



The U.S. Department of Justice (DOJ), Office of Justice Programs (OJP), National Institute of Justice (NIJ) is pleased to announce that it is seeking applications for funding to examine issues related to the criminal justice system, specifically events that occur post-arrest. This program furthers the Department's mission by sponsoring research to provide objective, independent, evidence-based knowledge and tools to meet the challenges of crime and justice, particularly at the State and local levels.

Solicitation: Research and Evaluation in Justice Systems

Eligibility

In general, NIJ is authorized to make grants to, or enter into contracts or cooperative agreements with, States (including territories), units of local government (including federally-recognized Indian tribal governments as determined by the Secretary of the Interior), nonprofit and for-profit organizations (including tribal nonprofit and profit organizations), institutions of higher education (including tribal institutions of higher education), and certain qualified individuals. For-profit organizations must agree to forgo any profit or management fee. Foreign governments, foreign organizations, and foreign institutions of higher education are not eligible to apply.

Deadline

Registration with Grants.gov is required prior to application submission. (See "How to Apply," page 9.)

All applications are due by 11:59 p.m. eastern time on March 17, 2011. (See "Deadlines: Registration and Application," page 3.)

Contact Information

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

Note: The Grants.gov Support Hotline hours of operation are 24 hours a day, 7 days a week, except Federal holidays.

For assistance with any other requirement of this solicitation, contact Marilyn C. Moses, Social Science Analyst, for the impact of incarceration on families and for prison closings, at 202-514-6205 or by e-mail to Marilyn.Moses@usdoj.gov; or Laurie Bright, Senior Social Science Analyst, for research on automated reporting systems, at 202-616-3624 or by e-mail to Laurie.Bright@usdoj.gov.

Grants.gov number assigned to announcement: NIJ-2011-2825

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Research and Evaluation in Justice Systems (CFDA 16.560)

Overview

This solicitation seeks proposals to examine topics relevant to State and/or local criminal and juvenile justice systems policy and practice. Specific focus areas under this solicitation for Fiscal Year (FY) 2011 include: a multi-State study on the impact of incarceration on families of adults confined to penal institutions; a national study on State budget shortfalls and prison closings; and multi-jurisdiction research on automated reporting systems and kiosk supervision. Application titles should clearly denote the specific focus area selected.

Applications addressing other areas of research related to criminal and/or juvenile justice systems policy and practice also may be considered. However, applicants are strongly encouraged to consider NIJ's stated priority areas as they are outlined in this solicitation.

Authorizing Legislation: Title I of the Omnibus Crime Control and Safe Streets Act of 1968 (sections 201 and 202).

Deadlines: Registration and Application

Registration is required prior to submission. OJP strongly encourages registering with Grants.gov several weeks before the deadline for application submission. The deadline for applying for funding under this announcement is 11:59 p.m. eastern time on March 17, 2011. Please see the "How to Apply" section, page 9, for more details.

Eligibility

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

Program-Specific Information—Research and Evaluation in Justice Systems

A Multi-State Study on the Impact of Incarceration on Families of Adults Confined to Penal Institutions

NIJ solicits a multi-State study (minimum of four States examined in a single study) on the impact of incarceration on families of adults confined to penal institutions using data those institutions and other organizations gather during day-to-day operations, such as administrative or other data sources or collection methods. NIJ is especially interested in data collected from States with distinctly different racial and ethnic demographics. Relatively little is known about the impact of incarceration on families of adults confined to penal institutions. Additionally, families of adults confined to penal institutions typically have, or have had, contact with systems other than the criminal justice system, such as juvenile justice, mental health, public health, child welfare, and education systems. Families' involvement in these systems is of significant research and policy interest to the criminal justice field. Operational or administrative datasets provide a cost-effective opportunity to explore intersections among the various systems and the

criminal justice implications of those intersections, including for crime prevention. Understanding involvement in and use of these systems could enhance coordination and efficiency, improve criminal justice outcomes, and generate valuable information for criminal justice researchers, policymakers, and practitioners.

Administrative data (principally State-level data) or other data sources should be analyzed to explore the impact of incarceration on the families of adults confined to penal institutions. Factors that may be explored include: individual and family characteristics; child maltreatment; school stability and academic performance; the role of child placement; the role and interventions of social welfare systems within families; offender and family involvement in medical or mental health systems; offender rehabilitation and reunification with the family; and offender employment outcomes.

The successful applicant will be expected to produce a variety of audience-specific research and policy briefs, as well as their recommendations for criminal justice practice, based on study findings. Other standard deliverables described in this solicitation apply.

A National Study on State Budget Shortfalls and Prison Closings

The corrections system in the United States has experienced an unprecedented expansion during the last few decades, with a more than 400 percent jump in the prison population and a corresponding growth in institutional construction. At the end of 2008, 2.3 million adults were in Federal, State, and local custody, with another 5.1 million on probation and parole. This historic rise in incarceration has had broad implications, not just for the criminal justice system, but for the larger economy. At the end of 2008, about 770,000 people worked in the corrections sector. From 1982 to 2002, Federal and State spending on corrections, not adjusted for inflation, rose by 423 percent, from \$40 to \$209 per U.S. resident. Corrections spending as a share of State budgets rose faster than health care, education, and natural resources spending from 1986 to 2001.¹ This growth of corrections has also had other impacts.

State correctional systems are in stress—some States have found that they have overbuilt and some institutions are now underused.² Others have encountered massive budget shortfalls, intensified by the recession that began at the end of 2007. At least 26 States cut corrections spending for FY 2010. This has resulted in dramatic fiscal cutbacks necessitating layoffs, furloughs, releasing nonviolent prisoners, changing sentencing laws, releasing geriatric and chronically ill offenders to reduce health care costs, selling public correctional institutions to private firms, prison renovations, and prison closings.

NIJ seeks a national³ study on prison closings and alternative strategies employed by State correctional systems for dealing with massive State budget shortfalls. Factors that may be explored include:

¹ Suzanne M. Kirchoff, *Economic Impacts of Prison Growth*, Washington, DC: Congressional Research Service, 2010.

² Ibid.

³ Defined as having national implications; applicants may propose methods that involve all 50 States or nationally representative samples.

- Impacts on Institutional Operations.
 - Changes in institutional programming
 - Specific populations, such as geriatric and chronically ill offenders, offenders with mental illnesses, and female offenders
 - Inmate transfers between institutions
 - Institutional crowding and violence
 - Furloughs, layoffs, and other human resource impacts (e.g., inmate and corrections staff safety)
- Impacts on Policy.
 - Public safety (e.g., potential surges in criminal offending, arrests resulting from releases of inmates)
 - Sentencing policy changes
 - Criteria for and scope of inmate release
 - Changes in contracting strategies or policies
- Impacts on Probation and Parole Agencies.
 - Probation and parole caseloads

The successful applicant will assess the short-term public safety and economic impacts of prison closings on State corrections systems and will propose a research design to assess the long-term impact on State corrections systems, especially in those States that have closed prisons in order to deal with fiscal crises or declining corrections populations. Other standard deliverables described in this solicitation apply.

Multi-Jurisdiction Research on Automated Reporting Systems: Kiosk Supervision

NIJ seeks research to identify effective and cost efficient supervision practices in community corrections. Specifically, applications are solicited for funding to support one or more awards that will examine kiosk automated reporting systems in the United States. Each research proposal should include at least several kiosk systems that are funded through different jurisdictions so that the information collected will provide the supervision field with a more varied picture than previous studies that looked at only one kiosk system. Applicants are expected to explain how they chose the particular kiosk systems that appear in their proposal and to provide letters of support from the supervision offices responsible for these kiosk systems.

Kiosk supervision has been implemented in a number of jurisdictions, but no research has examined implementation, cost effectiveness, impact, and outcomes of this supervision strategy beyond single-State or jurisdiction assessments.⁴ Although a few assessments of kiosk reporting suggest these systems can improve offender outcomes and save resources for corrections agency supervision offices, more comprehensive and rigorous research and evaluation is needed across multiple jurisdictions.

This research project has two objectives. The first objective is to conduct an implementation and cost effectiveness assessment of each kiosk system. The resulting information will provide the

⁴ Rosalyn Baker. December 2007. *Automated Kiosk Reporting For Offenders. FL: Unpublished document*; pp. 1–13. www.fdle.state.fl.us/Content/getdoc/01da8494-55f5-4045-b20d-ac42503724af/Baker-rosalyn-final-paper.aspx; Ed Rarick and Randall M. Kahan. August 2009. On Prison Kiosks, Inmates Learn Job Search Skills. *Corrections Today* 71(3): 32–37. American Correctional Association.; James A. Wilson, Wendy Naro, and James F. Austin. July 2007. *Innovations In Probation: Assessing New York City's Automated Reporting System*. Washington, DC: The JFA Institute. www.nyc.gov/html/prob/downloads/pdf/kiosk_report_2007.pdf.

basis for a practical guidebook that other jurisdictions may use in making decisions about whether to adopt a kiosk supervision system. NIJ expects implementation and cost effectiveness assessments to include information about:

- Costs to train personnel who will use this technology and what types of training may be needed. The guidebook should suggest the amount and type of resources that are needed for training and support.
- Real or possible compatibility issues between various kiosk systems and corrections agencies' databases.
- Cost considerations, such as how much money will be required up front for kiosk hardware, the amount of fees that can realistically be collected from offenders to support the kiosk system, and how much money will be saved by the agency over time.

The second objective is to compare, in each kiosk system, the impact and outcome of this tool on offenders assigned to this supervision strategy versus those offenders who are not assigned to kiosk supervision. NIJ expects the impact and outcome assessment to include findings about:

- Offenders' employment and housing stability.
- Probation/parole violations and other recidivism measures.
- Extent to which kiosks free corrections officers' time for other tasks.
- Extent to which particular kiosk functions might be effective for use with high risk offenders.
- Extent to which specific kiosk features are needed to deal with special populations, such as sex offenders.

Applicants should read the section of this solicitation titled "Evaluation research," below, for additional considerations in developing methods for their proposed study.

Deliverables expected at the conclusion of this research project include a practical guidebook of implementation and cost considerations for other jurisdictions to use when considering kiosk implementation, as well as a final technical report that addresses (for each jurisdiction and across jurisdictions) implementation, cost effectiveness, impact and outcome findings, and implications for the criminal justice field and future research endeavors. Applicants should suggest other dissemination vehicles, beyond the practical guidebook, for the findings resulting from this project. Other standard deliverables as described in this solicitation apply.

Amount and length of awards: NIJ anticipates that, for this solicitation, up to \$1 million may become available for one award under a multi-state study on the impact of incarceration on families of adults confined to penal institutions; up to \$1 million may become available for one award under a national study on state budget shortfalls and prison closings; and up to \$1 million may become available for one or more awards under multi-jurisdiction research on automated reporting systems: kiosk supervision. **All awards are subject to the availability of appropriated funds and to any modifications or additional requirements that may be imposed by law.**

Applicants should be aware that the total period for an award ordinarily will not exceed 3 years.

Evaluation research: Within applications proposing evaluation research, funding priority will be given to experimental research designs that use random selection and assignment of participants to experimental and control conditions. When randomized designs are not feasible, priority will be given to quasi-experimental designs that include contemporary procedures such as Propensity Score Matching or Regression Discontinuity Design to address selection bias in evaluating outcomes and impacts.

Evaluations that also include measurements of program fidelity and implementation as part of a thorough process assessment are desirable. Measurements of program fidelity should be included as part of an assessment of program processes and operations to ensure that policies, programs, and technologies are implemented as designed. As one aspect of a comprehensive evaluation, assessments of program processes should include objective measurements and qualitative observations of programs as they are actually implemented and of services that are delivered. These may include assessment of such aspects as adherence to program content and protocol, quantity and duration, quality of delivery, and participant responsiveness.

Proposed evaluation research designs with multiple units of analysis and multiple measurements will also be given priority. Design aspects that contribute to the validity of results are necessary to effectively address issues of generalizability and representativeness of findings.

Finally, applications that include cost/benefit analysis will be given priority. NIJ views cost/benefit analysis as an effective way to communicate and disseminate findings from evaluation research.

Please note: All applicants under this solicitation must comply with Department of Justice regulations on confidentiality and human subjects' protection. See "Other Requirements for OJP Applications" at www.ojp.usdoj.gov/funding/other_requirements.htm.

What will not be funded:

1. Provision of training or direct service.
2. Proposals primarily to purchase equipment, materials, or supplies. (The budget may include these items if they are necessary to conduct applied research, development, demonstration, evaluation, or analysis.)
3. Work that will be funded under another specific solicitation.
4. Proposals that do not contain a research component or do not respond to the specific goals of this solicitation.

Budget Information

Limitation on Use of Award Funds for Employee Compensation; Waiver: With respect to any award of more than \$250,000 made under this solicitation, Federal funds may not be used to pay total cash compensation (salary plus bonuses) to any employee of the award recipient at a rate that exceeds 110% of the maximum annual salary payable to a member of the Federal Government's Senior Executive Service (SES) at an agency with a Certified SES Performance Appraisal System for that year. (The 2010 salary table for SES employees is available at www.opm.gov/oca/10tables/indexSES.asp.) Note: A recipient may compensate an employee at a higher rate, provided the amount in excess of this compensation limitation is paid with non-Federal funds. (Any such additional compensation will not be considered matching funds where match requirements apply.)

The limitation on compensation rates allowable under an award may be waived on an individual basis at the discretion of the Director of the National Institute of Justice. An applicant that wishes to request a waiver must include a detailed justification in the budget narrative of its application. Unless the applicant submits a waiver request and justification with the application, the applicant should anticipate that OJP will request the applicant to adjust and resubmit its budget.

The justification should include: the particular qualifications and expertise of the individual, the uniqueness of the service being provided, the individual's specific knowledge of the program or project being undertaken with award funds, and a statement explaining that the individual's salary is commensurate with the regular and customary rate for an individual with his/her qualifications and expertise, and for the work that is to be done.

Match Requirement: See "Cofunding" paragraph under "What an Application Should Include" (below).

Performance Measures

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

Objective	Performance Measure(s)	Data Grantee Provides
Develop and analyze information and data having clear implications for criminal justice policy and practice in the United States.	<ol style="list-style-type: none"> 1. Relevance to the needs of the field as measured by whether the grantee's substantive scope did not deviate from the funded proposal or any subsequent agency modifications to the scope. 2. Quality of the research as assessed by peer reviewers. 3. Quality of management as measured by whether significant interim project milestones were achieved, final deadlines were met, and costs remained within approved limits. 4. If applicable, number of NIJ final grant reports, NIJ research documents, and grantee research documents published. 	<ol style="list-style-type: none"> 1. A final report providing a comprehensive overview of the project and a detailed description of the project design, data, and methods; a full presentation of scientific findings; and a thorough discussion of the implications of the project findings for criminal justice practice and policy in the United States. 2. Quarterly financial reports, semi-annual progress reports, and a final progress report. 3. If applicable, each data set that was collected, acquired, or modified in conjunction with the project. 4. If applicable, citation to report(s)/document(s).

Submission of performance measures data is not required for the application. Instead, applicants should discuss in their applications their proposed methods for collecting data for performance measures. Please refer to the section “What an Application Should Include” (below) for additional information.

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

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

Notice of New Post-Award Reporting Requirements

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

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

How to Apply

Applications will be submitted through Grants.gov. Grants.gov is a “one-stop storefront” that provides a unified process for all customers of Federal awards to find funding opportunities and apply for funding. Complete instructions on how to register and submit an application can be found at www.Grants.gov. If the applicant experiences technical difficulties at any point during this process, please call the Grants.gov Customer Support Hotline at **800-518-4726**, 24 hours a day, 7 days a week, except Federal holidays. Registering with Grants.gov is a one-time

process; however, **processing delays may occur, and it can take up to several weeks** for first-time registrants to receive confirmation and a user password. OJP highly recommends that applicants start the registration process as early as possible to prevent delays in submitting an application package by the specified application deadline.

All applicants are required to complete the following steps:

1. **Acquire a DUNS number.** A DUNS number is required for Grants.gov registration. In general, the Office of Management and Budget requires that all applicants (other than individuals) for Federal funds include a DUNS (Data Universal Numbering System) number in their applications for a new award or renewal of an existing award. A DUNS number is a unique nine-digit sequence recognized as the universal standard for identifying and keeping track of entities receiving Federal funds. The identifier is used for tracking purposes and to validate address and point of contact information for Federal assistance applicants, recipients, and subrecipients. The DUNS number will be used throughout the grant life cycle. Obtaining a DUNS number is a free, one-time activity. Obtain a DUNS number by calling Dun and Bradstreet at 866-705-5711 or by applying online at www.dnb.com. Individuals are exempt from this requirement.
2. **Acquire or renew registration with the Central Contractor Registration (CCR) database.** OJP requires that all applicants (other than individuals) for Federal financial assistance maintain current registrations in the Central Contractor Registration (CCR) database. An applicant must be registered in the CCR to successfully register in Grants.gov. The CCR database is the repository for standard information about Federal financial assistance applicants, recipients, and subrecipients. Organizations that have previously submitted applications via Grants.gov are already registered with CCR, as it is a requirement for Grants.gov registration. Please note, however, that applicants must **update or renew their CCR registration annually** to maintain an active status. Information about CCR registration procedures can be accessed at www.ccr.gov.
3. **Acquire an Authorized Organization Representative (AOR) and a Grants.gov username and password.** Complete the AOR profile on Grants.gov and create a username and password. The applicant organization's DUNS Number must be used to complete this step. For more information about the registration process, go to www.grants.gov/applicants/get_registered.jsp.
4. **Acquire confirmation for the AOR from the E-Business Point of Contact (E-Biz POC).** The E-Biz POC at the applicant organization must log into Grants.gov to confirm the applicant organization's AOR. Please note that there can be more than one AOR for the organization.
5. **Search for the funding opportunity on Grants.gov.** Please use the following identifying information when searching for the funding opportunity on Grants.gov. The Catalog of Federal Domestic Assistance (CFDA) number for this solicitation is 16.560, titled "National Institute of Justice Research, Evaluation, and Development Project Grants," and the funding opportunity number is NIJ-2011-2825.
6. **Submit an application consistent with this solicitation by following the directions in Grants.gov.** Within 24-48 hours after submitting the electronic application, the applicant should receive an e-mail validation message from Grants.gov. The validation

message will state whether the application has been received and validated, or rejected, with an explanation. **Important:** Applicants are urged to submit applications **at least 72 hours prior** to the due date of the application to allow time to receive the validation message and to correct any problems that may have caused a rejection notification.

Note: Grants.gov will forward the application to OJP's Grants Management System (GMS). GMS does not accept executable file types as application attachments. These disallowed file types include, but are not limited to, the following extensions: ".com," ".bat," ".exe," ".vbs," ".cfg," ".dat," ".db," ".dbf," ".dll," ".ini," ".log," ".ora," ".sys," and ".zip."

Experiencing Unforeseen Grants.gov Technical Issues

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

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

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

What an Application Should Include

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

Moreover, applicants should anticipate that some application elements are so critical that applications unresponsive to the scope of the solicitation, or that do not include a program narrative, budget detail worksheet including a budget narrative, and resumes/curriculum vitae of key personnel will neither proceed to peer review nor receive further consideration.

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

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

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

2. **Program Narrative**

The program narrative section of the application should not exceed 30 double-spaced pages in 12-point font with 1-inch margins. Abstract, table of contents, charts, figures, appendices, and government forms do not count toward the 30-page limit for the narrative section.

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

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 applicant's name and complete contact information (i.e., name, address, telephone number, and e-mail address).
- b. **Project Abstract** (not counted against the 30-page program narrative limit).
The 400 to 600-word abstract should state the problem under investigation (including research goals and objectives) and the anticipated relevance of the project to criminal justice public policy, practice, or theory. It should describe the proposed method and/or research design, including data to be used in addressing research questions, data collection procedures and instrumentation, access to data, and other methods or procedures of the proposed study. It should also describe procedures for data analysis and all expected products, including interim and final reports, instrumentation, and devices. If applicable, it should describe the subjects who will be involved in the proposed project, including the number of participants; participants' age, gender, and race/ethnicity; and other pertinent characteristics, such as methods used to gain access to subjects.
- c. **Resubmit Response** (if applicable) (not counted against the 30-page program narrative limit). If an applicant is resubmitting a proposal that was presented previously to NIJ, but not funded, the applicant should indicate this. A statement should be provided, no more than two pages, addressing: (1) the title, submission date, and NIJ-assigned application number of the previous proposal, and (2) a brief summary of revisions to the proposal. This document should be inserted after the abstract.
- d. **Table of Contents and Figures** (not counted against the 30-page program narrative limit).

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

- Statement of the Problem.
- Project/Program Design and Implementation.
- Capabilities/Competencies.
- Impact/Outcomes and Evaluation.
- Plan for Collecting the Data Required for This Solicitation's Performance Measures. **Note:** Submission of performance measures data is not required for the application. Performance measures are included as an alert that successful applicants will be required to submit specific data to NIJ as part of their reporting requirements. For the application, the applicant should indicate an understanding of these requirements and discuss how the applicant will gather the required data, should the applicant receive funding.
- Dissemination Strategy.

Note: Within these sections, the narrative should address:

- Purpose, goals, and objectives.
- Review of relevant literature.
- Detailed description of research design and methods to include: research questions, hypotheses, description of sample, analysis plan, etc.
- Implications for criminal justice policy and practice in the United States.
- Management plan and organization.

f. **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 study.
- Curriculum vitae, resumes or biographical sketches of key personnel.
- Project timeline and research calendar with expected milestones.
- Research independence and integrity (see "Selection Criteria," below).
- Human Subjects Protection Paperwork including Institutional Review Board (IRB) documentation and forms (see www.ojp.gov/nij/funding/humansubjects/human-subjects.htm).
- Privacy Certificate (for further guidance go to www.ojp.gov/nij/funding/humansubjects/privacy-certificate-guidance.htm).
- List of previous and current NIJ awards to applicant organization and investigator(s).
- Letters of cooperation/support or administrative agreements from organizations collaborating in the project, such as law enforcement and correctional agencies (if applicable).
- List of other agencies, organizations, or funding sources to which this proposal has been submitted (if applicable).

- Other materials specified by the solicitation.
- Data Archiving Strategy (see descriptive paragraph below).

Data Archiving Strategy: NIJ requires that each data set resulting from funded research be submitted as a grant product or deliverable for archiving with the National Archive of Criminal Justice Data. (Data sets are to be submitted 90 days before the end of the project period.) Applicants for NIJ research grants are strongly encouraged to include a brief (one- or two-page) data archiving strategy. For purposes of research replication and extension, the inclusion of only the final data set often prevents other researchers from replicating or extending the study because there are no original data, intermediate data, or documentation detailing how the data changed throughout the project. This data archiving strategy therefore should briefly describe the—

- Anticipated manipulations of original, intermediate, and final data sets (as applicable).
- Methods of documentation of such manipulations.
- Preparation of original, intermediate, and final data sets for archive submission.

The data archiving strategy should be submitted as an appendix to the application and will not count toward the 30-page limit. Please label this appendix “Data Archiving Strategy.”

3. Budget Detail Worksheet and Budget Narrative

a. Budget Detail Worksheet

A sample Budget Detail Worksheet can be found at www.ojp.gov/funding/forms/budget_detail.pdf. If the budget is submitted in a different format, the budget categories listed in the sample budget worksheet should be included.

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

b. Budget Narrative

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

Cofunding: A grant made by NIJ under this solicitation may account for up to 100 percent of the total cost of the project. The application should indicate whether it is feasible for the applicant to contribute cash, facilities, or services as non-Federal support for the project. The application should identify generally any such

contributions that the applicant expects to make and the proposed budget should indicate in detail which items, if any, will be supported with non-Federal contributions.

4. Indirect Cost Rate Agreement (if applicable)

Indirect costs are allowed only if the applicant has a federally approved indirect cost rate. (This requirement does not apply to units of local government.) A copy of the rate approval should be attached. If the applicant does not have an approved rate, one can be requested by contacting the applicant's cognizant Federal agency, which will review all documentation and approve a rate for the applicant organization or, if the applicant's accounting system permits, costs may be allocated in the direct cost categories. If DOJ is the cognizant Federal agency, obtain information needed to submit an indirect cost rate proposal at www.ojp.usdoj.gov/financialguide/part3/part3chap17.htm.

5. Tribal Authorizing Resolution (if applicable)

If an application is being submitted by either (1) a tribe or tribal organization or (2) a third party proposing to provide direct services or assistance to residents on tribal lands, then a current authorizing resolution of the governing body of the tribal entity or other enactment of the tribal council or comparable governing body authorizing the inclusion of the tribe or tribal organization and its membership should be included with the application. In those instances when an organization or consortium of tribes proposes to apply for a grant on behalf of a tribe or multiple specific tribes, then the application should include a resolution from all tribes that will be included as a part of the services/assistance provided under the grant. A consortium of tribes for which existing consortium bylaws allow action without support from all tribes in the consortium (i.e., without authorizing resolution or other enactment of each tribal governing body) may submit a copy of its consortium bylaws with the application in lieu of tribal resolutions.

6. Other Standard Forms

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

- a. Certifications Regarding Lobbying; Debarment, Suspension and Other Responsibility Matters; and Drug-Free Workplace Requirements (required to be submitted in GMS prior to the receipt of any award funds)
- b. Disclosure of Lobbying Activities (required for any applicant that expends any funds for lobbying activities; this form must be downloaded, completed, and then uploaded)
- c. Accounting System and Financial Capability Questionnaire (required for any applicant other than an individual that is a non-governmental entity and that has not received any award from OJP within the past 3 years; this form must be downloaded, completed, and then uploaded)
- d. Standard Assurances (required to be submitted in GMS prior to the receipt of any award funds)

Selection Criteria

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

Project/Program Design and Implementation (Quality and technical merit)—25%

1. Awareness of the state of current research or technology.
2. Soundness of methods and analytic and technical approach.
3. Feasibility of proposed project and awareness of pitfalls.
4. Innovation and creativity (when appropriate).

Capabilities/Competencies (Capabilities, demonstrated productivity, and experience of applicants)—15%

1. Qualifications and experience of proposed staff.
2. Demonstrated ability of proposed staff and organization to manage the effort.
3. Adequacy of the plan to manage the project, including how various tasks are subdivided and resources are used.
4. Successful past performance on NIJ grants and contracts (when applicable).

Budget—20%

1. Total cost of the project relative to the perceived benefit.
2. Appropriateness of the budget relative to the level of effort.
3. Use of existing resources to conserve costs.

Impact/Outcomes and Evaluation (Relevance to policy and practice)—20%

1. Potential for significant advances in scientific or technical understanding of the problem.
2. Potential for significant advances in the field.
3. Relevance for improving the policy and practice of criminal justice and related agencies in the United States and improving public safety, security, and quality of life.
4. Affordability and cost-effectiveness of proposed products, when applicable (e.g., purchase price and maintenance costs for a new technology or cost of training to use the technology).

Relevance of the project for policy and practice in the United States

Higher quality applications clearly explain the practical implications of the project. They connect technical expertise with criminal justice policy and practice. To ensure that the project has strong relevance for policy and practice, some researchers and technologists collaborate with practitioners and policymakers. The application may include letters showing support from practitioners, but they carry less weight than clear evidence of the applicant's understanding of how policymakers and practitioners can best use and benefit from the proposed work. While a partnership may affect State or local activities, it should also have broader implications for other communities nationwide.

Dissemination Strategy—10%

1. Well-defined plan for the grant recipient to disseminate results to appropriate audiences, including researchers, practitioners, and policymakers.

2. Suggestions for print and electronic products NIJ should consider developing for practitioners and policymakers.
3. If applicable, a clear strategy leading to the adoption into practice of any equipment or software.

Research Independence and Integrity

Regardless of a proposal's rating under the criteria outlined above, in order to receive funds, the applicant's proposal must demonstrate research independence, including appropriate safeguards to ensure research objectivity and integrity.

For purposes of this solicitation, research independence and integrity pertains only to ensuring that the design, conduct, or reporting of research funded by NIJ grants, cooperative agreements, or contracts will not be biased by any financial interest on the part of the investigators responsible for the research or on the part of the applicant.

In the appendix dealing with research independence and integrity, the applicant must explain the process and procedures that the applicant has put in place to identify and manage potential financial conflicts of interest on the part of its staff, consultants, and/or subrecipients. It must also identify any potential organizational financial conflicts of interest on the part of the applicant with regard to the proposed research. If the applicant believes that there are no potential organizational financial conflicts of interest, the applicant must provide a brief narrative explanation of why it believes that to be the case.

Where potential organizational financial conflicts of interest exist, in the appendix the applicant must identify the safeguards the applicant has put in place to address those conflicts of interest.

Considerations in evaluating research independence and integrity will include, but may not be limited to, the adequacy of the applicant's efforts to identify factors that could affect the objectivity/integrity of the proposed staff and/or the organization in carrying out the research, development, or evaluation activity; and the adequacy of the applicant's existing or proposed remedies to control any such factors.

Review Process

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

Peer reviewers will review the applications submitted under this solicitation that meet basic minimum requirements. NIJ may use either internal peer reviewers, external peer reviewers, or a combination to review the applications under this solicitation. An external peer reviewer is an expert in the field of the subject matter of a given solicitation who is NOT a current U.S. Department of Justice employee. An internal reviewer is a current U.S. Department of Justice employee who is well-versed or has expertise in the subject matter of this solicitation. Eligible applications will be evaluated, scored, and rated by a peer review panel. Peer reviewers' ratings and any resulting recommendations are advisory only. In addition to peer review ratings, considerations for award recommendations and decisions may include, but are not limited to, underserved populations, geographic diversity, strategic priorities, past performance, and available funding.

The Office of the Chief Financial Officer (OCFO), in consultation with NIJ, conducts a financial review of applications for potential discretionary awards to evaluate the fiscal integrity and financial capability of applicants; examines proposed costs to determine if the budget detail worksheet and budget narrative accurately explain project costs; and determines whether costs are reasonable, necessary, and allowable under applicable Federal cost principles and agency regulations.

All final award decisions will be made by the Director of the National Institute of Justice, who also may give consideration to factors including, but not limited to, underserved populations, geographic diversity, strategic priorities, past performance, and available funding when making awards.

Additional Requirements

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

- Civil Rights Compliance
- Faith-Based and Other Community Organizations
- Confidentiality
- Research and the Protection of Human Subjects
- Anti-Lobbying Act
- Financial and Government Audit Requirements
- National Environmental Policy Act (NEPA)
- DOJ Information Technology Standards (if applicable)
- Single Point of Contact Review
- Non-Supplanting of State or Local Funds
- Criminal Penalty for False Statements
- Compliance with Office of Justice Programs Financial Guide
- Suspension or Termination of Funding
- Nonprofit Organizations

- For-profit Organizations
- Government Performance and Results Act (GPRA)
- Rights in Intellectual Property
- Federal Funding Accountability and Transparency Act (FFATA) of 2006
- Awards in Excess of \$5,000,000 – Federal Taxes Certification Requirement
- Active CCR Registration

If the proposal is funded, the award recipient will be required to submit several reports and other materials, including:

Final substantive report: The final report should be a comprehensive overview of the project and should include a detailed description of the project design, data, and methods; a full presentation of scientific findings, placed in the context of existing literature; a thorough discussion of the implications of the project findings for criminal justice practice and policy in the United States; etc. It must contain an abstract of no more than 600 words and an executive summary of 2,500 to 4,000 words.

A draft of the final report, abstract, and executive summary must be submitted 90 days before the end date of the grant. The draft final report will be peer reviewed upon submission. The reviews will be forwarded to the principal investigator with suggestions for revisions. The author must then submit the revised final report, abstract, and executive summary by the end date of the grant. The abstract, executive summary, and final report must be submitted in electronic format.

Interim reports: Grantees must submit quarterly financial reports, semi-annual progress reports, a final progress report, and, if applicable, an annual audit report in accordance with Office of Management and Budget Circular A-133. Future awards and fund drawdowns may be withheld if reports are delinquent.

Data sets: NIJ requires submission of all data sets (original, intermediate, and final) produced or collected for the funded project, and any artifact associated with the project data. Included with the final sets of data should be the plan outlined in the Data Archiving Strategy section of the proposal.

Application Checklist

Research and Evaluation in Justice Systems

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

What an Application Should Include:

- Application for Federal Assistance (SF-424) (see page 12)
- Program Narrative (see page 12)
- Appendices to the Program Narrative (see page 13)
 - Bibliography/references
 - Any tools/instruments, questionnaires, tables/charts/graphs, or maps pertaining to the proposed study
 - Curriculum vitae, resumes or biographical sketches of key personnel
 - Project timeline and research calendar with expected milestones
 - Research independence and integrity
 - Human Subjects Protection Paperwork
 - Privacy Certificate
 - List of previous and current NIJ awards to applicant organization and investigators
 - Letters of cooperation/support or administrative agreements from organizations collaborating in the project (if applicable)
 - List of other agencies, organizations, or funding sources to which this proposal has been submitted (if applicable)
 - Data Archiving Strategy
- Budget Detail Worksheet (see page 14)
- Budget Narrative (see page 14)
- Indirect Cost Rate Agreement (if applicable) (see page 15)
- Tribal Authorizing Resolution (if applicable) (see page 15)
- Program Narrative/Abstract Format (see page 12)
 - Double-spaced
 - 12-point standard font
 - 1" standard margins
 - Narrative is 30 pages or less
- Other Standard Forms as applicable (see page 15), including:
 - Disclosure of Lobbying Activities (if applicable)
 - Accounting System and Financial Capability Questionnaire (if applicable)