

Notices regarding the solicitation “Elder Abuse Prevention Demonstration Project: Planning Phase”

March 3, 2016: A webinar was held on February 24, 2016, to assist potential applicants in developing strong proposals. A recording and transcript are available at <http://nij.gov/multimedia/Pages/video-elder-abuse-demonstration-project-solicitation-webinar.aspx>.

February 29, 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-2016-9018> 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 a rigorous, multi-year demonstration project to prevent abuse, neglect, and/or financial exploitation among community-residing elderly individuals identified to be at risk. This solicitation is for an 18-month planning phase. Research proposed may be focused at the state, local, tribal, or federal level.

Elder Abuse Prevention Demonstration Project: Planning Phase Eligibility

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

NIJ welcomes applications that involve two or more entities, however, one eligible entity must be the applicant and the other(s) must be proposed as subrecipient(s). The applicant must be the entity with primary responsibility for conducting and leading the research. If successful, the applicant will be responsible for monitoring and appropriately managing any subrecipients or, as applicable, for administering any procurement subcontracts that would receive federal program funds from the applicant under the award.

An eligible applicant may submit more than one application, as long as each application proposes a different project in response to the solicitation. (Applicants should also review and consider the "Duplicate Applications" note under [How to Apply](#) in Section D. Application and Submission Information.) Subrecipients may be part of multiple proposals.

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

For additional eligibility information, see [Section C. Eligibility Information](#).

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 May 2, 2016.

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

For additional application information, see [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 email 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 email 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.

Grants.gov number assigned to this announcement: NIJ-2016-9018

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Elder Abuse Prevention Demonstration Project: Planning Phase

(CFDA No. 16.560)

A. Program Description

Overview

NIJ is seeking applications for a rigorous, multi-year demonstration project to prevent abuse, neglect, and/or financial exploitation among community-residing elderly individuals identified to be at risk for elder mistreatment. This solicitation is for an 18-month planning phase.

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

Program-Specific Information

Background

Over the past decade, NIJ has repeatedly solicited rigorous research to test the effectiveness of elder abuse preventive interventions.¹ Although NIJ has funded over 30 research projects related to the abuse, neglect, and financial exploitation of elderly individuals during this time period, only two research projects involved intervention research.² None of the funded projects have tested the effectiveness of a preventive intervention using a rigorous scientific design. In both of the previously funded NIJ intervention research studies, the research was designed to determine the effectiveness of an intervention model – elder abuse multidisciplinary teams – for addressing the needs of victims of elder abuse.³ No rigorous research has been done to determine the effectiveness of a program designed to prevent elder abuse either in the general population of elders (universal or primary prevention) or among an at-risk population of elders (selected or secondary prevention).

The U.S. Department of Health and Human Services' Administration on Aging, through the Elder Abuse Prevention Interventions demonstration, provided funding, in FY 2013, to five state grantees to test interventions designed to prevent elder abuse, neglect, and exploitation. A preliminary evaluation was conducted that provides information about the development and implementation of the interventions; the characteristics of victims and perpetrators of elder

¹ See prior NIJ solicitations at <http://www.nij.gov/funding/pages/expired.aspx?status=expired&fiscalyear=2015%2c2014%2c2013%2c2012%2c2011%2c2010%2c2009%2c2008>.

² For a complete list of awards, go to <http://www.nij.gov/funding/awards/Pages/welcome.aspx> and enter the keyword "elder" into the search box.

³ By design, these are challenging cases where elder abuse has already been identified. The first study used propensity score matching to compare outcomes of two groups: those who received the usual Adult Protective Services (APS) care *plus* assistance from a Forensic Center (one type of multidisciplinary team) and those who received only the usual APS care. They found that significantly more cases reviewed by the Forensic Center were submitted to the District Attorney's Office (22.0 percent) compared with APS-only cases (3.0 percent) and that significantly more Forensic Center cases were referred to the Office of the Public Guardian (30.6 percent) compared with APS-only cases (5.9 percent) (Gassoumis, Navarro, & Wilber, 2015; Navarro, Gassoumis, & Wilber, 2013). The second study is an ongoing randomized control trial of a new Forensic Collaborative in Denver.

abuse or those at-risk; the use of prevention services; and outcomes. However, comparison groups were not included in the evaluation, so the impact of the interventions cannot be determined. (More information on the intervention sites is available here: http://www.aoa.acl.gov/AoA_Programs/Elder_Rights/EA_Prevention/Demonstration/Index.aspx)

Request for Proposals

NIJ, in collaboration with other federal agencies, is interested in funding a cooperative agreement to conduct a rigorous, multi-year demonstration project to prevent abuse, neglect, and/or financial exploitation among community-residing elderly individuals identified to be at risk. Ultimately, the demonstration project will include development and implementation of the intervention, and, subject to the availability of funding, a rigorous scientific evaluation of its effectiveness. This solicitation is for an 18-month planning phase. It is anticipated that upon successful completion of the planning phase, another 18-month piloting phase will be funded as a supplement to the planning phase award. Should the planning phase and piloting phase show promise in preventing elder mistreatment, and funding is available, a full implementation evaluation study may be funded as a supplement.

Successful proposals will develop an intervention that:

1. Specifies a theory of change;
2. Builds upon evidence-based violence prevention interventions in related areas;
3. Identifies a rationale and strategy for selecting participants; and
4. Is designed to be replicated, scaled up, and independently evaluated if the demonstration project indicates effectiveness in preventing elder abuse.

Applicants may develop and test interventions to prevent either a single form or multiple forms of elder mistreatment. NIJ is interested in encouraging intervention research that is strongly grounded in theory (see summary of NIJ's 2014 [Elder Mistreatment: Using Theory in Research](#) meeting). It is critical that the theoretical framework provides a good match between the proposed intervention model and anticipated outcomes. Applicants are encouraged to consider the use of home visiting as a component of the intervention, and to consider including an integrated health care system as a partner.

The demonstration intervention research should:

1. Use a rigorous design, such as a randomized-control trial, propensity score matching, or regression discontinuity;
2. Identify substantively meaningful and measureable short- and long-term outcomes that are theoretically linked to the intervention; and
3. Include reliable, valid and generalizable measures of all independent and dependent variables, mediators, and moderators that have been tested with relevant populations.

Applicants should propose an initial intervention model and research design. The initial intervention model should include a draft logic model, a description of the population for whom

the intervention is designed, a description of the intervention components, where the intervention will be delivered, who will deliver the intervention components, length of exposure to the intervention, and how success will be determined. The logic and intervention models should be proposed in the application, but applicants should be prepared to solicit feedback from NIJ and violence prevention experts with relevant expertise and modify the logic and intervention models accordingly. A plan for soliciting feedback from violence prevention experts should be included in the application. Fidelity indicators and an intervention Manual of Procedures (MoP) should be developed in the course of the planning phase.

The initial research design, as part of the application, should include a sampling framework, power analysis, general information about the data collection mode and strategy, data collection timeline, retention strategy, and possible participant incentives⁴ for both a pilot study and a full implementation evaluation study. Applications should also include a detailed list of proposed constructs to be measured, and corresponding measurement and assessment tools and instruments. Use of administrative data is encouraged. Administrative datasets should be identified and discussed, and assurance that the applicant has access to these data should be included in the proposal. Careful consideration should be given to how a wide range of appropriate safety, health, and wellness outcomes will be selected. The applicant should also address human subjects' protections and address safety planning for participants. Again, the initial research design should be proposed in the application, but applicants should be prepared to solicit feedback from NIJ and methodology experts with relevant expertise and modify the research design accordingly. The application should also include a plan to test the intervention components, recruitment strategy, and data collection protocol within the planning phase of the project.

Initial funding under this solicitation will cover an 18-month planning phase. Upon successful completion of the planning phase, additional funding may become available to support the implementation of an 18-month pilot study. A section of the proposal should include plans for the pilot study. The pilot study should have a sample size of sufficient power to compare outcomes between the intervention group and a comparison group of individuals not receiving the intervention. The comparison group can be obtained through random assignment, propensity score matching, regression discontinuity or another statistically rigorous method.

Proposals should include a detailed communication plan with monthly progress reports and quarterly phone meetings with NIJ scientific staff. The monthly reports should include a section on problems encountered and their solutions. Proposals should also provide a timeline for the deliverables in both draft and final format.

As noted previously, this project will be awarded in the form of a cooperative agreement. The funded applicant will be expected to engage in an 18-month planning effort involving NIJ, other federal agency stakeholders, and experts or advisors to finalize details for the intervention implementation and research plan. Time and funds should be built in for stakeholder and advisory meetings, intervention and instrument development and testing (including a test of participant recruitment strategies), along with the development of research protocols, the creation of a MoP for the intervention, participant safety protocols, and preparing materials for gaining the appropriate approval from the Office of Management and Budget (OMB) to begin work on the pilot stage, if necessary.

⁴ See new guidance on incentives at <http://nij.gov/funding/Pages/research-participant-costs-and-incentives.aspx>.

The research team must be multidisciplinary and comprised of individuals with the following expertise:

- Experience in the administration and conduct of multidisciplinary and multicomponent research.
- Intervention development and implementation.
- Elder abuse.
- Violence prevention, child abuse prevention, and/or prevention of violence against women.
- Evaluation research.
- Longitudinal research design and data analysis.
- Instrument development, design and testing.
- Use of administrative data (if necessary).
- Cost analysis research.

Staffing plans should be clearly justified and include all relevant subject matter expertise. It is recommended that applicants propose multi-agency or multi-institution collaborations to meet the requirements of this solicitation. Upon award, NIJ will review and approve the final list of experts.

Applicants should anticipate starting work no earlier than January 1, 2017. It is anticipated that a pilot study will be funded, dependent upon performance and the successful completion of the planning phase of this project. Upon successful completion of the pilot study, a full demonstration project may be funded, pending the availability of funds.

Goals, Objectives, and Planned Deliverables

The goals of the Elder Mistreatment research program are to improve knowledge and understanding of issues related to the abuse, neglect and financial exploitation of elderly individuals. NIJ strives to provide objective and independent knowledge and validated tools to reduce the abuse, neglect and exploitation of elderly individuals, and promote healing and justice for victims. The objective of this solicitation is to fund rigorous research with the potential of scaling up effective programs to a broader population for the prevention of elder mistreatment among at-risk elderly individuals.

At the end of the 18-month planning phase, results of the planning phase activities in the form of a report, signed Memorandums of Understanding (MOUs) and/or data sharing agreements, OMB package (if necessary), and a revised intervention and research plan for the pilot project should be submitted to NIJ. Deliverables should include a finalized intervention MoP for the intervention, a corresponding logic model, fidelity indicators, a plan to collect intervention implementation costs, and a compendium of all measures and administrative data sources proposed. The research plan should also include a complete description of the research design

for the pilot phase and demonstration project, including the sampling strategy, general information about the data collection method, data collection timeline, participant recruitment and retention strategy, a mitigation plan for issues with recruitment and retention, power analysis, data analysis plan, and a plan for the dissemination of results. Specific MOUs to document roles and responsibilities for the pilot phase from all relevant parties should be signed by the end of the planning phase. A timeline, staffing plan, and cost estimates for the pilot study should be submitted to NIJ. Other materials may be requested over the course of the planning period.

At the end of the planning phase, applicants should plan to make a presentation to NIJ that documents the overall effort, describes the proposed intervention and evaluation strategy, and provides plans and costs for the pilot phase. Applicants should budget travel to come to NIJ for this presentation.

In addition to the final products described above, interim and final progress and financial reports are required.

B. Federal Award Information

NIJ estimates that it will make up to two awards of up to \$400,000 for an estimated total of \$800,000 for an 18-month project period, beginning on January 1, 2017.

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 January 1, 2017.

If the applicant is proposing a project that 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—specifically including the narrative, timelines/milestones, and budget detail worksheet and budget narrative—to clearly set out each phase. (This is particularly the case if the applicant proposes a project that will exceed—in cost or length of project period—the amount or length anticipated for an individual award (or awards) under this solicitation.) Given limitations on the availability to NIJ of funds for research, development, and evaluation awards, this information will assist NIJ in considering whether partial funding of proposals that would not receive full funding would be productive. (If NIJ elects to fund only certain phases of a proposed project in FY 2016, the partial-funding award may, in some cases, vary from those described above.)

NIJ may, in certain cases, provide supplemental funding in future years to awards under its research, development, and evaluation solicitations. Important considerations in decisions regarding supplemental funding include, among other factors, the availability of funding, strategic priorities, NIJ's assessment of the quality of the management of the award (for example, timeliness and quality of progress reports), and NIJ's assessment of the progress of the work funded under the award.

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 Award⁵

NIJ expects that it will make any award from this solicitation in the form of a cooperative agreement, which is a particular type of grant used if NIJ expects to have ongoing substantial involvement in award activities. Substantial involvement includes direct oversight and involvement with the grantee organization in implementation of the grant, but does not involve day-to-day project management. See [Administrative, National Policy, and other Legal Requirements](#), under [Section F. Federal Award Administration Information](#), for details regarding the federal involvement anticipated under an award from this solicitation.

As discussed [later in the solicitation](#), important rules (including limitations) apply to any conference/meeting/training costs under cooperative agreements.

Please note: Any recipient of an award under this solicitation will be required to comply with Department of Justice regulations on confidentiality and human subjects' protection. See "Evidence, Research, and Evaluation Guidance and Requirements" under "Solicitation Requirements" in [OJP's Funding Resource Center](#).

Financial Management and System of Internal Controls

If selected for funding, the award recipient must:

- a. Establish and maintain effective internal control over the federal award that provides reasonable assurance that the non-federal entity 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 non-federal entity's compliance with statute, 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 non-federal entity considers sensitive consistent with applicable federal, State and local laws regarding privacy and obligations of confidentiality. In order to better understand administrative requirements and cost principles, award applicants are encouraged to enroll, at no charge, in the Department of Justice Grants Financial Management Online Training available [here](#).

⁵ 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]).

Budget Information

What will not be funded:

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

Cost Sharing or Match Requirement

See “Cofunding” paragraph under item 4 (“Budget Detail Worksheet and Budget Narrative”) under [What an Application Should Include](#) in Section D. Application and Submission Information.

Pre-Agreement Cost Approvals

OJP does not typically approve pre-agreement costs; an applicant must request and obtain the prior written approval of OJP for all such costs. If approved, pre-agreement costs could be paid from grant funds consistent with a grantee’s approved budget, and under applicable cost standards. However, all such costs prior to award and prior to approval of the costs are incurred at the sole risk of an applicant. Generally, no applicant should incur project costs *before* submitting an application requesting federal funding for those costs. Should there be extenuating circumstances that appear to be appropriate for OJP’s consideration as pre-agreement costs, the applicant should contact the point of contact listed on the title page of this announcement for details on the requirements for submitting a written request for approval. See the section on [Costs Requiring Prior Approval](#) in the [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, recipients may not use federal funds to pay total cash compensation (salary plus cash bonuses) to any employee of the award recipient at a rate that exceeds 110% of the maximum annual salary payable to a member of the Federal Government’s Senior Executive Service (SES) at an agency with a Certified SES Performance Appraisal System for that year.⁶ 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. (Any such additional compensation will not be considered matching funds where match requirements apply.) For employees who charge only a portion of their time to an award, the allowable amount to be charged 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, the limitation on compensation rates allowable under an award. An applicant requesting a waiver should include a detailed justification in the budget narrative of the application. Unless the applicant submits a waiver request and justification with the application,

⁶ This limitation on use of award funds does not apply to the non-profit organizations specifically named at Appendix VIII to 2 C.F.R. part 200.

the applicant should anticipate that OJP will request the applicant to adjust and resubmit the budget.

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

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

OJP strongly encourages applicants that propose to use award funds for any conference-, meeting-, or training-related activity to review carefully—before submitting an application—the OJP policy and guidance on “conference” approval, planning, and reporting available at www.ojp.gov/financialguide/DOJ/PostawardRequirements/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 “Solicitation Requirements” in [OJP's Funding Resource Center](#).

C. Eligibility Information

Eligibility

For additional eligibility information, see title page.

Cost Sharing or Match Requirement

For additional information on cost sharing and match requirement, see [Section B. Federal Award 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](#).

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, and resumes/curriculum vitae of key personnel. For purposes of this solicitation, “key personnel” means the principal investigator, and any and all co-principal investigators. 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 40 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 40 page limit for the narrative section. The project abstract, table of contents, appendices, and government forms do not count toward the 40-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.⁷

Program Narrative Guidelines:

a. Title Page (not counted against the 40-page program narrative limit).

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

b. Resubmit Response (if applicable) (not counted against the 40-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 40-page program narrative limit).

⁷ 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 – specifically including the narrative, timelines/milestones, and budget detail worksheet and budget narrative – to set out each phase clearly. See generally, “Goals, Objectives, and Planned Deliverables” under “Program-Specific Information,” above.

d. Main Body.

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

- Statement of the Problem.
- Project Design and Implementation.
- Potential Impact.
- Capabilities/Competencies.

Within these sections, the narrative should address:

- Purpose, goals, and objectives.
- Review of relevant literature.
- Detailed description of research design and methods, such as research questions, hypotheses, description of sample, and analysis plan.
- Planned deliverables (See [Goals, Objectives, and Planned Deliverables](#) under [Program-Specific Information](#), above, for a discussion of expected products.)
- Implications for criminal justice policy and practice in the United States.
- Management plan and organization.

e. Performance Measures

To assist the Department with fulfilling its responsibilities under the Government Performance and Results Act of 1993 (GPRA), Public Law 103-62, and the GPRA Modernization Act of 2010, Public Law 111-352, applicants that receive funding under this solicitation must provide data that measure the results of their work done under this solicitation. OJP will require any award recipient, post award, to provide the data requested in the “Data Grantee Provides” column so that OJP can calculate values for the “Performance Measures” column. (Submission of performance measures data is not required for the application.) Performance measures for this solicitation are as follows:

Objective	Performance Measure(s)	Data Grantee Provides
<p>Conduct research in social and behavioral sciences having clear implications for criminal justice policy and practice in the United States.</p>	<p>Relevance to the needs of the field as measured by whether the project's substantive scope did not deviate from the funded proposal or any subsequent agency-approved modifications to the scope.</p> <p>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.</p> <p>Number of deliverables completed on time.</p> <p>Number of deliverables that meet expectations.</p>	<p>Quarterly financial reports and semi-annual progress reports of the work performed under the NIJ award.</p> <p>Results of the planning phase activities in the form of a report, signed Memorandums of Understanding (MOUs) and/or data sharing agreements</p> <p>Provide draft materials for OMB clearance for the information collection (by data collection).</p> <p>Finalized intervention MoP for the intervention, a corresponding logic model, fidelity indicators, a plan to collect intervention implementation costs, and a compendium of all measures and administrative data sources proposed.</p> <p>Revised intervention and research plan for the pilot project.</p> <p>A timeline, staffing plan, and cost estimates for the pilot study.</p> <p>Other materials as requested during the planning period.</p>

f. Appendices (not counted against the 40-page program narrative limit) include:

- Bibliography/references.
- 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 principal investigator and any and all co-principal investigators. In addition, curriculum vitae, resumes, or biographical sketches of all other individuals (regardless of "investigator" status) who will be significantly involved in substantive aspects of the proposal (including, for example, individuals such as statisticians serving as consultants to conduct proposed data analysis).
- List (to the extent known) of all proposed project staff members, including those affiliated with the applicant organization or any proposed subrecipient organization(s), any proposed consultant(s) and contractors (whether

individuals or organizations), and any proposed members of an advisory board for the project (if applicable). The list should include, for each individual and organization: name, title (if applicable), employer or other organizational affiliation, and roles and responsibilities proposed for the project. 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.
- 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, and Planned Deliverables](#)” under “[Program-Specific Information](#).”)
- Letters of cooperation/support or administrative agreements from organizations collaborating in the project, such as law enforcement and correctional agencies (if applicable).
- List of other agencies, organizations, or funding sources to which this proposal has been submitted (if applicable).

4. Budget Detail Worksheet and Budget Narrative

a. Budget Detail Worksheet

A sample Budget Detail Worksheet can be found at www.ojp.gov/funding/Apply/Resources/BudgetDetailWorksheet.pdf. Applicants that submit their budget in a different format should include the budget categories listed in the sample budget worksheet. 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 Financial Guide at <http://ojp.gov/financialguide/DOJ/index.htm>.

b. Budget Narrative

The budget narrative should thoroughly and clearly describe every category of expense listed in the Budget Detail Worksheet. OJP expects proposed budgets to be complete,

cost effective, and allowable (e.g., reasonable, allocable, and necessary for project activities).

Applicants should demonstrate in their budget narratives how they will maximize cost effectiveness of grant expenditures. Budget narratives should generally describe cost effectiveness in relation to potential alternatives and the goals of the project. For example, a budget narrative should detail why planned in-person meetings are necessary, or how technology and collaboration with outside organizations could be used to reduce costs, without compromising quality.

The narrative should be 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.

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

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

e. Pre-Agreement Cost Approvals

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

5. Indirect Cost Rate Agreement (if applicable)

Indirect costs are allowed only under the following circumstances:

- (a) The applicant has a current, federally approved indirect cost rate; or
- (b) The applicant is eligible to use and elects to use the “de minimis” indirect cost rate described in the Part 200 Uniform Requirements as set out at 2 C.F.R. 200.414(f).

Attach a copy of the federally approved indirect cost rate agreement to the application. Applicants that do not have an approved rate may request one through their cognizant federal agency, which will review all documentation and approve a rate for the applicant organization, or, if the applicant’s accounting system permits, costs may be allocated in the direct cost categories. For the definition of Cognizant Federal Agency, see the “Glossary of Terms” in the [Financial Guide](#). For assistance with identifying your cognizant agency, please contact the Customer Service Center at 1-800-458-0786 or at ask.ocfo@usdoj.gov. If DOJ is the cognizant federal agency, applicants may obtain information needed to submit an indirect cost rate proposal at www.ojp.gov/funding/Apply/Resources/IndirectCosts.pdf.

In order use the “de minimis” indirect rate, attach written documentation to the application that advises OJP of both the applicant’s eligibility (to use the “de minimis” rate) and its election. If the applicant elects the “de minimis” method, costs must be consistently charged as either indirect or direct costs, but may not be double charged or inconsistently charged as both. In addition, if this method is chosen then it must be used consistently for all federal awards until such time as you choose to negotiate a federally approved indirect cost rate.⁸

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. Applicant Disclosure of High-Risk Status

Applicants are to disclose whether they are currently designated high-risk by another federal grant making agency. This includes any status requiring additional oversight by the federal agency due to past programmatic or financial concerns. If an applicant is designated high-risk by another federal grant making agency, you must email the following information to OJPComplianceReporting@usdoj.gov at the time of application submission:

- The federal agency that currently designated the applicant as high-risk.
- Date the applicant was designated high-risk.
- The high-risk point of contact name, phone number, and email address, from that federal agency.
- Reasons for the high-risk status.

⁸ See 2 C.F.R. § 200.414(f).

OJP seeks this information to ensure appropriate federal oversight of any grant award. Unlike the Excluded Parties List, this high-risk information does not disqualify any organization from receiving an OJP award. However, additional grant oversight may be included, if necessary, in award documentation.

8. Additional Attachments

a. Applicant disclosure of pending applications⁹

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

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

Applicants that have pending applications as described above are to provide the following information about pending applications submitted within the last 12 months:

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

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

Applicants should include the table as a separate attachment, with the file name “Disclosure of Pending Applications,” to their application. Applicants that do not have

⁹ 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.

pending applications as described above are to include a statement to this effect in the separate attachment page (e.g., “[Applicant Name on SF-424] does not have pending applications submitted within the last 12 months for federally funded grants or subgrants (including cooperative agreements) that include requests for funding to support the same project being proposed under this solicitation and will cover the identical cost items outlined in the budget narrative and worksheet in the application under this solicitation.”).

b. Research and Evaluation Independence and Integrity

If a proposal involves research and/or evaluation, regardless of the proposal’s other merits, in order to receive funds, the applicant must demonstrate research/evaluation independence, including appropriate safeguards to ensure research/evaluation objectivity and integrity, both in this proposal and as it may relate to the applicant’s other current or prior related projects. This documentation may be included as an attachment to the application which addresses BOTH i. and ii. below.

- i. For purposes of this solicitation, applicants must document research and evaluation independence and integrity by including, at a minimum, one of the following two items:
 - a. A specific assurance that the applicant has reviewed its proposal to identify any research integrity issues (including all principal investigators and sub-recipients) and it has concluded that the design, conduct, or reporting of research and evaluation funded by NIJ grants, cooperative agreements, or contracts will not be biased by any personal or financial conflict of interest on the part of part of its staff, consultants, and/or sub-recipients responsible for the research and evaluation or on the part of the applicant organization;

OR

- b. A specific listing of actual or perceived conflicts of interest that the applicant has identified in relation to this proposal. These conflicts could be either personal (related to specific staff, consultants, and/or sub-recipients) or organizational (related to the applicant or any subgrantee organization). Examples of potential investigator (or other personal) conflict situations may include, but are not limited to, 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 could not be given a grant 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), as the organization in such an instance would appear to be evaluating the effectiveness of its own prior work. The key is whether a reasonable person understanding all of the facts would be able to have confidence that the results of any research or evaluation project are objective and reliable. Any outside personal or financial interest that casts doubt on that objectivity and reliability of an evaluation or research product is a problem and must be disclosed.

- ii. In addition, for purposes of this solicitation applicants must address the issue of 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 potential personal or organizational conflicts of interest exist, then the applicant should provide a brief narrative explanation of how and why it reached that conclusion. Applicants **MUST** also include an explanation of the specific processes and procedures that the applicant will put in place to identify and eliminate (or, at the very least, mitigate) potential personal or financial conflicts of interest on the part of its staff, consultants, and/or sub-recipients for this particular project, should that be necessary during the grant period. Documentation that may be helpful in this regard could include organizational codes of ethics/conduct or policies regarding organizational, personal, and financial conflicts of interest.

OR

- b. If the applicant has identified specific personal or organizational conflicts of interest in its proposal during this review, the applicant must propose a specific and robust mitigation plan to address conflicts noted above. At a minimum, the plan must include specific processes and procedures that the applicant will put in place to eliminate (or, at the very least, mitigate) potential personal or financial conflicts of interest on the part of its staff, consultants, and/or sub-recipients for this particular project, should that be necessary during the grant period. Documentation that may be helpful in this regard could include organizational codes of ethics/conduct or policies regarding organizational, personal, and financial conflicts of interest. There is no guarantee that the plan, if any, will be accepted as proposed.

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

9. Financial Management and System of Internal Controls Questionnaire

In accordance with [2 C.F.R. 200.205](#), federal agencies must have in place a framework for evaluating the risks posed by applicants before they receive a federal award. To facilitate part of this risk evaluation, **all** applicants (other than an individual) are to download, complete, and submit this [form](#).

10. Disclosure of Lobbying Activities

All applicants must complete this information. Applicants that expend any funds for lobbying activities are to provide the detailed information requested on the form Disclosure of Lobbying Activities (SF-LLL). Applicants that do not expend any funds for lobbying activities are 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.

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 until the applicant has complied with all applicable DUNS and SAM 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.

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

Information about SAM registration procedures can be accessed at www.sam.gov.

- 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. 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 16.560, titled "National Institute of Justice Research, Evaluation, and Development Project Grants" and the funding opportunity number is NIJ-2016-9018.
- 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.

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

Notifications regarding known technical problems with Grants.gov, if any, are posted at the top of the OJP funding Web page at <http://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) – 10%

1. Demonstrated understanding of the problem.
2. Demonstrated awareness of the state of current research.

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

1. Soundness of methods and analytic and technical approach to addressing the stated aim(s) of the proposed project.
2. Feasibility of proposed project.
3. Awareness of potential pitfalls of proposed project design and feasibility of proposed actions to minimize and/or mitigate them.

Potential Impact – 20%

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

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

Capabilities/Competencies (Capabilities, demonstrated productivity, and experience of the applicant organization and proposed project staff) – 20%

1. Qualifications and experience of proposed project staff (that is, the principal investigator, any and all co-principal investigators, and all other individuals (and organizations) identified in the application (regardless of “investigator” status) who will be significantly involved in substantive aspects of the proposal).
2. Demonstrated ability of the applicant organization to manage the effort.
3. Relationship between the capabilities/competencies of the proposed project staff (including the applicant organization) and the scope of the proposed project.

Budget

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

1. Total cost of the project relative to the perceived benefit (cost effectiveness).
2. Appropriateness of the budget relative to the level of effort.
3. Use of existing resources to conserve costs.
4. Proposed budget alignment with proposed project activities.

Plan for Dissemination to Broader Audiences (if applicable to the proposed project)

Peer reviewers may comment—in the context of scientific and technical merit—on the proposed plan (if any) to produce or to make available to broader interested audiences, such as criminal/juvenile justice practitioners or policymakers, summary information from the planned deliverables of the project.

Review Process

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

Peer reviewers will review the applications submitted under this solicitation that meet basic minimum requirements. 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:

- Applications must be submitted by an eligible type of applicant.
- Applications must request funding within programmatic funding constraints (if applicable).
- Applications must be responsive to the scope of the solicitation.
- Applications must include all items designated as “critical elements.”
- Applicants will be checked against the General Services Administration’s Excluded Parties List.

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

NIJ may use internal peer reviewers, external peer reviewers, or a combination, to assess applications meeting basic minimum requirements 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. A peer review panel will evaluate, score, and rate applications that meet basic minimum requirements.

OJP reviews applications for potential discretionary awards to evaluate the risks posed by applicants before they receive an award. This review may include but is not limited to the following:

1. Financial stability and fiscal integrity.
2. Quality of management systems and ability to meet the management standards prescribed in the Financial Guide.
3. History of performance.
4. Reports and findings from audits.
5. The applicant's ability to effectively implement statutory, regulatory, or other requirements imposed on non-federal entities.
6. Proposed costs to determine if the Budget Detail Worksheet and Budget Narrative accurately explain project costs, and whether those costs are reasonable, necessary, and allowable under applicable federal cost principles and agency regulations.

All final award decisions will be made by the Director of the National Institute of Justice. Peer reviewers' ratings and any resulting recommendations are advisory only, although their views are considered carefully. In addition to peer review ratings, considerations for award recommendations and decisions may include, but are not limited to, proposed budgets, past performance (including scholarly products) under prior NIJ and OJP awards, research independence and integrity, strategic priorities, and available funding when making awards.

F. Federal Award Administration Information

Federal Award Notices

OJP award notification will be sent from GMS. Recipients will be required to login; 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 proposal 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 requirements¹⁰ 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](#).

As stated above, NIJ expects that it will make any award from this solicitation in the form of a cooperative agreement. Cooperative agreement awards include standard “federal involvement” conditions that describe the general allocation of responsibility for execution of the funded program. Generally stated, under cooperative agreement awards, responsibility for the day-to-day conduct of the funded project rests with the recipient in implementing the funded and approved proposal and budget, and the award terms and conditions. Responsibility for oversight and redirection of the project, if necessary, rests with NIJ.

In addition to any “federal involvement” condition(s), OJP cooperative agreement awards include a special condition specifying certain requirements required in connection with conferences, meetings, retreats, seminars, symposium, training activities, or similar events funded under the award, consistent with OJP policy and guidance on “conference” approval, planning, and reporting.

General Information About Post-Federal Award Reporting Requirements

Recipients must submit quarterly financial reports, semi-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.

¹⁰ 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)).

Special Reporting requirements may be required as appropriate.

G. Federal Awarding Agency Contact(s)

For additional Federal Awarding Agency Contact(s), see the title page.

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

H. Other 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. Replies are not sent from this mailbox. If you have specific questions on any program or technical aspect of the solicitation, you must directly contact the appropriate number or e-mail listed on the front of this solicitation document. These contacts are provided to help ensure that you can directly reach an individual who can address your specific questions in a timely manner.

If you are interested in being a reviewer for other OJP grant applications, please e-mail your resume to ojpeerreview@lmsolas.com. The OJP Solicitation Feedback email account will not forward your resume. Note: Neither you nor anyone else from your organization can be a peer reviewer in a competition in which you or your organization have submitted an application.

Application Checklist

Elder Abuse Prevention Demonstration Project: Planning Phase

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 22)

_____ Acquire or renew registration with SAM (see page 23)

To Register with Grants.gov:

_____ Acquire AOR and Grants.gov username/password (see page 23)

_____ Acquire AOR confirmation from the E-Biz POC (see page 23)

To Find Funding Opportunity:

_____ Search for the funding opportunity on Grants.gov (see page 23)

_____ Download Funding Opportunity and Application Package

_____ Sign up for Grants.gov [email](#) notifications (optional) (see page 22)

_____ Read [Important Notice: Applying for Grants in Grants.gov](#)

_____ Read OJP policy and guidance on “conference” approval, planning, and reporting available at ojp.gov/financialguide/DOJ/PostawardRequirements/chapter3.10a.htm (see page 11)

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 23)

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

_____ Please refer to the section: Experiencing Unforeseen Grants.gov Technical Issues (see page 24)

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 12)

_____ Intergovernmental Review (see page 12)

_____ Project Abstract (if applicable) (see page 12)

_____ Program Narrative (see page 13)

_____ Budget Detail Worksheet (see page 16)

_____ Budget Narrative (see page 16)

_____ Indirect Cost Rate Agreement (if applicable) (see page 17)

_____ Tribal Authorizing Resolution (if applicable) (see page 18)

_____ Applicant Disclosure of High-Risk Status (see page 18)

_____ Additional Attachments

_____ Applicant Disclosure of Pending Applications (see page 19)

_____ Research and Evaluation Independence and Integrity (see page 20)

_____ Financial Management and System of Internal Controls Questionnaire (if applicable) (see page 21)

_____ [Disclosure of Lobbying Activities \(SF-LLL\)](#) (see page 21)

_____ Employee Compensation Waiver request and justification (if applicable) (see page 10)