

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



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) 2018 Redesign Study of OJJDP's Juveniles in Corrections Data Collections. This project furthers the Department's mission by improving data collection instruments and methodologies used to generate useful, timely, and reliable statistics on juvenile offenders in out-of-home placement (juvenile residential facilities) and the conditions in, operations of, and services provided by the facilities in which they are held.

OJJDP FY 2018 Redesign Study of OJJDP's Juveniles in Corrections Data Collections

Applications Due: May 30, 2018

Eligibility

Eligible applicants are limited to states (including territories), units of local government,¹ nonprofit organizations² and for-profit organizations (including tribal nonprofit and for-profit organizations), and institutions of higher education (including tribal institutions of higher education). All recipients and subrecipients (including any for-profit organization) must forgo any profit or management fee.

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).³ The applicant must be the entity that would have primary responsibility for carrying out the award, including administering funding, managing the entire project, and monitoring and appropriately managing any subawards ("subgrants").

¹ 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 impose taxes.
- (c) An Indian tribe that performs law enforcement functions, as determined by the Secretary of the interior.
- (d) 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.

² See ojp.gov/funding/Explore/SolicitationRequirements/OrganizationalRequirements.htm#NPO for additional information on demonstrating nonprofit status.

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

Under this solicitation, only one application by any particular applicant entity will be considered. An entity may, however, be proposed as a subrecipient (subgrantee) in more than one application.

Deadline

Applicants must register with Grants.gov at <https://www.grants.gov/web/grants/register.html> prior to submitting an application. All applications are due by 11:59 p.m. eastern time (ET) on May 30, 2018.

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, at <https://www.grants.gov/web/grants/support.html>, or at 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 its control that prevent it from submitting its application by the deadline must email the National Criminal Justice Reference Service Response Center (Response Center) at grants@ncjrs.gov **within 24 hours after the application deadline** to request approval to submit its application after the deadline. 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, or by [web chat](#). Response Center hours of operation are 10 a.m. to 6 p.m. ET, Monday through Friday, and 10 a.m. to 8 p.m. ET on the solicitation close date. General information on applying for OJJDP awards can be found at <https://www.ojjdp.gov/funding/funding.html>. Answers to frequently asked questions that may assist applicants are posted at <https://www.ojjdp.gov/grants/solicitations/FY2018/FAQ/JuvinCorrectionData.pdf>.

Grants.gov number assigned to this solicitation: OJJDP-2018-13564
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Contents

A. Program Description	4
Overview	4
Program-Specific Information	4
Goals, Objectives, Deliverables, and Expected Scholarly Products	6
B. Federal Award Information.....	12
Type of Award	13
Financial Management and System of Internal Controls.....	13
Budget Information	14
Cost Sharing or Match Requirement.....	14
Preagreement Costs (also known as Preaward Costs).....	14
Limitation on Use of Award Funds for Employee Compensation; Waiver.....	15
Prior Approval, Planning, and Reporting of Conference/Meeting/Training Costs	15
Costs Associated With Language Assistance (if applicable)	15
C. Eligibility Information.....	16
D. Application and Submission Information	16
What an Application Should Include	16
How to Apply	31
E. Application Review Information.....	35
Review Criteria	35
Review Process.....	36
F. Federal Award Administration Information	38
Federal Award Notices	38
Administrative, National Policy, and Other Legal Requirements	38
General Information About Post-Federal Award Reporting Requirements	39
G. Federal Awarding Agency Contact(s)	40
H. Other Information.....	40
Freedom of Information Act and Privacy Act (5 U.S.C. 552 and 5 U.S.C. 552a)	40
Provide Feedback to OJP	40
Application Checklist	42

OJJDP FY 2018 Redesign Study of OJJDP's Juveniles in Corrections Data Collections CFDA # 16.540

A. Program Description

Overview

OJJDP is seeking applications to develop, improve, and test data collection instruments and methodologies for OJJDP's juveniles in corrections data collections, the [Census of Juveniles in Residential Placement](#) (CJRP) and the [Juvenile Residential Facility Census](#) (JRFC). Information from these collections provides the only source of national estimates on juveniles in corrections and is widely used by policymakers, practitioners, and the public. The data collected are used to support annual reporting requirements of the Juvenile Justice and Delinquency Prevention (JJDP) Act. However, the instruments and methodologies employed to collect these data have not been subject to a major review or update since the 1990s. Consequently, the collections have not fully kept pace with changes in juvenile justice populations, juvenile residential facilities' practices and procedures, new facility technologies and data systems, and statutory reporting requirements. This program will result in new instrumentation and enhanced methodologies that will assist policymakers and the public in understanding the characteristics of and trends in juvenile offenders in out-of-home placement and the conditions in, operations of, and services provided by the facilities in which they are held.

Statutory Authority: This program is authorized pursuant to the Department of Justice Appropriations Act, 2018 (P.L. 115-141).

Program-Specific Information

OJJDP supports the collection, analysis, and dissemination of statistical information relating to juvenile delinquency and serious crimes committed by juveniles and to the juvenile justice system. Over the past two decades, OJJDP has primarily fulfilled this information need, with regard to juveniles in corrections, through companion data collections, CJRP and JRFC.

First administered in 1997, CJRP replaced the Census of Public and Private Juvenile Detention, Correctional, and Shelter Facilities, also known as the Children in Custody census, which had been conducted since the early 1970s. CJRP typically takes place on the fourth Wednesday in October in odd-numbered years. It asks all juvenile residential facilities in the United States to describe each person younger than age 21 assigned a bed in the facility on the census date as a result of a status or delinquency offense. Facilities report individual-level information on gender, date of birth, race, placement authority, most serious offense charged, court adjudication status, and admission date.

JRFC was first conducted in 2000 and collects information about the facilities in which juvenile offenders are held. The collection occurs on the fourth Wednesday in October in even-numbered years. JRFC routinely collects data on how facilities operate and the services they provide. It includes questions on facility ownership and operation, security, capacity and crowding, and injuries and deaths in custody. JRFC also collects supplementary information

each collection year on juvenile facility practices around identifying youths' needs and the specific services that facilities provide, such as mental and physical health, substance use, and education.

Together, the CJRP and JRFC collections have established a comprehensive, manageable, and reliable statistical series covering a broad range of information on juveniles in residential placement and the facilities that hold them. The collections provide valuable national and state-level data to policymakers, practitioners, and the general public. The data are disseminated through OJJDP's [National Report](#) publication series and its [Statistical Briefing Book](#), and are archived for secondary analysis at the [National Archive of Criminal Justice Data \(NACJD\)](#). In addition, the data have been widely used by other federal agencies, including but not limited to the Department of Health and Human Services' Healthy People initiative, the Office of National Drug Control Policy's Performance Reporting System, and the National Center for Education Statistics' Indicators of School Crime and Safety Report.

Despite the relative success of the CJRP and JRFC collections in achieving high response rates and generating reliable statistics, the data collection instruments and methodologies have remained largely unchanged since their initial implementation. As indicated by the CJRP and JRFC data, the population of juveniles in residential placement, the number of facilities, and the field of juvenile corrections more broadly have changed dramatically during this period. The overall one-day count of juveniles in residential placement decreased 54 percent to 48,043 from 1997 to 2015. This is its lowest level since the CJRP data collection began in 1997 when 105,055 youth were held in out-of-home placement.⁴ The number of juvenile arrests and referrals of delinquency and status offense cases to juvenile court have fallen by a similar magnitude and juvenile justice systems across the country have implemented policy and practice changes, including community-based alternatives to confinement for lower-risk offenders, intended to reduce recidivism and improve youth outcomes.⁵ Many juvenile correctional agencies and facilities have also taken steps to change their model of operations, improve the delivery of treatment and services, adopt new technologies and data systems, and introduce other practices to better ensure the safety of staff and youth. The items included on the CJRP and JRFC questionnaires require careful review and assessment to determine if they adequately reflect these changes and other contemporary juvenile justice issues. Examples of new items to be considered include but are not limited to capturing flow data on admissions, releases, and average length of stay; capturing additional attributes of youth (education status, gang involvement); and capturing additional information that includes screening practices, treatment and service delivery, other conditions of confinement, and use of sanctions.

Relatedly, the data collection methodologies require comprehensive review and testing to ensure continued improvements in the quality and coverage of the data collected, while also reducing the burden and costs for the respondents and collectors. There are several aspects of the methods that have not been subject to recent, external analysis, including but not limited to the process to ensure the roster of juvenile facilities is current and complete; the criteria used to classify facilities as in-scope or out-of-scope for a given collection; strategies for increasing participation, including through recruitment and nonresponse followup; data collection modes and possible mode effects, including those related to the introduction and increased use of the

⁴ Sickmund, M., Sladky, T.J., Kang, W., and Puzanchera, C. 2017. "Easy Access to the Census of Juveniles in Residential Placement." Available at: <http://www.ojjdp.gov/ojstatbb/ezacjrp/>.

⁵ 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.

web-based questionnaires by respondents; unit and item nonresponse rates, patterns, and possible nonresponse bias; data processing and editing decisions; and strategies for nonresponse adjustments.

Goals, Objectives, Deliverables, and Expected Scholarly Products

The goal of this solicitation is to assist OJJDP in improving data collection instruments and methodologies used to generate useful, timely, and reliable national and state-level statistics on the number and characteristics of juveniles held in out-of-home placement and information about the conditions in, operations of, and services provided by the facilities in which they are held.

The objectives of the program include the following:

- Implement an efficient and effective project management strategy.
- Complete a comprehensive review and assessment of the current CJRP and JRFC content and methodologies.
- Develop initial recommendations for improving CJRP and JRFC instruments and methodologies.
- Field test the redesigned CJRP and JRFC instruments and data collection methodologies.
- Identify, convene, and incorporate feedback from a panel of juvenile corrections and survey methodology experts.
- Prepare and submit final reports and products.

Proposals should describe all tasks necessary for the successful applicant to meet the solicitation goals and objectives, including the main project deliverables and target end dates. The applicant should briefly describe how it would accomplish each task and deliverable, develop a schedule for each task, and estimate the associated costs. More specifically, this should include (1) a description of the specific strategies and approaches that would be conducted to meet each outcome, (2) a description of the capabilities and demonstration of the expertise that will enable the applicant to successfully meet each outcome, (3) a schedule to identify start dates for each task and completion dates for all deliverables, and (4) cost estimates for performing the work. The application should fully describe the applicant's expertise related to the challenges and complexities associated with survey and questionnaire design and testing; frame development and maintenance; developing and testing various data collection methodologies and procedures, including obtaining data from administrative records; and nonresponse adjustment methods to produce reliable national and state-level estimates. The applicant should also describe its knowledge of the juvenile justice system and the information needs of OJJDP and the juvenile justice field. Specifically, the applicant should demonstrate knowledge of issues relevant for establishing a comprehensive understanding of juveniles in out-of-home placement and about the conditions in, operations of, and services provided by the facilities in which they are held.

The anticipated objectives and deliverables to meet the overall goals outlined above include:

(1) Implement an efficient and effective project management strategy.

Post-award meeting and project schedule. Within 1 month of the award, the successful applicant's project director and key staff will attend a post-award meeting with the

assigned OJJDP grant manager and social science analyst, and other key OJJDP staff at the OJP offices in Washington, DC. The initial meeting should focus on a review of the overall project goals and tasks and discuss areas of concern related to the proposed project plan, project schedule, staffing plan, and other management requirements. This meeting will also provide an opportunity for OJJDP staff to share project experience and materials from prior CJRP and JRFC administrations with the successful applicant. Within 2 weeks of the post-award meeting, the successful applicant should submit an updated version of the project plan and project schedule to OJJDP for review, comment, and approval. After OJJDP has agreed to the revised project plan and project schedule, all work is expected to be completed as defined in the plan and scheduled unless OJJDP is consulted and approves a subsequent change.

Institutional Review Board (IRB) approval. DOJ regulations require that an IRB review and approve federally supported research involving human subjects and that recipients of OJP funding submit an OJP Privacy Certificate. The recipient will obtain approval from an IRB for the research, development, and testing activities required in this solicitation. The recipient will provide OJJDP with copies of all IRB submissions and final certification letters. OJJDP approval of the final IRB materials and OJP Privacy Certificate will be required prior to commencing research activities.

Because IRB review can be lengthy and the proposed work will occur in phases, applicants should identify their assumptions, including for any key dates related to submissions, expected review and turnaround times, and special requirements in their application.

Project calls and meetings. The successful applicant will also establish a routine method for updating OJJDP on the status of the project, which will include at least one conference call every 2 weeks. The successful applicant will work with OJJDP to develop the agendas for these calls. The OJJDP social science analyst and the successful applicant will establish other regular communication vehicles, as needed.

Semiannual progress reports. The successful applicant will provide a detailed progress report to OJJDP every 6 months describing the status of the evaluation, methodological and implementation issues, progress toward the project goals, and any other issues relevant to the project's completion. At the conclusion of the project, the final progress report should summarize the extent to which the goals and objectives were met throughout the period of performance under the award.

Required deliverables: (1) A written time/task plan for the entire project with all project tasks fully specified, including work periods, delivery dates, and levels of effort of key staff; (2) all IRB materials and the OJP Privacy Certificate; and (3) progress reports due within 30 calendar days after the end of each reporting period.

(2) Complete a comprehensive review and assessment of the current CJRP and JRFC content and methodologies.

The successful applicant will review and assess the current CJRP and JRFC instruments and data collection methodologies to inform recommendations and a plan for improving the quality, utility, and timeliness of national and state-level statistics on the number and characteristics of juveniles held in out-of-home placement and information

about the conditions in, operations of, and services provided by the facilities in which they are held. In particular, OJJDP is interested in:

- a. An assessment of the current CJRP and JRFC instruments with respect to length and complexity and respondent burden, including all of the supplemental JRFC modules on the provision of specific services (physical health, mental health, educational, and substance abuse services).
- b. An assessment of the utility and relevance of items and any gaps in the current CJRP and JRFC instruments, informed by a review of contemporary juvenile justice issues, legislative requirements, other national data collections, and data improvement projects, including but not limited to OJJDP's authorizing legislation, the [JJDP Act](#); the Bureau of Justice Statistics' [National Survey of Youth in Custody](#); [Performance-based Standards](#)' measures for juvenile justice agencies, facilities, and residential care providers; OJJDP's [Juvenile Justice Model Data Project](#); and other state and agency-level corrections surveys and performance measure reports.
- c. An assessment of the current CJRP and JRFC inclusion criteria, definitions, and the juvenile facility universe frame.
- d. An assessment of the current CJRP and JRFC data collection methodologies and strategies for increasing participation.
- e. An assessment of the current CJRP and JRFC nonresponse patterns and possible nonresponse bias, and strategies for nonresponse adjustments (e.g., imputation and weighting).

The applicant should specify and justify its approach to conducting the review and assessment of prior CJRP and JRFC data collection efforts. The applicant can use a variety of methods to conduct this review and develop strategies for improvements, such as review of data collected, methods used, and documentation generated in prior cycles; literature reviews and policy and practice scans; and focus group meetings and other consultations with respondents, content experts, and methodologists.

The questionnaires, codebooks, and user guides for previous CJRP and JRFC collection cycles are available online through NACJD. The CJRP and JRFC data files are restricted from general dissemination, but aggregate national and state-level information is available online through OJJDP's Statistical Briefing Book. OJJDP will work with the successful applicant to access data files necessary to complete the required assessment. Additional review of data collection, processing, and nonresponse adjustment procedures and documentation will be coordinated through OJJDP and its current data collection agent, the U.S. Census Bureau.

The successful applicant will summarize the findings from its review and assessment in a report titled *Strengths and Limitations of OJJDP's Juveniles in Corrections Data Collections*.

Required deliverables: Draft and final reports titled *Strengths and Limitations of OJJDP's Juveniles in Corrections Data Collections* summarizing the process for and findings of the review and assessment of the current CJRP and JRFC instruments and methodologies.

(3) Develop initial recommendations for improving CJRP and JRFC instruments and methodologies.

Based on the *Strengths and Limitations of OJJDP's Juveniles in Corrections Data Collections* report, the successful applicant will draft a second report titled *Recommendations for Improving OJJDP's Juveniles in Corrections Data Collections*. In the report, the successful applicant will describe and justify its recommendations to the CJRP and JRFC, including but not limited to the following:

- a. Content for the redesigned CJRP and JRFC instrument(s) reflecting the successful applicant's assessment of the critical information domains and items needed to produce key statistics on juveniles in residential placement and the facilities where they are held.
- b. The development and maintenance of a juvenile facility universe frame.
- c. The development and testing of data collection methods and strategies for increasing participation (including item-level response).
- d. Methods and strategies to identify and support nonresponse bias adjustments.
- e. Plans for cognitive testing of the CJRP and JRFC instruments.
- f. Plans for pilot testing the full instruments and various data collection methods or strategies.

The applicant should prioritize strategies with the potential to reduce respondent burden and enhance response rates in a cost-efficient manner.

Required deliverables: Draft and final reports titled *Recommendations for Improving OJJDP's Juveniles in Corrections Data Collections* to include all designs, draft instruments and protocols, and field testing plans noted above.

(4) Field test the redesigned CJRP and JRFC instruments and data collection methodologies.

Assessing the quality of the proposed CJRP and JRFC instruments will require field testing them with a sample of likely respondents (i.e., cognitive and pilot tests). Following OJJDP approval of the revised *Recommendations for Improving OJJDP's Juveniles in Corrections Data Collections* report, the successful applicant will work with OJJDP to identify and contact the proposed participants for cognitive and pilot testing and obtain their agreement to participate in this portion of the project.

The cognitive and pilot testing conducted under this solicitation may fall under the purview of the OJJDP generic Office of Management and Budget (OMB) clearance package, or a new OMB package may be required. As needed, the successful applicant will work with OJJDP to complete the necessary OMB package requirements and application process to secure the proper clearance.

The successful applicant will be required to conduct cognitive testing of all questionnaire items, with particular attention to new items that have not been tested and those that underperformed in past collections. The successful applicant will document responses to each tested question, the respondent burden, respondent feedback regarding any aspect of the CJRP and JRFC instruments, and the resulting modifications to the draft instruments as a result of the cognitive testing.

Any pilot testing must include a test of the full proposed CJRP and JRFC instruments and proposed data collection protocols. Working with OJJDP, the successful applicant will identify the appropriate scope and scale of the pilot testing necessary to assess the CJRP and JRFC redesign.

The proposal written in response to this solicitation should describe a detailed plan and initial budget to conduct the cognitive and pilot testing, supported by the applicant's best assumptions at the time of application. The specifics of the field testing activities will later be refined, as necessary, to match the proposed instruments and methodologies with input from the expert panel and OJJDP.

After the cognitive testing with the respondents has been completed and pilot questionnaires are returned, the successful applicant will prepare a report titled *Pilot Study Results for OJJDP's Juveniles in Corrections Data Collections*.

Required deliverables: (1) Completed cognitive and pilot testing with a sample of likely respondents and (2) draft and final reports titled *Pilot Study Results for OJJDP's Juveniles in Corrections Data Collections*, including all observations, notes, and lessons learned from the field and respondents.

(5) Identify, convene, and incorporate feedback from a panel of juvenile corrections and survey methodology experts.

Early in the project, the successful applicant will assemble a panel of experts (unaffiliated with the project team) to inform the research, design, and development activities. The expert panel will review recommendations from the project team, help to identify information gaps and needs related to juveniles in corrections, and make recommendations for the revised CJRP and JRFC instruments and for improving the juvenile facility universe frame, data collection and nonresponse adjustment methodologies, and strategies for increasing participation. The final list of expert panel members will be developed with OJJDP's assistance, and OJJDP will have final approval of the list.

OJJDP expects the panel will include correctional administrators and other corrections practitioners as well as individuals with expertise in survey and questionnaire design, sampling frame development and maintenance, and data collection and nonresponse adjustment methods. The applicant should also anticipate that OJJDP will identify a limited number of ad hoc participants from other federal agencies (e.g., the Bureau of Justice Statistics and the U.S. Census Bureau). The application should include proposed names and/or characteristics of expert panel members; for budgeting purposes, the applicant should assume the expert panel will include 12 nonfederal members.

The application should include plans for expert panel meetings, to occur via the web, phone, or in person (only if necessary), following OJJDP's initial review of the draft reports titled (1) *Strengths and Limitations of OJJDP's Juveniles in Corrections Data Collections*, (2) *Recommendations for Improving OJJDP's Juveniles in Corrections Data Collections*, and (3) *Pilot Study Results for OJJDP's Juveniles in Corrections Data Collections*. The application should propose strategies for engaging the expert panel via web or teleconference throughout the project period, including the early review and assessment, field testing, and finalizing of reports and instruments. If an applicant proposes an in-person meeting(s), it should include a strong justification, awareness of

OJP conference cost approval requirements, and all cost saving efforts (including assumptions regarding meeting location, number of participants, and travel costs).

The purpose of the panel review meetings will be to gather feedback on the three reports referenced above and on the final plans for the new surveys. The expert panel will inform the content of the draft CJRP and JRFC instruments based on discussion of wording of questions, feasibility of the items, and utility of the information for policy and practice. The expert panel will also discuss how to enhance the juvenile facility universe frame, data collection and nonresponse adjustment methodologies, and strategies for increasing participation.

Required deliverables: (1) Final, approved list of expert panelists and scope of activities and (2) a minimum of three expert panel meetings to discuss the proposed improvements to the CJRP and JRFC instruments and methods.

(6) Prepare and submit final reports and products.

The successful applicant will prepare the following final reports and products based on the interim deliverables described above:

A final, technical report summarizing the research questions or objectives, methods, and analytical techniques of the project and the findings and conclusions, similar to the type of information reported in a refereed journal. Key elements of the report will include (1) the final CJRP and JRFC instruments with respondent instructions and coding definitions and (2) the final recommendations for the full administration of the CJRP and JRFC instruments in future data collection cycles.

A plain language executive summary of the final technical report suitable for a nontechnical audience. Both documents will be developed and disseminated at OJJDP's discretion. (See <https://www.ojdp.gov/research/research-grantee.html> for more information .)

Practitioner-friendly overview documents highlighting the project's goals and objectives, as OJJDP requires. (Refer to *OJJDP News @ a Glance* and JuvJust publications for examples of the type of documents requested: www.ojdp.gov/enews/enews.html.)

The Goals, Objectives, Deliverables, and Expected Scholarly Products are directly related to the performance measures that demonstrate the results of the work completed..

Performance Measures

OJP will require each successful applicant to submit regular performance data that demonstrate the results of the work carried out under the award (see "[General Information About Post-Federal Award Reporting Requirements](#)" in [Section F. Federal Award Administration Information](#)).

Applicants should visit OJP's performance measurement page at www.ojp.gov/performance to view the specific reporting requirements for this grant program.

The application should demonstrate the applicant’s understanding of the performance data reporting requirements for this grant program and detail how the applicant will gather the required data should it receive funding.

Applicants are **not** required to submit performance data with the application. Performance measures information is included as an alert that successful applicants will be required to submit performance data as part of the reporting requirements under an award.

Objective	Performance Measure(s)	Data Recipient Provides
To improve instruments and methodologies used to generate useful, timely, and reliable national and state-level statistics on the number and characteristics of juveniles held in out-of-home placement and information about the conditions in, operations of, and services provided by the facilities in which they are held.	Number of deliverables that met the expectations of the project.	<p>List of deliverables that resulted in whole or in part from work funded under the OJJDP award.</p> <p>Number of deliverables that meet OJJDP’s expectations for completeness, quality, and precision.</p> <p>A detailed project schedule and work plan.</p> <p>Documentation of approval from all appropriate Institutional Review Boards and the Office of Management and Budget.</p> <p>Quarterly financial reports, semiannual and final progress reports, and a draft and final summary overview of the work performed under the OJJDP award.</p>
	Percent of deliverables completed on time.	<p>Number of deliverables.</p> <p>Number of deliverables completed on time.</p>

B. Federal Award Information

OJJDP expects to make one award with an estimated total amount awarded of up to \$500,000, for up to an 18-month project period.

To allow time for (among other things) any necessary post-award review and financial clearance by OJP of the proposed budget and for any associated responses or other action(s) that may be required of the recipient, applicants should propose an award start date of October 1, 2018.

OJJDP may, in certain cases, provide additional funding in future years to awards made under its research, development, and evaluation solicitations, through continuation awards. In making decisions regarding continuation awards, OJP will consider, among other factors, the availability of appropriations, when the program or project was last competed, OJP’s strategic priorities, and OJP’s assessment of both the management of the award (for example, timeliness and quality of progress reports) and the progress of the work funded under the award.

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 to make any award under this solicitation in the form of a cooperative agreement, which is a type of award that provides for OJP to have substantial involvement in carrying out award activities. See [Administrative, National Policy, and Other Legal Requirements](#), under [Section F. Federal Award Administration Information](#), for a brief discussion of what may constitute substantial federal involvement. As discussed [later in the solicitation](#), important rules (including limitations) apply to any conference/meeting/training costs under cooperative agreements.

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 Research” under [“Overview of Legal Requirements Generally Applicable to OJP Grants and Cooperative Agreements - FY 2018 Awards”](#) in the OJP Funding Resource Center at <https://ojp.gov/funding/index.htm>.

Financial Management and System of Internal Controls

Award recipients and subrecipients (including recipients or subrecipients that are pass-through entities⁶) must, as described in the Part 200 Uniform Requirements⁷ 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

⁶ 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.

⁷ 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.

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 at <https://ojpfgm.webfirst.com/>. (This training is required for all OJP recipients.)

Also, applicants should be aware that OJP collects information from applicants on their financial management and systems of internal controls (among other information), which is used to make award decisions. Under [Section D. Application and Submission Information](#), applicants may access and review the OJP Financial Management and System of Internal Controls Questionnaire (<https://ojp.gov/funding/Apply/Resources/FinancialCapability.pdf>) that OJP requires **all** applicants (other than an individual applying in his/her personal capacity) to download, complete, and submit as part of the application.

Budget Information

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 are not responsive to this specific solicitation.
- OJJDP funds may not be used to support 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.

For additional cost sharing and match information, see the DOJ Grants Financial Guide at <https://ojp.gov/financialguide/DOJ/index.htm>.

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 at <https://ojp.gov/financialguide/DOJ/index.htm> 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.⁸ The 2018 salary table for SES employees is available at the Office of Personnel Management website at <https://www.opm.gov/policy-data-oversight/pay-leave/salaries-wages/salary-tables/18Tables/exec/html/ES.aspx>. Note: A recipient may compensate an employee at a greater rate, provided the amount in excess of this compensation limitation is paid with nonfederal funds. (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/her qualifications and expertise, and for the work he/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 and DOJ policy and guidance on approval, planning, and reporting of such events, available at 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

⁸ 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.

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 - FY 2018 Awards](#)" in the OJP Funding Resource Center at <https://ojp.gov/funding/index.htm>.

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 if it fails to submit an application that contains all of the specified elements, it may negatively affect the review of its 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, including the funding limit, 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 and 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.)

NOTE: OJP has combined the Budget Detail Worksheet and Budget Narrative in a single document collectively referred to as the Budget Detail Worksheet. See "Budget Information and Associated Documentation" below for more information about the Budget Detail Worksheet and where it can be accessed.

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

Please review the "Note on File Names and File Types" under [How to Apply](#) to be sure applications are submitted in permitted formats.

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, an applicant must include an accurate legal name on its SF-424. On the SF-424, current OJP award recipients, when completing the field for "Legal Name" (box 8a), 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). Also, current recipients should enter the Employer Identification Number (EIN) in box 8b exactly as it appears on the prior year award document. An applicant with a current, active award(s) must ensure that its GMS profile is current. If the profile is not current, the applicant should submit a Grant Adjustment Notice (GAN) updating the information on its GMS profile prior to applying under this solicitation.

A new applicant entity should enter its official legal name in box 8a, its address in box 8d, its EIN in box 8b, and its Data Universal Numbering System (DUNS) number in box 8c of the SF-424. A new applicant entity should attach official legal documents to its application (e.g., articles of incorporation, 501(c)(3) status documentation, organizational letterhead, etc.) to confirm the legal name, address, and EIN entered into the SF-424. OJP will use the System for Award Management (SAM) to confirm the legal name and DUNS number entered in the SF-424; therefore, an applicant should ensure that the information entered in the SF-424 matches its current registration in SAM. See the [How to Apply](#) section for more information on SAM and DUNS numbers.

Intergovernmental Review: This solicitation ("funding opportunity") **is not** subject to [Executive Order 12372](#). (In completing the SF-424, an applicant is to 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 not submitted in the template below should be—

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

The abstract should describe—

- The purpose of the project, the problem to be investigated, and the anticipated relevance to juvenile justice policy, practice, and theory.
- The proposed approach to develop, improve, and test data collection instruments and methodologies for OJJDP's juveniles in corrections data collections, addressing each of the key activities identified in the "Goals, Objectives, Deliverables, and Expected Scholarly Products" section on pages 6–11.
- The expected key deliverables, identified in the "Goals, Objectives, Deliverables, and Expected Scholarly Products" section on pages 6–11.

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 available at ojp.gov/funding/Apply/Resources/ProjectAbstractTemplate.pdf. Formatting cannot be altered in this template; therefore, the above formatting requirements do not apply.

3. Program Narrative

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

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

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 proposal should be responsive to the presentation of program-specific information (pages 4–6). 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 need for research in this area. Applicants should discuss current gaps in data, research, and knowledge, including those for particular justice sectors, for certain populations, and to answer questions relevant to current policy and practice needs and public interests. As part of this discussion, applicants should present a review of previous literature and discuss previous research related to these problems.

This section should also identify the proposed research questions and discuss the purpose, goals, and objectives of the proposed project.

- **Project Design and Implementation.** Applicants should provide a detailed description of the strategies to implement this research project and address the research questions. Design elements should follow directly from the research project's goals and objectives and address the program-specific information noted on pages 4–6.

Applicants should describe how they would accomplish each task and deliverable, develop a schedule for each task, and estimate the associated costs. Specifically, this should include (1) a description of the specific strategies and approaches that would be conducted to meet each outcome; (2) a description of the capabilities and demonstration of the expertise that will enable them to successfully meet each outcome; (3) a schedule to identify start dates for each task, and completion dates for all deliverables; and (4) cost estimates for performing the work. The application should fully describe the applicant's knowledge of the challenges and complexities associated with survey and questionnaire design and testing, frame development and maintenance, data collection methodologies and procedures, and nonresponse adjustment methods to produce reliable national and state-level estimates.

Applicants should consider the rigor and soundness of the methodology and analytical and technical approaches for the proposed research and address the feasibility of the proposed project and potential challenges or problems in carrying out the activities. Applicants should address any anticipated problems associated with carrying out the activities under this program and should propose potential solutions.

- **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).

Applicants should submit the timeline as a separate attachment, as stipulated in “Appendices” on page 22.

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

The discussion of impact should include a discussion of the deliverables, including planned scholarly products indicated in the program-specific information on pages 4–6 and a plan for dissemination to appropriate audiences. Applicants should identify plans to produce or make available the planned scholarly products to broader interested practitioners and policymakers in a form that is designed to be readily accessible and useful to them.

- **Capabilities/Competencies.** This section should describe the experience and capability of the applicant organization, key staff, and any proposed subgrantees (including consultants) that the applicant will use to implement and manage this effort and the federal funds under this award, highlighting any previous experience implementing projects of similar scope, design, and magnitude. Applicants should address:

- Knowledge of the challenges and complexities associated with survey and questionnaire design and testing; frame development and maintenance; developing and testing various data collection methodologies and procedures, including obtaining data from administrative records; and nonresponse adjustment methods to produce reliable national and state-level estimates.
- Knowledge of the juvenile justice system and the information needs of OJJDP and the juvenile justice field. Specifically, the applicant should demonstrate knowledge of issues relevant for establishing a comprehensive understanding of juveniles in out-of-home placement and about the conditions in, operations of, and services provided by the facilities in which they are held.
- Experience and capacity to work with the proposed data sources in the conduct of similar research efforts.
- Experience and capacity to design and implement rigorous research and data analysis projects.
- Experience producing and disseminating meaningful deliverables.

Applicants should also outline the management plan and organization that connects to the goals and objectives of the project. Applicants should also 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.

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. Appendices (not counted against the 30-page program narrative limit) include:

- Bibliography/references.
- Any tools/instruments, questionnaires, tables/charts/graphs, or maps pertaining to the proposed project that are supplemental to such items included in the main body of the narrative.
- Curriculum vitae or résumés of the principal investigator and any and all coprincipal investigators. In addition, curriculum vitae, résumé, 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).
- Organizational chart.
- 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 is to 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.

- 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 not be permitted to obligate, expend, or draw down funds for any research or statistical activity or project involving the collection, use, analysis, transfer, or disclosure of information identifiable to a private person until (1) the recipient has submitted full and complete documentation to demonstrate that it will conduct or perform research involving human subjects in accordance with an approved federalwide assurance issued by the U.S. Department of Health and Human Services; (2) the research has been determined, by an appropriate IRB, to be an exempt research activity, or has been reviewed and approved by an appropriate IRB in accordance with the requirements of 28 CFR Part 46; (3) the recipient has submitted a properly executed Privacy Certificate in accordance with the requirements of 28 CFR Part 22; and (4) an OJP Human Subjects Protection Officer has reviewed and approved the submitted materials. See <https://www.ojdp.gov/research/research-grantee.html>.
- 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 a definition of “scholarly products.”)
- A list of other agencies, organizations, or funding sources to which this application has been submitted (if applicable).
- Letters of cooperation/support or administrative agreements from organizations collaborating in the project, such as correctional agencies (if applicable).

4. Budget and Associated Documentation

The Budget Detail Worksheet and the Budget Narrative are now combined in a single document collectively referred to as the Budget Detail Worksheet. The Budget Detail Worksheet is a user-friendly, fillable, Microsoft Excel-based document designed to calculate totals. Additionally, the Excel workbook contains worksheets for multiple budget years that can be completed as necessary. **All applicants should use the Excel version when completing the proposed budget in an application, except in cases where the applicant does not have access to Microsoft Excel or experiences technical difficulties.** If an applicant does not have access to Microsoft Excel or experiences technical difficulties with the Excel version, then the applicant should use the 508-compliant accessible Adobe Portable Document Format (PDF) version.

Both versions of the Budget Detail Worksheet can be accessed at <https://ojp.gov/funding/Apply/Forms/BudgetDetailWorksheet.htm>.

a. Budget Detail Worksheet

The Budget Detail Worksheet should provide the detailed computation for each budget line item, listing the total cost of each and showing how it was calculated by the applicant. For example, costs for personnel should show the annual salary rate and the

percentage of time devoted to the project for each employee paid with grant funds. The Budget Detail Worksheet should present a complete itemization of all proposed costs.

For questions pertaining to budget and examples of allowable and unallowable costs, see the DOJ Grants Financial Guide at <https://ojp.gov/financialguide/DOJ/index.htm>

b. Budget Narrative

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

An applicant should demonstrate in its budget narrative how it 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.

For additional match information, see the [Cost Sharing or Match Requirement](#) section under [Section B. Federal Award Information](#).

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.

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 an action—for federal grants administrative purposes—is a subaward or procurement contract is a critical distinction as significantly different rules apply to subawards and procurement contracts. If a recipient enters into an agreement that is a subaward of an OJP award, specific rules apply—many of which are set by federal statutes and DOJ regulations; others by award conditions. These rules place particular responsibilities on an OJP recipient for any subawards the OJP recipient may make. The rules determine much of what the written subaward agreement itself must require or provide. The rules also determine much of what an OJP recipient must do both before and after it makes a subaward. If a recipient enters into an agreement that is a procurement contract under an OJP award, a substantially different set of federal rules applies.

OJP has developed the following guidance documents to help clarify the differences between subawards and procurement contracts under an OJP award and outline the compliance and reporting requirements for each. This information can be accessed online at <https://ojp.gov/training/training.htm>.

- [Subawards under OJP Awards and Procurement Contracts under Awards: A Toolkit for OJP Recipients.](#)
- [Checklist to Determine Subrecipient or Contractor Classification.](#)
- [Sole Source Justification Fact Sheet and Sole Source Review Checklist.](#)

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. The substance of the relationship should be given greater consideration than the form of agreement between the recipient and the outside entity.

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 Program Narrative, Budget Detail Worksheet, and Budget Narrative as approved by OJP. If, however, a particular subaward is not authorized by federal statute or regulation, and is not approved by OJP, the recipient will be required, post-award, 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. All noncompetitive (sole source) procurement contracts must meet the OJP requirements outlined at <https://ojp.gov/training/subawards-procurement.htm>. 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.

If the applicant receives an award, sole source procurements that do not exceed the Simplified Acquisition Threshold (currently \$150,000) must have written justification for the noncompetitive procurement action maintained in the procurement file. If a procurement file does not have the documentation that meets the criteria outlined in 2 C.F.R. 200, the procurement expenditures may not be allowable. Sole source procurement over the \$150,000 Simplified Acquisition Threshold must have prior approval from OJP using a Sole Source GAN. Written documentation justifying the noncompetitive procurement must be submitted with the GAN and maintained in the procurement file.

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 (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 (unexpired) federally approved indirect cost rate is to 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 Office of the Chief Financial Officer (OCFO) Customer Service Center at 800–458–0786 or at 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 <https://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 that is eligible to use the *de minimis* rate 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) its 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.) For additional eligibility requirements, see the Part 200 Uniform Requirements, as set out at https://www.ecfr.gov/cgi-bin/text-idx?node=se2.1.200_1414&rgn=div8.

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

Every OJP applicant (other than an individual applying in his or her personal capacity) is required to download, complete, and submit the [OJP Financial Management and System of Internal Controls Questionnaire](https://ojp.gov/funding/Apply/Resources/FinancialCapability.pdf) (questionnaire) at <https://ojp.gov/funding/Apply/Resources/FinancialCapability.pdf> as part of its application. The questionnaire helps OJP assess the financial management and internal control systems, and the associated potential risks of an applicant as part of the preaward risk assessment process.

The questionnaire should only be completed by financial staff most familiar with the applicant's systems, policies, and procedures in order to ensure that the correct responses are recorded and submitted to OJP. The responses on the questionnaire directly impact the preaward risk assessment and should accurately reflect the applicant's financial management and internal controls system at the time of the application. The preaward risk assessment is only one of multiple factors and criteria used in determining funding. However, a preaward risk assessment that indicates that an applicant poses a higher risk to OJP may affect the funding decision and/or result in additional reporting requirements, monitoring, special conditions, withholding of award funds, or other additional award requirements.

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).

7. Disclosure of Lobbying Activities

Each applicant must complete and submit this information. An applicant that expends any funds for lobbying activities is to provide all of the information requested on the form Disclosure of Lobbying Activities (SF-LLL) at <https://ojp.gov/funding/Apply/Resources/Disclosure.pdf>. An applicant that does not expend any funds for lobbying activities is to enter “N/A” in the text boxes for item 10 (“a. Name and Address of Lobbying Registrant” and “b. Individuals Performing Services”).

8. Additional Attachments

a. Applicant Disclosure of Pending Applications⁹

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 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.

⁹ 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/Office of Community Oriented Policing Services (COPS)	COPS Hiring Program	Jane Doe, 202/000-0000; jane.doe@usdoj.gov
Health and Human Services/ Substance Abuse and 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. 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 is to 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 is to 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 also is to 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 is to 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 <https://www.grants.gov/web/grants/support.html>. 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.

Important Grants.gov update. Grants.gov has updated its application tool. The legacy PDF application package has been phased out and was retired on December 31, 2017. Grants.gov Workspace is now the standard application method for applying for grants. OJP applicants should familiarize themselves with the Workspace option now. For complete information and instructions on using Workspace (and other changes), go to the Workspace Overview page at <https://www.grants.gov/web/grants/applicants/workspace-overview.html>.

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 at <https://www.grants.gov/web/grants/manage-subscriptions.html>. 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. Attachments are also labeled to describe the file being attached (e.g., Project Narrative, Budget Narrative, Other, etc.).

Applicants must ensure that all required documents are attached in the correct Grants.gov category and are labeled correctly. Do not embed “mandatory” attachments within another file.

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
Upper case (A – Z)
Lower case (a – z)
Underscore (_)
Hyphen (-)
Space
Period (.)

Special Characters		
Parenthesis ()	Curly braces { }	Square brackets []
Ampersand (&)*	Tilde (~)	Exclamation point (!)
Comma (,)	Semicolon (;)	Apostrophe (‘)
At sign (@)	Number sign (#)	Dollar sign (\$)
Percent sign (%)	Plus sign (+)	Equal sign (=)

*When using the ampersand (&) in XML, applicants must use the “&” format.

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:

Unique Entity Identifier (DUNS Number) and System for Award Management

Every applicant entity must comply with all applicable SAM and unique entity identifier (currently, a DUNS number) requirements. SAM is the repository for certain standard information about federal financial assistance applicants, recipients, and subrecipients. A DUNS number is a unique nine-digit identification number provided by the commercial company Dun and Bradstreet. More detailed information about SAM and the DUNS number is in the numbered sections below.

If an applicant entity has not fully complied with the 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.

Registration and Submission Steps

- 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.

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. A DUNS number is usually received within 1–2 business days.

- 2. Acquire or maintain registration with SAM.** Any applicant for an OJP award creating a new entity registration in SAM.gov must provide an original, signed notarized letter stating that the applicant is the authorized Entity Administrator before the registration will be activated. To learn more about this process change, read the FAQs at <https://www.gsa.gov/about-us/organization/federal-acquisition-service/office-of-systems-management/integrated-award-environment-iae/sam-update>. Information about the notarized letter is posted at https://www.fsd.gov/fsd.gov/answer.do?sysparm_kbid=d2e67885db0d5f00b3257d321f96194b&sysparm_search=kb0013183.

All applicants for OJP awards (other than individuals) must maintain current registrations in the SAM database. Applicants will need the authorizing official of the organization and an EIN. 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 (2 more weeks to acquire an EIN).

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.

- 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 <https://www.grants.gov/web/grants/applicants/organization-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," and the funding opportunity number is OJJDP-2018-13564.
- 6. Access funding opportunity and application package from Grants.gov.** Select "Apply for Grants" under the "Applicants" column. Enter your email address to be notified of any changes to the opportunity package before the closing date. Click the Workspace icon to use Grants.gov Workspace.

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 May 30, 2018.

Go to <https://www.grants.gov/web/grants/applicants/organization-registration.html> 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 its control that prevent it from submitting its application by the deadline must contact the Grants.gov Customer Support Hotline at <https://www.grants.gov/web/grants/support.html> or the SAM Help Desk (Federal Service Desk) at <https://www.fsd.gov/fsd-gov/home.do> to report the technical issue and receive a tracking number. The applicant must email the Response Center at grants@ncjrs.gov **within 24 hours after the application deadline** to request approval to submit its application after the deadline. 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 at <https://ojp.gov/funding/index.htm>.

E. Application Review Information

Review Criteria

Applications that meet basic minimum requirements will be evaluated by peer reviewers using the following review criteria. Each individual criterion is assigned a different weight based on the percentage value listed. For example, the first criterion, Statement of the Problem and Research Questions, is worth 15 percent of the score in the assessment of the application's technical merit.

Statement of the Problem and Research Questions (Understanding of the problem, research questions, and their importance) – 15%

1. Demonstrated understanding of the problem.
2. Demonstrated importance of the research questions, goals, and objectives, including alignment with the aims of the solicitation.
3. 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.
4. Likelihood of the proposed research to address the key objectives outlined under the Program-Specific Information (pages 4–6) and the Goals, Objectives, Deliverables, and Expected Scholarly Products (pages 6–11) sections.

Potential Impact – 20%

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

1. Potential for significantly improved understanding of the stated criminal/juvenile justice problem.
2. Potential for innovative solution to address (all or a significant part of) the stated criminal/juvenile justice problem.
3. Plan for and feasibility of completing the deliverables noted in the solicitation.

4. Potential for project to lead to useful, timely, and reliable national and state-level statistics on juveniles in out-of-home placement and the facilities in which they are held

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 implement the proposed strategies and manage the effort.
3. Relationship between the capabilities/competencies of the proposed project staff (including the applicant organization) and the scope and strategies 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 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 the applicant.

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 applicant’s management systems, and the 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 for research and statistics programs 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, 2018. 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 log in; 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 and submission 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 and regulations (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 - FY 2018 Awards](#),” available in the OJP Funding Resource Center at <https://ojp.gov/funding/index.htm>. 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. (An applicant is not required to submit these documents as part of an application.)

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

The webpages accessible through the “[Overview of Legal Requirements Generally Applicable to OJP Grants and Cooperative Agreements - FY 2018 Awards](#)” 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 2018. 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.

As stated above, OJJDP expects that it will make any award under this solicitation in the form of a cooperative agreement. Cooperative agreements include a condition in the award document that sets out the nature of the “substantial federal involvement” in carrying out the award and program. Generally stated, under OJP cooperative agreement awards, responsibility for the day-to-day conduct of the funded project rests with the recipient. OJP, however, may have substantial involvement in matters such as substantive coordination of technical efforts and site selection, as well as review and approval of project work plans, research designs, data collection instruments, and major project-generated materials. In addition, OJP often indicates in the award terms and conditions that it may redirect the project if necessary.

In addition to a condition that sets out the nature of the anticipated “substantial federal involvement” in the award, cooperative agreements awarded by OJP include a condition that requires specific reporting in connection with conferences, meetings, retreats, seminars, symposia, training activities, or similar events funded under the award.

OJJDP's role will include the following tasks:

- Reviewing and approving major work plans, including changes to such plans, and key decisions pertaining to project operations.
- Reviewing and approving major project-generated documents and materials used to provide project services.
- Providing guidance in significant project planning meetings and participating in project-sponsored training events or conferences.

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, semi-annual 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/. 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 webpage at <https://ojp.gov/funding/FAPIIS.htm>.

Data on performance measures. In addition to required reports, an award recipient 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 award recipient, post award, to provide performance data as part of regular progress reporting. Successful applicants will be required to access OJP’s performance measurement page at www.ojp.gov/performance to view the specific reporting requirements for this grant program.

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.

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@l-secb.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 2018 Redesign Study of OJJDP's Juveniles in Corrections Data Collections

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 32)

_____ Acquire or renew registration with SAM (see page 33)

To Register with Grants.gov:

_____ Acquire AOR and Grants.gov username/password (see page 33)

_____ Acquire AOR confirmation from the E-Biz POC (see page 33)

To Find Funding Opportunity:

_____ Search for the funding opportunity on Grants.gov (see page 33)

_____ Access Funding Opportunity and Application Package (see page 33)

_____ Sign up for Grants.gov [email](#) notifications (optional) (see page 31)

_____ 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 (see page 15)

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 33)

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 34)

_____ Contact the Response Center at 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 34)

Overview of Post-Award Legal Requirements:

_____ Review the [Overview of Legal Requirements Generally Applicable to OJP Grants and Cooperative Agreements - FY 2018 Awards](#) in the OJP Funding Resource Center at <https://ojp.gov/funding/index.htm>.

Scope Requirement:

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

Eligibility Requirement: See title page.

What an Application Should Include:

- _____ Application for Federal Assistance (SF-424) (see page 17)
- _____ Project Abstract (if applicable) (see page 17)
- _____ Program Narrative (see page 18)
- _____ Budget Detail Worksheet (see page 23)
- _____ Budget Narrative (see page 24)
- _____ Indirect Cost Rate Agreement (if applicable) (see page 26)
- _____ Financial Management and System of Internal Controls Questionnaire (see page 27)
- _____ [Disclosure of Lobbying Activities \(SF-LLL\)](#) (see page 28)
- _____ Appendices (see page 22)
 - _____ Bibliography/references
 - _____ Tools/instruments/questionnaires/tables
 - _____ Résumés of all key personnel
 - _____ Organizational chart
 - _____ List of all individuals named in application
 - _____ Proposed noncompetitive procurement contracts (if applicable)
 - _____ Timeline and milestones chart
 - _____ Human Subjects and Privacy Certificates
 - _____ List of previous and current OJJDP awards (if applicable)
 - _____ List of other agencies, organizations, or funding sources to which this application has been submitted
 - _____ Letters of support/memoranda of understanding from partner organizations

- _____ 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 15)