

Notices regarding the solicitation “Graduate Research Fellowship in Social and Behavioral Sciences”

October 24, 2016: Two recorded webinars have been posted. To assist applicants in completing their proposals, NIJ held two webinars related to this solicitation. Recordings of those webinars have been posted:

- Graduate Research Fellowship Programs: <http://nij.gov/multimedia/Pages/video-fy17-graduate-research-fellowship-webinar.aspx>
- Fellowship Opportunities at the National Institute of Justice: <http://nij.gov/multimedia/Pages/video-research-fellowship-opportunities.aspx>

September 26, 2016: Answers to questions have been posted. To assist applicants in completing their proposals, NIJ has made the answers to questions received available for this funding opportunity. Visit <http://nij.gov/funding/pages/solicitation-qa.aspx#nij-2017-10720> for questions and answers to help prepare your application.

The original solicitation document begins on the next page.



The [U.S. Department of Justice](#) (DOJ), [Office of Justice Programs](#) (OJP), [National Institute of Justice](#) (NIJ) is seeking applications for funding of innovative doctoral dissertation research in the social and behavioral sciences that is relevant to providing solutions to better ensure public safety, prevent and control crime, and ensure the fair and impartial administration of criminal justice in the United States. 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.

Graduate Research Fellowship in the Social and Behavioral Sciences

Eligibility

Eligible applicants are limited to degree-granting academic institutions in the United States and its territories. 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, among other considerations, the merit of the applications and on the availability of appropriations.

Deadline

Applicants must register with [Grants.gov](#) prior to submitting an application. All applications are due to be submitted and in receipt of a successful validation message in Grants.gov by 11:59 p.m. eastern time on November 21, 2016.

All applicants are encouraged to read this: [Important Notice: Applying for Grants in Grants.gov](#). For additional information, see [How to Apply](#) in [Section D. Application and Submission Information](#).

Contact Information

For technical assistance with submitting an application, contact the Grants.gov Customer Support Hotline at 800-518-4726 or 606-545-5035, or via e-mail to 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. Additional information on reporting technical issues is found under "Experiencing Unforeseen Grants.gov Technical Issues" in the [How to Apply](#) section.

For assistance with any other requirements of this solicitation, contact the National Criminal Justice Reference Service (NCJRS) Response Center: toll-free at 1-800-851-3420; via TTY at 301-240-6310 (hearing impaired only); email grants@ncjrs.gov; fax to 301-240-5830; or web

chat at <https://webcontact.ncjrs.gov/ncjchat/chat.jsp>. The NCJRS Response Center hours of operation are 10:00 a.m. to 6:00 p.m. eastern time, Monday through Friday, and 10:00 a.m. to 8:00 p.m. eastern time on the solicitation close date. General information on applying for NIJ awards can be found at www.nij.gov/funding/Pages/welcome.aspx. Answers to frequently asked questions that may assist applicants are posted at www.nij.gov/funding/Pages/faqs.aspx. Answers to frequently asked questions about the Graduate Research Fellowship Program in the Social and Behavioral Sciences are posted at www.nij.gov/GRF-SBS.

Grants.gov number assigned to this announcement: NIJ-2017-10720

Release date: September 12, 2016

Contents

A. Program Description	4
Overview	4
Program-Specific Information	5
Goals, Objectives, Deliverables, and Expected Scholarly Products	8
B. Federal Award Information.....	8
Type of Award	9
Financial Management and System of Internal Controls.....	10
Budget Information	10
Cost Sharing or Match Requirement.....	11
Pre-Agreement Costs (also known as Pre-award Costs)	11
Limitation on Use of Award Funds for Employee Compensation; Waiver.....	11
Prior Approval, Planning, and Reporting of Conference/Meeting/Training Costs	12
Costs Associated with Language Assistance (if applicable)	12
C. Eligibility Information.....	12
Limit on Number of Application Submissions	12
D. Application and Submission Information	13
What an Application Should Include	13
How to Apply	24
E. Application Review Information.....	27
Selection Criteria	27
Review Process.....	29
F. Federal Award Administration Information	30
Federal Award Notices	30
Administrative, National Policy, and Other Legal Requirements	30
General Information About Post-Federal Award Reporting Requirements	31
G. Federal Awarding Agency Contact(s)	32
H. Other Information.....	33
Freedom of Information Act and Privacy Act (5 U.S.C. 552 and 5 U.S.C. 552a)	33
Provide Feedback to OJP	33
Application Checklist	34

Graduate Research Fellowship in the Social and Behavioral Sciences

(CFDA No. 16.562)

A. Program Description

Overview

The NIJ Graduate Research Fellowship (GRF) Program in Social and Behavioral Sciences is open to doctoral students in all social and behavioral science disciplines. This program provides awards to accredited academic institutions to support graduate research leading to doctoral degrees in areas that are relevant to ensuring public safety, preventing and controlling crime, and ensuring the fair and impartial administration of criminal justice in the United States. 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:

1. The doctoral student's degree program is in a social and behavioral science discipline; and
2. The student's proposed dissertation research has demonstrable implications for addressing the challenges of public safety, crime, and/or the fair and impartial administration of criminal justice in the United States.

To learn more about NIJ's Graduate Research Fellowship (GRF) Program in Social and Behavioral Sciences, see www.nij.gov/GRF-SBS.

Academic institutions sponsoring doctoral students whose disciplines are outside the social and behavioral sciences will **not** be considered under this solicitation. Applicants sponsoring doctoral students whose research is in the areas of science, technology, engineering, or mathematics (STEM) should submit applications under NIJ's "[Graduate Research Fellowship Program in Science, Technology, Engineering, and Mathematics](#)" (GRF-STEM) solicitation.

Awards are anticipated to be made to successful applicant institutions in the form of a grant to cover a fellowship for the sponsored doctoral student. Awards in the amount of \$32,000 will be made under this solicitation. Award funds should be used to cover all allowable expenses over the project period. Additional funds will not be provided. Final award decisions will be made by the Director of the National Institute of Justice.

Authorizing Statute: Title I of the Omnibus Crime Control and Safe Streets Act of 1968, Part A, Sections 201-202, Pub. L. No. 90-351, 42 USC 3721 - 42 USC 3722 and an act appropriating funds for the Department.

Program-Specific Information

NIJ's Graduate Research Fellowship Program in the Social and Behavioral Sciences is open to doctoral students in all social and behavioral science disciplines. To learn more about the program, see www.nij.gov/GRF-SBS.

Degree-granting educational institutions are encouraged to sponsor outstanding and promising doctoral students whose dissertation research has direct implications for ensuring public safety, preventing and controlling crime, and ensuring the fair and impartial administration of criminal justice in the United States.

Successful applicants must demonstrate clearly how the proposed dissertation research will advance criminal justice practice and/or policy in the United States. The proposal must demonstrate strong support from the dissertation chair in the development, review, and submission of the proposal as well as the execution of the proposed work.

Quantitative, qualitative, primary, and secondary data analysis and mixed-method approach research studies are encouraged. Special consideration will be given to applications that demonstrate that the most rigorous research methods applicable to the proposed research topic will be used to maximize the validity and reliability of the findings.

NIJ encourages the resubmission of proposals that have addressed previous peer review comments.

Applicant

The applicant under this solicitation will be a degree-granting academic institution in the United States or its territories. To be eligible, the academic institution of record must be fully accredited by one of the regional institutional accreditation agencies recognized by the U.S. Secretary of Education. An applicant institution sponsoring a doctoral student is eligible to apply only if the doctoral student satisfies the [Doctoral Student Eligibility Requirements](#). **Applications from students who apply as individuals will be removed from consideration.**

The academic institution's institution-wide research office (e.g., office of sponsored research) must complete and submit an application electronically using Grants.gov (see [What an Application Should Include](#)). If allowed by the applicant institution, the sponsored doctoral student should be identified as the project's principal investigator.

The applicant must demonstrate that the sponsored graduate student is enrolled in a qualifying doctoral degree program at the time of application. This should take the form of a document from the Office of the Registrar, or an equivalent university- or college-wide office with the authority to verify status. A transcript may be accepted if it clearly indicates the student's current full-time enrollment in the qualifying doctoral degree program.

Doctoral Student Eligibility Requirements

The graduate student must:

1. Be enrolled full-time in a doctoral degree program in a social and behavioral sciences discipline at the eligible academic institution; and

2. Propose a dissertation research topic that is relevant to addressing the challenges of public safety, crime, and/or the fair and impartial administration of criminal justice in the United States (see [What an Application Should Include](#)).

There are three requirements for the NIJ Graduate Research Fellowship Program that must be completed before an award can be made. It is not necessary for the student to have completed the three requirements listed below at the time of the application due date:

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

The doctoral student need not have a dissertation committee at the time the application is submitted, nor is it necessary for the student's dissertation topic to have been accepted by the committee. However, if the application is selected for award, grant funds will be withheld until the applicant academic institution submits proof that the student's dissertation topic has been accepted by the committee, and that it is substantively the same as that proposed in the application.

If the doctoral student has an approved topic at the time of application, then it should be noted in a statement of support from the doctoral student's dissertation committee chair (see [Dissertation Committee Chair Requirements](#)). If the doctoral student's topic has not been approved at the time of application, then the expected dates by which the doctoral student will meet this requirement should be indicated in the project timeline (see "Proposed project timeline and expected milestones" under [Appendices](#)). In addition, the doctoral student's faculty advisor, department chair, departmental director of graduate studies, or an individual with similar responsibilities must submit a statement of support at the time of application. That statement of support should generally follow the outline provided below for the statement of support from the dissertation committee chair, including all relevant elements.

Even though an award may be made, access to award funds will be withheld until the required documentation is received and approved by the NIJ Program Office. NIJ anticipates that award notifications will be made on or before May 8, 2017. The applicant and the doctoral student are cautioned not to anticipate the availability of fellowship funds for meeting any necessary or required expenses until the requirements stipulated above have been met in full. Awarded applicants may receive fellowship funding to support only a doctoral student who is actively enrolled in the doctoral degree program and actively carrying out the research for the dissertation identified in the funding application.

Applicants whose doctoral students have completed the three requirements are encouraged to provide documentation of such completion in the application. 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 by which the sponsored doctoral student is expected to complete the three requirements under this section. The timeline should also provide details of 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 include time to complete edits to the dissertation and time for submission of the final dissertation to NIJ.

Human subjects protection paperwork including Institutional Review Board (IRB) documentation and a completed privacy certificate are not required at the time of application. If awarded, and if applicable, funds will be withheld until submission and NIJ approval of any required Human Subjects Protection paperwork and/or a completed Privacy Certificate. The Privacy Certificate must be signed by the academic institution's IRB chair. For information on NIJ's Human Subjects and Privacy Protection requirements, see www.nij.gov/nij/funding/humansubjects/welcome.htm.

Dissertation Committee Chair Requirements

Although a fellowship may be awarded based on consideration of a letter of support from the faculty advisor, department chair, departmental director of graduate studies, or individual with similar responsibilities, the NIJ Program Office must receive a statement of support from the sponsored doctoral student's dissertation committee chair prior to authorizing the disbursement of award funds (applicants can expect to see conditions to that effect attached to any such award). If the dissertation committee has accepted the student's topic at the time of application, that statement of support must be submitted as part of the application. If the topic has not been accepted by the time of application, it must be submitted as soon as is reasonable after the topic has been approved. The approved dissertation topic must remain substantively similar to that initially proposed.

The statement of support should:

- Evaluate the doctoral student's proposed project.
- Describe the current status of the proposed work.
- Outline any other outstanding work, academic or otherwise, toward completion of the degree.
- Verify the date on which the dissertation research project is expected to be ready to begin.
- Comment on the student's potential to complete the dissertation successfully.
- Indicate that the doctoral student has the full support of the dissertation committee.
- Describe the dissertation committee chair's role in monitoring the project and present evidence of both the department's and the dissertation committee chair's abilities to mentor doctoral candidates through the completion of their degrees.
- Verify that the dissertation committee chair will review and approve all progress reports prior to their submission to NIJ.

An application that does not include the statement of support from (1) the dissertation committee chair; or (2) the doctoral student's faculty advisor, department chair, departmental director of graduate studies, or individual with similar responsibilities will be removed from consideration.

For information on application elements designated as required by NIJ under this solicitation, see page 13.

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 problems that affect criminal justice policy and practice in the United States. Through the GRF program in the Social and Behavioral Sciences, NIJ supports graduate education by investing in academic institutions that support outstanding and promising doctoral students.

Recipients of awards made under this solicitation will be required to deliver bi-annual and final progress reports, and quarterly financial reports to NIJ by specified deadlines. The final deliverables for awards under this solicitation are:

- An official signed copy of the doctoral student's dissertation.
- A list of scholarly products and products developed for broad dissemination to informal audiences resulting from the dissertation research.

Such scholarly products may take the form of one or more published, peer-reviewed scientific journal articles or indexed conference abstracts, law review journal articles (if appropriate), book chapter(s) or book(s) in the academic press, technological prototypes, patented inventions, or similar scientific products. Products developed for broad dissemination to informal audiences may take the form of websites, informational documents, online tools, or other similar products.

Upon submission, the dissertation may be archived at the [National Criminal Justice Reference Service](#) (NCJRS). Doctoral students who participate in the GRF program are encouraged but are not required to archive their dissertation data.

B. Federal Award Information

NIJ will make multiple awards of up to \$32,000 each for a project period of 12 months. NIJ will not supplement awards with additional funding, but no-cost extensions may be granted on a case-by-case basis for project delays.

Each fellowship award will be made for a 12-month period. Should the dissertation project not be completed within the initial 12-month period, the academic institution may apply for a no-cost extension for up to 12-months. If additional time is required to complete the dissertation project, NIJ will extend the fellowship award on a case-by-case basis.

The \$32,000 allowance for salary/stipend and related costs may include fringe benefits (if applicable) and health insurance, at the applicant institution's discretion. Under this solicitation, research expenses and related costs may include any combination of the doctoral student's tuition, student fees, project costs, professional society membership fees, or conference travel, among other allowed expenses during the award period (see complete [Budget Information, including "What will not be funded"](#)).

Award funding may be received by the academic institution only while the fellow is actively enrolled in the initially identified doctoral degree program and actively carrying out research

toward his/her dissertation. Should certain unforeseen and/or temporary circumstances arise that preclude the fellow from actively pursuing the dissertation research, the fellow is expected to notify the NIJ Program Office via his/her academic institution representative, as identified in the initial application. The award funding may be temporarily suspended at the discretion of the NIJ Program Office.

To allow time for, among other things, any necessary post-award review, modification, and clearance by OJP of the proposed budget, applicants should propose an award start date of August 1, 2017. Although NIJ anticipates that funds awarded under this solicitation will be made available on August 1, 2017, the applicant and the doctoral student are cautioned not to anticipate the availability of funds for meeting any necessary or required expenses for the fall 2017 semester or quarter until the requirements stipulated under Doctoral Student Eligibility have been met in full.

The total period of performance of an award will not exceed five years. The applicant's budget narrative and budget detail worksheet should reflect the entire proposed project timeline of up to 12-months.

Fellowship funds may be used to support only the student who was the subject of the initially reviewed and awarded application, and are not transferable to any other student.

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. When an award has been activated, it is expected that the academic institution will draw down funds based on immediate disbursement/reimbursement requirements. Funds should not be paid to the doctoral student in a lump sum but rather should be 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.

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 Award¹

NIJ expects to make any award from this solicitation 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 protection of human subjects. See "Requirements related to Research" under "Overview of Legal Requirements Generally Applicable to OJP Grants and Cooperative Agreements - FY 2017 Awards" in [OJP's Funding Resource Center](#).

¹ See generally 31 U.S.C. §§ 6301-6305 (defines and describes various forms of federal assistance relationships, including grants and cooperative agreements (a type of grant)).

Financial Management and System of Internal Controls

Award recipients and subrecipients (including recipients or subrecipients that are pass-through entities²) must, as described in the Part 200 Uniform Requirements³ as set out at 2 C.F.R. 200.303:

- (a) Establish and maintain effective internal control over the federal award that provides reasonable assurance that [the recipient (and any subrecipient)] is managing the federal award in compliance with federal statutes, regulations, and the terms and conditions of the federal award. These internal controls should be in compliance with guidance in “Standards for Internal Control in the federal Government” issued by the Comptroller General of the United States and the “Internal Control Integrated Framework”, issued by the Committee of Sponsoring Organizations of the Treadway Commission (COSO).
- (b) Comply with federal statutes, regulations, and the terms and conditions of the federal awards.
- (c) Evaluate and monitor [the recipient’s (and any subrecipient’s)] compliance with statutes, regulations and the terms and conditions of federal awards.
- (d) Take prompt action when instances of noncompliance are identified including noncompliance identified in audit findings.
- (e) Take reasonable measures to safeguard protected personally identifiable information and other information the federal awarding agency or pass-through entity designates as sensitive or [the recipient (or any subrecipient)] considers sensitive consistent with applicable federal, state, local, and tribal laws regarding privacy and obligations of confidentiality.

To help ensure that applicants understand administrative requirements and cost principles, OJP encourages prospective applicants to enroll, at no charge, in the Department of Justice Grants Financial Management Online Training, available [here](#).

Budget Information

What will not be funded:

- Direct administrative expenses or indirect costs of the institutional applicant.
- Applications for dissertation research by doctoral students who are not pursuing research related to public safety, crime, and/or the fair and impartial administration of criminal justice in the United States.
- Applications primarily to purchase equipment, materials, or supplies.

² For purposes of this solicitation, the phrase “pass-through entity” includes any recipient or subrecipient that provides a subaward (“subgrant”) to carry out part of the funded award or program.

³ The “Part 200 Uniform Requirements” means the DOJ regulation at 2 C.F.R Part 2800, which adopts (with certain modifications) the provisions of 2 C.F.R. Part 200.

- Applications that are not responsive to this specific solicitation.
- Conference, meeting or training activity hosted by the applicant. (Conference, meeting or training attendance by the fellow, if included in the fellowship application and budget, may be allowable.)

Cost Sharing or Match Requirement

For information on cost sharing or matching requirements, see “What an Application Should Include” in [Section D. Application and Submission Information](#).

Pre-Agreement Costs (also known as Pre-award Costs)

Pre-agreement costs are costs incurred by the applicant prior to the start date of the period of performance of the federal award.

OJP does **not** typically approve pre-agreement costs; an applicant must request and obtain the prior written approval of OJP for all such costs. All such costs incurred prior to award and prior to approval of the costs are incurred at the sole risk of the applicant. (Generally, no applicant should incur project costs *before* submitting an application requesting federal funding for those costs.) Should there be extenuating circumstances that make it appropriate for OJP to consider approving pre-agreement costs, the applicant may contact the point of contact listed on the title page of this solicitation for the requirements concerning written requests for approval. If approved in advance by OJP, award funds may be used for pre-agreement costs, consistent with the recipient’s approved budget and applicable cost principles. See the section on “Costs Requiring Prior Approval” in the [DOJ Grants Financial Guide](#) for more information.

Limitation on Use of Award Funds for Employee Compensation; Waiver

With respect to any award of more than \$250,000 made under this solicitation, a recipient may not use federal funds to pay total cash compensation (salary plus cash bonuses) to any employee of the recipient at a rate that exceeds 110% 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.⁴ The 2016 salary table for SES employees is available at the Office of Personnel Management [website](#). 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. (Non-federal funds used for any such additional compensation will not be considered matching funds, where match requirements apply.) If only a portion of an employee’s time is charged to an OJP award, the maximum allowable compensation is equal to the percentage of time worked times the maximum salary limitation.

The Director of the National Institute of Justice may exercise discretion to waive, on an individual basis, this limitation on compensation rates allowable under an award. An applicant that requests a waiver should include a detailed justification in the budget narrative of its application. An applicant that does not submit a waiver request and justification with its application should anticipate that OJP will require the applicant to adjust and resubmit the budget.

⁴ OJP does not apply this limitation on the use of award funds to the nonprofit organizations listed in Appendix VIII to 2 C.F.R. Part 200.

The justification should address -- in the context of the work the individual would do under the award -- the particular qualifications and expertise of the individual, the uniqueness of a service the individual will provide, the individual's specific knowledge of the proposed program or project, and a statement that explains whether and how the individual's salary under the award would be commensurate with the regular and customary rate for an individual with his/her qualifications and expertise, and for the work he/she would do under the award.

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

OJP strongly encourages every applicant that proposes to use award funds for any conference-, meeting-, or training-related activity (or similar event) to review carefully—before submitting an application—the OJP policy and guidance on approval, planning, and reporting of such events, available at www.ojp.gov/financialguide/DOJ/PostawardRequirements/chapter3.10a.htm. OJP policy and guidance (1) encourage minimization of conference, meeting, and training costs; (2) require prior written approval (which may affect project timelines) of most conference, meeting, and training costs for cooperative agreement recipients and of some conference, meeting, and training costs for grant recipients; and (3) set cost limits, 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.

For additional information, see the "Civil Rights Compliance" section under "Overview of Legal Requirements Generally Applicable to OJP Grants and Cooperative Agreements - FY 2017 Awards" in the [OJP Funding Resource Center](#).

C. Eligibility Information

For eligibility information, see title page.

For information on cost sharing or matching requirements, see "What an Application Should Include" in [Section D. Application and Submission Information](#).

Limit on Number of Application Submissions

If an applicant submits multiple versions of the same application, NIJ will review only the most recent system-validated version submitted. For more information on system-validated versions, see [How to Apply](#).

An academic institution may submit separate applications for more than one doctoral student in the same fiscal year.

D. Application and Submission Information

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, resumes/curriculum vitae of key personnel, bibliography/references, project timeline, and a statement of support from the dissertation committee chair or, as appropriate, the doctoral student's faculty advisor, department chair, departmental director of graduate studies, or an individual with similar responsibilities. Please review the "Note on File Names and File Types" under [How to Apply](#) to be sure applications are submitted in permitted formats.

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).

Intergovernmental Review: This funding opportunity (program) **is not** subject to [Executive Order 12372](#). (In completing the SF-424, applicants are to make the appropriate selection in response to question 19 to indicate that the "Program is not covered by E.O. 12372.")

2. Project Abstract

The project abstract is a very important part of the application, and serves as an introduction to the proposed project. 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.

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.⁵

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 academic institution and the principal investigator (i.e., the sponsored doctoral student, if allowed by the academic institution).

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).

⁵ As noted earlier, if the proposed program or project reasonably could be conducted in discrete phases, with each phase resulting in completion of one or more significant, defined milestones, then NIJ strongly recommends that the applicant structure the application to set out each phase clearly.

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 and 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.
- Planned Scholarly Products (See [Goals, Objectives, Deliverables, and Expected Scholarly Products](#) under [Program-Specific Information](#), above, for a discussion of expected scholarly products.)
- Implications for criminal justice policy and practice in the United States.
- A description of the project's management plan and organization. This description should identify the people involved in the execution of the project, their specific roles, and any framework to be used for ensuring that their tasks are fulfilled.
- If applicable, a description contextualizing the proposed doctoral work relative to, or within, any other work being conducted under an existing NIJ award, which must be specifically identified.
- Management plan and organization.
- Plan for Dissemination to Broader Audiences. Applicants should identify plans both to disseminate their findings at scholarly meetings and to make their work available to broader interested audiences (such as criminal/juvenile justice practitioners or policymakers). Applicants should consider how and to whom they will provide summary information from the planned scholarly products of the proposed project (such as summaries of articles in peer-reviewed scientific journals), in a form designed to be readily accessible and useful to broader audiences. Such dissemination might include, for example, trade press articles and webinars.

e. Appendices (not counted against the 15-page program narrative limit) may 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 or resumes of the doctoral student and the dissertation committee chair.
- Personal statement from the student discussing his or her academic background, research experience, career goals, and the anticipated role of the fellowship in his or her professional trajectory, not to exceed two (2) double-spaced pages in 12-point font with 1-inch margins.
- List of the student's dissertation committee (if known) and their contact information to include: names, telephone numbers, and email addresses. The dissertation chair should be clearly identified. Applicants should use the "Proposed Project Staff, Affiliation, and Roles" form available at www.nij.gov/funding/documents/nij-project-staff-template.xlsx to provide this listing.
- Proposed project timeline and expected milestones (required). The timeline should also include details about student progress milestones including, but not limited to, the date by which the student is expected to advance to candidacy (if applicable), any major dates in the dissemination plan, the writing of the dissertation, and an expected dissertation defense date. If any of these steps is not required by the sponsoring institution for successful completion of the doctoral degree, then such exceptions should be clearly noted. The project timeline should also allow for time needed to complete edits to the dissertation manuscript and for submission of the final dissertation to NIJ.
- Human Subjects Protection paperwork (documentation and forms related to Institutional Review Board (IRB) review). (See 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 nij.gov/funding/humansubjects/pages/confidentiality.aspx).
- List of any previous and current NIJ awards to applicant organization and investigator(s), including the NIJ-assigned award numbers and a brief description of any scholarly products that resulted in whole or in part from work funded under the NIJ award(s). (See "Goals, Objectives, Deliverables, and Expected Scholarly Products" under "Program-Specific Information," above, for definition of "scholarly products.")

- 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, including, but not limited to, other fellowships which the doctoral student has received and the dates during which those fellowships will be active (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/Apply/Resources/BudgetDetailWorksheet.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.) NIJ expects applicants to provide a thorough narrative to each section of the Budget Detail Worksheet. The Budget Detail Worksheet should be broken down by year.

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

b. Budget Narrative

The Budget Narrative and Budget Detail Worksheet should reflect the proposed project timeline of up to 12-months. 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).

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 are sample budget narrative descriptions of relevant cost items that might be used by an applicant:

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. Therefore, the salary paid to Mr./Ms. xxx in each academic month will be xxx, and in each summer month will be xxx. (Note that if a stipend will be allocated in equal disbursements each month, please provide such a description with the corresponding monthly breakdown.)

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 _____.

Travel (Non-federal)

Attendance at the xxx Annual Meeting will provide an opportunity to disseminate the results of my work within the relevant academic community. The meeting will be held in xxx. The expected lodging rate is \$xxx, based on xxx source, for a total of xxx nights (\$xxx total). The meal allowance is \$xxx per day, based on xxx source. (Note that whether the appropriate source is the federal per diem rate or a lower rate stipulated by the academic institution, the rate is at the institution's discretion.) The expected transportation cost is \$xxx, based on xxx source. Other anticipated costs include an anticipated baggage fee of \$30. The total requested funding for this travel event is \$xxx.

Note that direct and indirect administrative expenses of the applicant university are not allowable costs and will not be funded under this solicitation.

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.

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

If a successful application proposes a voluntary match amount, and OJP approves the budget, the total match amount incorporated into the approved budget becomes mandatory and subject to audit.

d. Information on Proposed Subawards (if any), as well as on Proposed Procurement Contracts (if any)

Applicants for OJP awards typically may propose to make "subawards." Applicants also may propose to enter into procurement "contracts" under the award.

Whether -- for purposes of federal grants administrative requirements -- a particular agreement between a recipient and a third party will be considered a "subaward" or instead considered a procurement "contract" under the award is determined by federal rules and applicable OJP guidance. It is an important distinction, in part because the federal administrative rules and requirements that apply to "subawards" and procurement "contracts" under awards differ markedly.

In general, the central question is the relationship between what the third-party will do under its agreement with the recipient and what the recipient has committed (to OJP) to

do under its award to further a public purpose (e.g., services the recipient will provide, products it will develop or modify, research or evaluation it will conduct). If a third party will provide some of the services the recipient has committed (to OJP) to provide, will develop or modify all or part of a product the recipient has committed (to OJP) to develop or modify, or conduct part of the research or evaluation the recipient has committed (to OJP) to conduct, OJP will consider the agreement with the third party a subaward for purposes of federal grants administrative requirements.

This will be true even if the recipient, for internal or other non-federal purposes, labels or treats its agreement as a procurement contract. Neither the title nor the structure of an agreement determines whether the agreement -- for purposes of federal grants administrative requirements -- is a subaward or is instead a procurement contract under an award.

Additional guidance on the circumstances under which (for purposes of federal grants administrative requirements) an agreement constitutes a subaward as opposed to a procurement contract under an award, is available (along with other resources) on the [OJP Part 200 Uniform Requirements](#) web page.

1. Information on proposed subawards

Pursuant to the Part 200 Uniform Requirements and other applicable rules, a recipient of an OJP award may not make subawards ("subgrants") unless the recipient has specific federal authorization to do so. Unless an applicable statute or DOJ regulation specifically authorizes (or requires) subawards, a recipient must request and obtain prior written authorization from OJP before proceeding with a subaward.

If an applicant proposes to make one or more subawards to carry out the federal award and program, the applicant should-- (1) identify (if known) the proposed subrecipient(s), (2) describe in detail what each subrecipient will do to carry out the federal award and federal program, and (3) provide a justification for the subaward(s), with details on pertinent matters such as special qualifications and areas of expertise. Pertinent information on subawards should appear not only in the Program Narrative, but also in the Budget Detail Worksheet and Budget Narrative.

2. Information on proposed procurement contracts (with specific justification for noncompetitive contracts over \$150,000)

Unlike a recipient contemplating a subaward, a recipient of an OJP award generally does not need specific prior federal authorization to enter into an agreement that -- for purposes of federal grants administrative requirements -- is considered a procurement contract, **provided that** (1) the recipient uses its own documented procurement procedures and (2) those procedures conform to applicable federal law, including the Procurement Standards of the Part 200 Uniform Requirements (set out at 2 C.F.R. 200.317 - 200.326). The Budget Detail Worksheet and Budget Narrative should identify proposed procurement contracts. (As discussed above, subawards must be identified and described separately from procurement contracts.)

The Procurement Standards in the Part 200 Uniform Requirements, however, reflect a general expectation that procurement contracts under awards will be entered into on the basis of full and open competition. If a proposed procurement contract would exceed the

simplified acquisition threshold -- currently, \$150,000 -- a recipient of an OJP award may not proceed without competition (or without adequate competition as set out in the Part 200 Uniform Requirements and related rules) unless and until the recipient receives specific advance authorization from OJP to use a non-competitive approach.

An applicant that (at the time of its application) intends -- without competition (or without adequate competition) -- to enter into a procurement contract that would exceed \$150,000 should include a detailed justification that explains to OJP why, in the particular circumstances, it is appropriate to proceed without competition (or without adequate competition). Various considerations that may be pertinent to the justification are outlined in the [DOJ Grants Financial Guide](#).

e. Pre-Agreement Costs

For information on pre-agreement costs approvals, see [Section B. Federal Award Information](#).

5. Indirect Cost Rate Agreement (if applicable)

Indirect costs are not allowed under this solicitation.

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 that would receive services or assistance 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 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. Certification of full-time enrollment in a social and behavioral sciences doctoral program at the time of application (REQUIRED).** (See page 5 for details.)
- b. Statement of support from the dissertation committee chair or the doctoral student's faculty advisor, department chair, departmental director of graduate studies, or individual with similar responsibilities, as applicable (REQUIRED).** (For information on required content, see page 7.)

c. Applicant disclosure of pending applications⁶

Each applicant is to disclose whether it has (or is proposed as a subrecipient under) any pending applications for federally-funded grants or cooperative agreements that include requests for funding to support the same project being proposed in the application under this solicitation and that would cover the identical cost items outlined in the budget narrative and worksheet in the application to OJP under this solicitation. The applicant is to disclose both applications made directly to federal awarding agencies and applications for subawards of federal funds (e.g., applications to state agencies that will subaward (“subgrant”) federal funds).

OJP seeks this information to help avoid 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.

Each applicant that has one or more pending applications as described above is to provide the following information about pending applications submitted within the last 12 months:

- The federal or state funding agency.
- The solicitation name/project name.
- The point of contact information at the applicable federal or state funding agency.

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

Each applicant should include the table as a separate attachment to its application. The file should be named “Disclosure of Pending Applications.”

Any applicant that does not have any pending applications as described above is to submit, as a separate attachment, a statement to this effect: [Applicant Name on SF-424] does not have (and is not proposed as a subrecipient under) any pending applications submitted within the last 12 months for federally-funded grants or

⁶ 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.

cooperative agreements or for subawards under federal grants or cooperative agreements) that request funding to support the same project being proposed in this application to OJP and that would cover the identical cost items outlined in the budget narrative and worksheet in this application.”

d. Research and Evaluation Independence and Integrity

If an application involves research (including research and development) and/or evaluation, the applicant must demonstrate research/evaluation independence and integrity, including appropriate safeguards, before it may receive award funds. The applicant must demonstrate independence and integrity regarding both this proposed research and/or evaluation, and any current or prior related projects.

Each application should include an attachment that addresses **both** i. and ii. below.

- i. For purposes of this solicitation, each applicant is to document research and evaluation independence and integrity by including one of the following two items:
 - a. A specific assurance that the applicant has reviewed its application to identify any actual or potential apparent conflicts of interest (including through review of pertinent information on the principal investigator, any co-principal investigators, and any subrecipients), and that the applicant has identified no such conflicts of interest – whether personal or financial or organizational (including on the part of the applicant entity or on the part of staff, investigators, or subrecipients) – that could affect the independence or integrity of the research, including the design, conduct, and reporting of the research.

OR

- b. A specific description of actual or potential apparent conflicts of interest that the applicant has identified – including through review of pertinent information on the principal investigator, any co-principal investigators, and any subrecipients – that could affect the independence or integrity of the research, including the design, conduct, or reporting of the research. These conflicts may be personal (e.g., on the part of investigators or other staff), financial, or organizational (related to the applicant or any subrecipient entity). Some examples of potential investigator (or other personal) conflict situations are those in which an investigator would be in a position to evaluate a spouse's work product (actual conflict), or an investigator would be in a position to evaluate the work of a former or current colleague (potential apparent conflict). With regard to potential organizational conflicts of interest, as one example, generally an organization would not be given an award to evaluate a project, if that organization had itself provided substantial prior technical assistance to that specific project or a location implementing the project (whether funded by OJP or other sources), because the organization in such an instance might appear to be evaluating the effectiveness of its own prior work. The key is whether a reasonable person understanding all of the facts would be able to have confidence that the results of any research or evaluation project are objective and reliable. Any outside personal or financial

interest that casts doubt on that objectivity and reliability of an evaluation or research product is a problem and must be disclosed.

- ii. In addition, for purposes of this solicitation, each applicant is to address possible mitigation of research integrity concerns by including, at a minimum, one of the following two items:
 - a. If an applicant reasonably believes that no actual or potential apparent conflicts of interest (personal, financial, or organizational) exist, then the applicant should provide a brief narrative explanation of how and why it reached that conclusion. The applicant also is to include an explanation of the specific processes and procedures that the applicant has in place, or will put in place, to identify and prevent (or, at the very least, mitigate) any such conflicts of interest pertinent to the funded project during the period of performance. Documentation that may be helpful in this regard may include organizational codes of ethics/conduct and policies regarding organizational, personal, and financial conflicts of interest. There is no guarantee that the plan, if any, will be accepted as proposed.

OR

- b. If the applicant has identified actual or potential apparent conflicts of interest (personal, financial, or organizational) that could affect the independence and integrity of the research, including the design, conduct, or reporting of the research, the applicant is to provide a specific and robust mitigation plan to address each of those conflicts. At a minimum, the applicant is expected to explain the specific processes and procedures that the applicant has in place, or will put in place, to identify and eliminate (or, at the very least, mitigate) any such conflicts of interest pertinent to the funded project during the period of performance. Documentation that may be helpful in this regard may include organizational codes of ethics/conduct and policies regarding organizational, personal, and financial conflicts of interest. There is no guarantee that the plan, if any, will be accepted as proposed.

OJP will assess research and evaluation independence and integrity based on considerations such as the adequacy of the applicant's efforts to identify factors that could affect the objectivity or integrity of the proposed staff and/or the applicant entity (and any subrecipients) in carrying out the research, development, or evaluation activity; and the adequacy of the applicant's existing or proposed remedies to control any such factors.

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

In accordance with the Part 200 Uniform Requirements, as set out at 2 C.F.R. 200.205, OJP must evaluate the risks posed by applicants under this solicitation before awards are made. To facilitate one aspect of this pre-award risk evaluation, **every** applicant (other than an individual applying in his/her personal capacity) is to download, complete, and submit this [form](#).

Among other things, the form requires each applicant to disclose whether it currently is designated “high-risk” by a federal grant-making agency outside of DOJ. For purposes of this disclosure, high-risk includes any status under which a federal awarding agency provides additional oversight due to past performance, or other programmatic or financial concerns with the applicant. If an applicant is designated high-risk by another federal awarding agency, the applicant must provide the following information:

- The federal awarding agency that currently designates the applicant high-risk.
- The date the applicant was designated high-risk.
- The high-risk point of contact at that federal awarding agency (name, phone number, and email address).
- The reasons for the high-risk status, as set out by the federal awarding agency.

OJP seeks this information to help ensure appropriate federal oversight of OJP awards. An applicant that is considered “high-risk” by another federal awarding agency is not automatically disqualified from receiving an OJP award. OJP may, however, consider the information in award decisions, and may impose additional OJP oversight of any award under this solicitation (including through the conditions that accompany the award document).

9. Disclosure of Lobbying Activities

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

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. 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 automatically notified.

Browser Information: Grants.gov was built to be compatible with Internet Explorer. For technical assistance with Google Chrome, or another browser, contact Grants.gov Customer Support.

Note on Attachments. Grants.gov has two categories of files for attachments: mandatory and optional. OJP receives all files attached in both categories. Please insure all required documents are attached in the mandatory category.

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 (!)
Underscore (_)	Comma (,)	Semicolon (;)	Apostrophe (‘)
Hyphen (-)	At sign (@)	Number sign (#)	Dollar sign (\$)
Space	Percent sign (%)	Plus sign (+)	Equal sign (=)
Period (.)	When using the ampersand (&) in XML, applicants must use the “&amp;” format.		

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

All applicants are required to complete the following steps:

OJP may not make a federal award to an applicant organization until the applicant organization has complied with all applicable DUNS and SAM requirements. Individual applicants must comply with all Grants.gov requirements. If an applicant has not fully complied with the requirements by the time the federal awarding agency is ready to make a federal award, the federal awarding agency may determine that the applicant is not qualified to receive a federal award and use that determination as a basis for making a federal award to another applicant.

- 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. 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. SAM registration and renewal can take as long as 10 business days to complete.

Applications cannot be successfully submitted in Grants.gov until Grants.gov receives the SAM registration information. Once the SAM registration/renewal is complete, **the information transfer from SAM to Grants.gov can take 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.

- 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/web/grants/register.html.
- 4. Acquire confirmation for the AOR from the E-Business Point of Contact (E-Biz POC).** The E-Biz POC at the applicant organization must log into Grants.gov to confirm the applicant organization's AOR. The E-Biz POC will need the Marketing Partner Identification Number (MPIN) password obtained when registering with SAM to complete this step. Note that an organization can have more than one AOR.
- 5. Search for the funding opportunity on Grants.gov.** Use the following identifying information when searching for the funding opportunity on Grants.gov. The Catalog of Federal Domestic Assistance number for this solicitation is 16.562, titled "Criminal Justice Research and Development — Graduate Research Fellowships," and the funding opportunity number is NIJ-2017-10720.
- 6. Submit a valid application consistent with this solicitation by following the directions in Grants.gov.** Within 24-48 hours after submitting the electronic application, the applicant should receive two notifications from Grants.gov. The first will confirm the receipt of the application and the second will state whether the application has been successfully 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. All applications are due to be submitted and in receipt of a successful validation message in Grants.gov by 11:59 p.m. eastern time on November 21, 2016.

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 the same application, NIJ will review only the most recent system-validated version submitted. See Note on File Names and File Types under [How To Apply](#).

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 contact the [Grants.gov Customer Support Hotline](#) or the [SAM Help Desk](#) (Federal Service Desk) to report the technical issue and receive a tracking number. Then applicant must e-mail the NIJ contact identified in the Contact Information section on page 2 **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 are generally insufficient to justify late submissions:

- Failure to register in SAM or Grants.gov in sufficient time (SAM registration and renewal can take as long as 10 business days to complete. The information transfer from SAM to Grants.gov can take up to 48 hours.)
- Failure to follow Grants.gov instructions on how to register and apply as posted on its website.
- Failure to follow each instruction in the OJP solicitation.
- Technical issues with the applicant's computer or information technology environment, including firewalls, browser incompatibility, etc.

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

E. Application Review Information

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.

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

1. Detailed and complete discussion of proposed research methods.
2. Soundness of the research methods and appropriateness to the proposed study.
3. Awareness of potential limitations of the research plan and proposed practical solutions.
4. Overall feasibility of proposed project and awareness of pitfalls.
5. Innovation and creativity.

Potential Impact – 20%

1. Potential for the proposed research to significantly advance the scientific or technical understanding of the problem addressed.

Capabilities and Competencies (Capabilities, demonstrated productivity, and experience of the applicant organization and proposed project staff) – 10%

1. Qualifications and experience of the doctoral student and the dissertation committee chair (if identified), e.g., successful coursework completion, relevant work and/or research experience, leadership roles, mentoring experience, and record of publication.
2. Applicant academic institution's record of accomplishment with respect to doctoral candidates' completion of degrees.
3. Applicant academic institution's record of past performance regarding NIJ grants and contracts (if applicable).
4. Adequacy of management plan to ensure project completion.

Budget

Peer reviewers will consider and may comment on the following additional items in the context of scientific and technical merit.

1. Appropriateness of requested research expenses and related costs to the proposed dissertation research.
2. Appropriateness of the budget relative to the level of effort.
3. Use of existing resources to conserve costs.

Plan for Dissemination to Broader Audiences

Peer reviewers may comment—in the context of scientific and technical merit—on the proposed plan to disseminate the key findings of the work to the larger research community and to make available to broader interested audiences, such as criminal/juvenile justice practitioners or policymakers, summary information from the planned scholarly products of the project.

Review Process

OJP is committed to ensuring a fair and open process for making awards. 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. For purposes of assessing whether applicants have met basic minimum requirements, OJP screens applications for compliance with specified program requirements to help determine which applications should proceed to further consideration for award. Although program requirements may vary, the following are common requirements applicable to all solicitations for funding under OJP grant programs:

- The application must be submitted by an eligible type of applicant.
- The application must request funding within programmatic funding constraints (if applicable).
- The application must be responsive to the scope of the solicitation.
- The application must include all items designated as “critical elements.”
- The applicant must not be identified in SAM as excluded from receiving federal awards.

For a list of critical elements, see “What an Application Should Include” under [Section D. Application and Submission Information](#).

Peer review panels will evaluate, score, and rate applications that meet basic minimum requirements. NIJ may use internal peer reviewers, external peer reviewers, or a combination, to assess applications on technical merit using the solicitation’s selection criteria. An external peer reviewer is an expert in the subject matter of a given solicitation who is not a current DOJ employee. An internal reviewer is a current DOJ employee who is well-versed or has expertise in the subject matter of this solicitation. Peer reviewers’ ratings and any resulting recommendations are advisory only, although reviewer views are considered carefully. Other important considerations for NIJ include underserved populations, geographic diversity, strategic priorities, and available funding, as well as the planned scholarly products and the extent to which the budget detail worksheet and budget narrative accurately explain project costs that are reasonable, necessary, and otherwise allowable under federal law and applicable federal cost principles).

In addition to OJP's review of applications, before award decisions are made, OJP reviews information related to the degree of risk posed by applicants. To help assess whether an applicant that has one or more prior federal awards has a satisfactory record with respect to performance, integrity, and business ethics, OJP checks whether the applicant is listed in SAM as excluded from receiving a federal award.

The evaluation of risks goes beyond information in SAM, however. OJP itself has in place a framework for evaluating risks posed by applicants for competitive awards. OJP takes into account information pertinent to matters such as --

1. Applicant financial stability and fiscal integrity.
2. Quality of the management systems of the applicant, and applicant's ability to meet prescribed management standards, including those outlined in the DOJ Grants Financial Guide.
3. Applicant's history of performance under OJP and other DOJ awards (including scholarly products, and compliance with reporting requirements and award conditions), as well as awards from other federal agencies.
4. Reports and findings from audits of the applicant, including audits under the Part 200 Uniform Requirements.
5. Applicant's ability to comply with statutory and regulatory requirements, and to effectively implement other award requirements.

All final award decisions will be made by the Director of the National Institute of Justice, who may take into account not only peer review ratings and NIJ recommendations, but also other factors as indicated in this section.

F. Federal Award Administration Information

Federal Award Notices

OJP sends award notification by email through GMS to the individuals listed in the application as the point of contact and the authorizing official (E-Biz POC and AOR). The email notification includes detailed instructions on how to access and view the award documents, and how to accept the award. GMS automatically issues the notifications at 9:00 p.m. eastern time on the award date (by May 8, 2017). Recipients will be required to log in; accept any outstanding assurances and certifications on the award; designate a financial point of contact; and review, sign, and accept the award. The award acceptance process involves physical signature of the award document by the authorized representative and the scanning of the fully-executed award document to OJP.

Administrative, National Policy, and Other Legal Requirements

If selected for funding, in addition to implementing the funded project consistent with the agency-approved project application and budget, the recipient must comply with award terms and conditions, and other legal requirements, that are included in the award, incorporated into the award by reference, or are otherwise applicable to the award. OJP strongly encourages

prospective applicants to review the information pertaining to these requirements **prior** to submitting an application. To assist applicants and recipients in accessing and reviewing this information, OJP has placed it on its [Solicitation Requirements](#) page of the [OJP Funding Resource Center](#).

Please note in particular the following two forms, which applicants must submit in GMS prior to the receipt of any award funds, as each details legal requirements with which applicants must provide specific assurances and certifications of compliance. Applicants may view these forms in the [OJP Funding Resource Center](#) and are strongly encouraged to review and consider them carefully prior to making an application for OJP grant funds.

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

Upon grant approval, OJP electronically transmits (via GMS) the award document to the prospective award recipient. In addition to other award information, the award document contains award terms and conditions that specify national policy requirements⁷ with which recipients of federal funding must comply; uniform administrative requirements, cost principles, and audit requirements; and program-specific terms and conditions required based on applicable program (statutory) authority or requirements set forth in OJP solicitations and program announcements. For example, certain efforts may call for special requirements, terms, or conditions relating to intellectual property, data/information-sharing or -access, or information security; or audit requirements, expenditures and milestones, or publications and/or press releases.

OJP also may place additional terms and conditions on an award based on its risk assessment of the applicant, or for other reasons it determines necessary to fulfill the goals and objectives of the program.

Prospective applicants may access and review the text of mandatory conditions OJP includes in all OJP awards, as well as the text of certain other conditions, such as administrative conditions, via the [Mandatory Award Terms and Conditions](#) page of the [OJP Funding Resource Center](#).

General Information About Post-Federal Award Reporting Requirements

Recipients must submit quarterly financial reports, bi-annual progress reports, final financial and progress reports, and, if applicable, an annual audit report in accordance with the Part 200 Uniform Requirements. Applicants should anticipate that NIJ will require recipients to use a version of the non-budgetary components of the Research Performance Progress Report (RPPR) template/format for progress reports, appropriately modified for NIJ research awards. General information on RPPRs may be found at www.nsf.gov/bfa/dias/policy/rppr/. Future awards and fund drawdowns may be withheld if reports are delinquent.

Special reporting requirements may be required as appropriate.

⁷ See generally 2 C.F.R. 200.300 (provides a general description of national policy requirements typically applicable to recipients of Federal awards, including the Federal Funding Accountability and Transparency Act of 2006 (FFATA)).

As indicated earlier in this solicitation, NIJ expects scholarly products to result from any award under this solicitation. Please review the [Goals, Objectives, Deliverables, and Expected Scholarly Products](#) segment of the “Program-Specific Information” section of this solicitation, as well as the “Performance Measures” section.

Performance Measures

To demonstrate program progress and success, as well as, 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
Conduct research in science, technology, engineering, and/or mathematics having clear implications for criminal justice policy and practice in the United States.	<ol style="list-style-type: none"> 1. Relevance to the needs of the field as measured by whether the project’s substantive scope did not deviate from the funded proposal or any subsequent agency-approved modifications to the scope. 2. Quality of the research as demonstrated by the scholarly products that result in whole or in part from work funded under the NIJ award (published, peer-reviewed, scientific journal articles, and/or (as appropriate for the funded project) law review journal articles, book chapter(s) or book(s) in the academic press, technological prototypes, patented inventions, or similar scientific products). 3. Quality of management as measured by such factors as whether significant project milestones were achieved, reporting and other deadlines were met, and costs remained within approved limits. 4. Number of technologies fielded as a result (in whole or in part) of work funded under the NIJ award. 	<ol style="list-style-type: none"> 1. Quarterly financial reports, bi-annual and final progress reports, and, if applicable, an annual audit report in accordance with the Part 200 Uniform Requirements of the work performed under the NIJ award. 2. List of citation(s) to all scholarly products that resulted in whole or in part from work funded under the NIJ award. 3. If applicable, each data set that resulted in whole or in part from work funded under the NIJ award. 4. An official signed copy of the doctoral student’s successfully defended and accepted final dissertation. 5. If applicable, description of all technologies fielded as a result (in whole or in part) of work funded under the NIJ award.

G. Federal Awarding Agency Contact(s)

For OJP Contact(s), see the title page.

For contact information for Grants.gov, see the title page.

H. Other Information

Freedom of Information Act and Privacy Act (5 U.S.C. 552 and 5 U.S.C. 552a)

All applications submitted to OJP (including all attachments to applications) are subject to the federal Freedom of Information Act (FOIA) and to the Privacy Act. By law, DOJ may withhold information that is responsive to a request pursuant to FOIA if DOJ determines that the responsive information either is protected under the Privacy Act or falls within the scope of one of nine statutory exemptions under FOIA. DOJ cannot agree in advance of a request not to release some or all portions of an application.

In its review of records that are responsive to a FOIA request, OJP will withhold information in those records that plainly falls within the scope of the Privacy Act or one of the statutory exemptions under FOIA. (Some examples include certain types of information in budgets, and names and contact information for project staff other than certain key personnel.) In appropriate circumstances, OJP will request the views of the applicant/recipient that submitted a responsive document.

For example, if OJP receives a request pursuant to FOIA for an application submitted by a nonprofit or for-profit organization or an institution of higher education, or for an application that involves research, OJP typically will contact the applicant/recipient that submitted the application and ask it to identify -- quite precisely -- any particular information in the application that applicant/recipient believes falls under a FOIA exemption, the specific exemption it believes applies, and why. After considering the submission by the applicant/recipient, OJP makes an independent assessment regarding withholding information. OJP generally follows a similar process for requests pursuant to FOIA for applications that may contain law-enforcement sensitive information.

Provide Feedback to OJP

To assist OJP in improving its application and award processes, 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.

IMPORTANT: This e-mail is for feedback and suggestions only. OJP does not send replies from this mailbox. Any prospective applicant that has specific questions on any program or technical aspect of the solicitation **must** use the appropriate telephone number or e-mail listed on the front of this solicitation document to obtain information. These contacts are provided to help ensure that prospective applicants can directly reach an individual who can address specific questions in a timely manner.

If you are interested in being a reviewer for other OJP grant applications, please e-mail your résumé to ojppeerreview@lmsolas.com. (Do not send your resume to the OJP Solicitation Feedback email account.) **Note:** Neither you nor anyone else from your organization or entity can be a peer reviewer in a competition in which you or your organization/entity has submitted an application.

Application Checklist

Graduate Research Fellowship 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 25)
- _____ Acquire or renew registration with SAM (see page 26)

To Register with Grants.gov:

- _____ Acquire AOR and Grants.gov username/password (see page 26)
- _____ Acquire AOR confirmation from the E-Biz POC (see page 26)

To Find Funding Opportunity:

- _____ Search for the funding opportunity on Grants.gov (see page 26)
- _____ Download Funding Opportunity and Application Package
- _____ Sign up for Grants.gov [email](#) notifications (optional) (see page 24)
- _____ Read [Important Notice: Applying for Grants in Grants.gov](#)

After Application Submission, Receive Grants.gov Email Notifications That:

- _____ (1) Application has been received
- _____ (2) Application has either been successfully validated or rejected with errors (see page 26)

If no Grants.gov receipt, and validation or error notifications are received:

- _____ Contact NIJ regarding experiencing technical difficulties (see page 27)

General Requirements:

- _____ Review the [Solicitation Requirements](#) in the OJP Funding Resource Center.

What an Application Should Include:

- _____ Application for Federal Assistance (SF-424) (see page 13)
- _____ Project Abstract (see page 13)
- _____ Program Narrative (**required**) (see page 14)
- _____ Budget Detail Worksheet (**required**) (see page 17)
- _____ Budget Narrative (**required**) (see page 17)
- _____ Tribal Authorizing Resolution (if applicable) (see page 20)
- _____ Additional Attachments
 - _____ Verification of current enrollment (see page 5)
 - _____ Dissertation chair's statement of support (**required**) (see page 7)
 - _____ Undergraduate and graduate transcripts (see page 5)
 - _____ Applicant Disclosure of Pending Applications (see page 21)
 - _____ Research and Evaluation Independence and Integrity (see page 22)
 - _____ 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
 - _____ Personal statement
 - _____ Dissertation committee contact information

- _____ Doctoral student eligibility documentation (timeline or other documentation, as applicable)
- _____ 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
- _____ Financial Management and System of Internal Controls Questionnaire and applicant disclosure of high-risk status (if applicable) (see page 23)
- _____ [Disclosure of Lobbying Activities \(SF-LLL\)](#) (see page 24)
- _____ Employee Compensation Waiver request and justification (if applicable) (see page 11)