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The [U.S. Department of Justice](#) (DOJ), [Office of Justice Programs](#) (OJP), [National Institute of Justice](#) (NIJ) is seeking applications for funding under the NIJ Graduate Research Fellowship (GRF) program that provides awards for research on crime, violence, and other criminal justice-related topics to accredited academic universities that offer research-based doctoral degrees in disciplines relevant to NIJ's mission. 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.

## NIJ Graduate Research Fellowship Program

### Eligibility

Eligible applicants are limited to degree-granting educational institutions in the United States. To be eligible, the institution must be fully accredited by one of the regional institutional accreditation agencies recognized by the U.S. Secretary of Education. Under this solicitation, the applicant institution must apply as the sponsoring institution for a doctoral candidate conducting criminal justice-related research in a discipline relevant to NIJ's mission.

### Deadline

Applicants must register with [Grants.gov](#) prior to submitting an application. (See "How to Apply," page 21.) All applications are due by 11:59 p.m. eastern time on **May 23, 2013**. (See "Deadlines: Registration and Application," page 3.)

### Contact Information

For technical assistance with submitting an application, contact the Grants.gov Customer Support Hotline at 800-518-4726 or 606-545-5035, or via e-mail to [support@grants.gov](mailto: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 requirements of this solicitation, e-mail questions to [GRF@ojp.usdoj.gov](mailto:GRF@ojp.usdoj.gov).

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# NIJ Graduate Research Fellowship Program (CFDA No. 16.562)

## Overview

The NIJ Graduate Research Fellowship (GRF) program provides awards for research on crime, violence, and other criminal justice-related topics to accredited universities that offer research-based doctoral degrees. NIJ invests in doctoral education by supporting universities that sponsor students who demonstrate the potential to successfully complete doctoral degree programs in disciplines relevant to the mission of NIJ and who are in the final stages of graduate study. Applicants sponsoring doctoral students are eligible to apply only if the doctoral research dissertation has direct implications for criminal justice policy and practice in the United States and is in an NIJ-supported discipline; e.g., social and behavioral sciences, operations technology, information and sensors research and development, and investigative and forensic sciences.

Awards are granted to successful applicants in the form of a grant to cover a doctoral student fellowship. The GRF award for research projects using qualitative research methods is anticipated to be \$30,000. The GRF award for research projects using a quantitative approach is anticipated to be \$25,000. Applicants should submit an appropriate funding request based on the type of research proposed. Final award decisions, including decisions on funding amounts, will be made by the Director of the National Institute of Justice.

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

## Deadlines: Registration and Application

Applicants must register with Grants.gov in order to submit an application. OJP encourages applicants to **register several weeks before** the application submission deadline. In addition, OJP urges applicants to submit applications 72 hours prior to the application due date. The deadline to apply for funding under this announcement is 11:59 p.m. eastern time on **May 23, 2013**. See “How to Apply” on page 21 for details.

## Eligibility

Refer to the title page for eligibility under this program.

## Program-Specific Information

Universities are encouraged to sponsor outstanding and promising doctoral students whose dissertation research has direct implications for criminal justice policy and practice in the United States.

Successful applicants must clearly demonstrate how the proposed dissertation research will advance criminal justice knowledge, practice, and/or policy for criminal justice agencies in the United States. Quantitative, qualitative, primary, and secondary data analysis and mixed

method approach research studies are encouraged. Special consideration will be given to applicants who use the most rigorous research methods applicable to their proposed research topic to maximize the validity and reliability of findings. Applicants are encouraged to include a brief statement to justify their requested funding amount based on the proposed research methods.

## **Official Applicant**

The official applicant under this solicitation is a degree-granting educational institution in the United States. To be eligible, the institution of record must be fully accredited by one of the regional institutional accreditation agencies recognized by the U.S. Secretary of Education. Applicants sponsoring doctoral students are eligible to apply only if the doctoral research dissertation has direct implications for criminal justice policy and practice in the United States and is in an NIJ-supported discipline; e.g., social and behavioral sciences, operations technology, information and sensors research and development, and investigative and forensic sciences. Applications from applicants that apply as individuals will be removed from consideration.

The university or college office of sponsored research or the university-wide research office must complete an application and submit it electronically using Grants.gov (see “What an Application Should Include,” page 10).

The university applicant is encouraged to submit an official statement regarding the student's progress in his or her current program of study. The statement of progress is not a requirement of the solicitation. If submitted, this statement must be signed by either the department chair or the college dean and should not be submitted by the doctoral student's dissertation chair. Applicants are encouraged to submit copies of the doctoral student's academic transcript. The transcript should document current matriculation toward a doctoral degree.

## **Doctoral Student Eligibility Requirements**

Universities are encouraged to sponsor doctoral students who have nearly completed all Ph.D. requirements.

There are three requirements for the NIJ Graduate Research Fellowship Program that must be completed prior to an award being made:

- The doctoral student must have completed all required course work.
- The doctoral student must have passed qualifying comprehensive exams.
- The doctoral student must be advanced to candidacy by the university.

Applicants whose doctoral students have completed the three requirements are encouraged to provide documentation of such completion in their application. It is not necessary for the student to have completed the three requirements listed above at the time of the application due date. Applicants whose doctoral students have not completed these requirements by the solicitation application deadline are encouraged to apply, but should indicate in their project timeline the dates their doctoral students expect to complete the three requirements under this section. Successful applicants will be required to provide documentation of their doctoral students'

completion of these requirements by the award date. FY13 awards are anticipated to be made no later than September 2013.

Successful applicants' doctoral students may receive award funds only during months of enrollment in a full-time program leading to the doctoral degree. Human subjects protection paperwork including Institutional Review Board (IRB) documentation and forms and a completed privacy certificate are not required at the time of application. If awarded, successful applicants will be required to submit Human Subjects protection paperwork and a completed Privacy Certificate. The Privacy Certificate must be signed by the university IRB chair. For information on NIJ's Human Subjects and Privacy Protection requirements, see [www.nij.gov/nij/funding/humansubjects/welcome.htm](http://www.nij.gov/nij/funding/humansubjects/welcome.htm).

The final deliverable for GRF awards is an official signed copy of the doctoral student's defended dissertation. Students that receive funds under the GRF program are encouraged but are not required to archive their dissertation data.

### **Dissertation Chair Requirements**

The doctoral student's dissertation chair is required to submit a signed statement of support on university letterhead that:

- Evaluates the student's proposed project.
- Describes the current status of the proposed work.
- Outlines any other outstanding work toward completion of the degree.
- States (demonstrates) the student's potential to successfully complete the dissertation.
- Describes the chair's role in monitoring the project and presents evidence of both the department's and the chair's ability to mentor doctoral candidates through the completion of their degrees.
- Verifies that the dissertation research has begun or will begin by the time of the award (i.e., no later than September 30, 2013).
- Indicates that the student has the full support of the dissertation committee.
- Verifies that the chair will review and approve all progress reports prior to their submission to NIJ.

An application that does not include a signed statement of support on university letterhead will be removed from consideration.

For information on application elements designated as required by NIJ under the GRF program solicitation, see page 10.

### **Relevance of the student's project for criminal justice policy and practice in the United States.**

NIJ's specific research, development, testing, and evaluation interests are established and are modified in response to the needs of the field of criminal justice. High-quality proposals that clearly articulate the practical implications of the research to the field of criminal justice are preferred. Applicants are encouraged to include letters of support or agreement from collaborating agencies in their applications; however these letters are not required.

### **Amount and Length of Awards**

NIJ anticipates that up to a total of \$210,000 may become available for up to 8 awards. The GRF award for qualitative research projects is anticipated to be \$30,000. The GRF award for research projects using a quantitative approach is anticipated to be \$25,000. Applicants should submit an appropriate funding request based on the type of research proposed. The average period of performance for an award under the GRF program is between 12 and 18 months. Applicants should be aware that the total period for an award ordinarily will not exceed 3 years. **All awards are subject to the availability of appropriated funds and to any modifications or additional requirements that may be imposed by law.**

Students do not receive awards directly. The university will be responsible for the administration of grant funds and for distributing payments to the fellowship recipient. The grant recipient organization should draw down funds based upon immediate disbursement/reimbursement requirements. Funds should not be paid in a lump sum, but rather disbursed over time as project costs are incurred or anticipated. Recipients should time their drawdown requests to ensure that Federal cash on hand is the minimum needed for disbursements/reimbursements to be made immediately or within 10 days. The official grant end date must be calculated to reflect the expected successful completion and submission of the student's dissertation to NIJ. In addition, it is important to note the fellowship recipient may receive award funding only during months of enrollment in a full-time program leading to the doctoral degree.

**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](http://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 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.
5. Proposals for funds to support projects other than dissertation research.
6. Direct or indirect administrative expenses of the applicant university.
7. Research that lacks clear implications for criminal justice policy and/or practice in the United States.

**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, recipients may not use federal funds to pay total cash compensation (salary plus cash bonuses) to any employee of the award recipient at a rate that exceeds 110% of the maximum annual salary payable to a member of the Federal Government's Senior Executive Service (SES) at an agency with a Certified SES Performance Appraisal System for that year. The 2012 salary table for SES employees is available at [www.opm.gov/oca/12tables/indexSES.asp](http://www.opm.gov/oca/12tables/indexSES.asp). Note: A recipient may compensate an employee at a greater 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 Director of the National Institute of Justice may exercise discretion to waive, on an individual basis, the limitation on compensation rates allowable under an award. An applicant requesting a waiver should include a detailed justification in the budget narrative of the 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 the budget.

The justification should include the particular qualifications and expertise of the individual, the uniqueness of the service the individual will provide, 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 to be done.

**Minimization of Conference Costs**

OJP encourages applicants to review the OJP guidance on conference approval, planning, and reporting that is available on the OJP Web site at [www.ojp.gov/funding/confcost.htm](http://www.ojp.gov/funding/confcost.htm). This guidance sets out the current OJP policy, which requires all funding recipients that propose to

hold or sponsor conferences (including meetings, trainings, and other similar events) to minimize costs, requires OJP review and prior written approval of most conference costs for cooperative agreement recipients (and certain costs for grant recipients), and generally prohibits the use of OJP funding to provide food and beverages at conferences. The guidance also sets upper limits on many conference costs, including facility space, audio/visual services, logistical planning services, programmatic planning services, and food and beverages (in the rare cases where food and beverage costs are permitted at all).

Prior review and approval of conference costs can take time (see the guidance for specific deadlines), and applicants should take this into account when submitting proposals. Applicants also should understand that conference cost limits may change and that they should check the guidance for updates before incurring such costs.

Note on food and beverages: OJP may make exceptions to the general prohibition on using OJP funding for food and beverages, but will do so only in rare cases where food and beverages are not otherwise available (e.g., in extremely remote areas); the size of the event and capacity of nearby food and beverage vendors would make it impractical to not provide food and beverages; or a special presentation at a conference requires a plenary address where conference participants have no other time to obtain food and beverages. Any such exception requires OJP's prior written approval. The restriction on food and beverages does not apply to water provided at no cost, but does apply to any and all other refreshments, regardless of the size or nature of the meeting. Additionally, this restriction does not affect direct payment of per diem amounts to individuals in a travel status under your organization's travel policy.

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

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

For additional information, see the "Civil Rights Compliance" section of the OJP "Other Requirements for OJP Applications" Web page at [www.ojp.usdoj.gov/funding/other\\_requirements.htm](http://www.ojp.usdoj.gov/funding/other_requirements.htm).

### **Match Requirement**

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

### **Performance Measures**

To assist the Department 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, applicants that receive funding under this solicitation must provide data that measure the results of their work done under this solicitation. OJP will require any award recipient, post award, to provide the data requested in the "Data Grantee Provides" column so that OJP can calculate values for the "Performance Measures" column. (Submission of performance measures data is not required for the application.) Performance measures for this solicitation are as follows:



Objective	Performance Measures	Data Grantee Provides
<p>Develop and analyze information and data having clear implications for criminal justice policy and practice in the United States.</p>	<ol style="list-style-type: none"> <li>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.</li> <li>2. Quality of the research as assessed by peer reviewers.</li> <li>3. Quality of management as measured by whether significant interim project milestones were achieved, final deadlines were met, and costs remained within approved limits.</li> <li>4. If applicable, number of NIJ final grant reports, NIJ research documents, and grantee research documents published.</li> </ol>	<ol style="list-style-type: none"> <li>1. A final report (official signed copy of the student's dissertation) 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.</li> <li>2. Quarterly financial reports, semi-annual progress reports, and a final progress report.</li> <li>3. If applicable, citations to report(s)/documents.</li> </ol>

## Notice of Post-Award FFATA Reporting Requirement

Applicants should anticipate that OJP will require 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), 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](http://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.

### What an Application Should Include

Applicants should anticipate that if they fail to submit an application that contains all of the specified elements, it may negatively affect the review of their application; and, should a decision be made to make an award, it may result in the inclusion of special conditions that preclude the recipient from accessing or using award funds pending satisfaction of the conditions.

Moreover, applicants should anticipate that applications that are determined to be nonresponsive to the scope of the solicitation, or that do not include the application elements that NIJ has designated to be critical, will neither proceed to peer review nor receive further consideration. Under this solicitation, NIJ has designated the following application elements as critical: Program Narrative, Budget Detail Worksheet and Budget Narrative, resumes/curriculum vitae of key personnel, and all items listed under Section “e. Appendices” and labeled as “required” (**see page 13**). Applicants may combine the Budget Narrative and the Budget Detail Worksheet in one document. However, if an applicant submits only one document, it must contain **both** narrative and detail information.

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

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

The SF-424 is a required standard form used as a cover sheet for submission of 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, select “For-Profit Organization” or “Small Business” (as applicable).

## 2. Abstract

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

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

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

All project abstracts should follow the detailed template available at [www.ojp.usdoj.gov/funding/Project\\_Abstract\\_Template.pdf](http://www.ojp.usdoj.gov/funding/Project_Abstract_Template.pdf) and the supplemental instructions below.

The abstract is a critical part of your application, serving as an important introduction to your proposed study. NIJ uses the abstract for a number of purposes, including assignment to the appropriate independent review panel. If your proposal is funded, the abstract typically will become public information and be used to describe your proposed work. The abstract must be 250-400 words and describe the proposed work succinctly and accurately. The abstract does not count against the 18-page limit for program narrative, and should follow this format:

1. **Goals and Objectives:** State the purpose of the project, the problem to be investigated, and the anticipated relevance to criminal justice policy, practice, and theory.
2. **Subjects:** If applicable, include the number of subjects in your study and a description of their characteristics, such as age, gender, race/ethnicity, and other pertinent attributes.
3. **Research Design and Methods:** Summarize how the work will be organized and conducted by including one or more of the following:
  - Describe the methods proposed including a clear timeline, the type of data, collection strategies, instruments, study sites, and other methods or procedures. For an evaluation, clearly describe the type of evaluation (randomized control trial, quasi-experimental design, or process evaluation).
  - State the hypothesis and the innovative potential of the research; list and briefly describe the specific aims; and briefly describe the research rationale and the experiments that will be conducted to accomplish each aim.

- For technology development efforts, briefly describe how the technology is to be introduced into practice and any key technology challenges. If applicable, provide an overview of the anticipated commercialization strategy. For technology research and development projects, briefly describe key technology challenges and how they will be overcome.
4. **Analysis:** Summarize the techniques proposed for data analysis. Summarize steps to be taken to strengthen the reliability and validity of the analysis.
  5. **Products, Reports, and Data Archiving:** Describe the expected products such as data sets, interim and final reports, and tools or technologies. If applicable, describe data to be archived under NIJ's Data Resource Program.

Permission to Share Project Abstract with the Public: It is unlikely that NIJ will be able to fund all promising applications submitted under this solicitation, but it may have the opportunity to share information with the public regarding promising but unfunded applications, for example, through a listing on a webpage available to the public. The intent of this public posting would be to allow other possible funders to become aware of such proposals.

In the project abstract template, applicants are asked to indicate whether they give OJP permission to share their project abstract (including contact information) with the public. Granting (or failing to grant) this permission will not affect OJP's funding decisions, and, if the application is not funded, granting permission will not guarantee that abstract information will be shared, nor will it guarantee funding from any other source.

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

### 3. Program Narrative

The program narrative section of the application should not exceed 18 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 18-page limit for the narrative section.

If the program narrative fails to comply with these length-related restrictions, NIJ 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 18-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. **Resubmit Response** (if applicable) (not counted against the 18-page program narrative limit). If an applicant is resubmitting a proposal that was presented previously to NIJ but not funded, the applicant should submit a resubmit response as part of the application. The resubmit statement should provide: (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. The resubmit statement should be no more than two pages in length.
- c. **Table of Contents and Figures** (not counted against the 18-page program narrative limit).
- d. **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.
  - Program Design and Implementation.
  - Capabilities/Competencies.
  - Impact/Outcomes and Evaluation.
  - Dissemination Strategy.

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.
- e. **Appendices** (not counted against the 18-page program narrative limit) include:
    - Bibliography/references (required).
    - Any tools/instruments, questionnaires, tables/charts/graphs, or maps pertaining to the proposed study (if applicable).
      - Examples of when the documents listed immediately above may be applicable:
        - If tables/graphs are referenced in the text, they should be included with the application.
        - If the proposed study includes analysis of survey data, the survey/questionnaire documents should be included with the application.
        - If the proposed study includes a geographical component or geospatial analysis, maps or other geospatial products should be included in the application.

- Curriculum vitae, resumes, or biographical sketches of doctoral student and dissertation chair (required).
- List of the student's dissertation committee and their complete contact information to include: names, addresses, telephone numbers, and email addresses (required). The dissertation chair should be clearly identified.
- Doctoral student eligibility documentation (timeline or other documentation as applicable). See page 4 for details.
- Dissertation chair's statement of support on university letterhead and signed by the dissertation chair (required). *For information on required content, see page 5.*
- Project timeline and research calendar with expected milestones (required).
- Human Subjects Protection Paperwork including Institutional Review Board (IRB) documentation and forms (see [www.ojp.gov/nij/funding/humansubjects/human-subjects.htm](http://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](http://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).

#### 4. 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](http://www.ojp.gov/funding/forms/budget_detail.pdf). Applicants that submit their budget in a different format should include the budget categories listed in the sample budget worksheet.

For questions pertaining to budget and examples of allowable and unallowable costs, see the OJP Financial Guide at [www.ojp.usdoj.gov/financialguide/index.htm](http://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. OJP expects proposed budgets to be complete, cost effective, and allowable (e.g., reasonable, allocable, and necessary for project activities).

Applicants should demonstrate in their budget narratives how they will maximize cost effectiveness of grant expenditures. Budget narratives should generally describe cost effectiveness in relation to potential alternatives and the goals of the project. For example, a budget narrative should detail why planned in-person meetings are

necessary, or how technology and collaboration with outside organizations could be used to reduce costs, without compromising quality.

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

The following is a sample budget narrative description of a cost item.

### **Salaries and Wages – Personnel**

The Principal Investigator (i.e., the doctoral student), Mr./Ms. xxx, will devote xxx summer months and xxx academic months per year toward the project. One summer month effort is equivalent to xxx hours. One academic month effort is equivalent to xxx hours.

The fringe benefit rate during the academic year for the graduate student is \_\_\_\_%. The summer fringe benefit rate is \_\_\_\_%. The benefits included in the rate cover \_\_\_\_\_.

Note that direct and indirect administrative expenses of the applicant university are not allowable costs.

**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.

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.

## **5. Additional Attachments**

### **a. Applicant disclosure of pending applications.**

Applicants are to disclose whether they have pending applications for federally funded assistance that include requests for funding to support the same project being proposed under this solicitation and will cover the identical cost items outlined in the budget narrative and worksheet in the application under this solicitation. The disclosure should include both direct applications for federal funding (e.g., applications to federal agencies) and indirect applications for such funding (e.g., applications to State agencies that will be subawarding federal funds).

OJP seeks this information to help avoid any inappropriate duplication of funding. Leveraging multiple funding sources in a complementary manner to implement comprehensive programs or projects is encouraged and is not seen as inappropriate duplication.

Applicants that have pending applications as described above are 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 funding agency.

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

Applicants should include the table as a separate attachment, with the file name “Disclosure of Pending Applications,” to their application. Applicants that do not have pending applications as described above are to include a statement to this effect in the separate attachment page (e.g., “[Applicant Name] does not have pending applications submitted within the last 12 months for federally funded assistance that include requests for funding to support the same project being proposed under this solicitation and will cover the identical cost items outlined in the budget narrative and worksheet in the application under this solicitation.”).

**b. Research and Evaluation Independence and Integrity**

If a proposal involves research and/or evaluation, regardless of the proposal’s rating under the selection criteria, in order to receive funds, the applicant’s proposal must demonstrate research/evaluation independence, including appropriate safeguards to ensure research/evaluation objectivity and integrity.

For purposes of this solicitation, research and evaluation independence and integrity pertains to ensuring that the design, conduct, or reporting of research/evaluation funded by NIJ grants, cooperative agreements, or contracts will not be biased by any personal or financial conflict of interest on the part of the investigators responsible for the research/evaluation or on the part of the applicant organization. Conflicts can be either actual or apparent. Examples of potential investigator (or other personal) conflict



situations may include where an investigator would be in a position to evaluate a spouse's work product (actual conflict), or where an investigator would be in a position to evaluate the work of a former colleague (apparent conflict). With regard to potential organizational conflicts of interest, as one example, generally an organization could not be given a grant to evaluate a project if that organization had itself provided substantial prior technical assistance to that project, as the organization in such an instance would 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/evaluation project are objective and reliable. Any outside personal or financial interest that casts doubt on that objectivity and reliability is a problem.

In the attachment dealing with research and evaluation independence and integrity, the applicant should explain the process and procedures that the applicant has put in place to identify and eliminate (or, at the very least, mitigate) potential personal or financial conflicts of interest on the part of its staff, consultants, and/or subrecipients. It should also identify any potential organizational conflicts of interest on the part of the applicant with regard to the proposed research/evaluation. If the applicant reasonably believes that no potential personal or organizational conflicts of interest exist, then the applicant should provide a brief narrative explanation of how and why it reached that conclusion.

Where potential personal or organizational conflicts of interest exist, in the attachment, the applicant should identify the safeguards the applicant has or will put in place to eliminate, mitigate, explain, or otherwise address those conflicts of interest.

Considerations in assessing research and evaluation 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.

## 6. Other Standard Forms

Additional forms that OJP may require in connection with an award are available on OJP's funding page at [www.ojp.usdoj.gov/funding/forms.htm](http://www.ojp.usdoj.gov/funding/forms.htm). For successful applicants, receipt of funds may be contingent upon submission of all necessary forms. Note in particular the following forms:

- a. [Standard Assurances](#)\*  
Applicants must read, certify, and submit this form in GMS prior to the receipt of any award funds.
- b. [Certifications Regarding Lobbying; Debarment, Suspension and Other Responsibility Matters; and Drug-Free Workplace Requirements](#)\*  
Applicants must read, certify, and submit in GMS prior to the receipt of any award funds.

c. [Accounting System and Financial Capability Questionnaire](#)

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, must download, complete, and submit this form.

\*These OJP Standard Assurances and Certifications are forms which applicants accept in GMS. They are not additional forms to be uploaded at the time of application submission.

## Selection Criteria

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

1. Clarity of problem statement and its importance to the field of study.
2. Demonstrated connection between problem and proposed research.
3. Awareness of the state of current research and/or technology.
4. Identification of gaps in existing research.
5. Demonstrated understanding of the population under investigation.

### **Program Design and Implementation** (Quality and technical merit) — 35%

1. Detailed and complete discussion of proposed research methods.
2. Explanation for research method approach.
3. Awareness of limitations of analysis plan and proposed practical solutions.
4. Awareness of human subjects' matters.
5. Overall feasibility of proposed project and awareness of pitfalls.
6. Innovation and creativity.

### **Impact/Outcomes and Evaluation** (Impact of the proposed project and relevance to policy and practice) — 20%

1. Potential for major advances in scientific or technical understanding of the problem.
2. Potential for significant advances in the field and filling key gaps in scientific knowledge related to criminal justice policy and practice in the United States.
3. Relevance for improving criminal justice policy and practice, public safety, security and/or quality of life.
4. Relevance to the concerns of criminal justice agencies focusing on crime and justice problems.
5. Perceived potential for commercialization and/or implementation of new technology (when applicable).

### **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.

**Capabilities/Competencies** (Capabilities, demonstrated productivity, and experience of applicants) — 10%

1. Qualifications and experience of the doctoral student and dissertation chair; e.g., successful coursework completion, relevant work and/or research experience, leadership roles, mentoring experience, and record of publication.
2. Demonstrated ability of dissertation chair to manage endeavor.
3. Adequacy of management plan to ensure project completion.
4. University record of accomplishment with respect to doctoral candidates' completion of degrees.
5. University record of past performance regarding NIJ grants and contracts.

**Dissemination Strategy** — 15%

1. Extensiveness and creativity of the applicant's plan for print and electronic product dissemination to researchers, practitioners, and policymakers. Extensive dissemination may include plans for peer-reviewed journal articles, web-based documents, conference and meeting presentations, program guides, tools, or trade articles, and identification of journals and organizations through which products will be released. Creativity is the degree to which the applicant's plan goes beyond standard reporting requirements, such as a final technical report, but includes multimedia products, such as DVDs, blogs, or podcasts.

## **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. 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. A peer review panel will evaluate, score, and rate applications that meet basic minimum requirements. 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, reviews 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 may consider 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 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](http://www.ojp.usdoj.gov/funding/other_requirements.htm).

- Civil Rights Compliance
- Civil Rights Compliance Specific to State Administering Agencies
- 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 of 2006 (FFATA)
- Awards in Excess of \$5,000,000 – Federal Taxes Certification Requirement

- Policy and Guidance for Conference Approval, Planning, and Reporting
- OJP Training Guiding Principles for Grantees and Subgrantees

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

**Final substantive report:** The final deliverable for a GRF award is an official signed copy of the student's defended dissertation.

**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. Semi-annual progress reports will be submitted in the Research Performance Progress Report (RPPR) format ([www.nsf.gov/bfa/dias/policy/rppr](http://www.nsf.gov/bfa/dias/policy/rppr)).

## How to Apply

Applicants must submit applications through Grants.gov. Applicants must first register with Grants.gov in order to submit an application through Grants.gov, a "one-stop storefront" to find federal funding opportunities and apply for funding. Find complete instructions on how to register and submit an application at [www.Grants.gov](http://www.Grants.gov). Applicants that experience technical difficulties during this process should call the Grants.gov Customer Support Hotline at **800-518-4726** or **606-545-5035**, 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 several weeks** for first-time registrants to receive confirmation and a user password. OJP encourages applicants to **register several weeks before** the application submission deadline. In addition, OJP urges applicants to submit applications 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.

**Note:** NIJ encourages all prospective applicants to sign up for Grants.gov email notifications regarding this solicitation. If this solicitation is cancelled or modified, individuals who sign up with Grants.gov for email updates will be notified.

All applicants are required to complete the following steps:

1. **Acquire a Data Universal Numbering System (DUNS) number.** In general, the Office of Management and Budget requires that all applicants (other than individuals) for federal funds include a DUNS number in their applications for a new award or a supplement to an existing award. A DUNS number is a unique nine-digit sequence recognized as the universal standard for identifying and differentiating entities receiving federal funds. The identifier is used for tracking purposes and to validate address and point of contact information for federal assistance applicants, recipients, and subrecipients. The DUNS number will be used throughout the grant life cycle. Obtaining a DUNS number is a free, one-time activity. Call Dun and Bradstreet at 866-705-5711 to obtain a DUNS number or apply online at [www.dnb.com](http://www.dnb.com). A DUNS number is usually received within 1-2 business days.

2. **Acquire registration with the System for Award Management (SAM). SAM replaces the Central Contractor Registration (CCR) database** as the repository for standard information about federal financial assistance applicants, recipients, and subrecipients. OJP requires all applicants (other than individuals) for federal financial assistance to maintain current registrations in the SAM database. Applicants must be registered in SAM to successfully register in Grants.gov. (Previously, organizations that had submitted applications via Grants.gov were registered with CCR, as it was a requirement for Grants.gov registration. SAM registration replaces CCR as a pre-requisite for Grants.gov registration.) Applicants must **update or renew their SAM registration annually** to maintain an active status.

Applicants that were previously registered in the CCR database must, at a minimum:

- Create a SAM account;
- Log in to SAM and migrate permissions to the SAM account (all the entity registrations and records should already have been migrated).

Applicants that were not previously registered in the CCR database must register in SAM prior to registering in Grants.gov. Information about SAM registration procedures can be accessed at [www.sam.gov](http://www.sam.gov).

3. **Acquire an Authorized Organization Representative (AOR) and a Grants.gov username and password.** Complete the AOR profile on Grants.gov and create a username and password. 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](http://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. 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 16.562, titled "Criminal Justice Research and Development – Graduate Research Fellowships," and the funding opportunity number is NIJ-2013-3374.
6. **Complete the Disclosure of Lobbying Activities.** All applicants must complete this information. Applicants that expend any funds for lobbying activities must provide the detailed information requested on the form, *Disclosure of Lobbying Activities* (SF-LLL). Applicants that do not expend any funds for lobbying activities should enter "N/A" in the required highlighted fields.
7. **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 message will state whether the application has been received and validated, or rejected due to errors, with an explanation. **Important:** OJP urges applicants to submit applications **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.

**Note: Grants.gov only permits the use of specific characters in names of attachment files. Valid file names may only include the following characters: A-Z, a-z, 0-9, underscore ( \_ ), hyphen (-), space, and period. 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."

#### **Note: Duplicate Applications**

If an applicant submits multiple versions of an application, NIJ will review the most recent version submitted.

### **Experiencing Unforeseen Grants.gov Technical Issues**

Applicants that experience unforeseen Grants.gov technical issues beyond their control that prevent them from submitting their application by the deadline must e-mail the NIJ contact identified in the Contact Information section on the title page **within 24 hours after the application deadline** and request approval to submit their application. The e-mail must describe the technical difficulties, and 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: NIJ does not automatically approve requests.** After the program office reviews the submission, and contacts the Grants.gov or SAM Help Desks to validate the reported technical issues, OJP will inform the applicant whether the request to submit a late application has been approved or denied. If the technical issues reported cannot be validated, OJP will reject the application as untimely.

The following conditions are not valid reasons to permit late submissions: (1) failure to register 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 each instruction in the OJP solicitation, and (4) technical issues with the applicant's computer or information technology environment, including firewalls.

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

### **Provide Feedback to OJP on This Solicitation**

To assist OJP in improving its application and award processes, we encourage applicants to provide feedback on this solicitation, the application submission process, and/or the application review/peer review process. Feedback may be provided to [OJPSolicitationFeedback@usdoj.gov](mailto:OJPSolicitationFeedback@usdoj.gov).

**IMPORTANT:** This email is for feedback and suggestions only. Replies are **not** sent from this mailbox. If you have specific questions on any program or technical aspect of the solicitation, **you must** directly contact the appropriate number or email listed on the front of this solicitation

document. These contacts are provided to help ensure that you can directly reach an individual who can address your specific questions in a timely manner.

If you are interested in being a reviewer for other OJP grant applications, please email your resume to [ojppeerreview@lmbps.com](mailto:ojppeerreview@lmbps.com). The OJP Solicitation Feedback email account will not forward your resume. **Note:** Neither you nor anyone else from your organization can be a peer reviewer in a competition in which you or your organization have submitted an application.



# Application Checklist

## NIJ Graduate Research Fellowship Program

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

### Eligibility Requirement:

\_\_\_\_\_ The University is fully accredited by one of the regional institutional accreditation agencies recognized by the U.S. Secretary of Education

\_\_\_\_\_ Dissertation topic has direct implications for criminal justice policy and practice in the United States and is in an NIJ-supported discipline

### What an Application Should Include:

- \_\_\_\_\_ Application for Federal Assistance (SF-424) (see page 10)
- \_\_\_\_\_ Program Narrative (see page 12 and "Selection Criteria" page 18)
- \_\_\_\_\_ Appendices to the Program Narrative: (see page 13)
  - \_\_\_\_\_ Bibliography/references (required)
  - \_\_\_\_\_ Any tools/instruments, questionnaires, tables/charts/graphs, or maps pertaining to the proposed study (if applicable)
  - \_\_\_\_\_ Dissertation committee complete contact information (required)
  - \_\_\_\_\_ Curriculum vitae, resumes, or biographical sketches of student and dissertation chair (required)
  - \_\_\_\_\_ Doctoral student eligibility documentation (timeline or other documentation, as applicable)
  - \_\_\_\_\_ Dissertation chair's statement of support (on university letterhead and signed by the dissertation chair) (required)
  - \_\_\_\_\_ Project timeline and research calendar with expected milestones (required)
  - \_\_\_\_\_ 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).
- \_\_\_\_\_ Budget Detail Worksheet (see page 14)
- \_\_\_\_\_ Budget Narrative (see page 14)
- \_\_\_\_\_ Additional Attachments (see page 20)
  - \_\_\_\_\_ Applicant Disclosure of Pending Applications
  - \_\_\_\_\_ Research and Evaluation Independence and Integrity
- \_\_\_\_\_ Disclosure of Lobbying Activities (SF-LLL) (see page 22)
- \_\_\_\_\_ Other Standard Forms as applicable (see page 17), including:
  - \_\_\_\_\_ Accounting System and Financial Capability Questionnaire (if applicable)