

**U.S. Department of Justice**  
Office of Justice Programs  
*Office of Juvenile Justice and Delinquency Prevention*



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The [U.S. Department of Justice](#) (DOJ), [Office of Justice Programs](#) (OJP), [Office of Juvenile Justice and Delinquency Prevention](#) (OJJDP) is seeking applications for funding under the fiscal year (FY) 2017 Field-Initiated Research and Evaluation Program. This project furthers the Department's mission to support innovative research and evaluation efforts to inform policy and practice on juvenile justice and delinquency prevention.

## **OJJDP FY 2017 Field-Initiated Research and Evaluation Program**

### **Applications Due: February 6, 2017**

#### **Eligibility**

Eligible applicants are limited to states (including territories), units of local government,<sup>1</sup> federally recognized tribal governments as determined by the Secretary of the Interior, nonprofit organizations<sup>2</sup> (including tribal nonprofit organizations) and for-profit organizations (including tribal for-profit organizations), and institutions of higher education (including tribal institutions of higher education). For-profit organizations (as well as other recipients) must agree to forgo any profit or management fee (including tribal institutions of higher education). Foreign governments, foreign organizations, and foreign institutions of higher education are not eligible to apply.

This solicitation announces Category 1: Large-scale Research and/or Evaluation and Category 2: Small Studies and Analyses research studies. The categories differ in terms of the maximum budget amount and maximum project period duration that applicants may request. While applicants may submit more than one unique application under this solicitation, they may not submit the same application under both categories. Applicants must clearly indicate in their project abstract to which category they are applying.

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<sup>1</sup> A "unit of local government" means—

(a) Any city, county, township, town, borough, parish, village, or other general purpose political subdivision of a state.

(b) Any law enforcement district or judicial enforcement district that—

(i) Is established under applicable state law, and

(ii) Has the authority to, in a manner independent of other state entities, establish a budget and raise revenue.

(c) For the purposes of assistance eligibility, any agency of the government of the District of Columbia or the federal government that performs law enforcement functions in and for—

(i) The District of Columbia, or

(ii) Any Trust Territory of the United States.

<sup>2</sup> See [ojp.gov/funding/Explore/SolicitationRequirements/OrganizationalRequirements.htm#NPO](http://ojp.gov/funding/Explore/SolicitationRequirements/OrganizationalRequirements.htm#NPO) for additional information on demonstrating nonprofit status.

OJJDP welcomes applications under which two or more entities would carry out the federal award; however, only one entity may be the applicant. Any others must be proposed as subrecipients (“subgrantees”).<sup>3</sup> The applicant must be the entity that would have primary responsibility for carrying out the award, including administering funding and managing the entire research, including monitoring and appropriately managing any subawards (“subgrants”).

OJJDP may elect to fund applications submitted under this FY 2017 solicitation in future fiscal years, dependent on, among other considerations, the merit of the applications and the availability of appropriations.

## Deadline

Applicants must register with [Grants.gov](https://www.grants.gov) prior to submitting an application. All applications are due by 11:59 p.m. eastern time (ET) on February 6, 2017.

To be considered timely, an application must be submitted by the application deadline using Grants.gov, and the applicant must have received a validation message from Grants.gov that indicates successful and timely submission. OJP urges applicants to submit applications at least 72 hours prior to the application due date to allow time for the applicant to receive validation messages or rejection notifications from Grants.gov, and to correct in a timely fashion any problems that may have caused a rejection notification.

OJP encourages all applicants to read this [Important Notice: Applying for Grants in Grants.gov](#).

For additional information, see [How To Apply](#) in [Section D. Application and Submission Information](#).

## Contact Information

For technical assistance with submitting an application, contact the Grants.gov Customer Support Hotline at 800–518–4726 or 606–545–5035, or via email to [support@grants.gov](mailto:support@grants.gov). The [Grants.gov](#) Support Hotline operates 24 hours a day, 7 days a week, except on federal holidays.

An applicant that experiences unforeseen Grants.gov technical issues beyond the applicant’s control that prevents submission of the application by the deadline may email the Response Center at [grants@ncjrs.gov](mailto:grants@ncjrs.gov) to request approval to submit the application. To request a waiver for a late application submission, an applicant must email the Response Center at [grants@ncjrs.gov](mailto:grants@ncjrs.gov) within **24 hours after the application deadline** to request approval to submit the application. Additional information on reporting technical issues appears under “Experiencing Unforeseen Grants.gov Technical Issues” in the [How To Apply](#) section.

For assistance with any other requirements of this solicitation, contact the Response Center by telephone at 800–851–3420 or TTY: 301–240–6310 (hearing impaired only), by email at [grants@ncjrs.gov](mailto:grants@ncjrs.gov), or by [web chat](#). Response Center hours of operation are 10 a.m. to 6 p.m.

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<sup>3</sup> For additional information on subawards, see "Budget and Associated Documentation" under [Section D. Application and Submission Information](#).

ET, Monday through Friday, and 10 a.m. to 8 p.m. ET on the solicitation close date. Answers to frequently asked questions that may assist applicants are posted at [www.ojjdp.gov/grants/solicitations/FY2017/FAQ/FIRE.pdf](http://www.ojjdp.gov/grants/solicitations/FY2017/FAQ/FIRE.pdf).

Grants.gov number assigned to this solicitation: OJJDP-2017-10960

Release date: December 5, 2016

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# OJJDP FY 2017 Field-Initiated Research and Evaluation Program (CFDA # 16.540)

## A. Program Description

### Overview

This program will support innovative and methodologically sound research and evaluation efforts that inform policy and practice consistent with OJJDP's mission to advance effective delinquency prevention and juvenile justice system interventions and reform. This solicitation invites researchers to identify and address understudied areas in the field of juvenile justice and delinquency prevention. It includes two application categories (Category 1: Large-scale Research and/or Evaluation and Category 2: Small Studies and Analyses) that have different limits on the maximum award amount and project duration.

**Statutory Authority:** Any awards under this solicitation would be made under statutory authority provided by a full-year appropriations act for FY 2017. As of the writing of this solicitation, DOJ is operating under a short-term "Continuing Resolution;" no full-year appropriation for the Department has been enacted for FY 2017.

### Program-Specific Information

This solicitation invites researchers to identify and address understudied areas in the field of juvenile justice and delinquency prevention. Additional research and evaluation efforts are needed to increase understanding of the challenges faced by youth in terms of preventing the onset of delinquency and avoiding its persistence. For those girls and boys who come into contact with the juvenile justice system, research is needed to inform policies and practices to increase the fairness and benefits of system involvement. OJJDP's mission focuses on improving the juvenile justice system so that it better protects public safety and holds justice-involved youth appropriately accountable, while providing treatment and rehabilitative services tailored to the needs of juveniles and their families.

Examples of some of OJJDP's current research interests are outlined below. Applicants may propose research projects from among the following topics, or may choose to justify their own area of investigation focused on juvenile justice and delinquency prevention:

- OJJDP is committed to advancing systemwide reform of juvenile justice in keeping with the adolescent developmental approach described in the National Academy of Sciences reports

issued in 2013<sup>4</sup> and 2014.<sup>5</sup> The Committee on Assessing Juvenile Justice Reform highlighted the importance of applying the body of knowledge about adolescent development within the juvenile justice setting to effectively prevent and respond to delinquency. The committee based its recommendations on ongoing scientific advances in understanding adolescent brain development and cognitive, social, and emotional processes. These advances have shown that during adolescence, youth are more prone to peer and other social pressures, less able to exercise self-regulation when exposed to emotionally charged situations, less likely to consider long-term consequences of their actions, more likely to engage in impulsive behavior associated with immediate gratification, and more likely to experiment with risk-taking behaviors. The committee recommended that OJJDP and other federal research agencies continue to advance a research agenda that expands knowledge on the developmental processes influencing juvenile delinquency and the juvenile justice system response.

- During adolescence, youth benefit from exposure to positive, prosocial peer influences and residence in safe communities. Exposure to crime and violence is elevated for those youth growing up in high-crime neighborhoods, particularly when street gangs are present. Research indicates that gang members are significantly more likely than nongang members to engage in serious and violent crime. Evidence from longitudinal studies of youth suggests the deviant peer influence of gang membership includes heightened rates of offending while youth are actively engaged as gang members. More research is needed to develop effective gang prevention, intervention, reentry, and desistance strategies. There is also a need to advance the conduct of place-based and community-collaboration-based initiatives to assess their impact in terms of violence reduction and other crime indicators.
- In addition to positive peer influences, adolescents benefit from supportive, nurturing relationships with their families and caregivers. The field of juvenile justice needs to further advance effective strategies for meaningful family engagement in the lives of youth, particularly during times of crisis, court involvement, detention, probation, incarceration, and reentry. Effective program approaches for interagency coordination and collaboration in case management are needed when youth cross over between the child welfare system and the juvenile justice system to ensure that the youth has a viable support network.
- In recent years, there has been an increased awareness among researchers and practitioners alike that the “one-size-fits-all” approach to prevention and intervention does not necessarily meet the specific needs of all at-risk and system-involved individuals and special populations. There is a need for more research on holistic, purposeful juvenile justice case management, including the use of validated risk/needs assessment in the recognition and integration of an individual’s strengths, needs, risks, personal goals, accomplishments, and personal maturation.

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<sup>4</sup> National Research Council. 2013. [Reforming Juvenile Justice: A Developmental Approach](#). Committee on Assessing Juvenile Justice Reform, R.J. Bonnie, R.L. Johnson, B.M. Chemers, and J.A. Schuck, Eds. Committee on Law and Justice, Division of Behavioral and Social Sciences and Education. Washington, DC: The National Academies Press.

<sup>5</sup> National Research Council. 2014. [Implementing Juvenile Justice Reform: The Federal Role](#). Committee on a Prioritized Plan to Implement a Developmental Approach in Juvenile Justice Reform, Committee on Law and Justice, Division of Behavioral and Social Sciences and Education. Washington, DC: The National Academies Press.

- In terms of special populations, there is increasing demand for development and testing of programmatic approaches designed for understudied populations in the juvenile justice system, including girls, Hispanics, American Indians and Alaska Natives, and LGBTQI-GNC (lesbian, gay, bisexual, transgender, questioning/queer, intersex, and gender nonconforming) and Two Spirit (tribal) youth.

When one considers the diversity of the youth population in the United States and the disproportionately high level of juvenile justice contact among youth of color, it is important to establish a stronger knowledge base regarding how disparate treatment and implicit bias play out in communities across the nation, along with effective approaches to reduce or eliminate these disparities. As OJJDP advances the concept of fair treatment for all youth in every sector of the juvenile justice community, it is also important to examine who receives legal counsel, the quality of that counsel, and the outcomes associated with quality legal representation. OJJDP seeks to advance research and evaluation efforts to inform communities in their efforts to implement effective and coordinated prevention and intervention programs. These communities span states; tribal nations; and urban, rural, and suburban areas across the nation, and these varied communities may require specialized approaches.

This solicitation includes two application categories that have different limits on the maximum award amount and project duration. Under Category 1: Large-scale Research and/or Evaluation, applicants may propose to conduct more extensive research initiatives that would require a greater total budget and extended project period (up to \$750,000 for up to a 5-year project period). Under Category 2: Small Studies and Analyses, applicants may propose to conduct smaller research initiatives that entail a lower total budget amount and shorter project period (up to \$125,000 for up to a 3-year project period).

Under both categories, applicants may propose to conduct scientifically rigorous research studies with an emphasis on informing policy and practice regarding delinquency prevention and/or the juvenile justice system. Applicants may propose single or multisite research efforts. The proposed study designs may involve a broad range of research methodologies, including but not limited to:

- Descriptive research, including case studies and/or ethnography.
- Impact research, including randomized experiments, quasi-experiments (with a comparison condition), and short-term and long-term impact assessment.
- Cost/benefit analysis.
- Incidence and/or prevalence studies.
- Meta-analysis.
- Secondary analysis of existing data, including linked administrative data.
- Extended or expanded data collection (for example, adding questions to a survey instrument or accessing juvenile justice records) for ongoing/existing studies, including longitudinal studies.

OJJDP will require applicants to document that they have established agreements that allow for full access to data and study populations.

OJJDP will require applicants proposing to conduct an evaluation to document that they have established a collaborative partnership with a program implementer(s) currently delivering

delinquency prevention services to at-risk youth or administering services to youth in contact with the juvenile justice system.

Funding under this solicitation will support only research/evaluation-related expenses; OJJDP will not fund costs associated with routine service delivery under this solicitation.

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

The goal of the Field-Initiated Research and Evaluation Program is to advance knowledge building and innovation in both policy and practice through the conduct of purposeful research and evaluation efforts in areas of juvenile justice and delinquency prevention that have been understudied or merit closer examination. As noted above, the field of juvenile justice and delinquency prevention is facing a wide variety of policy, practice, and research issues. It will be incumbent upon the applicants to identify and justify their selection of the problem(s) to be addressed, the research questions to be answered, the methodology to be used, and the utility of the findings in terms of applications for policy and practice.

The objectives of the program include the following:

- Identify a gap or need for research on how to improve the juvenile justice system and/or delinquency prevention efforts.
- Present the status and knowledge base of the current literature on relevant research and the capacity to answer the research question(s) proposed.
- Investigate the research question(s) via a scientifically valid and feasible research design and methodology.
- Translate research findings into meaningful feedback and recommendations to inform policymakers and practitioners as they strive to reform and enhance juvenile justice and/or delinquency prevention efforts.

Successful applicants should anticipate submitting the following deliverables to OJJDP:

- Practitioner-friendly overview documents highlighting the project's goals and objectives, as OJJDP requires.
- A draft implementation plan with the application. For those applicants proposing a 2-phase evaluation effort, a detailed evaluation plan within 12 months of the award period start date. OJJDP will review and approve the plan with a timeline.
- Practitioner-friendly interim and final reports highlighting the project's findings, as OJJDP requires, to be disseminated at OJJDP's discretion. (Refer to *OJJDP News @ a Glance*, OJJDP bulletins, and other similar OJJDP publications for examples of the type of practitioner documents that may be requested: [www.ojdp.gov/enews/enews.html](http://www.ojdp.gov/enews/enews.html).)
- A detailed progress report to OJJDP every 6 months that includes the information described in Section F. Federal Award Administration Information and describes the status of the evaluation, methodological and implementation issues, progress toward the project goals, and any other relevant issues to the project's completion; and a final



progress report at the conclusion of the award period, summarizing this information throughout the award.

- Electronic copies of (1) a final technical report and abstract documenting the project and highlighting key findings suitable for publication in a refereed journal, to be disseminated at OJJDP's discretion, and, as OJJDP requires, (2) a final detailed report documenting the project design, implementation, evaluation, and its findings. This publication should include an executive summary and be suitable for a nontechnical audience, to be disseminated at OJJDP's discretion.
- All new materials, protocols, procedures, manuals, evaluation-related training materials, etc. developed under this program.
- In addition to these deliverables submitted to OJJDP (and the required reports and data on performance measures described in [Section F. Federal Award Administration Information](#)), OJJDP expects scholarly products to result from each award under this solicitation, taking the form of one or more published, peer-reviewed, scientific journal articles, and/or (if appropriate) law review journal articles, book chapter(s) or book(s) in the academic press, technological prototypes, patented inventions, or similar scientific products. Applicants should describe all planned deliverables and scholarly products. Successful applicants will be expected to notify OJJDP if a scholarly product has been accepted for publication.
- [Required Data Sets and Associated Files and Documentation](#). Any recipient of an award under this solicitation will be expected to submit to the National Archive of Criminal Justice Data (NACJD) all data sets that result in whole or in part from the work funded by the award, along with associated files and any documentation necessary for future efforts by others to reproduce the project's findings and/or to extend the scientific value of the data set through secondary analysis. For more information, see "Program Narrative" in [Section D. Application and Submission Information](#).

The Goals, Objectives, Deliverables, and Expected Scholarly Products are directly related to the performance measures set out in the table immediately below.

## Performance Measures

Objective	Catalog ID #	Performance Measure(s)	Description	Data Recipient Provides
To advance knowledge building and innovation in both policy and practice through the conduct of purposeful research and evaluation efforts in areas of juvenile justice and delinquency prevention.	53	Percentage of deliverables completed on time that meet OJJDP's expectations.	Percentage of deliverables completed on time that meet OJJDP's expectations for depth, breadth, scope, and quality of study, and utility for advancing policy and practice, as determined by OJJDP.	<p>Number of deliverables to be submitted to OJJDP.</p> <p>Number of deliverables completed on time.</p> <p>Number of deliverables that meet OJJDP's expectations for depth, breadth, scope, and quality of study, and pertinence as outlined in the solicitation.</p>

### Equitable Access to OJJDP-funded Programs

OJJDP promotes an unbiased juvenile justice system in which all youth are treated fairly and have equal access to the services and programs they need. Research indicates that failure to provide equitable treatment may perpetuate and exacerbate a cycle of arrest and incarceration that disproportionately impacts vulnerable youth. OJJDP may give priority consideration to applications that document the applicant's capacity to serve all vulnerable youth. This includes applicants' capacity to serve youth without regard to their race, color, national origin, religion, disability, sex, sexual orientation, gender identity, or gender expression. Such capacity may be documented by articulating a plan for meeting the needs of all youth or by demonstrating a record of such service. Applicants should also review the OJP Standard Assurances for information about the applicable nondiscrimination provisions.

### Evaluation Research

If an application includes an evaluation research component (or consists entirely of evaluation research), the application is expected to propose the most rigorous evaluation design appropriate for the research questions to be addressed. If the primary purpose of the evaluation is to determine the effectiveness or impact of an intervention (e.g., program, practice, or policy), the most rigorous evaluation designs may include random selection and assignment of participants (or other appropriate units of analysis) to experimental and control conditions. In cases where randomization is not feasible, applicants should propose a strong quasi-experimental design that can address the risk of selection bias. Applications that propose meta-analysis of existing evaluation studies must establish clear inclusion criteria that favor and provide separate analysis of effect sizes for randomized and strong quasi-experimental studies.

Applicants are encouraged to review evidence rating criteria on the CrimeSolutions.gov website for further information on high-quality evaluation design elements.<sup>6</sup>

Applications that include evaluation research should consider the feasibility of including cost/benefit analysis. In cases where evaluations find that interventions have produced the intended benefit, cost/benefit analysis provides valuable and practical information for practitioners and policymakers that aids decisionmaking.

Evaluation research projects may address a wide range of research questions beyond those focused on the effectiveness or impact of an intervention. Different research designs may be more appropriate for different research questions and at different stages of program development. The intervention strategies, setting, other contextual factors, and resources should be taken into account when selecting an evaluation design. In all cases, applications are expected to propose the most rigorous evaluation design appropriate for the research questions to be addressed.

## **B. Federal Award Information**

This solicitation has two categories. OJJDP expects to make one or more award(s) under Category 1 and two or more awards under Category 2.

- Under Category 1, grant award for as much as \$750,000 for a total period of performance as long as 5 years.
- Under Category 2, grant award for as much as \$125,000 for a total period of performance as long as 3 years.

For planning purposes, the anticipated start date for awards is October 1, 2017.

While applicants may submit more than one unique application under this solicitation, they may not submit the same application under both categories. Applicants must clearly indicate under which category they are applying in the project abstract.

All awards are subject to the availability of appropriated funds, and to any modifications or additional requirements that may be imposed by law.

### **Type of Award**

OJJDP expects that any award under this solicitation will be in the form of a grant. See [Administrative, National Policy, and Other Legal Requirements](#), under [Section F. Federal Award Administration Information](#), for a brief discussion of important statutes, regulations, and award conditions that apply to many (or in some cases, all) OJP grants.

**Note:** Any recipient of an award under this solicitation will be required to comply with DOJ regulations on confidentiality and protection of human subjects. See “Requirements Related to

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<sup>6</sup> See [https://www.crimesolutions.gov/about\\_starttofinish.aspx](https://www.crimesolutions.gov/about_starttofinish.aspx)

Research” under “[Overview of Legal Requirements Generally Applicable to OJP Grants and Cooperative Agreements](#)” in the [OJP Funding Resource Center](#).

### **Financial Management and System of Internal Controls**

Award recipients and subrecipients (including recipients or subrecipients that are pass-through entities<sup>7</sup>) must, as described in the Part 200 Uniform Requirements<sup>8</sup> as set out at 2 C.F.R. 200.303:

- (a) Establish and maintain effective internal control over the Federal award that provides reasonable assurance that [the recipient (and any subrecipient)] is managing the Federal award in compliance with Federal statutes, regulations, and the terms and conditions of the Federal award. These internal controls should be in compliance with guidance in “Standards for Internal Control in the Federal Government” issued by the Comptroller General of the United States and the “Internal Control Integrated Framework”, issued by the Committee of Sponsoring Organizations of the Treadway Commission (COSO).
- (b) Comply with Federal statutes, regulations, and the terms and conditions of the Federal awards.
- (c) Evaluate and monitor [the recipient’s (and any subrecipient’s)] compliance with statutes, regulations and the terms and conditions of Federal awards.
- (d) Take prompt action when instances of noncompliance are identified including noncompliance identified in audit findings.
- (e) Take reasonable measures to safeguard protected personally identifiable information and other information the Federal awarding agency or pass-through entity designates as sensitive or [the recipient (or any subrecipient)] considers sensitive consistent with applicable Federal, state, local, and tribal laws regarding privacy and obligations of confidentiality.

To help ensure that applicants understand applicable administrative requirements and cost principles, OJP encourages prospective applicants to enroll, at no charge, in the DOJ Grants Financial Management Online Training, available [here](#).

### **Budget Information**

This solicitation is limited to providing support for costs directly related to the conduct of the research and/or evaluation.

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<sup>7</sup> For purposes of this solicitation, the phrase “pass-through entity” includes any recipient or subrecipient that provides a subaward (“subgrant”) to carry out part of the funded award or program.

<sup>8</sup> The “Part 200 Uniform Requirements” means the DOJ regulation at 2 C.F.R Part 2800, which adopts (with certain modifications) the provisions of 2 C.F.R. Part 200.

### What will not be funded:

- Applications primarily to purchase equipment, materials, or supplies. (A budget may include these items if they are necessary to conduct research, development, demonstration, evaluation, or analysis.)
- Applications that include funding for direct delivery or services
- Applications that are not responsive to this specific solicitation.
- Applications, pursuant to the Juvenile Justice and Delinquency Prevention Act, may not use OJJDP funds for any biomedical or behavior control experimentation on individuals or any research involving such experimentation.

### **Cost Sharing or Match Requirement**

This solicitation does not require a match. However, if a successful application proposes a voluntary match amount and OJP approves the budget, the total match amount incorporated into the approved budget becomes mandatory and subject to audit.

### **Preagreement Costs (also known as Preaward Costs)**

Preagreement costs are costs incurred by the applicant prior to the start date of the period of performance of the federal award.

OJP does **not** typically approve preagreement costs; an applicant must request and obtain the prior written approval of OJP for all such costs. All such costs incurred prior to award and prior to approval of the costs are incurred at the sole risk of the applicant. (Generally, no applicant should incur project costs *before* submitting an application requesting federal funding for those costs.) Should there be extenuating circumstances that make it appropriate for OJP to consider approving preagreement costs, the applicant may contact the point of contact listed on the title page of this solicitation for the requirements concerning written requests for approval. If approved in advance by OJP, award funds may be used for preagreement 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.

### **Limitation on Use of Award Funds for Employee Compensation; Waiver**

With respect to any award of more than \$250,000 made under this solicitation, a recipient may not use federal funds to pay total cash compensation (salary plus cash bonuses) to any employee of the recipient at a rate that exceeds 110 percent of the maximum annual salary payable to a member of the Federal Government's Senior Executive Service (SES) at an agency with a Certified SES Performance Appraisal System for that year.<sup>9</sup> The 2016 salary table for SES employees is available at the Office of Personnel Management [website](#). Note: A recipient may compensate an employee at a greater rate, provided the amount in excess of this

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<sup>9</sup> OJP does not apply this limitation on the use of award funds to the nonprofit organizations listed in Appendix VIII to 2 C.F.R. Part 200.

compensation limitation is paid with nonfederal funds. (Nonfederal funds used for any such additional compensation will not be considered matching funds, where match requirements apply.) If only a portion of an employee's time is charged to an OJP award, the maximum allowable compensation is equal to the percentage of time worked times the maximum salary limitation.

The OJJDP Administrator may exercise discretion to waive, on an individual basis, this limitation on compensation rates allowable under an award. An applicant that requests a waiver should include a detailed justification in the budget narrative of its application. An applicant that does not submit a waiver request and justification with its application should anticipate that OJP will require the applicant to adjust and resubmit the budget.

The justification should address—in the context of the work the individual would do under the award—the particular qualifications and expertise of the individual, the uniqueness of a service the individual will provide, the individual's specific knowledge of the proposed program or project, and a statement that explains whether and how the individual's salary under the award would be commensurate with the regular and customary rate for an individual with his or her qualifications and expertise, and for the work he or she would do under the award.

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

OJP strongly encourages every applicant that proposes to use award funds for any conference-, meeting-, or training-related activity (or similar event) to review carefully—before submitting an application—the OJP policy and guidance on approval, planning, and reporting of such events, available at [www.ojp.gov/financialguide/DOJ/PostawardRequirements/chapter3.10a.htm](http://www.ojp.gov/financialguide/DOJ/PostawardRequirements/chapter3.10a.htm). OJP policy and guidance (1) encourage minimization of conference, meeting, and training costs; (2) require prior written approval (which may affect project timelines) of most conference, meeting, and training costs for cooperative agreement recipients and of some conference, meeting, and training costs for grant recipients; and (3) set cost limits, which include a general prohibition of all food and beverage costs.

### **Costs Associated With Language Assistance (if applicable)**

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

For additional information, see the "Civil Rights Compliance" section under "[Overview of Legal Requirements Generally Applicable to OJP Grants and Cooperative Agreements](#)" in the [OJP Funding Resource Center](#).

## **C. Eligibility Information**

For eligibility information, see the title page.

For information on cost sharing or match requirements, see [Section B. Federal Award Information](#).

## D. Application and Submission Information

### What an Application Should Include

This section describes in detail what an application should include. An applicant should anticipate that 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 award conditions that preclude the recipient from accessing or using award funds until the recipient satisfies the conditions and OJP makes the funds available.

Moreover, an applicant should anticipate that an application that OJP determines is nonresponsive to the scope of the solicitation, or that OJP determines does not include the application elements that OJJDP has designated to be critical, will neither proceed to peer review nor receive further consideration. For this solicitation, OJJDP has designated the following application elements as critical: Program Narrative, Budget Detail Worksheet or Budget Narrative, and résumés/curriculum vitae of key personnel. (For purposes of this solicitation, "key personnel" means the principal investigator and any and all coprincipal investigators.) An applicant may combine the Budget Narrative and the Budget Detail Worksheet in one document. However, if an applicant submits only one budget document, it must contain both narrative and detail information. Review the "Note on File Names and File Types" under [How To Apply](#) to be sure applications are submitted in permitted formats.

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

#### 1. Information To Complete the Application for Federal Assistance (SF-424)

The SF-424 is a required standard form used as a cover sheet for submission of preapplications, applications, and related information. Grants.gov and OJP's Grants Management System (GMS) take information from the applicant's profile to populate the fields on this form. When selecting "type of applicant," if the applicant is a for-profit entity, select "For-Profit Organization" or "Small Business" (as applicable).

To avoid processing delays, applicants must include an accurate legal name on their SF-424. Current OJP award recipients, when completing the field for "Legal Name," should use the same legal name that appears on the prior year award document which is also the legal name stored in OJP's financial system. On the SF-424, enter the legal name in box 5 and Employer Identification Number (EIN) in box 6 exactly as it appears on the prior year award document. Applicants with current awards must ensure that their GMS profile is current. If it is not current, they should submit a Grant Adjustment Notice (GAN) updating the information on their GMS profile prior to applying under this solicitation.

New applicants should enter the official legal name and address of the applicant entity in box 5 and the EIN in box 6 of the SF-424. Applicants must attach official legal documents to their applications (e.g., articles of incorporation, 501(c)(3), etc.) to confirm the legal name,

address, and EIN entered into the SF-424.

**Intergovernmental Review:** This solicitation ("funding opportunity") **is not** subject to [Executive Order 12372](#). (In completing the SF-424, an applicant must answer question 19 by selecting the response that the "Program is not covered by E.O. 12372.")

## 2. Project Abstract

The project abstract is a very important part of the application, and serves as an introduction to the proposed project. OJJDP uses the project abstract for a number of purposes, including assignment of the application to an appropriate review panel. If the application is funded, the project abstract typically will become public information and be used to describe the project.

Applications should include a high-quality project abstract that summarizes the proposed project in 250–400 words. Project abstracts should be—

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

The abstract should describe—

- The purpose of the project, the category the applicant is applying under, the problem to be investigated, and the anticipated relevance to juvenile justice and delinquency prevention policy, practice, and theory.
- The proposed approach to conducting statistical analyses and disseminating juvenile justice data to the public and address each of the key activities identified in the "Goals, Objectives, Deliverables, and Expected Scholarly Products" section on pages 8–9.
- The expected key deliverables, identified in the "Goals, Objectives, Deliverables, and Expected Scholarly Products" section on pages 8–9.
- Key partners involved in conducting the research and/or collaborating with jurisdiction(s)/service provider(s).

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

Project abstracts should follow the detailed template (including the detailed instructions as to content) available at <http://ojp.gov/funding/Apply/Resources/ProjectAbstractTemplate.pdf>.

**Permission To Share Project Abstract With the Public:** It is unlikely that OJP will be able to fund all applications submitted under this solicitation, but it may have the opportunity to share information with the public regarding unfunded applications, for example, through a



listing on a webpage available to the public. The intent of this public posting would be to allow other possible funders to become aware of such applications.

In the project abstract template, each applicant is asked to indicate whether it gives OJP permission to share the applicant's project abstract (including contact information for individuals) with the public. Granting (or failing to grant) this permission will not affect OJP's funding decisions. Moreover, if the application is not funded, providing permission will not ensure that OJP will share the abstract information, nor will it assure funding from any other source.

**Note:** OJP may choose not to list a project that otherwise would have been included in a listing of unfunded applications, should the abstract fail to meet the format and content requirements noted above and outlined in the project abstract template.

### 3. Program Narrative

Applicants must submit a program narrative that presents a detailed description of the purpose, goals, objectives, strategies, design, and management of the proposed program. The program narrative should be double-spaced with 1-inch margins, not exceeding 30 pages of 8½ by 11 inches, and use a standard 12-point font, preferably Times New Roman. Pages should be numbered "1 of 30," etc. If included in the main body of the program narrative, tables, charts, figures, and other illustrations count toward the 30-page limit for the narrative section. The tables, charts, figures, pictures, etc., including all captions, legends, keys, subtext, etc., may be single-spaced. The project abstract, table of contents, appendices, attachments (including bibliographical references), budget and budget narrative, and government forms do not count toward the 30-page limit. If the program narrative fails to comply with these length-related restrictions, OJJDP may consider such noncompliance in peer review and in final award decisions.

The program narrative should address the following selection criteria: (1) statement of the problem; (2) goals, objectives, and performance measures; (3) program design and implementation; and (4) capabilities/competencies. The applicant should clearly delineate the connections between and among each of these sections. For example, the applicant should derive the goals and objectives directly from the problems to be addressed. Similarly, the project design section should clearly explain how the program's structure and activities will accomplish the goals and objectives identified in the previous section.

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

#### Program Narrative Guidelines:

##### **a. Title Page** (not counted against the 30-page program narrative limit).

The title page should include the title of the project, submission date, funding opportunity number, and the name and complete contact information (i.e., address, telephone number, and email address) for both the applicant and the principal investigator.

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

If an applicant is resubmitting an application presented previously to OJJDP, but not funded, the applicant should indicate this. A statement should be provided, no more than two pages, addressing: (1) the title, submission date, and OJJDP-assigned application number of the previous application, and (2) a brief summary of revisions to the application, including responses to previous feedback received from OJJDP.

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

**d. Main Body**

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

- **Statement of the Problem and Research Questions.** The statement of the problem should address the challenges in this area. This includes the challenges in presenting findings that are inconsistent with widely held beliefs and practices. Applicants should also discuss current gaps in the data, including for particular justice sectors, for certain populations, and to answer questions relevant to current policy and practice needs and public interest. As part of this discussion, applicants should address any anticipated problems associated with carrying out the activities under this program and should propose potential solutions.
- **Project Design and Implementation.** Applicants should provide a detailed description of the strategy to implement this research project and address key research questions. Design elements should follow directly from the research project's goal and objectives noted on page 8, and the data to be collected should clearly support these ends. Applicants should describe the research methodology in detail and demonstrate the validity and usefulness of the data they will collect. Applicants should consider the rigor and soundness of the methodology and analytical and technical approaches for the proposed evaluation and address the feasibility of the proposed project and potential challenges.

Applicants should address the major activities of their proposed research and how they will implement them. Components should include the following, as applicable:

- Linkage, coordination, and collaboration with program partners and sites, including discussion of access to necessary data and subjects. Clear identification of how access would be secured, particularly if research

design entails securing the approval of agency and tribal institutional review boards.

- Methodology that clearly identifies the hypotheses to be tested and how the methodology will maximize the applicant's ability to test the hypotheses, with use of an appropriately rigorous design.
- Recruitment and retention of research subjects, including justification of the adequacy of the sample size and anticipated challenges, such as attrition and nonrespondent bias, and how the applicant will address them.
- Description of quantitative and qualitative data collection and analysis methods and the tools to be used, addressing the applicant's expertise in these techniques under "Capabilities/Competencies."
- Discussion of the design/use of culturally, developmentally, and gender-appropriate tools that are both reliable and valid measures of key variables.
- Discussion of how the applicant will provide research sites with the training and support to collect the data that the research/evaluation design requires.
- Other anticipated limitations and barriers in the research approach.
- Procedures for collecting, managing, storing, and transmitting data and identifying software and data verification procedures and procedures to remove identifying information from data prior to submission to OJJDP for transfer to NACJD.
- Logic model linking research questions, data elements, data sources, data collection strategies, and analytical techniques (see "Logic Model," below).
- **Timeline.** Applicants should submit a realistic timeline or milestone chart that indicates major tasks associated with the goals and objectives of the project, assigns responsibility for each, and plots completion of each task by month or quarter for the duration of the award, using "Year 1," "Month 1," "Quarter 1," etc., not calendar dates (see "Sample Project Timelines" at [www.ojjdp.gov/grantees/timelines.html](http://www.ojjdp.gov/grantees/timelines.html)).

Applicants should submit the timeline as a separate attachment, as stipulated in "Appendixes" on page 22.

- **Potential Impact.** Applicants should describe the potential impact of the research and how it may inform or improve juvenile justice-related policy,

practice, and theory in the United States. This includes a description of plans to disseminate to broader audiences as well as a description of:

- How the proposed approach will assist OJJDP, juvenile justice practitioners, and delinquency prevention service providers in building evidence that has substantial implications for policy and practice.
- How the proposed research would produce findings that are generalizable for additional jurisdictions/sites and, in the case of program evaluations, are suitable for possible replication or adaptation of program approaches found to be effective.
- How applicants will complete the deliverables stated in the Goals, Objectives, Deliverables, and Expected Scholarly Products section on page 8, with specification of planned products. Applicants should delineate how findings would be effectively disseminated to the target audience, including who would be included in the target audience.
- **Capabilities/Competencies.** This section should describe the experience and capability of the applicant organization and any contractors or subgrantees that the applicant will use to implement and manage this effort and its associated federal funding, highlighting any previous experience implementing projects of similar scope, design, and magnitude. Applicants should address:
  - Experience and capacity to work with the proposed data sources in the conduct of a similar research/evaluation effort.
  - Experience and capacity to design and implement rigorous research, conduct data analysis, and produce meaningful products with translation of research findings for policy and practice applications.
  - Experience and capacity to complete rigorous data analysis and broad dissemination efforts for projects of similar scope and size.
  - Experience and capacity to develop innovative strategies to enhance public accessibility and utility of complex data sets and related analyses.
  - Expertise in the field of juvenile justice and delinquency prevention.

Applicants are encouraged to subaward with organizations or individuals that have complementary skills and experiences for completing a project of this scope and size, particularly under Category 1. Such applicants should highlight their experience, capability, and capacity to manage subawards, including details on their system for fiscal accountability. Management and staffing patterns should be clearly connected to the project design described in the previous section.

Applicants should describe the roles and responsibilities of project staff and explain the program's organizational structure and operations. Applicants should include a copy of an organizational chart showing how the organization operates, including who manages the finances; how the organization manages subawards, if there are any; and the management of the project proposed for funding.

**Letters of Support/Memoranda of Understanding.** If submitting a joint application, as described under Eligibility, page 1, applicants should provide signed and dated letters of support or memoranda of understanding for all key partners that include the following:

- Expression of support for the program and a statement of willingness to participate and collaborate with it.
- Description of the partner's current role and responsibilities in the planning process and expected responsibilities when the program is operational.
- Estimate of the percentage of time that the partner will devote to the planning and operation of the project.
- Commitment to and description of data access and data sharing.

Letters of support may be addressed to the OJJDP Administrator. Only letters of support that are submitted by the due date and with the full application will be considered during the review process.

Within these sections, the narrative should address:

- Purpose, goals, and objectives.
- Review of relevant literature.
- Detailed description of research design and methods, such as research questions, hypotheses, description of sample, and analysis plan.
- The deliverables, including planned scholarly products (see [Goals, Objectives, Deliverables, and Expected Scholarly Products](#) under [Program-Specific Information](#) for a discussion of expected scholarly products.)
- Implications for juvenile justice policy and practice in the United States.
- Management plan and organization.

- Plan for dissemination to broader audiences (if applicable to the proposed project). Applicants should identify plans (if any) to produce or to make available to broader interested audiences—such as criminal/juvenile justice practitioners or policymakers—summary information from the planned scholarly products of the proposed project (such as summaries of articles in peer-reviewed scientific journals), in a form designed to be readily accessible and useful to those audiences. (Such dissemination might include, for example, trade press articles and webinars.)

**e. Appendixes** (Not counted against the 30-page program narrative limit) include:

- Bibliography/references.
- Any tools/instruments, questionnaires, tables/charts/graphs, or maps pertaining to the proposed project that are supplemental to such items included in the main body of the narrative.
- Curriculum vitae or résumés of the principal investigator and any and all coprincipal investigators. In addition, curriculum vitae, résumés, or biographical sketches of all other individuals (regardless of “investigator” status) who will be significantly involved in substantive aspects of the proposed project (including, for example, individuals such as statisticians used to conduct proposed data analysis).
- To assist OJP in assessing actual or apparent conflicts of interest (including such conflicts on the part of prospective reviewers of the application, a complete list of the individuals named or otherwise identified anywhere in the application (including in the budget or in any other attachment) who will or may work (or advise or consult) on the proposed research, development, or evaluation project. This applies to all such individuals, including, for example, individuals who are or would be employees of the applicant or employees of any proposed subrecipient entity, any individuals who themselves may be a subrecipient, and individuals who may (or will) work without compensation (such as advisory board members). This appendix to the program narrative must include, for each listed individual: name, title, employer, any other potentially pertinent organizational affiliation(s), and the individual's proposed roles and responsibilities in carrying out the proposed project. If the application identifies any specific entities or organizations (other than the applicant) that will or may work (or advise or consult) on the proposed project, without also naming any associated individuals, the name of each such organization also should be included on this list.

If the application (including the budget) identifies any proposed noncompetitive agreements that are or may be considered procurement "contracts" (rather than subawards) for purposes of federal grants administrative requirements, the applicant also must list the entities with which the applicant proposes to contract. Applicants should provide this list

as a separate sheet titled, "Proposed Noncompetitive Procurement Contracts."

For information on distinctions—for purposes of federal grants administrative requirements—between subawards and procurement contracts under awards, see "Budget and Associated Documentation," below.

- Proposed project timeline and expected milestones.
- A list of any previous and current OJJDP awards to the applicant and investigator(s), including the OJJDP-assigned award numbers and a brief description of any scholarly products that resulted in whole or in part from work funded under the OJJDP award(s). (See "Goals, Objectives, Deliverables, and Expected Scholarly Products" under "Program-Specific Information," above, for definition of "scholarly products.")
- Letters of cooperation/support or administrative agreements from organizations collaborating in the project, such as law enforcement and correctional agencies (if applicable)
- List of other agencies, organizations, or funding sources to which this application has been submitted (if applicable)
- Data archiving plan. Applicants should anticipate that OJJDP will require (through special award conditions) that data sets resulting in whole or in part from projects funded under this solicitation be submitted for archiving with NACJD (see <https://www.icpsr.umich.edu/icpsrweb/content/NACJD/archiving/deposit-ojjdp-data.html>)

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

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

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

#### **4. Budget and Associated Documentation**

Applicants should provide a budget that (1) is complete, allowable, and cost effective in relation to the proposed activities; (2) shows the cost calculations demonstrating how they arrived at the total amount requested; and (3) provides a brief supporting narrative to link costs with project activities. The budget should cover the entire award period.

For questions pertaining to budget and examples of allowable and unallowable costs, see the [DOJ Grants Financial Guide](#).

##### **a. Budget Detail Worksheet**

A sample Budget Detail Worksheet can be found at [www.ojp.gov/funding/Apply/Resources/BudgetDetailWorksheet.pdf](http://www.ojp.gov/funding/Apply/Resources/BudgetDetailWorksheet.pdf). An applicant that submits its budget in a different format should use the budget categories listed in the sample budget worksheet. (An applicant should include in the budget work associated with satisfying data archiving requirements.) OJJDP expects applicants to provide a thorough narrative for each section of the Budget Detail Worksheet. The Budget Detail Worksheet should break out costs by year.

##### **b. Budget Narrative**

The budget narrative should thoroughly and clearly describe every category of expense listed in the Budget Detail Worksheet. OJP expects proposed budgets to be complete, cost effective, and allowable (e.g., reasonable, allocable, and necessary for project activities).

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

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



**c. Information on Proposed Subawards (if any), as well as on Proposed Procurement Contracts (if any)**

Applicants for OJP awards typically may propose to make subawards. Applicants also may propose to enter into procurement contracts under the award.

Whether—for purposes of federal grants administrative requirements—a particular agreement between a recipient and a third party will be considered a subaward or instead considered a procurement contract under the award is determined by federal rules and applicable OJP guidance. It is an important distinction, in part because the federal administrative rules and requirements that apply to subawards and procurement contracts under awards differ markedly.

In general, the central question is the relationship between what the third party will do under its agreement with the recipient and what the recipient has committed (to OJP) to do under its award to further a public purpose (e.g., services the recipient will provide, products it will develop or modify, research or evaluation it will conduct). If a third party will provide some of the services the recipient has committed (to OJP) to provide, will develop or modify all or part of a product the recipient has committed (to OJP) to develop or modify, or will conduct part of the research or evaluation the recipient has committed (to OJP) to conduct, OJP will consider the agreement with the third party a subaward for purposes of federal grants administrative requirements.

This will be true **even if** the recipient, for internal or other nonfederal purposes, labels or treats its agreement as a procurement, a contract, or a procurement contract. Neither the title nor the structure of an agreement determines whether the agreement—for purposes of federal grants administrative requirements—is a subaward or is instead a procurement contract under an award.

Additional guidance on the circumstances under which (for purposes of federal grants administrative requirements) an agreement constitutes a subaward as opposed to a procurement contract under an award, is available (along with other resources) on the [OJP Part 200 Uniform Requirements](#) webpage.

**1. Information on proposed subawards**

A recipient of an OJP award may not make subawards ("subgrants") unless the recipient has specific federal authorization to do so. Unless an applicable statute or DOJ regulation specifically authorizes (or requires) subawards, a recipient must have authorization from OJP before it may make a subaward.

A particular subaward may be authorized by OJP because the recipient included a sufficiently detailed description and justification of the proposed subaward in the application as approved by OJP. If, however, a particular subaward is not authorized by federal statute or regulation, and is not sufficiently described and justified in the application as approved by OJP, the recipient will be required, postaward, to request and obtain written authorization from OJP before it may make the subaward.

If an applicant proposes to make one or more subawards to carry out the federal award and program, the applicant should (1) identify (if known) the proposed subrecipient(s), (2) describe in detail what each subrecipient will do to carry out the federal award and federal program, and (3) provide a justification for the subaward(s), with details on pertinent matters such as special qualifications and areas of expertise. Pertinent information on subawards should appear not only in the Program Narrative, but also in the Budget Detail Worksheet and Budget Narrative.

## **2. Information on proposed procurement contracts (with specific justification for proposed noncompetitive contracts over \$150,000)**

Unlike a recipient contemplating a subaward, a recipient of an OJP award generally does not need specific prior federal authorization to enter into an agreement that—for purposes of federal grants administrative requirements—is considered a procurement contract, **provided that** (1) the recipient uses its own documented procurement procedures and (2) those procedures conform to applicable federal law, including the Procurement Standards of the (DOJ) Part 200 Uniform Requirements (as set out at 2 C.F.R. 200.317 - 200.326). The Budget Detail Worksheet and Budget Narrative should identify proposed procurement contracts. (As discussed above, subawards must be identified and described separately from procurement contracts.)

The Procurement Standards in the Part 200 Uniform Requirements, however, reflect a general expectation that agreements that (for purposes of federal grants administrative requirements) constitute procurement “contracts” under awards will be entered into on the basis of full and open competition. If a proposed procurement contract would exceed the simplified acquisition threshold—currently, \$150,000—a recipient of an OJP award may not proceed without competition unless and until the recipient receives specific advance authorization from OJP to use a noncompetitive approach for the procurement.

An applicant that (at the time of its application) intends—without competition—to enter into a procurement contract that would exceed \$150,000 should include a detailed justification that explains to OJP why, in the particular circumstances, it is appropriate to proceed without competition. Various considerations that may be pertinent to the justification are outlined in the [DOJ Grants Financial Guide](#).

### **d. Preagreement Costs**

For information on preagreement costs, see [Section B. Federal Award Information](#).

## **5. Indirect Cost Rate Agreement (if applicable)**

Indirect costs may be charged to an award only if:

- (a) The recipient has a current (i.e., unexpired), federally approved indirect cost rate; or
- (b) The recipient is eligible to use, and elects to use, the *de minimis* indirect cost rate described in the Part 200 Uniform Requirements, as set out at 2 C.F.R. 200.414(f).

An applicant with a current (that is, unexpired) federally approved indirect cost rate must attach a copy of the indirect cost rate agreement to the application. An applicant that does not have a current federally approved rate may request one through its cognizant federal agency, which will review all documentation and approve a rate for the applicant entity, or, if the applicant's accounting system permits, applicants may propose to allocate costs in the direct cost categories.

For assistance with identifying the appropriate cognizant federal agency for indirect costs, contact the Customer Service Center at 800-458-0786 or at [ask.ocfo@usdoj.gov](mailto:ask.ocfo@usdoj.gov). If DOJ is the cognizant federal agency, an applicant may obtain information needed to submit an indirect cost rate proposal at [www.ojp.gov/funding/Apply/Resources/IndirectCosts.pdf](http://www.ojp.gov/funding/Apply/Resources/IndirectCosts.pdf).

Certain OJP recipients have the option of electing to use the *de minimis* indirect cost rate. An applicant eligible to use the *de minimis* rate and that wishes to use the *de minimis* rate should attach written documentation to the application that advises OJP of both (1) the applicant's eligibility to use the *de minimis* rate and (2) the applicant's election to do so. If an eligible applicant elects the *de minimis* rate, costs must be consistently charged as either *indirect or direct costs, but may not be double charged or inconsistently charged as both*. The *de minimis* rate may no longer be used once an approved federally negotiated indirect cost rate is in place. (No entity that ever has had a federally approved negotiated indirect cost rate is eligible to use the *de minimis* rate.)

## **6. Tribal Authorizing Resolution (if applicable)**

A tribe, tribal organization, or third party that proposes to conduct research and/or evaluation on tribal lands should include in its application a resolution, letter, affidavit, or other documentation, as appropriate, that demonstrates (as a legal matter) that the applicant has the requisite authorization from the tribe(s) to implement the proposed project on tribal lands. In those instances when an organization or consortium of tribes applies for an award on behalf of a tribe or multiple specific tribes, the application should include appropriate legal documentation, as described above, from all tribes that would receive services or assistance under the award. A consortium of tribes for which existing consortium bylaws allow action without support from all tribes in the consortium (i.e., without an authorizing resolution or comparable legal documentation from each tribal governing body) may submit, instead, a copy of its consortium bylaws with the application.

## **7. Financial Management and System of Internal Controls Questionnaire (including applicant disclosure of high-risk status)**

**Every** applicant (other than an individual applying in his or her personal capacity) must download, complete, and submit the [OJP Financial Management and System of Internal Controls Questionnaire](#) as part of its application.

Among other things, the form requires each applicant to disclose whether it currently is designated "high risk" by a federal grant-making agency outside of DOJ. For purposes of this disclosure, high risk includes any status under which a federal awarding agency provides additional oversight due to the applicant's past performance, or other programmatic or financial concerns with the applicant. If an applicant is designated high risk by another federal awarding agency, the applicant must provide the following information:

- The federal awarding agency that currently designates the applicant high risk.
- The date the applicant was designated high risk.
- The high-risk point of contact at that federal awarding agency (name, phone number, and email address).
- The reasons for the high-risk status, as set out by the federal awarding agency.

OJP seeks this information to help ensure appropriate federal oversight of OJP awards. An applicant that is considered “high risk” by another federal awarding agency is not automatically disqualified from receiving an OJP award. OJP may, however, consider the information in award decisions, and may impose additional OJP oversight of any award under this solicitation (including through the conditions that accompany the award document).

## 8. Disclosure of Lobbying Activities

Each applicant must complete and submit this information. An applicant that expends any funds for lobbying activities must provide all of the information requested on the form [Disclosure of Lobbying Activities \(SF-LLL\)](#). An applicant that does not expend any funds for lobbying activities must enter “N/A” in the text boxes for item 10 (“a. Name and Address of Lobbying Registrant” and “b. Individuals Performing Services”).

## 9. Additional Attachments

### a. Applicant disclosure of pending applications<sup>10</sup>

Each applicant is to disclose whether it has (or is proposed as a subrecipient under) any pending applications for federally funded grants or cooperative agreements that (1) include requests for funding to support the same project being proposed in the application under this solicitation and (2) would cover the identical cost items outlined in the budget submitted to OJP under this solicitation. The applicant is to disclose both applications made directly to federal awarding agencies, and also applications for subawards of federal funds (e.g., applications to state agencies that will subaward (“subgrant”) federal funds).

OJP seeks this information to help avoid 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.

Each applicant that has one or more pending applications as described above is to provide the following information about pending applications submitted within the last 12 months:

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

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<sup>10</sup> Typically, the applicant is **not** the principal investigator. Rather, the applicant, most frequently, is the institution, organization, or company in which the principal investigator is employed.

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

Each applicant should include the table as a separate attachment to its application. The file should be named "Disclosure of Pending Applications." The applicant's legal name on the application must match the entity named on the Disclosure of Pending Applications statement.

Any applicant that does not have any pending applications as described above is to submit, as a separate attachment, a statement to this effect: "[Applicant Name on SF-424] does not have (and is not proposed as a subrecipient under) any pending applications submitted within the last 12 months for federally funded grants or cooperative agreements (or for subawards under federal grants or cooperative agreements) that request funding to support the same project being proposed in this application to OJP and that would cover the identical cost items outlined in the budget submitted as part of this application."

**b. Human Subjects and Privacy Certificate**

Applicants may, but are not required to, submit Institutional Review Board (IRB) and Privacy Certificate paperwork at the time of application. Applicants selected for an award will be required to submit all appropriate IRB and privacy documents prior to spending OJP funds for research-related activities.

DOJ regulations (28 C.F.R. Part 46) protect the human subjects of federally funded research. Part 46 requires that an IRB, in accordance with the regulations, review and approve most research involving human subjects that any federal department or agency conducts or supports before an award recipient may expend federal funds for that research. Persons who participate in federally funded research must provide their informed consent and must be permitted to terminate their participation at any time. Funding recipients, before they will be allowed to spend OJP funds on any research activity involving human subjects, must submit appropriate documentation to OJP showing compliance with 28 C.F.R. Part 46 requirements, as requested by OJP.

DOJ regulations (28 C.F.R. Part 22) require recipients of OJP funding to submit a Privacy Certificate as a condition of approval of any grant application or contract

proposal that contains a research or statistical component under which "information identifiable to a private person" will be collected, analyzed, used, or disclosed. The funding recipient's Privacy Certificate includes a description of its policies and procedures to be followed to protect the confidentiality of identifiable data (28 C.F.R. § 22.23). The Department's regulations provide, among other matters, that: "Research or statistical information identifiable to a private person may be used only for research or statistical purposes" (28 C.F.R. § 22.21). Moreover, any private person from whom information identifiable to a private person is collected or obtained (either orally or by means of written questionnaire or other document) must be advised that the information will only be used or disclosed for research or statistical purposes and that compliance with the request for information is voluntary and may be terminated at any time (28 C.F.R. § 22.27).

For more information see: "[Overview of Legal Requirements Generally Applicable to OJP Grants and Cooperative Agreements.](#)"

**c. Research and Evaluation Independence and Integrity**

When an application proposes research (including research and development) and/or evaluation, the applicant must demonstrate research/evaluation independence and integrity, including appropriate safeguards, before it may receive award funds. The applicant must demonstrate independence and integrity regarding both this proposed research and/or evaluation, and any current or prior related projects.

Each application should include an attachment that addresses **both** i. and ii. below.

- i. For purposes of this solicitation, each applicant must document research and evaluation independence and integrity by including one of the following two items:
  - a. A specific assurance that the applicant has reviewed its application to identify any actual or potential apparent conflicts of interest (including through review of pertinent information on the principal investigator, any coprincipal investigators, and any subrecipients), and that the applicant has identified no such conflicts of interest—whether personal or financial or organizational (including on the part of the applicant entity or on the part of staff, investigators, or subrecipients)—that could affect the independence or integrity of the research, including the design, conduct, and reporting of the research.

OR

- b. A specific description of actual or potential apparent conflicts of interest that the applicant has identified—including through review of pertinent information on the principal investigator, any coprincipal investigators, and any subrecipients—that could affect the independence or integrity of the research, including the design, conduct, or reporting of the research. These conflicts may be personal (e.g., on the part of investigators or other staff), financial, or organizational (related to the applicant or any subrecipient entity). Some

examples of potential investigator (or other personal) conflict situations are those in which an investigator would be in a position to evaluate a spouse's work product (actual conflict), or an investigator would be in a position to evaluate the work of a former or current colleague (potential apparent conflict). With regard to potential organizational conflicts of interest, as one example, generally an organization would not be given an award to evaluate a project if that organization had itself provided substantial prior technical assistance to that specific project or a location implementing the project (whether funded by OJP or other sources), because the organization in such an instance might appear to be evaluating the effectiveness of its own prior work. The key is whether a reasonable person understanding all of the facts would be able to have confidence that the results of any research or evaluation project are objective and reliable. Any outside personal or financial interest that casts doubt on that objectivity and reliability of an evaluation or research product is a problem and must be disclosed.

- ii. In addition, for purposes of this solicitation, each applicant must address possible mitigation of research integrity concerns by including, at a minimum, one of the following two items:
  - a. If an applicant reasonably believes that no actual or potential apparent conflicts of interest (personal, financial, or organizational) exist, then the applicant should provide a brief narrative explanation of how and why it reached that conclusion. The applicant must also include an explanation of the specific processes and procedures that the applicant has in place, or will put in place, to identify and prevent (or, at the very least, mitigate) any such conflicts of interest pertinent to the funded project during the period of performance. Documentation that may be helpful in this regard may include organizational codes of ethics/conduct and policies regarding organizational, personal, and financial conflicts of interest. There is no guarantee that the plan, if any, will be accepted as proposed.

OR

- b. If the applicant has identified actual or potential apparent conflicts of interest (personal, financial, or organizational) that could affect the independence and integrity of the research, including the design, conduct, or reporting of the research, the applicant must provide a specific and robust mitigation plan to address each of those conflicts. At a minimum, the applicant is expected to explain the specific processes and procedures that the applicant has in place, or will put in place, to identify and eliminate (or, at the very least, mitigate) any such conflicts of interest pertinent to the funded project during the period of performance. Documentation that may be helpful in this regard may include organizational codes of ethics/conduct and policies regarding organizational, personal, and financial conflicts of interest. There is no guarantee that the plan, if any, will be accepted as proposed.

OJP will assess research and evaluation independence and integrity based on considerations such as the adequacy of the applicant's efforts to identify factors that could affect the objectivity or integrity of the proposed staff and/or the applicant entity (and any subrecipients) in carrying out the research, development, or evaluation activity; and the adequacy of the applicant's existing or proposed remedies to control any such factors.

### **How To Apply**

Applicants must register in, and submit applications through Grants.gov, a primary source to find federal funding opportunities and apply for funding. Find complete instructions on how to register and submit an application at [www.Grants.gov](http://www.Grants.gov). Applicants that experience technical difficulties during this process should call the Grants.gov Customer Support Hotline at **800-518-4726** or **606-545-5035**, which operates 24 hours a day, 7 days a week, except on federal holidays.

Registering with Grants.gov is a one-time process; however, **processing delays may occur, and it can take several weeks** for first-time registrants to receive confirmation of registration and a user password. OJP encourages applicants to **register several weeks before** the application submission deadline. In addition, OJP urges applicants to submit applications at least 72 hours prior to the application due date to allow time for the applicant to receive validation messages or rejection notifications from Grants.gov and to correct in a timely fashion any problems that may have caused a rejection notification.

OJP strongly encourages all prospective applicants to sign up for Grants.gov email [notifications](#) regarding this solicitation. If this solicitation is cancelled or modified, individuals who sign up with Grants.gov for updates will be automatically notified.

**Browser Information:** Grants.gov was built to be compatible with Internet Explorer. For technical assistance with Google Chrome or another browser, contact Grants.gov Customer Support.

**Note on Attachments.** Grants.gov has two categories of files for attachments: "mandatory" and "optional." OJP receives all files attached in both categories. Ensure that all required documents are attached in either Grants.gov category.

**Note on File Names and File Types:** Grants.gov only permits the use of certain specific characters in file names of attachments. Valid file names may include only the characters shown in the table below. Grants.gov rejects any application that includes an attachment(s) with a file name that contains any characters not shown in the table below. Grants.gov forwards successfully submitted applications to the OJP Grants Management System (GMS).



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

**GMS does not accept executable file types as application attachments.** These disallowed file types include, but are not limited to, the following extensions: “.com,” “.bat,” “.exe,” “.vbs,” “.cfg,” “.dat,” “.db,” “.dbf,” “.dll,” “.ini,” “.log,” “.ora,” “.sys,” and “.zip.” GMS may reject applications with files that use these extensions. It is important to allow time to change the type of file(s) if the application is rejected.

All applicants are required to complete the following steps:

Every applicant entity must comply with all applicable System for Award Management (SAM) and unique entity identifier (currently, a Data Universal Numbering System (DUNS) number) requirements. If an applicant entity has not fully complied with applicable SAM and unique identifier requirements by the time OJP makes award decisions, OJP may determine that the applicant is not qualified to receive an award and may use that determination as a basis for making the award to a different applicant.

An individual who wishes to apply in his/her personal capacity should search Grants.gov for funding opportunities for which individuals are eligible to apply. Use the Funding Opportunity Number (FON) to register. (An applicant applying as an individual must comply with all applicable Grants.gov individual registration requirements.)

Complete the registration form at <https://apply07.grants.gov/apply/IndCPRegister> to create a username and password for Grants.gov. (An applicant applying as an individual should complete all steps except 1, 2, and 4.)

- 1. Acquire a unique entity identifier (currently, a DUNS number).** In general, the Office of Management and Budget requires every applicant for a federal award (other than an individual) to include a "unique entity identifier" in each application, including an application for a supplemental award. Currently, a DUNS number is the required unique entity identifier.

A DUNS number is a unique nine-digit identification number provided by the commercial company Dun and Bradstreet. This unique entity identifier is used for tracking purposes, and to validate address and point of contact information for applicants, recipients, and subrecipients. It will be used throughout the life cycle of an OJP award. Obtaining a DUNS number is a free, one-time activity. Call Dun and Bradstreet at 866–705–5711 to obtain a DUNS number or apply online at [www.dnb.com](http://www.dnb.com). A DUNS number is usually received within 1–2 business days.

- 2. Register with SAM.** SAM is the repository for certain standard information about federal financial assistance applicants, recipients, and subrecipients. All applicants for OJP awards (other than individuals) must maintain current registrations in the SAM database. An

applicant must be registered in SAM to successfully register in Grants.gov. Each applicant must **update or renew its SAM registration at least annually** to maintain an active status. SAM registration and renewal can take as long as 10 business days to complete.

An application cannot be successfully submitted in Grants.gov until Grants.gov receives the SAM registration information. Once the SAM registration/renewal is complete, **the information transfer from SAM to Grants.gov can take as long as 48 hours**. OJP recommends that the applicant register or renew registration with SAM as early as possible.

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

3. **Acquire an Authorized Organization Representative (AOR) and a Grants.gov username and password.** Complete the AOR profile on Grants.gov and create a username and password. An applicant entity's "unique entity identifier" (DUNS number) must be used to complete this step. For more information about the registration process for organizations and other entities, go to [www.grants.gov/web/grants/register.html](http://www.grants.gov/web/grants/register.html). Individuals registering with Grants.gov should go to [www.grants.gov/web/grants/applicants/individual-registration.html](http://www.grants.gov/web/grants/applicants/individual-registration.html).
4. **Acquire confirmation for the AOR from the E-Business Point of Contact (E-Biz POC).** The E-Biz POC at the applicant organization must log into Grants.gov to "confirm" the applicant organization's AOR. The E-Biz POC will need the Marketing Partner Identification Number (MPIN) password obtained when registering with SAM to complete this step. Note that an organization can have more than one AOR.
5. **Search for the funding opportunity on Grants.gov.** Use the following identifying information when searching for the funding opportunity on Grants.gov. The Catalog of Federal Domestic Assistance (CFDA) number for this solicitation is 16.540, titled "Juvenile Justice and Delinquency Prevention Allocation to States" and the funding opportunity number is OJJDP-2017-10960.
6. **Select the correct Competition ID.** Some OJP solicitations posted to Grants.gov contain multiple purpose areas, denoted by the individual Competition ID. If applying to a solicitation with multiple Competition IDs, select the appropriate Competition ID for the intended purpose area of the application.

Category 1: Large-scale Research and/or Evaluation. Competition ID: OJJDP-2017-11264.

Category 2: Small Studies and Analyses. Competition ID: OJJDP-2017-11265.

7. **Submit a valid application consistent with this solicitation by following the directions in Grants.gov.** Within 24–48 hours after submitting the electronic application, the applicant should receive two notifications from Grants.gov. The first will confirm the receipt of the application. The second will state whether the application has been validated and successfully submitted, or whether it has been rejected due to errors, with an explanation. It is possible to first receive a message indicating that the application is received, and then receive a rejection notice a few minutes or hours later. Submitting an application well ahead of the deadline provides time to correct the problem(s) that caused the rejection. **Important:**

OJP urges each applicant to submit its application **at least 72 hours prior** to the application due date, to allow time to receive validation messages or rejection notifications from Grants.gov and to correct in a timely fashion any problems that may have caused a rejection notification. Applications must be successfully submitted through Grants.gov by 11:59 p.m. ET on February 6, 2017.

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

**Note: Application Versions**

If an applicant submits multiple versions of the same application, OJP will review only the most recent system-validated version submitted.

**Experiencing Unforeseen Grants.gov Technical Issues**

An applicant that experiences unforeseen Grants.gov technical issues—beyond the applicant’s control—which prevent the applicant from submitting the application by the deadline may contact the [Grants.gov Customer Support Hotline](#) or the [SAM Help Desk](#) (Federal Service Desk) to report the technical issue and receive a tracking number. The applicant may email the Response Center at [grants@ncjrs.gov](mailto:grants@ncjrs.gov) to request approval to submit its application after the deadline. To request a waiver for a late application submission, an applicant must email the Response Center at [grants@ncjrs.gov](mailto:grants@ncjrs.gov) within **24 hours after the application deadline** to request approval to submit the application. The applicant’s email must describe the technical difficulties, and must include a timeline of the applicant’s submission efforts, the complete grant application, the applicant’s DUNS number, and any Grants.gov Help Desk or SAM tracking number(s).

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

The following conditions generally are insufficient to justify late submissions:

- Failure to register in SAM or Grants.gov in sufficient time. (SAM registration and renewal can take as long as 10 business days to complete. The information transfer from SAM to Grants.gov can take up to 48 hours.)
- Failure to follow Grants.gov instructions on how to register and apply as posted on its website.
- Failure to follow each instruction in the OJP solicitation.
- Technical issues with the applicant’s computer or information technology environment, such as issues with firewalls or browser incompatibility.

**Notifications regarding known technical problems with Grants.gov, if any, are posted at the top of the OJP [Funding Resource Center](#) webpage.**

## **E. Application Review Information**

### **Review Criteria**

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

#### **Statement of the Problem** (Understanding of the problem and its importance) – 20%

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

#### **Project Design and Implementation** (Quality and technical merit) – 40%

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

#### **Potential Impact** – 15%

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

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

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

1. Qualifications and experience of proposed project staff (i.e., the principal investigator, any and all coprincipal investigators, and all other individuals (and organizations) identified in the application (regardless of “investigator” status) who will be significantly involved in substantive aspects of the proposed project).
2. Demonstrated ability of the applicant organization to manage the effort.
3. Relationship between the capabilities/competencies of the proposed project staff (including the applicant organization) and the scope of the proposed project.

## **Budget**

In addition, peer reviewers will consider and may comment on the following additional items in the context of scientific and technical merit—

1. Total cost of the project relative to the perceived benefit (cost effectiveness).
2. Appropriateness of the budget relative to the level of effort.
3. Use of existing resources to conserve costs.
4. Alignment of the proposed budget with proposed project activities.

## **Review Process**

OJP is committed to ensuring a fair and open process for making awards. OJJDP reviews the application to make sure that the information presented is reasonable, understandable, measurable, and achievable, as well as consistent with the solicitation.

Peer reviewers will review the applications submitted under this solicitation that meet basic minimum requirements. For purposes of assessing whether an application meets basic minimum requirements and should proceed to further consideration, OJP screens applications for compliance with those requirements. Although specific requirements may vary, the following are common requirements applicable to all solicitations for funding under OJP programs:

- The application must be submitted by an eligible type of applicant.
- The application must request funding within programmatic funding constraints (if applicable).
- The application must be responsive to the scope of the solicitation.
- The application must include all items designated as “critical elements.”
- The applicant must not be identified in SAM as excluded from receiving federal awards.

For a list of the critical elements for this solicitation, see “What an Application Should Include” under [Section D. Application and Submission Information](#).

Peer review panels will evaluate, score, and rate applications that meet basic minimum requirements. OJJDP may use internal peer reviewers, external peer reviewers, or a combination, to assess applications on technical merit using the solicitation’s review criteria. An external peer reviewer is an expert in the subject matter of a given solicitation who is not a current DOJ employee. An internal reviewer is a current DOJ employee who is well-versed or has expertise in the subject matter of this solicitation. Peer reviewers’ ratings and any resulting recommendations are advisory only, although reviewer views are considered carefully. Other important considerations for OJJDP include underserved populations, geographic diversity, strategic priorities, and available funding, as well as the planned scholarly products and the extent to which the budget detail worksheet and budget narrative accurately explain project costs that are reasonable, necessary, and otherwise allowable under federal law and applicable federal cost principles.

Pursuant to the Part 200 Uniform Requirements, before award decisions are made, OJP also reviews information related to the degree of risk posed by applicants. Among other things to help assess whether an applicant that has one or more prior federal awards has a satisfactory record with respect to performance, integrity, and business ethics, OJP checks whether the applicant is listed in SAM as excluded from receiving a federal award. In addition, if OJP anticipates that an award will exceed \$150,000 in federal funds, OJP also must review and consider any information about the applicant that appears in the nonpublic segment of the integrity and performance system accessible through SAM (currently, the Federal Awardee Performance and Integrity Information System; "FAPIS").

**Important note on FAPIS:** An applicant, at its option, may review and comment on any information about itself that currently appears in FAPIS and was entered by a federal awarding agency. OJP will consider any such comments by the applicant, in addition to the other information in FAPIS, in its assessment of the risk posed by applicants.

The evaluation of risks goes beyond information in SAM, however. OJP itself has in place a framework for evaluating risks posed by applicants for competitive awards. OJP takes into account information pertinent to matters such as—

1. Applicant financial stability and fiscal integrity.
2. Quality of the management systems of the applicant, and applicant's ability to meet prescribed management standards, including those outlined in the [DOJ Grants Financial Guide](#).
3. Applicant's history of performance under OJP and other DOJ awards (including scholarly products, and compliance with reporting requirements and award conditions), as well as awards from other federal agencies.
4. Reports and findings from audits of the applicant, including audits under the Part 200 Uniform Requirements.
5. Applicant's ability to comply with statutory and regulatory requirements, and to effectively implement other award requirements.

All final award decisions will be made by the OJJDP Administrator, who may take into account not only peer review ratings and OJJDP recommendations, but also other factors as indicated in this section.

## **F. Federal Award Administration Information**

### **Federal Award Notices**

Award notifications will be made by September 30, 2017. OJP sends award notifications by email through GMS to the individuals listed in the application as the point of contact and the authorizing official (E-Biz POC and AOR). The email notification includes detailed instructions on how to access and view the award documents, and steps to take in GMS to start the award acceptance process. GMS automatically issues the notifications at 9 p.m. ET on the award date.

For each successful applicant, an individual with the necessary authority to bind the applicant will be required to login; execute a set of legal certifications and a set of legal assurances; designate a financial point of contact; thoroughly review the award, including all award

conditions; and sign and accept the award. The award acceptance process requires physical signature of the award document by the authorized representative and the scanning of the fully executed award document to OJP.

### **Administrative, National Policy, and Other Legal Requirements**

If selected for funding, in addition to implementing the funded project consistent with the OJP-approved application, the recipient must comply with all award conditions, as well as all applicable requirements of federal statutes, regulations, and executive orders (including applicable requirements referred to in the assurances and certifications executed in connection with award acceptance). OJP strongly encourages prospective applicants to review information on post-award legal requirements and common OJP award conditions **prior** to submitting an application.

Applicants should consult the "[Overview of Legal Requirements Generally Applicable to OJP Grants and Cooperative Agreements](#)," available in the [OJP Funding Resource Center](#). In addition, applicants should examine the following two legal documents, as each successful applicant must execute both documents before it may receive any award funds.

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

Applicants may view these documents in the Apply section of the [OJP Funding Resource Center](#).

The webpages accessible through the "[Overview of Legal Requirements Generally Applicable to OJP Grants and Cooperative Agreements](#)" are intended to give applicants for OJP awards a general overview of important statutes, regulations, and award conditions that apply to many (or in some cases, all) OJP grants and cooperative agreements awarded in FY 2017. Individual OJP awards typically also will include additional award conditions. Those additional conditions may relate to the particular statute, program, or solicitation under which the award is made; to the substance of the funded application; to the recipient's performance under other federal awards; to the recipient's legal status (e.g., as a for-profit entity); or to other pertinent considerations.

### **General Information About Post-Federal Award Reporting Requirements**

In addition to the deliverables and expected scholarly products described in [Section A. Program Description](#), any recipient of an award under this solicitation will be required to submit the following reports and data.

Required reports. Recipients typically must submit quarterly financial reports, semiannual progress reports, final financial and progress reports, and, if applicable, an annual audit report in accordance with the Part 200 Uniform Requirements or specific award conditions. Applicants should anticipate that progress reports will be required to follow the nonbudgetary components of the Research Performance Progress Report (RPPR) template/format. General information on RPPRs may be found at [www.nsf.gov/bfa/dias/policy/rppr](http://www.nsf.gov/bfa/dias/policy/rppr). Future awards and fund drawdowns

may be withheld if reports are delinquent. (In appropriate cases, OJP may require additional reports.)

Awards that exceed \$500,000 will include an additional condition that, under specific circumstances, will require the recipient to report (to FAPIIS) information on civil, criminal, and administrative proceedings connected with (or connected to the performance of) either the OJP award or any other grant, cooperative agreement, or procurement contract from the federal government. Additional information on this reporting requirement appears in the text of the award condition posted on the OJP website at <http://ojp.gov/funding/FAPIIS.htm>.

Data on performance measures. In addition to required reports, each recipient of an award under this solicitation also must provide data that measure the results of the work done under the award. To demonstrate program progress and success, as well as to assist DOJ with fulfilling its responsibilities under the Government Performance and Results Act of 1993 (GPRA), Public Law 103–62, and the GPRA Modernization Act of 2010, Public Law 111–352, OJP will require any recipient, post award, to provide the data listed as “Data Recipient Provides” in the performance measures table in [Section A. Program Description](#), under “Performance Measures,” so that OJP can calculate values for this solicitation's performance measures.

## **G. Federal Awarding Agency Contact(s)**

For OJP contact(s), see the title page.

For contact information for Grants.gov, see the title page.

## **H. Other Information**

### **Freedom of Information Act and Privacy Act (5 U.S.C. 552 and 5 U.S.C. 552a)**

All applications submitted to OJP (including all attachments to applications) are subject to the federal Freedom of Information Act (FOIA) and to the Privacy Act. By law, DOJ may withhold information that is responsive to a request pursuant to FOIA if DOJ determines that the responsive information either is protected under the Privacy Act or falls within the scope of one of nine statutory exemptions under FOIA. DOJ cannot agree in advance of a request pursuant to FOIA not to release some or all portions of an application.

In its review of records that are responsive to a FOIA request, OJP will withhold information in those records that plainly falls within the scope of the Privacy Act or one of the statutory exemptions under FOIA. (Some examples include certain types of information in budgets, and names and contact information for project staff other than certain key personnel.) In appropriate circumstances, OJP will request the views of the applicant/recipient that submitted a responsive document.

For example, if OJP receives a request pursuant to FOIA for an application submitted by a nonprofit or for-profit organization or an institution of higher education, or for an application that involves research, OJP typically will contact the applicant/recipient that submitted the application and ask it to identify—quite precisely—any particular information in the application



that the applicant/recipient believes falls under a FOIA exemption, the specific exemption it believes applies, and why. After considering the submission by the applicant/recipient, OJP makes an independent assessment regarding withholding information. OJP generally follows a similar process for requests pursuant to FOIA for applications that may contain law-enforcement-sensitive information.

### **Provide Feedback to OJP**

To assist OJP in improving its application and award processes, OJP encourages applicants to provide feedback on this solicitation, the application submission process, and/or the application review process. Provide feedback to [OJPSolicitationFeedback@usdoj.gov](mailto:OJPSolicitationFeedback@usdoj.gov).

**IMPORTANT:** This email is for feedback and suggestions only. OJP does not send replies from this mailbox to messages it receives in this mailbox. Any prospective applicant that has specific questions on any program or technical aspect of the solicitation **must** use the appropriate telephone number or email listed on the front of this solicitation document to obtain information. These contacts are provided to help ensure that prospective applicants can directly reach an individual who can address specific questions in a timely manner.

If you are interested in being a reviewer for other OJP grant applications, email your résumé to [ojppeerreview@lmsolas.com](mailto:ojppeerreview@lmsolas.com). (Do not send your résumé to the OJP Solicitation Feedback email account.) **Note:** Neither you nor anyone else from your organization or entity can be a peer reviewer in a competition in which you or your organization/entity has submitted an application.

## Application Checklist

### OJJDP FY 2017 Field-Initiated Research and Evaluation Program

This application checklist has been created as an aid in developing an application.

#### What an Applicant Should Do:

##### *Prior to Registering in Grants.gov:*

\_\_\_\_\_ Acquire a DUNS Number (see page 33)

\_\_\_\_\_ Acquire or renew registration with SAM (see page 33)

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

\_\_\_\_\_ Acquire AOR and Grants.gov username/password (see page 34)

\_\_\_\_\_ Acquire AOR confirmation from the E-Biz POC (see page 34)

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

\_\_\_\_\_ Search for the funding opportunity on Grants.gov (see page 34)

\_\_\_\_\_ Select the correct Competition ID (see page 34)

\_\_\_\_\_ Download Funding Opportunity and Application Package (see page 34)

\_\_\_\_\_ Sign up for Grants.gov [email](#) notifications (optional) (see page 32)

\_\_\_\_\_ Read [Important Notice: Applying for Grants in Grants.gov](#)

\_\_\_\_\_ Read OJP policy and guidance on conference approval, planning, and reporting available at [ojp.gov/financialguide/DOJ/PostawardRequirements/chapter3.10a.htm](http://ojp.gov/financialguide/DOJ/PostawardRequirements/chapter3.10a.htm) (see page 14)

##### *After Application Submission, Receive Grants.gov Email Notifications That:*

\_\_\_\_\_ (1) Application has been received

\_\_\_\_\_ (2) Application has either been successfully validated or rejected with errors (see page 34)

##### *If no Grants.gov receipt, and validation or error notifications are received:*

\_\_\_\_\_ Contact Grants.gov and/or SAM regarding technical difficulties. Refer to the section: Experiencing Unforeseen Grants.gov Technical Issues (see page 35)

\_\_\_\_\_ Contact the Response Center at [grants@ncjrs.gov](mailto:grants@ncjrs.gov) to request to submit the application after the deadline because of unforeseen technical issues. Refer to the section: Experiencing Unforeseen Grants.gov Technical Issues (see page 35)

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

\_\_\_\_\_ Review the "Overview of Legal Requirements Generally Applicable to OJP Grants and Cooperative Agreements" in the OJP Funding Resource Center.

#### Scope Requirement:

\_\_\_\_\_ The federal amount requested is to support the conduct of research within the following allowable limits: under Category 1, up to \$750,000 for up to a 5-year project period; under Category 2, up to \$125,000 for up to a 3-year project period.

**Eligibility Requirement:**

- \_\_\_\_\_ State, territory, unit of local government, federally recognized Indian tribal government.
- \_\_\_\_\_ Nonprofit or for-profit organization, including tribal nonprofit or for-profit organization.
- \_\_\_\_\_ Institution of higher education, including tribal institution of higher education.

**What an Application Should Include:**

- \_\_\_\_\_ Application for Federal Assistance (SF-424) (see page 15)
- \_\_\_\_\_ Project Abstract (if applicable) (see page 16)
- \_\_\_\_\_ Program Narrative (see page 17)
- \_\_\_\_\_ Budget Detail Worksheet (see page 24)
- \_\_\_\_\_ Budget Narrative (see page 24)
- \_\_\_\_\_ Indirect Cost Rate Agreement (if applicable) (see page 26)
- \_\_\_\_\_ Tribal Resolution (see page 27)
- \_\_\_\_\_ Financial Management and System of Internal Controls Questionnaire (see page 27)
- \_\_\_\_\_ [Disclosure of Lobbying Activities \(SF-LLL\)](#) (see page 28)
  
- \_\_\_\_\_ Appendixes (see page 22)
  - \_\_\_\_\_ Letters of Support/Memoranda of Understanding from all key partners, if applicable
  - \_\_\_\_\_ Bibliography/references
  - \_\_\_\_\_ Tools/instruments, questionnaires, tables/charts/graphs or maps pertaining to the project that are supplemental to the narrative
  - \_\_\_\_\_ Curriculum vitae or résumés of the principal investigator and any and all coprincipal investigators, and all key personnel
  - \_\_\_\_\_ List of all individuals involved in the proposed research, development, or evaluation project
  - \_\_\_\_\_ Timeline or milestone chart
  - \_\_\_\_\_ List of previous and current OJJDP awards, if applicable
  - \_\_\_\_\_ Letters of cooperation/support or administrative agreements from collaborating organizations (i.e., correctional agencies), if applicable
  - \_\_\_\_\_ List of other agencies, organizations, or funding sources to which this application has been submitted, if applicable
  - \_\_\_\_\_ Data archiving plan
- \_\_\_\_\_ Additional Attachments (see page 28)
  - \_\_\_\_\_ Applicant Disclosure of Pending Applications
  - \_\_\_\_\_ Research and Evaluation Independence and Integrity
  
- \_\_\_\_\_ Request and Justification for Employee Compensation; Waiver (if applicable) (see page 13)