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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 innovative dissertation research 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 institutions that offer research-based doctoral degrees in social and behavioral academic 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 in the Social and Behavioral Sciences

### 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 the doctoral candidate conducting criminal justice-related research in a discipline relevant to NIJ's mission.

NIJ may elect to make awards for applications submitted under this solicitation in future fiscal years, dependent on the merit of the applications and on the availability of appropriations.

### Deadline

Applicants must register with [Grants.gov](#) prior to submitting an application. (See "How to Apply," page 20.) All applications are due by 11:59 p.m. eastern time on May 12, 2014. (See "Deadlines: Registration and Application," page 3.)

All applicants are encouraged to read this [Important Notice: Applying for Grants in Grants.gov](#).

### 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). The [Grants.gov](#) Support Hotline hours of operation are 24 hours a day, 7 days a week, except federal holidays.

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 below **within 24 hours after the application deadline** and request approval to submit their application.

For assistance with any other requirements of this solicitation, contact [GRF@usdoj.gov](mailto:GRF@usdoj.gov). General information on applying for NIJ awards can be found at [www.nij.gov/funding/Pages/welcome.aspx](http://www.nij.gov/funding/Pages/welcome.aspx). Frequently asked questions about the GRF program can be found at [www.nij.gov/nij/funding/fellowships/graduate-research-fellowship/fags.htm](http://www.nij.gov/nij/funding/fellowships/graduate-research-fellowship/fags.htm).

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# NIJ Graduate Research Fellowship Program in the Social and Behavioral Sciences

(CFDA No. 16.562)

## Overview

The NIJ Graduate Research Fellowship (GRF) program in social and behavioral sciences 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. Doctoral students from social and behavioral science academic disciplines are encouraged to apply.

Doctoral students from academic disciplines outside of the social and behavioral sciences will **not** be considered under this solicitation. Doctoral students whose research is in the areas of science, technology, engineering, and mathematics should submit proposals to the “NIJ Graduate Research Fellowship Program in the Social and Behavioral Sciences” solicitation.

Awards are granted to successful applicants in the form of a grant to cover a doctoral student fellowship. The GRF award amount is \$32,000. Final award decisions will be made by the Director or the Acting 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 prior to submitting 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 12, 2014. See “How to Apply” on page 20 for details.

## Eligibility

Refer to the title page for eligibility under this program.

## Program- Specific Information

Degree-granting educational institutions 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.

### **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 student's proposed research dissertation is expected to have 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. Applications from applicants that apply as individuals will be removed from consideration.

The academic institution office of sponsored research or the institution-wide research office must complete an application and submit it electronically using Grants.gov (see "What an Application Should Include," page 8).

The academic institution 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. 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**

Academic institutions 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.

Successful applicants will be required to provide documentation of their doctoral student's completion of these requirements by the award date. Fiscal Year 2014 awards are anticipated to be made no later than September 2014.

Applicants whose doctoral students have completed the three requirements are encouraged to provide documentation of such completion in the 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 the project timeline the

dates the sponsored doctoral student is expected to complete the three requirements under this section. The timeline also should include details about other project milestones including but not limited to the expected timing of the dissertation prospectus defense, the writing of the dissertation, and an expected dissertation defense date. The project timeline also should allow for time needed to complete edits to and submit the final dissertation to NIJ.

Successful applicants' doctoral students may receive award funds only while enrolled 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).

### **Dissertation Chair Requirements**

The application must include a signed statement of support from the sponsored doctoral student's dissertation chair. The statement of support should:

- Evaluate the student's proposed project.
- Describe the current status of the proposed work.
- Outline any other outstanding work toward completion of the degree.
- State (demonstrate) the student's potential to complete the dissertation successfully.
- Describe the chair's role in monitoring the project and present evidence of both the department's and the chair's ability to mentor doctoral candidates through the completion of their degrees.
- Verify that the dissertation research is ready to begin by the start of the project period.
- Indicate that the student has the full support of the dissertation committee.
- Verify that the chair will review and approve all progress reports prior to their submission to NIJ.

**An application that does not include the statement of support will be removed from consideration.**

For information on application elements designated as required by NIJ under the GRF program solicitation in social and behavioral sciences, see page 11.

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

The ultimate goal of this solicitation is to increase the pool of researchers in the social and behavioral sciences that are involved in research relevant to providing solutions to better prevent and control crime and help ensure the fair and impartial administration of criminal justice in the United States

The final deliverable for awards under this solicitation is an official signed copy of the doctoral student's defended dissertation. Upon submission, the dissertation may be archived at the [National Criminal Justice Reference Service](#) (NCJRS). Students that receive funds under the GRF program are encouraged but are not required to archive their dissertation data.

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

The expected amount of an award under this solicitation is \$32,000. The period of performance for an award under this fellowship program typically is from 12 to 18 months. Applicants should be aware that the total period for an award ordinarily will not exceed 3 years.

Students do not receive awards directly. The academic institution, as the grant recipient, will be responsible for, among other things, the administration of grant funds and for distributing payments to the fellowship recipient. The grant recipient academic institution 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 while enrolled in a full-time program leading to the doctoral degree.

In general, applicants should propose an award start date that is no earlier than October 1, 2014. The start date should be based upon the proposed project timeline.

Applicants should be aware that the total period of an award, including one that receives a funding supplement or a no-cost extension, ordinarily will not exceed three years.

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

### **Type of Award**

NIJ anticipates that any award under this solicitation will be made in the form of a grant.

**Please note:** Any recipient of an award under this solicitation will be required to 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).

### **Budget Information**

#### **What will not be funded:**

- Proposals primarily to purchase equipment, materials, or supplies. (A budget may include these items if they are necessary to conduct research, development, demonstration, evaluation, or analysis.)
- Proposals that are not responsive to this specific solicitation.

## **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.<sup>1</sup> The 2014 salary table for SES employees is available at [www.opm.gov/salary-tables](http://www.opm.gov/salary-tables). 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.

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

OJP strongly encourages applicants that propose to use award funds for any conference-, meeting-, or training-related activity to review carefully – before submitting an application – the OJP policy and guidance on “conference” approval, planning, and reporting available at [www.ojp.gov/funding/confcost.htm](http://www.ojp.gov/funding/confcost.htm). OJP policy and guidance (1) encourage minimization of conference, meeting, and training costs; (2) require prior written approval (which may affect project timelines) of most such costs for cooperative agreement recipients and of some such costs for grant recipients; and (3) set cost limits, including a general prohibition of all food and beverage costs.

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

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

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<sup>1</sup> This limitation on use of award funds does not apply to the non-profit organizations specifically named at Appendix C to 2 C.F.R. Part 230.

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 Information

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 Measure(s)	Data Grantee Provides
<p>Conduct research in social and behavioral sciences having clear implications for criminal justice policy and practice in the United States.</p>	<p>1. Relevance to the needs of the field as measured by whether the project's substantive scope did not deviate from the funded proposal or any subsequent agency-approved modifications to the scope.</p> <p>2. Quality of management (of the award by the recipient organization) as measured by such factors as whether significant project milestones were achieved, reporting and other deadlines were met, and costs remained within approved limits.</p>	<p>1. Quarterly financial reports, semi-annual and final progress reports, and a draft and final summary overview of the work performed under the NIJ award.</p> <p>2. An official signed copy of doctoral student's successfully-defended and accepted final dissertation.</p>

### 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 affect negatively 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 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, Budget Narrative, a statement of support from the sponsored doctoral



student's dissertation chair, and each of the other items listed under Section e, "Appendices," that are labeled therein as "required" (see page 11).

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 OJP's Grants Management System (GMS) take information from the applicant's profile to populate the fields on this form. When selecting "type of applicant," if the applicant is a for-profit entity, select "For-Profit Organization" or "Small Business" (as applicable).

## 2. Project Abstract

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

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

- Written for a general public audience.
- Submitted as a separate attachment with "Project Abstract" as part of its file name.
- Single-spaced, using 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.

Project abstracts should follow the detailed template (including the detailed instructions as to content) available at [www.nij.gov/funding/documents/nij-project-abstract-template.pdf](http://www.nij.gov/funding/documents/nij-project-abstract-template.pdf).

**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 if NIJ does not fund the proposed project. 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 project 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 15 double-spaced pages in 12-point font with 1-inch margins. If included in the main body of the program narrative, tables, charts, figures, and other illustrations count toward the 15-page limit for the narrative section. The project abstract, table of contents, appendices, and government forms do not count toward the 15-page limit.

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 15-page program narrative limit).

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

b. **Resubmit Response** (if applicable) (not counted against the 15-page program narrative limit).

If an applicant is resubmitting a proposal 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, including responses to previous feedback received from NIJ.

c. **Table of Contents and Figures** (not counted against the 15-page program narrative limit).

d. **Main Body.**

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

- Statement of the Problem.
- Project Design and Implementation.

- Potential Impact.
- Capabilities/Competencies.

Within these sections, the narrative should address:

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

e. **Appendices** (not counted against the 15-page program narrative limit) include:

- Bibliography/references (**required**).
- Any tools/instruments, questionnaires, tables/charts/graphs, or maps pertaining to the proposed project that are supplemental to such items included in the main body of the narrative.
- Curriculum vitae, resumes, or biographical sketch of the doctoral student and dissertation chair.
- List of the student's dissertation committee and their contact information to include: names, telephone numbers, and email addresses. 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 (**required**). (For information on content, see page 5.)
- Proposed project timeline and expected milestones (**required**). The timeline also should include details about other milestones including, but not limited to, the timing of the dissertation prospectus defense, the writing of the dissertation, and an expected dissertation defense date. The project timeline also should allow for time needed to complete edits to and submission of the final dissertation to NIJ.
- Human Subjects Protection paperwork (documentation and forms related to Institutional Review Board (IRB) review).  
(See [www.nij.gov/funding/humansubjects/Pages/welcome.aspx](http://www.nij.gov/funding/humansubjects/Pages/welcome.aspx).) NOTE: Final IRB approval is not required at the time an application is submitted.

- Privacy Certificate (for further guidance go to [www.nij.gov/funding/humansubjects/pages/confidentiality.aspx](http://www.nij.gov/funding/humansubjects/pages/confidentiality.aspx)).
- 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. (Work associated with satisfying data archiving requirements should be reflected.) **Please note:** NIJ expects applicants to provide a thorough narrative to each section of the Budget Detail Worksheet, as described under “Budget Narrative,” below.

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 generally should 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 sound mathematically 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.

**c. Cofunding**

An award 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.

**d. Non-Competitive Procurement Contracts In Excess of Simplified Acquisition Threshold**

If an applicant proposes to make one or more non-competitive procurements of products or services, where the non-competitive procurement will exceed the simplified acquisition threshold (also known as the small purchase threshold), which is currently set at \$150,000, the application should address the considerations outlined in the [OJP Financial Guide](#).

**5. 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.) Attach a copy of the federally approved indirect cost rate agreement to the application. Applicants that do not have an approved rate may request one through their 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. For assistance with identifying your cognizant agency, please contact the OJP Office of the Chief Financial Officer (OCFO) Customer Service Center at 1-800-458-0786 or at [ask.ocfo@usdoj.gov](mailto:ask.ocfo@usdoj.gov). If DOJ is the cognizant federal agency, applicants may obtain information needed to submit an indirect cost rate proposal at [www.ojp.usdoj.gov/funding/pdfs/indirect\\_costs.pdf](http://www.ojp.usdoj.gov/funding/pdfs/indirect_costs.pdf).

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

Tribes, tribal organizations, or third parties proposing to provide direct services or assistance to residents on tribal lands should include in their applications a resolution, a letter, affidavit, or other documentation, as appropriate, that certifies that the applicant has the legal

authority from the tribe(s) to implement the proposed project on tribal lands. In those instances when an organization or consortium of tribes applies for a grant on behalf of a tribe or multiple specific tribes, the application should include appropriate legal documentation, as described above, from all tribes participating in the research. A consortium of tribes for which existing consortium bylaws allow action without support from all tribes in the consortium (i.e., without an authorizing resolution or comparable legal documentation from each tribal governing body) may submit, instead, a copy of its consortium bylaws with the application.

## **7. Additional Attachments**

### **a. Applicant disclosure of pending applications<sup>2</sup>**

Applicants are to disclose whether they have pending applications for federally funded grants or subgrants (including cooperative agreements) 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 subaward 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.

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<sup>2</sup> Typically, the applicant is not the principal investigator; rather, the applicant, most frequently, is the institution, organization, or company in which the principal investigator is employed.

Federal or State Funding Agency	Solicitation Name/Project Name	Name/Phone/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 on SF-424] does not have pending applications submitted within the last 12 months for federally funded grants or subgrants (including cooperative agreements) 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 other merits, in order to receive funds, the applicant 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 and 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 and 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 those in which an investigator would be in a position to evaluate a spouse’s work product (actual conflict), or an investigator would be in a position to evaluate the work of a former colleague (potential 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 or 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 also should 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. Documentation that may be helpful in this regard could include organizational codes of ethics/conduct or policies regarding organizational, personal, and financial conflicts of interest.

For situations in which 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, 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 or 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.

#### **8. Accounting System and Financial Capability Questionnaire (if applicable)**

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 is to download, complete, and submit this [form](#).

#### **Selection Criteria**

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

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

1. 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.

#### **Project Design and Implementation** (Quality and technical merit) – 50%

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.

**Potential Impact** (Impact of the proposed project and relevance to policy and practice) – 20%

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

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

**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.

## **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 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, although their views are considered carefully. 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, 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.

## **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
- Reporting of Potential Fraud, Waste, and Abuse, and Similar Misconduct
- 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
- Non-profit 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
- Active SAM Registration
- Policy and Guidance for Approval, Planning, and Reporting of Conferences (including Meetings and Trainings)
- 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.

**Final substantive report and other scholarly products:** The final deliverable for a GRF award is an official signed copy of the student's defended dissertation. Upon submission to NIJ, the dissertation may be archived at the National Criminal Justice Reference Service (NCJRS).

In addition to the expectation of scholarly products, successful applicants under this solicitation will be required to submit the following deliverables regarding the work funded by the NIJ award:

### **Semi-Annual and Final Progress Reports**

Applicants should anticipate that progress reports will be required to follow the non-budgetary components of the Research Performance Progress Report (RPPR) template/format. General information on RPPRs may be found at [www.nsf.gov/bfa/dias/policy/rppr/](http://www.nsf.gov/bfa/dias/policy/rppr/). Future award and fund draw-downs may be withheld if reports are delinquent.

### **Quarterly and Final Financial Reports; Audit Reports**

Quarterly and final financial status reports are required. If applicable, an annual audit report in accordance with Office of Management and Budget requirements must be submitted. Future award and fund draw-downs may be withheld if reports are delinquent.

## Draft and Final Summary Overview of the Work Conducted under the Award

The overview is expected to provide an overall summary of the work under, and results of, the project funded by NIJ under this solicitation. Among other things, the summary overview should address the purpose of the project, project subjects (if applicable), project design and methods, data analysis, project findings, and implications for criminal justice policy and practice in the United States.

A draft summary overview no longer than 10 pages long (double-spaced) is to be submitted 90 days prior to the end of the project period for NIJ review and comment.

## How to Apply

Applicants must register in, and submit applications 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.

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

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

Characters	Special Characters		
Upper case (A – Z)	Parenthesis ( )	Curly braces { }	Square brackets [ ]
Lower case (a – z)	Ampersand (&)	Tilde (~)	Exclamation point (!)
Number 0 – 9	Comma ( , )	Semicolon ( ; )	Apostrophe ( ‘ )
Underscore ( _ )	At sign ( @ )	Number sign ( # )	Dollar sign ( \$ )
Hyphen ( - )	Percent sign ( % )	Plus sign ( + )	Equal sign ( = )
Space	<b>When using the ampersand (&amp;) in XML, applicants must use the “&amp;amp;” format.</b>		
Period ( . )			

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

- 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 is 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. Applicants must **update or renew their SAM registration annually** to maintain an active status.

Applications cannot be successfully submitted in Grants.gov until Grants.gov receives the SAM registration information. The information transfer from SAM to Grants.gov can take up to 48 hours. OJP recommends that the applicant register or renew registration with SAM as early as possible.

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

- 3. Acquire an Authorized Organization Representative (AOR) and a Grants.gov username and password.** Complete the AOR profile on Grants.gov and create a username and password. 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 number for this solicitation is 16.562, titled "Criminal Justice Research and Development – Graduate Research Fellowships," and the funding opportunity number is NIJ-2014-3739.
- 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 a valid application consistent with this solicitation by following the directions in Grants.gov.** Within 24–48 hours after submitting the electronic application, the applicant should receive 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. It is possible to first receive a message indicating that the application is received and then receive a rejection notice a few minutes or hours later. Submitting well ahead of the deadline provides time to correct the problem(s) that caused the rejection. **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.

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

### **Note: Duplicate Applications**

If an applicant submits multiple versions of an application, NIJ will review only the most recent valid 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 page 1 **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 OJP determines that the applicant failed to follow all required procedures, which resulted in an untimely application submission, OJP will deny the applicant's request to submit their application.

The following conditions generally are insufficient to justify late submissions:

- Failure to register in SAM or Grants.gov in sufficient time.
- Failure to follow Grants.gov instructions on how to register and apply as posted on its website.
- Failure to follow each instruction in the OJP solicitation.
- Technical issues with the applicant's computer or information technology environment, 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

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. Provide feedback to [OJPSolicitationFeedback@usdoj.gov](mailto:OJPSolicitationFeedback@usdoj.gov).

**IMPORTANT:** This e-mail 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 e-mail 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 e-mail your resume to [ojpeerreview@lmbps.com](mailto:ojpeerreview@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 has submitted an application.

# Application Checklist

## NIJ Graduate Research Fellowship Program in the Social and Behavioral Sciences

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

### What an Applicant Should Do:

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

- \_\_\_\_\_ Acquire a DUNS Number (see page 20)
- \_\_\_\_\_ Acquire or renew registration with SAM (see page 21)

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

- \_\_\_\_\_ Acquire AOR and Grants.gov username/password (see page 21)
- \_\_\_\_\_ Acquire AOR confirmation from the E-Biz POC (see page 21)

#### *To Find Funding Opportunity:*

- \_\_\_\_\_ Search for the funding opportunity on Grants.gov (see page 21)
- \_\_\_\_\_ Download Funding Opportunity and Application Package (see page 21)
- \_\_\_\_\_ Sign up for Grants.gov email notifications (optional) (see page 20)
- \_\_\_\_\_ Read [Important Notice: Applying for Grants in Grants.gov](#)

### General Requirements:

- \_\_\_\_\_ Review "[Other Requirements](#)" webpage

### What an Application Should Include:

- \_\_\_\_\_ Application for Federal Assistance (SF-424) (see page 9)
- \_\_\_\_\_ Project Abstract (see page 9)
- \_\_\_\_\_ Program Narrative (see page 10)
- \_\_\_\_\_ Appendices (see page 11)
- \_\_\_\_\_ Budget Detail Worksheet (see page 12)
- \_\_\_\_\_ Budget Narrative (see page 12)
- \_\_\_\_\_ Employee Compensation Waiver request and justification (if applicable) (see page 7)
- \_\_\_\_\_ Read OJP policy and guidance on "conference" approval, planning, and reporting available at [www.ojp.gov/funding/confcost.htm](http://www.ojp.gov/funding/confcost.htm) (see page 7)
- \_\_\_\_\_ Disclosure of Lobbying Activities (SF-LLL) (see page 21)
- \_\_\_\_\_ Indirect Cost Rate Agreement (if applicable) (see page 13)
- \_\_\_\_\_ Tribal Authorizing Resolution (if applicable) (see page 13)
- \_\_\_\_\_ Additional Attachments
  - \_\_\_\_\_ Bibliography/references (required)
  - \_\_\_\_\_ Any tools/instruments, questionnaires, tables/charts/graphs, or maps pertaining to the proposed study (if applicable)
  - \_\_\_\_\_ Curriculum vitae, resumes, or biographical sketches of student and dissertation chair
  - \_\_\_\_\_ Dissertation committee contact information
  - \_\_\_\_\_ Doctoral student eligibility documentation (timeline or other documentation, as applicable)
  - \_\_\_\_\_ Dissertation chair's statement of support (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)
- \_\_\_\_\_ Other potential dissemination outlets
- \_\_\_\_\_ Other materials specified by the solicitation
- \_\_\_\_\_ Applicant Disclosure of Pending Applications (see page 14)
- \_\_\_\_\_ Research and Evaluation Independence and Integrity (see page 15)
- \_\_\_\_\_ Accounting System and Financial Capability Questionnaire (if applicable) (see page 16)