The U.S. Department of Justice (DOJ), Office of Justice Programs (OJP), National Institute of Justice (NIJ) is pleased to announce that it is seeking applications for funding to conduct research and evaluation that will lead to the introduction into practice of improved performance management information systems for law enforcement and corrections applications. This program furthers the Department's mission by sponsoring research to provide objective, independent, evidence-based knowledge and tools to meet the challenges of crime and justice, particularly at the State and local levels.

Solicitation:
Performance Management Information Systems for Law Enforcement and Corrections Applications

Eligibility

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

Deadline

Registration with Grants.gov is required prior to application submission. (See "How to Apply," page 8.)

All applications are due by 11:59 p.m. eastern time on February 7, 2011. (See "Deadlines: Registration and Application," page 3.)

Contact Information

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

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

For assistance with any requirement of this solicitation in reference to evaluation research, contact Patrick Clark, Senior Social Science Specialist, at 202–353–9482 or by e-mail at Patrick.Clark@usdoj.gov. For assistance with any other requirement of this solicitation, contact John Kaplan, General Engineer, at 202–305–4503 or by e-mail at John.Kaplan@usdoj.gov.

Grants.gov number assigned to announcement: NIJ–2011–2797

SL# 000956

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Performance Management Information Systems for Law Enforcement and Corrections Applications
(CFDA 16.560)

Overview

The purpose of the National Institute of Justice Research, Evaluation, and Development Projects Grants program is to encourage and support research, development, and evaluation to improve criminal justice policy and/or practice in the United States.

With this solicitation, NIJ seeks applications for funding the following topics:

1. Evaluation of the efficacy of performance management information systems (PMIS) currently in use with law enforcement agencies.
2. Research on how the PMIS currently in use might be improved.
3. Research identifying how PMIS used by law enforcement agencies might be adapted to corrections applications.

Each application should address only one of these three topic areas. However, an applicant may submit multiple applications, each addressing a specific topic.

Authorizing Legislation: Omnibus Crime Control and Safe Streets Act of 1968 (sections 201 and 202); Homeland Security Act of 2002 (section 232).

Deadlines: Registration and Application

Registration is required prior to submission. OJP strongly encourages registering with Grants.gov several weeks before the deadline for application submission. The deadline for applying for funding under this announcement is 11:59 p.m. eastern time on February 7, 2011. Please see the "How to Apply" section, page 8, for more details.

Eligibility

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

Program-Specific Information—Performance Management Information Systems for Law Enforcement and Corrections Applications

NIJ's Science and Technology (S&T) program sponsors research, development, test, and evaluation efforts to improve the safety and effectiveness of the tools and technologies that criminal justice agencies use. Although Federal agencies are part of its constituency, NIJ's primary focus is on the needs of State and local agencies.

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In 1981, the U.S. Commission on Civil Rights recommended that all police departments create early warning systems (also known as early intervention systems or "EIS") to identify problem officers.[1] Such systems are now widely used by law enforcement agencies, but not corrections agencies. Some agencies have gone a step further, adopting Performance Management Information Systems (PMIS) that address potential performance as well as conduct issues.

EIS are data-based management tools used to identify officers who are at risk or who may pose a risk to others and to prevent inappropriate behavior before it occurs through early and effective intervention. While the main motivation for the Commission's recommendation was protecting the public, EIS also serve to protect the officer's well being by addressing the underlying causes of misconduct issues (e.g., stress related to family or financial concerns). The earlier a potential problem is identified, the better the chances for a successful outcome for the public, the officer, and the agency.

PMIS are also data-based management tools. They have used to identify officers who are at risk because of either poor performance or conduct and to address the causes of that behavior through early and effective intervention.

PMIS perform three functions. First, they identify officers that may be at risk through analysis of data that may indicate potential performance or misconduct issues (i.e., absenteeism, complaints from the public, excessive use of force incident reports, number of arrests or citations written, etc.). Second, management then intervenes to assist the officer. Interventions may take many forms including counseling and training. Third, the officer's behavior and performance are monitored to gauge the success of the intervention.

The goal of this solicitation is to sponsor research that will lead to the introduction into practice of improved PMIS for law enforcement and potentially for corrections agencies.

Evaluation Research

NIJ is interested in proposals for evaluation of PMIS currently in use with law enforcement agencies to determine if the application of PMIS improves outcomes. Outcome evaluations must have well-defined, measurable indicators of success. Evaluations of interest include, but are not limited to, the following:

- How PMIS can affect the operations, policy, and/or practices of law enforcement agencies.
- How PMIS can be improved, for example through use of better indicators.
- How the use of PMIS can ensure officer well-being.

See the section below on **Evaluation Research** for more information on NIJ's preferences with respect to evaluation research.

PMIS Improvement

NIJ is also interested in proposals for research into how the PMIS used today can be improved. Among the many possible approaches to doing that might be with new indicators that provide

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[1] *Who is Guarding the Guardians?* Washington, DC: U.S. Commission on Civil Rights, 1981: 81.

earlier and clearer warning of potential performance or misconduct issues. Another approach might be the use of improved technologies, such as expert systems, to improve decision-making with respect to interventions.

PMIS for Corrections Applications

Finally, NIJ seeks proposals for research into how PMIS might be tailored to the needs of corrections agencies. Among the topics that might be addressed is the appropriateness of the indicators used to identify potential performance or misconduct issues, in light of cultural, mission, and other differences between the correctional and law enforcement environments.

NIJ strongly encourages partnerships between researchers and practitioners during all phases of research projects including both technology development and evaluation research.

Preference will be given to applicants who can demonstrate an existing partnership with State or local law enforcement or corrections agencies.

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.

Amount and length of awards: Total funding for this solicitation and the number of awards made will depend on the availability of funds, the quality of the applications, and other pertinent

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factors. **All awards are subject to the availability of appropriated funds and to any modifications or additional requirements that may be imposed by law.** In recent years, approximately 8 percent of applications to NIJ's annual Science and Technology solicitations have been funded. NIJ funding for an individual research or development project rarely exceeds $500,000 annually, though total funding for projects requiring multiple years to complete has exceeded $1 million in some cases. If feasible, NIJ recommends that applicants divide the proposed work into discrete phases, with each phase resulting in the delivery of a measurable deliverable. Applicants should try to structure the phases so that the funding required in any fiscal year will not exceed $500,000. Although NIJ cannot guarantee that subsequent phases, stages, or tasks will be funded, this approach will enable NIJ to fund the proposed work incrementally, depending on, among other things, the quality of the deliverable at the end of each phase, strategic priorities, and the availability of funds. However, applicants should not divide their work if it is not feasible to do so without impairing the technical and programmatic soundness of their approach. Note: Deliverables (e.g., technical reports, proof-of-concept demonstrations, prototypes, etc.) will be required at the end of each phase to enable NIJ to assess the progress of the work and assist NIJ in making reasoned determinations as to the suitability of funding the next phase of the work.

Applicants should be aware that the total period for an award, including one that receives additional funding, ordinarily will not exceed 3 years.

What will not be funded:

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

Budget Information

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

The limitation on compensation rates allowable under an award may be waived on an individual basis at the discretion of the Director of the National Institute of Justice. An applicant that wishes to request a waiver must include a detailed justification in the budget narrative of its

application. Unless the applicant submits a waiver request and justification with the application, the applicant should anticipate that OJP will request the applicant to adjust and resubmit its budget.

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

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

Performance Measures

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

Objective	Performance Measure(s)	Data Grantee Provides
Provide safer, more effective tools and technologies for use by criminal justice agencies.	1. Relevance to the needs of the field as measured by whether the grantee's substantive scope did not deviate from the funded proposal or any subsequent agency modifications to the scope. 2. Quality of the research as assessed by peer reviewers. 3. Quality of management as measured by whether significant interim project milestones were achieved, final deadlines were met, and costs remained within approved limits. 4. If applicable, number of fielded technologies. 5. If applicable, number of NIJ final grant reports, NIJ research documents, and grantee research documents published.	1. A final report providing a comprehensive overview of the project and a detailed description of the project design, data, and methods; a full presentation of scientific findings; and a thorough discussion of the implications of the project findings for criminal justice practice and policy in the United States. 2. Quarterly financial reports, semi-annual progress reports, and a final progress report. 3. If applicable, each data set that was collected, acquired, or modified in conjunction with the project. 4. If applicable, description of fielded technologies. 5. If applicable, citation to report(s)/document(s).

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

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

Research, for the purposes of OJP-funded programs, is defined as, "a systematic investigation, including research development, testing, and evaluation, designed to develop or contribute to generalizable knowledge." 28 C.F.R. § 46.102(d). For additional information on determining whether a proposed activity would constitute research, see the decision tree to assist applicants on the "Research and the Protection of Human Subjects" section of the OJP Web site (www.ojp.usdoj.gov/funding/other_requirements.htm).

Notice of New Post-Award Reporting Requirements

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

It is expected that reports regarding subawards will be made through the FFATA Subaward Reporting System (FSRS), found at https://www.fsrs.gov. Additional guidance on reporting will be provided in the near future by OJP and/or the Office of Management and Budget (OMB).

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

How to Apply

Applications will be submitted through Grants.gov. Grants.gov is a "one-stop storefront" that provides a unified process for all customers of Federal awards to find funding opportunities and apply for funding. Complete instructions on how to register and submit an application can be found at www.Grants.gov. If the applicant experiences technical difficulties at any point during

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this process, please call the Grants.gov Customer Support Hotline at **800–518–4726**, 24 hours a day, 7 days a week, except Federal holidays. Registering with Grants.gov is a one-time process; however, **processing delays may occur, and it can take up to several weeks** for first-time registrants to receive confirmation and a user password. OJP highly recommends that applicants start the registration process as early as possible to prevent delays in submitting an application package by the specified application deadline.

All applicants are required to complete the following steps:

1. **Acquire a DUNS number.** A DUNS number is required for Grants.gov registration. In general, the Office of Management and Budget requires that all applicants (other than individuals) for Federal funds include a DUNS (Data Universal Numbering System) number in their applications for a new award or renewal of an existing award. A DUNS number is a unique nine-digit sequence recognized as the universal standard for identifying and keeping track of entities receiving Federal funds. The identifier is used for tracking purposes and to validate address and point-of-contact information for Federal assistance applicants, recipients, and subrecipients. The DUNS number will be used throughout the grant life cycle. Obtaining a DUNS number is a free, one-time activity. Obtain a DUNS number by calling Dun and Bradstreet at 866–705–5711 or by applying online at www.dnb.com. Individuals are exempt from this requirement.

2. **Acquire or renew registration with the Central Contractor Registration (CCR) database.** OJP requires that all applicants (other than individuals) for Federal financial assistance maintain current registrations in the Central Contractor Registration (CCR) database. An applicant must be registered in the CCR to successfully register in Grants.gov. The CCR database is the repository for standard information about Federal financial assistance applicants, recipients, and subrecipients. Organizations that have previously submitted applications via Grants.gov are already registered with CCR, as it is a requirement for Grants.gov registration. Please note, however, that applicants must **update or renew their CCR registration annually** to maintain an active status. Information about CCR registration procedures can be accessed at www.ccr.gov.

3. **Acquire an Authorized Organization Representative (AOR) and a Grants.gov username and password.** Complete the AOR profile on Grants.gov and create a username and password. The applicant organization's DUNS Number must be used to complete this step. For more information about the registration process, go to www.grants.gov/applicants/get_registered.jsp.

4. **Acquire confirmation for the AOR from the E-Business Point of Contact (E-Biz POC).** The E-Biz POC at the applicant organization must log into Grants.gov to confirm the applicant organization's AOR. Please note that there can be more than one AOR for the organization.

5. **Search for the funding opportunity on Grants.gov.** Please use the following identifying information when searching for the funding opportunity on Grants.gov. The Catalog of Federal Domestic Assistance (CFDA) number for this solicitation is 16.560, titled "National Institute of Justice Research, Evaluation, and Development Projects Grants," and the funding opportunity number is NIJ–2011–2797.

6. **Submit an application consistent with this solicitation by following the directions in Grants.gov.** Within 24–48 hours after submitting the electronic application, the applicant should receive an e-mail validation message from Grants.gov. The validation message will state whether the application has been received and validated, or rejected, with an explanation. **<u>Important:</u>** Applicants are urged to submit applications **at least 72 hours prior** to the due date of the application to allow time to receive the validation message and to correct any problems that may have caused a rejection notification.

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

Experiencing Unforeseen Grants.gov Technical Issues

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

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

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

What an Application Should Include

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

Moreover, applicants should anticipate that some application elements are so critical that applications unresponsive to the scope of the solicitation, or that do not include a program narrative, budget detail worksheet including a budget narrative, tribal resolution (if applicable),

and resumes/curriculum vitae of key personnel will neither proceed to peer review nor receive further consideration.

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

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

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

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

   The Program Narrative includes:

   a. **Title Page**

   b. **Project Abstract** (not counted against the 30-page program narrative limit and not to exceed 600 words).

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

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

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

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Note: Within the above six sections, the narrative should address:
- Purpose, goals, and objectives.
- Review of relevant literature.
- Implications for criminal justice policy and practice in the United States.
- Management plan and organization.

e. Appendices (not counted against program narrative page limit) include:
- Bibliography/References.
- List of key personnel.
- Resumes of key personnel.
- 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 (if applicable).
- Chart for timeline, research calendar, or milestones.
- Research independence and integrity (see "Selection Criteria," below).
- Human Subjects Protection Paperwork including Institutional Review Board (IRB) documentation and forms (see www.ojp.gov/nij/funding/humansubjects/human-subjects.htm).
- Privacy Certificate (for further guidance go to www.ojp.gov/nij/funding/humansubjects/privacy-certificate-guidance.htm).
- List of other agencies, organizations, or funding sources to which this proposal has been submitted (if applicable).
- Other materials specified by the solicitation.
- Data archiving strategy (if applicable).

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

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

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

3. **Budget Detail Worksheet and Budget Narrative**

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

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

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

      Cofunding: A grant made by NIJ under this solicitation may account for up to 100
      percent of the total cost of the project. The application should indicate whether it is
      feasible for the applicant to contribute cash, facilities, or services as non-Federal
      support for the project. The application should identify generally any such
      contributions that the applicant expects to make and the proposed budget should
      indicate in detail which items, if any, will be supported with non-Federal contributions.

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

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

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resolution or other enactment of each tribal governing body) may submit a copy of its consortium bylaws with the application in order to satisfy this requirement.

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

   a. Certifications Regarding Lobbying; Debarment, Suspension and Other Responsibility Matters; and Drug-Free Workplace Requirements (required to be submitted in GMS prior to the receipt of any award funds).

   b. Disclosure of Lobbying Activities (required for any applicant that expends any funds for lobbying activities; this form must be downloaded, completed, and then uploaded).

   c. Accounting System and Financial Capability Questionnaire (required for any applicant other than an individual that is a non-governmental entity and that has not received any award from OJP within the past 3 years; this form must be downloaded, completed, and then uploaded).

   d. Standard Assurances (required to be submitted in GMS prior to the receipt of any award funds).

Selection Criteria

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

Project/Program Design and Implementation (Quality and technical merit)—20%
   1. Awareness of the state of current research or technology.
   2. Soundness of methods and analytic and technical approach.
   3. Feasibility of proposed project and awareness of pitfalls.
   4. Innovation and creativity (when appropriate).

Capabilities/Competencies (Capabilities, demonstrated productivity, and experience of applicants)—20%
   1. Qualifications and experience of proposed staff.
   2. Demonstrated ability of proposed staff and organization to manage the effort.
   3. Adequacy of the plan to manage the project, including how various tasks are subdivided and resources are used.
   4. Successful past performance on NIJ grants and contracts (when applicable).

Budget—15%
   1. Total cost of the project relative to the perceived benefit.
   2. Appropriateness of the budget relative to the level of effort.
   3. Use of existing resources to conserve costs.

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

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

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

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

Dissemination Strategy—5%

1. Well-defined plan for the grant recipient to disseminate results to appropriate audiences, including researchers, practitioners, and policymakers.
2. Suggestions for print and electronic products that NIJ should consider developing for practitioners and policymakers.
3. If applicable, a clear strategy leading to the adoption into practice of any equipment or software.

Research Independence and Integrity

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

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

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

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

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

Review Process

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

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

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

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

Additional Requirements

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

- Civil Rights Compliance

- Faith-Based and Other Community Organizations

- Confidentiality

- Research and the Protection of Human Subjects

- Anti-Lobbying Act

- Financial and Government Audit Requirements

- National Environmental Policy Act (NEPA)

- DOJ Information Technology Standards (if applicable)

- Single Point of Contact Review

- Non-Supplanting of State or Local Funds

- Criminal Penalty for False Statements

- Compliance with Office of Justice Programs Financial Guide

- Suspension or Termination of Funding

- Nonprofit Organizations

- For-profit Organizations

- Government Performance and Results Act (GPRA)

- Rights in Intellectual Property

- Federal Funding Accountability and Transparency Act (FFATA) of 2006

- Awards in Excess of $5,000,000 – Federal Taxes Certification Requirement

- Active CCR Registration

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

Final substantive report: The final report should be a comprehensive overview of the project and should include a detailed description of the project design, data, and methods; a full presentation of scientific findings, placed in the context of existing literature; a thorough

discussion of the implications of the project findings for criminal justice practice and policy in the United States; etc. It must contain an abstract of no more than 600 words and an executive summary of 2,500 to 4,000 words.

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

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

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

Application Checklist

Performance Management Information Systems for Law Enforcement and Corrections Applications

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

Eligibility Requirement:
_____ Tribal authorizing resolution (if applicable) (see page 13)

What an Application Should Include:
_____ Application for Federal Assistance (SF-424) (see page 10)
_____ Program Narrative (see page 11)
_____ Appendices to the Program Narrative: (see page 11)
_____Bibliography/References.
_____List of key personnel.
_____Resumes of key personnel.
_____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 (if applicable).
_____Chart for timeline, research calendar, or milestones.
_____Research independence and integrity.
_____Human Subjects Protection Paperwork including Institutional Review Board (IRB) documentation and forms.
_____Privacy Certificate.
_____List of other agencies, organizations, or funding sources to which this proposal has been submitted (if applicable).
_____Data archiving strategy (if applicable).
_____ Budget Detail Worksheet (see page 12)
_____ Budget Narrative (see page 13)
_____ Indirect Cost Rate Agreement (if applicable) (see page 13)
_____ Program Narrative/Abstract Format:(see page 11)
_____ Double-spaced
_____ 12-point standard font
_____ 1" standard margins
_____ Narrative is 30 pages or less
_____ Other Standard Forms as applicable (see page 13), including:
_____ Disclosure of Lobbying Activities (if applicable)
_____ Accounting System and Financial Capability Questionnaire (if applicable)