviewers can easily locate application documents. All other attachments—such as letters of support, résumés, and job descriptions for unfilled positions—should use descriptive file names and should identify the specific purpose area in the attachment(s).

**Note:** A project abstract for each purpose area is strongly encouraged for FY 2019. The fillable project abstract templates can be found in OJP's Grant Management System (GMS) along with all other documents needed to complete an application at <https://grants.ojp.usdoj.gov/CTAS/>.

**\*\*Items noted by \*\* (double asterisks) MUST be included in the submission for an application to meet the basic minimum requirements (BMR) to advance to peer review and receive consideration for funding. An application that does not include the attachments noted by \*\* at the time of application will neither be peer reviewed nor receive further consideration.**

The application **should include** the following:

a. **Tribal Community and Justice Profile\*\*** (30% of application score)

The Tribal Community and Justice Profile is designed to allow the tribe to describe its community strengths, resources, challenges, and needs. The applicant may enter as much or as little text as needed to fully describe the community as long as the total length of the entire Tribal Community and Justice Profile does not exceed ten (10) pages. Remember that the individuals reviewing the application may not be familiar with the community, so descriptions should be as clear and detailed as possible. Be sure that every question is answered. If there are questions that you are unable to answer, explain why the information is unavailable.

Applicants should use the provided templates located in GMS to build their Tribal and Community Justice Profile. Find the Tribal Community and Justice Profile template at <https://grants.ojp.usdoj.gov/CTAS/>. The Tribal Community and Justice Profile will be rated based on the following criteria:

- The extent to which the application fully responds to the requested information
- The need for funding as described in the Tribal Community and Justice Profile

b. **Purpose Area Narrative(s)\*\*** (55% of application score)

Applicants must submit a **separate narrative for each purpose area** to which they are applying. Narratives will be reviewed and evaluated based on the responses to the specific topics and questions included for that purpose area template. Through a series of questions, the template for each purpose area covers the following topics:

- Problem identification and problem solving strategy
- Project or program design and implementation
- Capabilities and competencies
- Impacts, outcomes, and evaluations or plans for collecting data for performance measures
- A detailed timeline or milestone chart encompassing the entire period of performance for the proposed project that indicates objectives and major tasks, assigns responsibility for each, and plots completion of each task by year and then by month or quarter for the duration of the award, using "Year 1," "Month 1," "Quarter 1," etc., not calendar dates.

Each purpose area has a separate template designed to address the unique focus and requirement of the purpose area. Applicants should ensure the purpose area project goals described in their proposal are consistent with the allowable goals and activities outlined in the solicitation.

The applicant may enter as much or as little text as needed for each question in the purpose area template as long as the total length of the entire Purpose Area Narrative does not exceed 10- no more than 15 pages depending on the purpose area (see PA templates for additional guidance).

Each file should be saved with a title that reflects what it contains as well as the applicant tribe. For example, a file may be saved as “[Tribe].Purpose Area1 Narrative.doc”.

The Purpose Area Narrative will be rated based on the following criteria:

- The extent to which the application fully responds to the requested information
- The extent to which the application explains the connection between the Purpose Area request and the need(s) identified in the Tribal Community and Justice Profile.

c. **Budget Detail Worksheet, Budget Narrative, and Demographic Form\*\***

(Demographic Form is only applicable for PA #1 Applicants) (15% of application score)

DOJ has developed a Budget Detail Workbook that includes the Demographic Form, the Budget Detail Worksheet(s), and the Budget Narrative(s) into a single document. The workbook is user-friendly and has been designed to calculate totals; therefore, applicants are strongly encouraged to use the workbook when completing their proposed budgets. The fillable versions of the budget detail worksheet, budget narrative and demographic form can be downloaded from GMS or at <https://grants.ojp.usdoj.gov/CTAS/>.

**Only one workbook is required to be completed per application.** The Demographic Form collects important demographic information that pertains to Purpose Area 1 and **only** applicants applying for Purpose Area #1 should complete the demographic form. However, the workbook must include both a Budget Detail Worksheet and Budget Narrative for each purpose area for which funds are being requested. **If the Budget Detail Worksheet and Budget Narrative are not submitted for a purpose area, the application will not be considered for funding in that purpose area.**

**Note:** Before completing the Budget Detail Worksheet, Budget Narrative, and Demographic Form, consult “Specific requirements” for each purpose area as well as “Type, amount, and length of awards” for the estimated award amounts for the specific purpose areas.

**Note regarding “Subawards (Subgrants)/Procurement Contracts” category**

DOJ has designated this budget category to enable applicants to identify proposed costs for subawards (see “Subaward” definition at 2 CFR § 200.92) and to distinguish those costs from costs for procurement contracts (see “Contract” definition at 2 CFR § 200.22) that the applicant proposes to fund with federal award funds. As is discussed in 2 C.F.R. § 200.330, the substance of the relationship is more important than the form of the agreement (for purposes of the federal grants administrative requirements) in determining whether an entity receiving federal award funds from the DOJ grant recipient is a subrecipient or a contractor.

In the future, there likely will be a completely separate budget category for identifying costs for subawards. For the FY 2019 CTAS solicitation, however, applicants should indicate costs associated with subawards under the “Subawards (Subgrants)/Procurement Contracts” category by labeling any applicable budget line item in the Budget Detail or Budget Narrative as a

subaward. (Applicants for OJP awards, in particular, are encouraged to review the award condition regarding subawards at [www.ojp.gov/funding/Explore/SubawardAuthorization.htm](http://www.ojp.gov/funding/Explore/SubawardAuthorization.htm) and the award condition regarding post-award approval of noncompetitive procurements under (grant or cooperative agreement) awards at [www.ojp.gov/funding/Explore/NoncompetitiveProcurement.htm](http://www.ojp.gov/funding/Explore/NoncompetitiveProcurement.htm).)

### **Budget Detail Workbook**

The Budget Detail Workbook is the entire Excel document which contains the Demographic Form (for Purpose Area #1 applicants only) and a Budget Detail Worksheet with narrative for each individual purpose area. An applicant is required to submit only one **workbook**; however, multiple worksheets within the workbook may need to be completed based on the applicant's requests. The Budget Detail Workbook and other required documents can be accessed in GMS at: <https://grants.ojp.usdoj.gov/CTAS/>

### **Demographic Form (PA #1 applicants only)**

The Demographic Form is designed to capture the unique characteristics of each tribe in order to paint a more detailed picture of each tribe's strengths and challenges. Each applicant applying for Purpose Area #1 should complete the form in its entirety. If the applicant is unable to answer all or part of the form, it should provide an explanation for the missing information in the available space.

### **Budget Detail Worksheet**

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

### **Note regarding Training and Travel Requirements**

Each Purpose Area has its own specific travel requirements and related budgetary guidance. Please consult Section F Purpose Areas – Specific Information for each purpose area's travel and training requirements and be **sure** to use this when constructing the budget and budget detail worksheet for each purpose area.

Please note that in the travel requirements for each purpose area a DOJ-required, CTAS-wide grantee orientation for new awardees is included. This orientation provides general financial and programmatic administration guidance.

Because tribes may or may not receive funding in each purpose area that they apply for, DOJ asks that the budget for each purpose area contain funding for one tribal financial representative and one programmatic representative to attend the CTAS-wide orientation. Should a tribe receive

more than one award, it will not be expected to send more than one financial representative and can modify its budgets accordingly.

### **Budget Narrative**

The Budget Narrative should thoroughly and clearly describe every category of expense listed in the Budget Detail Worksheet. DOJ expects proposed budgets to be complete, cost-effective, and allowable (e.g., reasonable, allocable, and necessary for project activities). The narrative should correspond with the information and figures provided in the Budget Detail Worksheet.

The narrative should also explain how all costs were estimated and how they are relevant to the completion of the proposed project.

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

The narrative should be mathematically sound and correspond with the information and figures provided in the Budget Detail Worksheet. The narrative should explain how the applicant estimated and calculated all costs, and how they are relevant to the completion of the proposed project. The narrative may include tables for clarification purposes but need not be in a spreadsheet format. As with the Budget Detail Worksheet, the Budget Narrative should be broken down by year.

For OJP and OVW applicants, if an applicant proposes to make one or more noncompetitive procurements of products or services, where the noncompetitive procurement will exceed the simplified acquisition threshold (also known as the small purchase threshold) of \$250,000, the Budget Narrative should address the considerations outlined in Chapter 3.8 (Procurement Under Awards of Federal Assistance) in the DOJ Grants Financial Guide at [ojp.gov/financialguide/DOJ/index.htm](http://ojp.gov/financialguide/DOJ/index.htm). For COPS Office applicants, if awarded, grantees should seek approval from the COPS Office for noncompetitive procurements exceeding \$250,000.

If an applicant is applying as a consortium, aggregate the data for all the tribes represented in the application. An applicant should identify the application as being from a consortium and list the represented tribes in the appropriate section of the Demographic Form.

The Budget Detail Worksheet, Budget Narrative, and Demographic Form submission will be rated based on the following criteria:

- The extent to which the application includes all of the requested information
- The extent to which the budget is reasonable and that all costs in the budget are linked to activities described in the Purpose Area Narrative

- The data included in the Demographic Form (PA # 1 Applicants Only)

**Note: Applicants are *strongly encouraged* to use the provided workbook with the Demographic Form, Detail Worksheet, and Budget Narrative, but it is not required. An applicant that chooses to use a different format should ensure that all budget and demographic information requested in the provided workbook is included and, in particular, should make certain that its submission contains sufficient information to meet the basic minimum requirements necessary to advance to peer review. (As is stated above, the Budget Detail Worksheet, Budget Narrative, and Demographic Form [PA #1 applicants only] must be included in order for an application to be considered.) Find the Budget Detail Worksheet and Demographic Form at <https://grants.ojp.usdoj.gov/CTAS/>.**

## **Tribal Authority to Apply for Grants under CTAS**

Recognizing that tribes have different forms of tribal governance and tribal laws vary, no prescribed form of documentation will be required. Applicants may submit a resolution, letter, affidavit, or other documentation as appropriate for that tribe certifying that the applicant has the legal authority to apply for CTAS awards on behalf of the tribe. **This documentation must be current, must be sufficient to demonstrate authority for the application, must contain authorized signature(s), and must be submitted by the application deadline, February 26, 2019.**

Regarding a **tribal consortium** application, the applicant must submit documentation of authority as described above from each tribal consortium member, unless existing consortium bylaws or other tribal governance documents allow action without explicit authorization from the member tribes in the consortium. In that case, a copy of the bylaws or other governance documents that allow the tribal consortium's action without explicit support from all consortium members must be included with the application. **This documentation must be current, must be sufficient to demonstrate authority for the application, must contain authorized signature(s), and must be submitted by the application deadline, February 26, 2019.**

If the applicant is a **tribal designee**, it is eligible to apply **only** under Purpose Area #5 OVW Tribal Governments Program, Purpose Area #6 OVC Children's Justice Act Partnerships for Indian Communities, or Purpose Area #7 OVC Tribal Victim Services Program. For these purpose areas, the applicant will need a tribal resolution or other satisfactory evidence of legal authority from the tribe as part of the application, which must (1) authorize the applicant to submit an application on behalf of the federally recognized Indian tribe and (2) state the tribe's support for the project and its commitment to participate in the project if it is selected for funding. **This resolution or other satisfactory evidence of legal authority must be current, must be sufficient to demonstrate authority for the application, must contain authorized signature(s), and must be submitted by the application deadline, February 26, 2019.**

As stated in the "Important Notice" boxes in the solicitation, each tribe or tribal consortium will be allowed to submit only one application. If a tribe submits more than one application, only the final

application will be considered. A tribe may apply as part of a consortium and also submit its own independent application in response to the FY 2019 CTAS solicitation, provided that this independent application is submitted for funding activities that are distinct from those activities for which the tribal consortium has applied.

See the FAQs for tribal legal documentation requirements related to political subunits making requests to submit applications separately from federally recognized Indian tribes.

### **Applicant Disclosure of High-Risk Status for any Applicant Requesting Funding under CTAS**

Applicants are required to disclose whether they are currently designated as high risk by any federal grant-making agency, in order to allow for appropriate federal oversight of any CTAS award. This disclosure should include information about any status requiring additional oversight by a federal agency due to past programmatic or financial concerns. If an applicant is designated as high risk by a federal grant-making agency, then the applicant must include the following information in its application:

- The name of the federal agency that designated the applicant as high risk
- The date the federal agency designated the applicant as high risk
- The name, phone number, and email address of the applicant's point of contact at the federal agency that designated the applicant as high risk
- The reasons for the high-risk designation as set out by the federal awarding agency identified above

Providing this disclosure will not disqualify any organization from receiving a DOJ award. DOJ may determine to impose additional oversight of the award, however, and will describe any such additional oversight in the award documentation.

### **Applicant Disclosure of Pending Applications and Active Awards**

Applicants are required to disclose whether they have pending applications for federally funded grants or subgrants (including cooperative agreements) or active awards that include requests for funding to support the same activities/items/personnel 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 subgrants federal funds).

DOJ 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.

As part of their FY 2019 CTAS application, applicants that have pending applications or active awards as described above are to provide the following information about applications submitted within the last 12 months that are still pending or active awards that are ongoing:

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

The following table shows samples of the information applicants must provide if they have pending applications as described here.

Federal or state funding agency	Solicitation name/project name	Name/phone/email for point of contact at funding agency
DOJ/COPS Office	COPS Hiring Program	Jane Doe, 202-000-0000, <a href="mailto:jane.doe@usdoj.gov">jane.doe@usdoj.gov</a>
HHS/Substance Abuse & Mental Health Services Administration	Drug Free Communities Mentoring Program/North County Youth Mentoring Program	John Doe, 202-000-0000; <a href="mailto:john.doe@hhs.gov">john.doe@hhs.gov</a>

Applicants should include the table as a separate attachment, with the file name “Disclosure of Pending Applications,” to their applications. Applicants that do not have pending applications or active awards 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] or active awards 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.”).

### Disclosure of Lobbying Activities

Applicants (in accordance with requirements in applicable law, specifically including 31 U.S.C. 1352) must disclose the existence or nonexistence of lobbying activities by completing and submitting Form SF-LL with the FY 2019 CTAS application. Access to funds may be withheld if this form is not submitted. Applicants that expend any funds for lobbying activities are to provide the detailed information requested on the form, Disclosure of Lobbying Activities (SF- LLL). Applicants that do not expend any funds for lobbying activities are to enter “N/A” in the text boxes for item 10 (“a. Name and Address of Lobbying Registrant” and “b. Individuals Performing Services”). Access the form at: [www.ojp.gov/funding/Apply/Resources/Disclosure.pdf](http://www.ojp.gov/funding/Apply/Resources/Disclosure.pdf).

### Indirect Cost Rate Agreement (if applicable)

Funding requests for indirect costs are only allowable if the applicant has a current federally approved indirect cost rate or if the applicant is eligible and elects to charge the *de minimis* indirect cost rate.

Applicants with a current rate agreement at the time of application should attach a copy of the fully executed and approved Indirect Cost Negotiation Agreement to the application. As a condition of the fully executed Indirect Cost Negotiation Agreement, the applicant must apply the approved rate to the appropriate distribution base as listed in Section I: “Rate” of the Agreement. If the rate agreement is expired at the time of the application, then the applicant should be able to demonstrate that negotiations with their cognizant agency for a current rate are in progress. In cases where the rate has expired, attach a copy of the expired fully executed Indirect Cost Negotiation Agreement to the application. The indirect costs will be calculated and approved for budgetary purposes but will be placed on hold until a current fully executed Indirect Cost Negotiation Agreement is submitted to the awarding agency. It is suggested that the applicant use the narrative portion of the Indirect Costs category on the budget detail worksheet to show the computation of the indirect cost distribution base and the total indirect costs.

Applicants that do not have an approved indirect cost rate but wish to negotiate a rate may request one through their cognizant agency, or, if the applicant’s accounting system permits, costs may be allocated in the direct cost categories. (Applicant Indian Tribal Governments, in particular, should review Appendix VII to Part 200—States and Local Government and Indian Tribe Indirect Cost Proposals regarding submission and documentation of indirect cost proposals.)

Non-federal entities that have never received a federally approved indirect cost rate may elect to charge a *de minimis* rate of 10 percent of modified total direct costs (MTDC), as described in 2 C.F.R. 200.414(f), which may be used indefinitely. (See paragraph D.1.b. in Appendix VII to Part 200—States and Local Government and Indian Tribe Indirect Cost Proposals for a description of entities that may not be eligible to elect to use the *de minimis* rate.) In order to use the *de minimis* indirect rate an applicant would need to attach written documentation to the application that advises DOJ of both the applicant’s eligibility (to use the *de minimis* rate) and its election. If the applicant elects the *de minimis* method, costs must be consistently charged as either indirect or direct costs, but may not be double charged or inconsistently charged as both. In addition, if this method is chosen then it must be used consistently for all federal awards until such time as the applicant entity chooses to negotiate a federally approved indirect cost rate.

In accordance with 2 CFR §200.205, federal agencies must have in place a framework for evaluating the risks posed by applicants before they receive a federal award. To facilitate part of this risk evaluation, any applicant requesting funding under purpose areas # 2, 3, 4, 5, 6, 7, 8, 9, or 10 is to download, complete, and submit the OJP Financial Management and System of Internal Controls Questionnaire from [www.justice.gov/tribal/open-solicitations](http://www.justice.gov/tribal/open-solicitations) as part of its application.

**In addition, for OVW Purpose Area #5, applicants must prepare a response to 10 risk assessment questions, which can be found at <https://grants.ojp.usdoj.gov/CTAS/>. Please be sure to provide complete responses that address all questions. OVW will review the applicant’s responses to assist in evaluating the adequacy of the organization’s financial management system and to identify areas of need for training and technical assistance. This section of the application should be no more than four pages and should be a separate attachment. This information will be used for a mandatory pre-award risk assessment. Failure to provide this information or to respond to questions from OVW regarding this information in a timely manner could result in the applicant being removed from consideration or a delay in funds.**

Purpose area	Estimated amount of funding available	Estimated number of awards to be made; estimated award amounts	Length of award
1. Public safety and community policing (COPS Office)	\$20 million	<p>Approximately 50 awards:</p> <ul style="list-style-type: none"> <li>sworn force of less than 10: no more than \$300,000*</li> <li>sworn force of 10 to less than 20: no more than \$500,000</li> <li>sworn force of 20+: no more than \$800,000</li> </ul>	3 years
2. Comprehensive tribal justice systems strategic planning (BJA)	Up to \$750,000	Approximately 5 awards; up to \$150,000 per award	3 years
3. Tribal Justice Systems (BJA)	\$16.8 million	Approximately 20–30 awards; approximately \$250,000–750,000 per award	3 years
4. Tribal Justice System Infrastructure Program (BJA)	\$7.5 million	<p>Estimated 2–4 awards for facility renovation or expansion or completion of existing construction projects for single jurisdiction facility, approximately \$1 million per award. Estimated 1–2 awards for facility renovation or expansion or completion of existing construction projects for regional facility (detention, multipurpose justice center, correctional alternative), approximately \$2–4 million per award.</p>	3 years
5. Tribal Governments Program (OVW)	\$34 million	<p>Approximately 55 awards:</p> <ul style="list-style-type: none"> <li><b>New applicants:</b> Applicants that have never before received funding from OVW, or whose last award from OVW closed more than 12 months ago, can request up to approximately \$450,000.</li> <li><b>Current grantees:</b> Applicants that have at least one active, current award from OVW are considered current grantees.</li> </ul> <p>There is no explicit limit on how much current grantees can request; however, because of demand for funding, OVW anticipates that it will not be able to offer current grantees an award totaling more than \$900,000. Applicants should consider the level of effort necessary to complete the project and the amount of funds that were expended during the 36-month budget cycle, and not solely the amount that was previously awarded, in deciding how much to request in FY 2019.</p>	3 years

Purpose area	Estimated amount of funding available	Estimated number of awards to be made; estimated award amounts	Length of award
6.Children’s Justice Act Partnerships for Indian Communities (OVC)	\$2.7 million	Approximately 6 awards; up to a maximum of \$450,000 per award.	3 years
7.Tribal Victim Services Program (OVC)	TBD	Up to a maximum of \$500,000 per award.	3 years
8.Juvenile Tribal Healing to Wellness Courts (OJJDP)	\$2.1 million	Approximately 6 awards; up to a maximum of \$350,000 per award.	3 years
9.Tribal Youth Program (OJJDP)	\$7.8 million	Approximately 19 awards; up to a maximum of \$400,000 per award.	3 years
10. Addressing Violent Crime in Tribal Communities (BJA)	\$2 million	Approximately 4 awards up to \$500,000 per award	4 years

\* Or the cost of one entry level full-time officer if that cost is over \$300,000/higher than the cap. These requests are reviewed on a case-by-case basis and need to reflect the actual entry-level salaries and benefits for a newly hired sworn officer.

## Additional budget information/funding restrictions

### Pre-agreement cost approvals

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

### Supplanting

Generally, DOJ funds must be used to supplement existing funds for program activities and may not replace (supplant) nonfederal funds that have been appropriated for the same purpose. Grant funds must be used to increase the amount of state, local, tribal, or BIA funds that otherwise would be budgeted for these purposes in the absence of DOJ award funding. For additional guidance regarding supplanting, including DOJ program-specific examples, refer to the Coordinated Tribal Assistance Solicitation Guidance Regarding Supplanting FAQ at <https://www.justice.gov/tribal/open-solicitations>. Purpose Area #5 applicants should include a letter of nonsupplanting in their application as described earlier.

## **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. The 2018 salary table for SES employees is available at <https://www.opm.gov/policy-data-oversight/pay-leave/salaries-wages/2018/executive-senior-level>.

Note: A recipient may compensate an employee at a greater rate provided the amount in excess of this compensation limitation is paid with nonfederal 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 Assistant Attorney General (AAG) for the Office of Justice Programs (OJP) or the Director of OVW as appropriate. (Waivers are not applicable to the COPS Office.) 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 DOJ will request that the applicant 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 or her qualifications and expertise and for the work that is to be done.

## **Prior approval, reporting, and minimization of costs related to conferences, meetings, and trainings**

Generally, funding may not be used to purchase food or beverages for any meeting, conference, training, or other event under any CTAS purpose area. Exceptions may be available in very rare circumstances with the approval of the awarding office.

All award recipients that propose to hold or sponsor conferences (including meetings, trainings, and other similar events) will be required to minimize costs and may be required to receive prior written approval of conference costs. Prior review and approval of conference costs can take time, and applicants should take this into account when submitting proposals. Applicants also should understand that conference cost limits may change and that they should check the guidance for updates before incurring such costs. For more information, see the FAQs at <https://www.justice.gov/tribal/open-solicitations>.

## **Costs associated with language assistance (if applicable)**

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

For additional information, see the Civil Rights Compliance section under Solicitation Requirements in the OJP Funding Resource Center at [ojp.gov/funding/index.htm](https://ojp.gov/funding/index.htm).

For allowable and unallowable costs for each program, please see the CTAS solicitation.

## **Application Review**

Peer reviewers will be reviewing the applications submitted under this solicitation that meet eligibility and basic minimum requirements. Each relevant DOJ component 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 grant program who is *not* a current federal employee. An internal reviewer is a current federal employee who is well-versed or has expertise in the subject matter of the particular grant program. Applications that meet eligibility and basic minimum requirements will be evaluated, scored, and rated by peer reviewers. Peer reviewers' ratings and any resulting recommendations are advisory only, although their views are considered carefully.

Prior to award, applications for potential awards will receive a financial integrity review to evaluate the fiscal integrity and financial capability of applicants and to examine proposed costs and the extent to which the Budget Detail Worksheet and Narrative accurately supports and explains project costs. This review also will assess whether costs are reasonable, necessary, and allocable under applicable federal cost principles and agency regulations. This financial review will be either conducted by DOJ officials in consultation with the applicable DOJ component or directly conducted by the DOJ component staff. DOJ will also take into consideration the total amount of funding requested and the capacity of the tribe to manage the funds.

In addition, prior to making an award greater than the simplified acquisition threshold (currently set at \$250,000), any information about applicants that is in the designated integrity and performance system accessible through the System for Award Management (SAM) will be reviewed and considered. An applicant may review and comment on any information about the applicant in SAM that a federal awarding agency previously entered in the designated integrity and performance system, and such applicant comments will also be reviewed and considered.

Past performance with DOJ grant funding will be considered in this review process. Past performance review may include a reduction in score for prior poor performance. Factors that may be included in the past performance review are whether progress reports demonstrate effectiveness of the project,

whether past activities of the applicant have been limited to program purpose areas, the extent to which the applicant has adhered to all special conditions in the prior awards, the extent to which the applicant has complied with programmatic and financial reporting requirements, the extent to which the applicant has completed closeout of prior awards in a timely manner, whether the applicant has received financial clearances in a timely manner, whether the applicant has resolved any issues identified in an audit or on-site monitoring visit in a timely manner, whether the applicant has adhered to single audit requirements, and the extent to which the applicant has spent prior grant funds in a timely manner.

Absent explicit statutory authorization or written delegation of authority to the contrary, all final award decisions will be made by the head of the DOJ awarding agency component (i.e., by the head of OJP, OVW, or COPS Office, as applicable), who may also give consideration to factors including awardees that have completed a strategic plan under a Purpose Area #2 award, prior funding history, current award balances, underserved populations, population served, geographic diversity, strategic priorities, past programmatic performance, **significant concerns of DOJ components regarding ability of the applicant to administer federal funds**, and available funding when making awards.

## C. How to Apply

Applications are submitted through OJP's Grants Management System (GMS) at <https://grants.ojp.usdoj.gov/gmsexternal/>. GMS is a web-based, data-driven computer application that provides cradle-to-grave support for the application, award, and management of awards at OJP and OVW. Applicants must register in GMS for each specific funding opportunity and should begin the process **immediately** to meet the GMS registration deadline, especially if this is the first time using the system. Complete instructions on how to register and submit an application in GMS can be found at [www.ojp.usdoj.gov/gmscbt/](http://www.ojp.usdoj.gov/gmscbt/). If the applicant experiences technical difficulties at any point during this process, email [GMS.HelpDesk@usdoj.gov](mailto:GMS.HelpDesk@usdoj.gov) or call 888-549-9901 (option 3), Monday–Friday from 6:00 a.m. to midnight Eastern Time, except federal holidays. DOJ highly recommends that applicants start the registration process as early as possible but no later than February 26, 2019, to prevent delays in submitting an application package by the specified application deadline.

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

All applicants should complete the following steps:

1. **Acquire a Data Universal Numbering System (DUNS) number.** In general, the Office of Management and Budget requires that all applicants (other than individuals) for federal funds include a DUNS number in their application for a new award or renewal of 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. Obtain a DUNS number by calling Dun and Bradstreet at 866- 705-5711 or by applying online at [www.dnb.com/gov](http://www.dnb.com/gov). 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. DOJ requires that all applicants (other than individuals) for federal financial assistance maintain current registrations in the SAM database. **Applicants must update or renew their SAM registration annually to maintain an active status.**

Information about SAM registration procedures can be accessed at [www.sam.gov](http://www.sam.gov).

3. **Acquire a GMS username and password.** A new user must create a GMS profile by selecting the “First Time User” link under the sign-in box of the GMS home page. For more information on how to register in GMS, go to [www.ojp.usdoj.gov/gmscbt/](http://www.ojp.usdoj.gov/gmscbt/).
4. **Verify the SAM registration in GMS.** DOJ requests that all applicants verify their SAM registration in GMS. Once logged into GMS, click the “CCR Claim” link on the left side of the default screen. Click the “Submit” button to verify the SAM registration.
5. **Search for the funding opportunity on GMS.** After logging into GMS or completing the GMS profile for username and password, go to the “Funding Opportunities” link on the left side of the page. Select “Department of Justice” and “FY 2019 Coordinated Tribal Assistance Solicitation.”
6. **Register by selecting the “Apply Online” button associated with the solicitation title.** The search results from step 5 will display the solicitation title along with the registration and application deadlines for this funding opportunity. Select the “Apply Online” button in the “Action” column to register for this solicitation and create an application in the system.
7. **Submit an application consistent with this solicitation by following the directions in GMS.** Once submitted, GMS will display a confirmation screen stating the submission was successful.  
**Important:** In some instances, an applicant must wait for GMS approval before submitting an application. Applicants are urged to submit the application **at least one week** prior to the due date of the application.

**IMPORTANT WARNING! Each tribe or tribal consortium will be allowed only one application submission.** An application can be revised in GMS until the application deadline, 9:00 p.m. ET, Tuesday, **February 26, 2019**. Note that only the most recent version of an application submitted in GMS will be considered.

**If a tribe submits more than one application, only the most recent version of the application will be considered in the review process.**

A tribe may apply as part of a consortium and also submit its own independent application provided that the independent application is for funding for activities that are distinct from those activities for which the tribal consortium has applied.

**Note:** The Grants Management System (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.

## **DOJ policy on late submissions**

DOJ offers a process for CTAS applicants to provide advance notice to DOJ if submission of their application will be delayed due to unforeseen GMS technical issues. Applicants must provide such notice prior to the application submission deadline. If applicants do not follow the steps outlined below to provide advance notice to DOJ about an issue that may cause a delay in the submission of the application, then the application will be determined to be late and will not be considered for funding. If applicants follow the steps outlined below, submission may be considered. Extension of deadlines is not guaranteed.

## **Experiencing unforeseen GMS technical issues**

If you experience unforeseen GMS technical issues beyond your control which prevent you from submitting your application by the deadline, **please immediately contact the GMS helpdesk** (email [GMS.HelpDesk@usdoj.gov](mailto:GMS.HelpDesk@usdoj.gov) or call 888-549-9901 (option 3) **to create a record of the issue.** You must also contact the Response Center (800-421-6770) **before the solicitation closes at 9:00 p.m. and submit your entire application to the Response Center via email at [tribalgrants@usdoj.gov](mailto:tribalgrants@usdoj.gov) by the 9:00 p.m. Eastern Time deadline.** Your email to the Response Center should include the complete grant application, your DUNS number, and a GMS Help Desk tracking number(s). After DOJ reviews all of the information submitted as well as contacting the GMS Help Desk to validate the technical issues you reported, DOJ will contact you to either approve or deny your emailed application. If the technical issues you reported cannot be validated, your application will be rejected. Any requests to submit applications due to technical issues after the 9:00 p.m. deadline will be rejected as untimely.

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

The following conditions generally are insufficient to justify late submissions:

- Inability to register in SAM or GMS in sufficient time. (SAM registration and renewal can take as long as 10 business days to complete.)
- Inability to follow GMS instructions on how to register and apply as posted on the GMS website.
- Inability to follow each instruction in the DOJ solicitation.
- Technical issues with the applicant's computer or information technology environment, such as issues with firewalls.

Notifications regarding known technical problems with GMS will be posted on [ojp.gov/funding/index.htm](http://ojp.gov/funding/index.htm).

## **Extraordinary natural or manmade disasters**

In cases of extraordinary natural or manmade disasters, such as extreme weather emergencies or terrorist acts, applicants may request to submit applications up to seven calendar days late by sending an email to [tribalgrants@usdoj.gov](mailto:tribalgrants@usdoj.gov). The message should specify the nature of the disaster and how it affected the applicant's ability to submit an application on time. The email message must be sent by the 9:00 p.m. ET deadline or as soon as possible given the specific emergency.

## **D. Federal Award Administration Information**

### **Federal award notices**

For OJP and OVW, CTAS award notifications will be sent from GMS. Recipients will be required to log in; accept any outstanding assurances and certifications on the award; designate a financial point of contact; and review, sign, and accept the award. The award acceptance process involves physical signature of the award document by the authorized recipient official and the scanning of the fully executed award document to DOJ.

For the COPS Office, CTAS award notifications will be sent electronically. To officially accept and begin your CTAS award, your agency must access [www.cops.usdoj.gov](http://www.cops.usdoj.gov) and select the "Account Access" link in the upper right corner to log in, review, and electronically sign the award document (including award terms and conditions) and, if applicable, the special award conditions or high risk conditions within 90 days of the date shown on the award congratulatory letter.

## Compliance with administrative, national policy, and other requirements

If selected for funding, in addition to implementing the funded project consistent with the agency-approved project proposal and budget the recipient must comply with award terms and conditions (included those incorporated by reference into the award) and other legal requirements including DOJ regulations or other federal laws applicable to the award. DOJ strongly encourages prospective applicants to review the information pertaining to these requirements **prior** to submitting an application. Additional information about the following requirements can be found at [www.justice.gov/tribal/](http://www.justice.gov/tribal/).

- Civil rights compliance ([www.ojp.usdoj.gov/about/ocr/statutes.htm](http://www.ojp.usdoj.gov/about/ocr/statutes.htm))
- Funding to faith-based organizations
- Confidentiality and human subjects protection (if applicable)
- Research and evaluation independence and integrity (if applicable)
- Anti-Lobbying Act
- Financial and government audit requirements
- National Environmental Policy Act (NEPA) (if applicable)
- Criminal intelligence systems (if applicable)
- Whistleblower protection
- Reporting fraud, waste, or abuse under federal awards
- Restrictions regarding internal confidentiality agreements
- Conflict of interest
- Computer network requirement (blocking pornography)
- Mandatory disclosure
- Debarment and suspension
- EPIC reporting (if applicable)
- DOJ information technology standards (if applicable)
- Nonsupplanting of state and local funds
- Criminal penalty for false statements
- 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 subaward reporting system
- Training guiding principles for grantees and subgrantees (if applicable)
- Prohibited conduct by recipient and subrecipients related to trafficking in persons
- Reporting of matters related to recipient integrity and performance

Please note in particular the following two documents, which applicants must accept in GMS at the time of application, as each details legal requirements to which applicants must provide specific assurances and certifications of compliance. Applicants may view samples of these documents at the links provided immediately below.

- Certifications Regarding Lobbying; Debarment, Suspension and Other Responsibility Matters; and Drug-Free Workplace Requirements (<https://grants.ojp.usdoj.gov/CTAS/>)
- Standard Assurances (<https://grants.ojp.usdoj.gov/CTAS/>)

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

Prospective applicants may access and review the text of mandatory conditions OJP includes in all OJP awards, as well as the text of certain other conditions, such as administrative conditions, via the Mandatory Award Terms and Conditions page (<https://ojp.gov/funding/Explore/LegalOverview/index.htm>) of the OJP Funding Resource Center ([ojp.gov/funding/index.htm](https://ojp.gov/funding/index.htm)).

As stated earlier, DOJ anticipates that it may make some awards from this solicitation in the form of cooperative agreements. Cooperative agreement awards include standard “federal involvement” conditions that describe the general allocation of responsibility for execution of the funded program. Generally stated, under cooperative agreement awards, responsibility for the day-to-day conduct of the funded project rests with the recipient in implementing the funded and approved proposal and budget and the award terms and conditions. Responsibility for oversight and redirection of the project, if necessary, rests with DOJ.

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

## **General information about post-federal award reporting requirements**

Recipients must submit quarterly financial reports, progress reports, final financial and progress reports, and, if applicable, an annual audit report in accordance with the Part 200 Uniform Requirements or specific award conditions. Future awards and fund drawdowns may be withheld if reports are delinquent. Special reporting requirements may be required by DOJ depending on the statutory, legislative, or administrative requirements of the recipient or the program. Awards that exceed \$500,000 will include an additional condition that, under specific circumstances, will require the recipient to report (to FAPIIS) information on civil, criminal, and administrative proceedings connected with (or connected to the performance of) either the DOJ award or any other grant, cooperative agreement, or procurement contract from the Federal Government. (Applicants may review additional information on this reporting requirement and the text of an OJP award condition posted on the OJP website at [ojp.gov/funding/FAPIIS.htm](http://ojp.gov/funding/FAPIIS.htm).)