

Notice regarding the solicitation “W.E.B. Du Bois Program of Research on Crime FY 2018”

April 4, 2018: NIJ hosted a webinar discussion on February 26, 2018, that provided an overview of this solicitation. The transcripts and slides have been appended to this document.

April 2, 2018: Item 9.c. titled “Disclosure of Process Related to Executive Compensation” under “What an Application Should Include” in Section D. Application and Submission Information was redacted.

March 12, 2018: Links directing to "Overview of Legal Requirements Generally Applicable to OJP Grants and Cooperative Agreements - FY 2017 Awards" have been updated to the FY 2018 link throughout this funding opportunity document.

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) seeks investigator-initiated proposals for funding under the W.E.B. Du Bois Program of Research on Crime from two categories of researchers: (1) scholars who are advanced in their careers; and (2) fellows who are early in their careers. The program supports research that places particular emphasis on the intersections of race, crime, violence, and the administration of justice within the United States. It furthers the Department of Justice's mission by advancing knowledge regarding issues deemed critical by the Department.

W.E.B. Du Bois Program of Research on Crime FY 2018

Applications Due: April 30, 2018

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 that perform law enforcement functions (as determined by the Secretary of the Interior), nonprofit and for-profit organizations (including tribal nonprofit and for-profit organizations), institutions of higher education (including tribal institutions of higher education), and certain qualified individuals. Foreign governments, foreign organizations, and foreign colleges and universities are not eligible to apply.

All recipients and subrecipients (including any for-profit organization) must forgo any profit or management fee.

NIJ welcomes applications under which two or more entities would carry out the federal award; however, only one entity may be the applicant. Any others must be proposed as subrecipients (subgrantees)¹. The applicant must be the entity that would have primary responsibility for carrying out the award, including administering funding, managing the entire project, and monitoring and appropriately managing any subawards ("subgrants").

NIJ may elect to fund applications submitted under this FY 2018 solicitation in future fiscal years, dependent on, among other considerations, the merit of the applications and on the availability of appropriations.

¹ For additional information on subawards, see "Budget and Associated Documentation" under [Section D. Application and Submission Information](#).

Deadline

Applicants must register with Grants.gov at <https://www.grants.gov/web/grants/register.html> prior to submitting an application. All applications are due by 11:59 p.m. eastern time on April 30, 2018.

To be considered timely, an application must be submitted by the application deadline using Grants.gov, and the applicant must have received a validation message from Grants.gov that indicates successful and timely submission. OJP urges applicants to submit applications at least 72 hours prior to the application due date, to allow time for the applicant 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.

OJP encourages all applicants 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, 606-545-5035, at <https://www.grants.gov/web/grants/support.html>, or via email to support@grants.gov. The [Grants.gov](#) Support Hotline operates 24 hours a day, 7 days a week, except on federal holidays.

An applicant that experiences unforeseen Grants.gov technical issues beyond its control that prevent it from submitting its application by the deadline may email the NIJ contact identified below **within 24 hours after the application deadline** to request approval to submit its application. Additional information on reporting technical issues appears 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 solicitation: NIJ-2018-14220

Release date: February 26, 2018

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W.E.B. Du Bois Program of Research on Crime FY 2018

(CFDA No. 16.566)

A. Program Description

Overview

The W.E.B. Du Bois Program supports quantitative and qualitative research that furthers the Department's mission by advancing knowledge regarding the intersections of race, crime, violence, and the administration of justice within the United States. This solicitation seeks investigator-initiated proposals for funding to conduct research on topics linked to issues deemed critical by the U.S. Department of Justice, including:

- Reducing violent crime;
- Enhancing investigations and prosecution;
- Protecting police officers and other public safety personnel;
- Reducing victimization; and
- Enhancing immigration enforcement.

The proposals should have clear implications for criminal justice policy and practice in the United States.

NIJ seeks applications for funding from two categories of researchers:

1. **W.E.B. Du Bois Scholars in Race and Crime Research** – Researchers who are advanced in their careers (awarded a terminal degree at least six years prior to December 31, 2018) may apply for 36-month (or less) grants, with funding up to \$500,000 for research and mentoring less-experienced researchers.
2. **W.E.B. Du Bois Fellowship for Research on Race and Crime** – Researchers who are early in their careers (awarded a terminal degree within six years prior to December 31, 2018) may apply for 24-month (or less) grants, with funding up to \$250,000 for research. A period of residency at NIJ is optional, but not required.

Statutory Authority: Any awards under this solicitation would be made under statutory authority provided by a full-year appropriations act for FY 2018. As of the writing of this solicitation, the Department of Justice is operating under a short-term "Continuing Resolution"; no full-year appropriation for the Department has been enacted for FY 2018.

Program-Specific Information

W.E.B. Du Bois (1868-1963) was an American sociologist, historian, writer, and editor. As a social scientist, Du Bois used objective scientific methods to advocate for social change. *The Philadelphia Negro: A Social Study*,² published by Du Bois in 1899, was a groundbreaking sociological study of the city's African American community. It was one of the first research projects to combine urban ethnography, social history, and descriptive statistics.

Since FY 2000, NIJ has supported the W.E.B. Du Bois Program to advance the field of research on race and crime in the United States, with funding for fellows who are early in their careers. Past fellows have examined policing, courts, corrections, and other topics.

Many fellows have applied quantitative methods, such as using national survey, police department, and other archival data, for longitudinal, multilevel, and other statistical analyses. With increased NIJ grant funding to promote mixed-method approaches, some fellows have incorporated primary data collection, including qualitative research, into their protocols. Examples include: police decision-making pathways in diverse communities; examining how risk assessment and neighborhood context affects sentencing decisions; focus groups with the Albanian diaspora in communities affected by organized crime; and a survey experiment testing the effect of exposure to various cues on support for justice reinvestment.

See the W.E.B. Du Bois Fellowship webpage³ for a brief description of the program, a list of past fellows and their projects, and links to research reports and other publications.

In FY 2016, NIJ expanded the program to include a new funding category with support for more extensive research projects led by experienced principal investigators (PI) who could provide mentoring to less experienced researchers. NIJ has awarded several grants under the scholar and fellowship funding categories, including research on youth violence and victimization, policing and traffic stops, civilian oversight and review boards, prison reform effects, pre-adjudication risk-needs assessments, and inter-generational gang violence.

Funding Categories

W.E.B. Du Bois Scholars in Race and Crime Research

Prospective scholars from all social, behavioral, and other disciplines are welcome to apply. Applicants must:

- Possess a terminal degree in their respective field; and
- Have received a terminal degree prior to December 31, 2012.

NIJ is soliciting proposals for advanced Scholars to conduct innovative, multi-disciplinary, multi-method research studies that build on past research and advance knowledge about the occurrence of crime and the effectiveness of criminal justice programs. In order to inform practice and policy relevant to state, tribal, and local jurisdictions and their criminal justice stakeholder communities, NIJ seeks proposals that will make significant contributions to theory and/or research methods. Applicants must state specific research questions, including how the

² Du Bois, W. E. B. (1899). *The Philadelphia Negro: A Social Study*. Philadelphia: University of Pennsylvania.

³ W.E.B. Du Bois Fellowship Program, <http://nij.gov/funding/fellowships/dubois-fellowship/pages/welcome.aspx>.

proposed project is designed to advance current research, and how research findings have the potential to add substantially to the knowledge base of the proposed line of inquiry.

Randomized controlled trial (RCT) studies are a powerful, much needed tool for building scientific evidence about what works. Therefore, studies employing RCT methods to assess the effectiveness of programs and practices will be given higher priority consideration. RCT applications with strong designs measuring outcomes of self-evident policy importance are strongly encouraged. A strong RCT design should include low sample attrition, sufficient sample size, close adherence to random assignment, valid outcome measures, and statistical analyses. Taking RCT costs into consideration, applicants may want to consider studies using privacy-protected administrative data that are already being collected or implementing an intervention into a program already funded.

A secondary goal of the W.E.B. Du Bois Scholars Program is to grow the field of well-trained researchers studying race and crime. Scholars must propose a mentorship component to the study that goes beyond hiring graduate and undergraduate students as project staff. Applications must include a general mentorship plan, with details on how the proposed research will contribute to the mentoring and training of junior researchers, graduate students, and/or undergraduate students by the Scholar and research partners. This general mentorship plan must be provided as an appendix to the application.

For mentorship plan approval as part of the grant award process, NIJ will require:

- The curriculum vitae/resume of the individual(s) to be mentored;
- A career development plan for the mentee(s);
- A description of the use of resources for the mentoring enterprise, such as research work space and equipment, statistical software, and other research support;
- A description of the availability of activities (including classes, seminars, and informal opportunities) for interaction with other scientists or researchers;
- Training in career skills, such as grant-writing and effective presentations; and
- A statement that at least one peer-reviewed journal article that comes from the project will be first authored by the mentee(s).

W.E.B. Du Bois Fellowship for Research on Race and Crime

Prospective scholars from all social and behavioral sciences, and other disciplines, are welcome to apply. Applicants must:

- Possess a terminal degree in their respective field;
- Not have been awarded tenure by December 31, 2018.

NIJ is soliciting proposals for Fellowships from researchers, who are early in their careers, to conduct qualitative and/or quantitative research that may include secondary data analysis. This category offers talented researchers an opportunity to elevate independently generated

research and ideas to the level of national discussion. In this funding category, first time grant recipients are encouraged to apply. Fellowship applicants have the option of proposing a short-term residency at NIJ; however, residency is not a Fellowship requirement and security clearance must be completed before residency may begin.

Goals, Objectives, Deliverables, and Expected Scholarly Products

Objectives

In support of NIJ's goal to advance knowledge regarding the confluence of crime, justice, and culture in various societal contexts, this solicitation promotes research on the intersections of race, crime, violence, and the administration of justice within the United States. This solicitation focuses on investigator-initiated research conducted by scholars and fellows regarding race and crime, applicable to state, tribal, and local jurisdictions.

Research Topics

Applicants may propose research on topics that are linked to race and crime. Of particular interest is research on issues deemed critical by the U.S. Department of Justice including:

- Reducing violent crime;
- Enhancing investigations and prosecution;
- Protecting police officers and other public safety personnel;
- Reducing victimization; and
- Enhancing immigration enforcement.

Final Research Report. Any recipient of an award under this solicitation will be expected to submit a final research report. Additional information on the final research report requirement for the solicitation is posted on the [Post Award Reporting Requirements Page](#) on NIJ's website.

Required Data Sets and Associated Files and Documentation. Any recipient of an award under this solicitation will be expected to submit to the National Archive of Criminal Justice Data (NACJD) all data sets that result in whole or in part from the work funded by the award, along with associated files and any documentation necessary for future efforts by others to reproduce the project's findings and/or to extend the scientific value of the data set through secondary analysis. For more information, see Program Narrative in [Section D. Application and Submission Information](#).

In addition to these deliverables (and the required reports and data on performance measures described in [Section F. Federal Award Administration Information](#)), NIJ expects scholarly products to result from each award under this solicitation, taking the form of one or more published, peer-reviewed, scientific journal articles, and/or (if appropriate) law review journal articles, book chapter(s) or book(s) in the academic press, technological prototypes, patented inventions, or similar scientific products.

The Goals, Objectives, Deliverables, and Expected Scholarly Products are directly related to the performance measures that demonstrate the results of the work completed.

Performance Measures

OJP will require each successful applicant to submit regular performance data that demonstrate the results of the work carried out under the award (see “[General Information about Post-Federal Award Reporting Requirements](#)” in [Section F. Federal Award Administration Information](#)).

Applicants should visit OJP’s performance measurement page at www.ojp.gov/performance to view the specific reporting requirements for this grant program.

The application should demonstrate the applicant’s understanding of the performance data reporting requirements for this grant program and detail how the applicant will gather the required data should it receive funding.

Please note that applicants are **not** required to submit performance data with the application. Performance measures information is included as an alert that successful applicants will be required to submit performance data as part of the reporting requirements under an award.

Objective	Performance Measure(s)	Data Recipient Provides
Conduct research in social and behavioral sciences 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 project 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, such as 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. 	<ol style="list-style-type: none"> 1. Quarterly financial reports, semi-annual and final progress reports, and products of the work performed under the NIJ award (including, at minimum, a final research report). If applicable, an annual audit report 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.

Evaluation Research

If an application includes an evaluation research component (or consists entirely of evaluation research), the application is expected to propose the most rigorous evaluation design appropriate for the research questions to be addressed. If the primary purpose of the evaluation

is to determine the effectiveness or impact of an intervention (e.g., program, practice, or policy), the most rigorous evaluation designs may include random selection and assignment of participants (or other appropriate units of analysis) to experimental and control conditions. In cases where randomization is not feasible, applicants should propose a strong quasi-experimental design that can address the risk of selection bias.

Applications that include evaluation research should consider the feasibility of including cost/benefit analysis. In cases where evaluations find that interventions have produced the intended benefit, cost/benefit analysis provides valuable and practical information for practitioners and policymakers that aids decision-making.

Evaluation research projects may also address a wide range of research questions beyond those focused on the effectiveness or impact of an intervention. Different research designs may be more appropriate for different research questions and at different stages of program development. The intervention strategies, setting, other contextual factors, and resources should be taken into account when selecting an evaluation design. In all cases, applications are expected to propose the most rigorous evaluation design appropriate for the research questions to be addressed.

Applicants are encouraged to review evidence rating criteria at https://www.crimesolutions.gov/about_starttofinish.aspx for further information on high-quality evaluation design elements.

B. Federal Award Information

NIJ anticipates up to \$2 million will be available to fund multiple grant awards for two (2) categories of researchers:

1. ***W.E.B. Du Bois Scholars in Race and Crime Research*** – Researchers who are advanced in their careers (awarded a terminal degree at least six years prior to December 31, 2018) may apply for 36-month (or less) grants with, funding up to \$500,000 for research and mentoring less-experienced researchers.
2. ***W.E.B. Du Bois Fellowship for Research on Race and Crime*** – Researchers who are early in their careers (awarded a terminal degree within six years prior to December 31, 2018) may apply for 24-month (or less) grants, with funding up to \$250,000 for research; residency at NIJ is optional, but not required.

An applicant should base its federal funding request and period of performance on the actual requirements of the research, and not necessarily on the anticipated amount of funding available in FY 2018 for awards under this solicitation nor to fit within a three-year period of performance. However, to expedite the budget approval process, applicants are encouraged to break out their budgets by project year or by phases in the event that NIJ chooses to fund the project partially or incrementally.

To allow time for (among other things) any necessary post-award review and financial clearance by OJP of the proposed budget and for any associated responses or other action(s) that may be required of the recipient, applicants should propose an award start date of January 1, 2019.

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, expected scholarly products, timelines/milestones, and budget detail worksheet and budget narrative—to clearly define each phase. (This is particularly the case if the applicant proposes a project that will exceed—in cost or the length of the period of performance—the amount or length of time anticipated for an individual award (or awards) under this solicitation.) Given limitations on the availability to NIJ of funds for awards for research, development, and evaluation, this information will assist NIJ in considering whether partial funding of applications would be productive. (If, in FY18, NIJ elects to fund only certain phases of a proposed project, the expected scholarly products from the partial-funding award may, in some cases, vary from those described above.)

NIJ may, in certain cases, provide additional funding in future years to awards made under its research, development, and evaluation solicitations, through continuation awards. In making decisions regarding continuation awards, OJP will consider, among other factors, the availability of appropriations, when the program or project was last competed, OJP's strategic priorities, and OJP's assessment of both the management of the award (for example, timeliness and quality of progress reports), and 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 Award

NIJ expects to make any award under this solicitation in the form of a grant. See [Administrative, National Policy, and Other Legal Requirements](#), under [Section F. Federal Award Administration Information](#), for a brief discussion of important statutes, regulations, and award conditions that apply to many (or in some cases, all) OJP grants.

Please note: Any recipient of an award under this solicitation will be required to comply with DOJ 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 2018 Awards”](#) in the OJP Funding Resource Center at <https://ojp.gov/funding/index.htm>.

Financial Management and System of Internal Controls

Award recipients and subrecipients (including recipients or subrecipients that are pass-through entities⁴) must, as described in the Part 200 Uniform Requirements⁵ 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

⁴ 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.

⁵ 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.

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 applicable administrative requirements and cost principles, OJP encourages prospective applicants to enroll, at no charge, in the DOJ Grants Financial Management Online Training, available at <https://ojpfgm.webfirst.com/>. (This training is required for all OJP recipients.)

Also, applicants should be aware that OJP collects information from applicants on their financial management and systems of internal controls (among other information) which is used to make award decisions. Under [Section D. Application and Submission Information](#), applicants may access and review the OJP Financial Management and System of Internal Controls Questionnaire (<https://ojp.gov/funding/Apply/Resources/FinancialCapability.pdf>) that OJP requires all applicants (other than an individual applying in his/her personal capacity) to download, complete, and submit as part of the application.

Budget Information

What will not be funded:

- Applications 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.)
- Programs or services unrelated to the scope of the project or existing programs or services being evaluated.
- Training in support of programs or direct services unrelated to or associated with the proposed project.
- Applications that are not responsive to this specific solicitation.

Cost Sharing or Matching Requirement

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

This solicitation does not require a match. However, 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.

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 at <https://ojp.gov/financialguide/DOJ/index.htm> 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 percent 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 2018 salary table for SES employees is available at the Office of Personnel Management website at <https://www.opm.gov/policy-data-oversight/pay-leave/salaries-wages/salary-tables/18Tables/exec/html/ES.aspx>. 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.

⁶ 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, which include 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 2018 Awards](#)" in the OJP Funding Resource Center at <https://ojp.gov/funding/index.htm>.

C. Eligibility Information

For eligibility information, see title page.

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

D. Application and Submission Information

What an Application Should Include

This section describes in detail what an application should include. An applicant should anticipate that if it fails to submit an application that contains all of the specified elements, it may negatively affect the review of its application; and, should a decision be made to make an award, it may result in the inclusion of award conditions that preclude the recipient from accessing or using award funds until the recipient satisfies the conditions and OJP makes the funds available.

Moreover, an applicant should anticipate that an application that OJP determines is nonresponsive to the scope of the solicitation, or that OJP determines does not include the application elements that NIJ has designated to be critical, will neither proceed to peer review nor receive further consideration. For 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.)

NOTE: OJP has combined the Budget Detail Worksheet and Budget Narrative in a single document collectively referred to as the Budget Detail Worksheet. See "Budget Information and Associated Documentation" below for more information about the Budget Detail Worksheet and where it can be accessed.

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

Please review the "Note on File Names and File Types" under [How to Apply](#) to be sure applications are submitted in permitted formats.

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).

To avoid processing delays, an applicant must include an accurate legal name on its SF-424. On the SF-424, current OJP award recipients, when completing the field for "Legal Name" (box 8a), should use the same legal name that appears on the prior year award document (which is also the legal name stored in OJP's financial system.) Also, these recipients should enter the Employer Identification Number (EIN) in box 8c exactly as it appears on the prior year award document. An applicant with a current, active award(s) must ensure that its GMS profile is current. If the profile is not current, the applicant should submit a Grant Adjustment Notice updating the information on its GMS profile prior to applying under this solicitation.

A new applicant entity should enter its official legal name in box 8a, its address in box 8d, its EIN in box 8b, and its Data Universal Numbering System (DUNS) number in box 8c of the SF-424. A new applicant entity should attach official legal documents to their applications (e.g., articles of incorporation, 501(c)(3) status documentation, organizational letterhead etc.) to confirm the legal name, address, and EIN entered into the SF-424. OJP will use the System for Award Management (SAM) to confirm the legal name and DUNS number entered in the SF-424; therefore, an applicant should ensure that the information entered in the SF-424 matches its current registration in SAM. See the [How to Apply](#) section for more information on SAM and DUNS numbers.

Intergovernmental Review: This solicitation ("funding opportunity") **is not** subject to [Executive Order 12372](#). (In completing the SF-424, an applicant is to answer question 19 by selecting the response 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 not submitted in the template below 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 the form's standard 12-point font (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 30-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 30-page limit for the narrative section. The project abstract, table of contents, appendices, and government forms do not count toward the 30-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 30-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,

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, expected scholarly products, timelines/milestones, and budget detail worksheet and budget narrative – to set out each phase clearly. (In appropriate cases, the expected scholarly product(s) from a particular phase may vary from those described above.) See generally "Goals, Objectives, Deliverables, and Expected Scholarly Products" under "Program-Specific Information," above.

address, telephone number, and e-mail address) for both the applicant and the principal investigator.

b. Resubmit Response (if applicable) (not counted against the 30-page program narrative limit).

If an applicant is resubmitting an application 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 application, and (2) a brief summary of revisions to the application, including responses to previous feedback received from NIJ.

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

d. Main Body.

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

- **Statement of the Problem and Research Questions.** The statement of the problem should address the need for research in this area. Applicants should discuss current gaps in data, research, and knowledge, including those for particular justice sectors, for certain populations, and to answer questions relevant to current policy and practice needs and public interests. As part of this discussion, applicants should present a review of previous literature and discuss previous research related to these problems.

This section should also identify the proposed research questions and discuss the purpose, goals, and objectives of the proposed project.

- **Project Design and Implementation.** Applicants should provide a detailed description of the strategies to implement this research project and address the research questions. Design elements should follow directly from the research project's goals and objectives and address the program-specific information noted on page 5. Applicants should describe the research methodology in detail and demonstrate the validity and usefulness of the data they will collect. Applicants should consider the rigor and soundness of the methodology and analytical and technical approaches for the proposed research and address the feasibility of the proposed project and potential challenges or problems in carrying out the activities.
- **Potential Impact.** Applicants should describe the potential impact of the research and how it may inform or improve criminal or juvenile justice-related policy, practice, or theory in the United States.

The discussion of impact should include a discussion of the deliverables, including planned scholarly products indicated in the project-specific information on page 7 and a plan for dissemination to appropriate audiences.

Applicants should identify plans to produce or make available to broader interested practitioners and policy makers in a form that is designed to be readily accessible and useful to them.

- **Capabilities/Competencies.** This section should describe the experience and capability of the applicant organization, key staff, and any proposed subgrantees (including consultants) that the applicant will use to implement and manage this effort and the federal funds under this award, highlighting any previous experience implementing projects of similar scope, design, and magnitude. Applicants should address:
 - Experience and capacity to work with the proposed data sources in the conduct of similar research efforts.
 - Experience and capacity to design and implement rigorous research and data analysis projects.
 - Experience producing and disseminating meaningful deliverables.

Applicants should also outline the management plan and organization that connects to the goals and objectives of the project.

e. Appendices not counted against the 30-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, resume, or biographical sketch of the principal investigator and any and all co-principal investigators. In addition, curriculum vitae, resume, or biographical sketch of all other individuals (regardless of “investigator” status) who will be significantly involved in substantive aspects of the proposed project (including, for example, individuals such as statisticians used to conduct proposed data analysis).
- To assist OJP in assessing actual or apparent conflicts of interest (including such conflicts on the part of prospective reviewers of the application), a complete list of the individuals named or otherwise identified anywhere in the application (including in the budget or in any other attachment) who will or may work (or advise or consult) on the proposed research, development, or evaluation project. This applies to all such individuals, including, for example, individuals who are or would be employees of the applicant or employees of any proposed subrecipient entity, any individuals who themselves may be a subrecipient, and individuals who may (or will) work without compensation (such as advisory board members). This appendix to the program narrative is to include, for each listed individual: name, title, employer, any other potentially-pertinent organizational affiliation(s), and the individual's proposed roles and responsibilities in carrying out the proposed project. If the

application identifies any specific entities or organizations (other than the applicant) that will or may work (or advise or consult) on the proposed project, without also naming any associated individuals, the name of each such organization also should be included on this list. Applicants should use the "Proposed Project Staff, Affiliation, and Roles" form available at <https://www.nij.gov/funding/documents/nij-project-staff-template.xlsx> to provide this list.

If the application (including the budget) identifies any proposed non-competitive agreements that are or may be considered procurement "contracts" (rather than subawards) for purposes of federal grants administrative requirements the applicant also must list the entities with which the applicant proposes to contract. Applicants should provide this list as a separate sheet entitled "Proposed non-competitive procurement contracts."

For information on distinctions -- for purposes of federal grants administrative requirements -- between subawards and procurement contracts under awards, see "Budget and Associated Documentation," below.

- 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](https://www.nij.gov/funding/humansubjects/Pages/welcome.aspx)) **Note:** Final IRB approval is not required at the time an application is submitted.
 - Privacy Certificate (for further guidance go to [nij.gov/funding/humansubjects/pages/confidentiality.aspx](https://www.nij.gov/funding/humansubjects/pages/confidentiality.aspx)).
- List of any previous and current NIJ awards to the applicant 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.")
- List of other agencies, organizations, or funding sources to which this application has been submitted (if applicable)
- Applicants proposing to use incentives or stipends payments as part of their research project design, must submit an incentive or stipend approval request, as a separate document, according to the requirements set forth at <https://www.nij.gov/funding/Pages/research-participant-costs-and-incentives.aspx>.
- Data archiving plan. Applicants should anticipate that NIJ will require (through special award conditions, that data sets resulting in whole or in part from projects funded under this solicitation be submitted for archiving with the NACJD. See www.nij.gov/funding/data-resources-program/applying/Pages/data-archiving-strategies.aspx.)

Applications should include as an appendix a brief plan – labeled “Data Archiving Plan” – to comply with data archiving requirements. The plan should provide brief details about proposed data management and archiving, including submission to NIJ (through NACJD) of **all files and documentation** necessary to allow for future efforts by others to reproduce the project’s findings and/or to extend the scientific value of the data set through secondary analysis. Pertinent files and documentation include, among other things, qualitative and quantitative data produced, instrumentation and data collection forms, codebook(s), any specialized programming code necessary to reproduce all constructed measures and the original data analysis, description of necessary de-identification procedures, and (when required) a copy of the privacy certificate and informed consent protocols.

The plan should be one or two pages in length and include the level of effort associated with meeting archiving requirements.

Note that required data sets are to be submitted 90 days before the end of the period of performance.

- Letters of cooperation/support or administrative agreements from organizations collaborating in the project, such as law enforcement and correctional agencies (if applicable).

4. Budget and Associated Documentation

The Budget Detail Worksheet and the Budget Narrative are now combined in a single document collectively referred to as the Budget Detail Worksheet. The Budget Detail Worksheet is a user-friendly, fillable, Microsoft Excel-based document designed to calculate totals. Additionally, the Excel workbook contains worksheets for multiple budget years that can be completed as necessary. **All applicants should use the Excel version when completing the proposed budget in an application, except in cases where the applicant does not have access to Microsoft Excel or experiences technical difficulties.** If an applicant does not have access to Microsoft Excel or experiences technical difficulties with the Excel version, then the applicant should use the 508-compliant accessible Adobe Portable Document Format (PDF) version.

Both versions of the Budget Detail Worksheet can be accessed at <https://ojp.gov/funding/Apply/Forms/BudgetDetailWorksheet.htm>.

a. Budget Detail Worksheet

The Budget Detail Worksheet should provide the detailed computation for each budget line item, listing the total cost of each and showing how it was calculated by the applicant. For example, costs for personnel should show the annual salary rate and the percentage of time devoted to the project for each employee paid with grant funds. The Budget Detail Worksheet should present a complete itemization of all proposed costs.

For questions pertaining to budget and examples of allowable and unallowable costs, see the DOJ Grants Financial Guide at <https://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).

An applicant should demonstrate in its budget narrative how it will maximize cost effectiveness of award 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 budget narrative should be mathematically sound and correspond clearly 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 those costs are necessary 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 describe costs 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. 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 an action – for federal grants administrative purposes – is a subaward or procurement contract is a critical distinction as significantly different rules apply to subawards and procurement contracts. If a recipient enters into an agreement that is a subaward of an OJP award, specific rules apply – many of which are set by federal statutes and DOJ regulations; others by award conditions. These rules place particular responsibilities on an OJP recipient for any subawards the OJP recipient may make. The rules determine much of what the written subaward agreement itself must require or provide. The rules also determine much of what an OJP recipient must do both before

and after it makes a subaward. If a recipient enters into an agreement that is a procurement contract under an OJP award, a substantially different set of federal rules applies.

OJP has developed the following guidance documents to help clarify the differences between subawards and procurement contracts under an OJP award and outline the compliance and reporting requirements for each. This information can be accessed online at <https://ojp.gov/training/training.htm>.

- [Subawards under OJP Awards and Procurement Contracts under Awards: A Toolkit for OJP Recipients.](#)
- [Checklist to Determine Subrecipient or Contractor Classification.](#)
- [Sole Source Justification Fact Sheet and Sole Source Review Checklist.](#)

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 will 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, a contract, or 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. The substance of the relationship should be given greater consideration than the form of agreement between the recipient and the outside entity.

1. Information on proposed subawards

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 have authorization from OJP before it may make a subaward.

A particular subaward may be authorized by OJP because the recipient included a sufficiently-detailed description and justification of the proposed subaward in the Program Narrative, Budget Detail Worksheet, and Budget Narrative as approved by OJP. If, however, a particular subaward is not authorized by federal statute or regulation, and is not approved by OJP, the recipient will be required, post-award, to request and obtain written authorization from OJP before it may make the 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 proposed 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 (DOJ) Part 200 Uniform Requirements (as 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 agreements that (for purposes of federal grants administrative requirements) constitute procurement “contracts” under awards will be entered into on the basis of full and open competition. All noncompetitive (sole source) procurement contracts must meet the OJP requirements outlined at <https://ojp.gov/training/subawards-procurement.htm>. 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 unless and until the recipient receives specific advance authorization from OJP to use a non-competitive approach for the procurement. An applicant that (at the time of its application) intends – without 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.

If the applicant receives an award, sole source procurements that do not exceed the Simplified Acquisition Threshold (currently \$150,000) must have written justification for the noncompetitive procurement action maintained in the procurement file. If a procurement file does not have the documentation that meets the criteria outlined in 2 C.F.R. 200, the procurement expenditures may not be allowable. Sole source procurement over the \$150,000 Simplified Acquisition Threshold must have prior approval from OJP using a Sole Source Grant Adjustment Notice (GAN). Written documentation justifying the noncompetitive procurement must be submitted with the GAN and maintained in the procurement file.

e. Pre-Agreement Costs

For information on preagreement costs, see [Section B. Federal Award Information](#).

5. Indirect Cost Rate Agreement (if applicable)

Indirect costs may be charged to an award only if:

- (a) The recipient has a current (unexpired), federally approved indirect cost rate; or
- (b) The recipient 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);

An applicant with a current (unexpired) federally-approved indirect cost rate is to attach a copy of the indirect cost rate agreement to the application. An applicant that does not have a current federally-approved rate may request one through its cognizant federal agency, which will review all documentation and approve a rate for the applicant entity, or, if the applicant’s accounting system permits, applicants may propose to allocate costs in the direct cost categories.

For assistance with identifying the appropriate cognizant federal agency for indirect costs, please contact the Office of the Chief Financial Officer (OCFO) Customer Service Center at 1-800-458-0786 or at ask.ocfo@usdoj.gov. If DOJ is the cognizant federal agency, an applicant may obtain information needed to submit an indirect cost rate proposal at <https://www.ojp.gov/funding/Apply/Resources/IndirectCosts.pdf>.

Certain OJP recipients have the option of electing to use the “de minimis” indirect cost rate. An applicant that is eligible to use the “de minimis” rate that wishes to use the "de minimis" rate should attach written documentation to the application that advises OJP of both-- (1) the applicant’s eligibility to use the “de minimis” rate, and (2) its election to do so. If an eligible applicant elects the “de minimis” rate, costs must be consistently charged as either indirect or direct costs, but may not be double charged or inconsistently charged as both. The "de minimis" rate may no longer be used once an approved federally-negotiated indirect cost rate is in place. (No entity that ever has had a federally-approved negotiated indirect cost rate is eligible to use the "de minimis" rate.) For additional eligibility requirements please see Part 200 Uniform Requirements, as set out at https://www.ecfr.gov/cgi-bin/text-idx?node=se2.1.200_1414&rqn=div8.

6. Tribal Authorizing Resolution (if applicable)

A tribe, tribal organization, or third party that proposes to provide direct services or assistance to residents on tribal lands should include in its application a resolution, letter, affidavit, or other documentation, as appropriate, that demonstrates (as a legal matter) that the applicant has the requisite authorization from the tribe(s) to implement the proposed project on tribal lands. In those instances when an organization or consortium of tribes applies for an award 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 award. 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. Financial Management and System of Internal Controls Questionnaire (including applicant disclosure of high-risk status)

Every OJP applicant (other than an individual applying in his or her personal capacity) is required to download, complete, and submit the OJP Financial Management and System of Internal Controls Questionnaire (Questionnaire) at <https://ojp.gov/funding/Apply/Resources/FinancialCapability.pdf> as part of its application.

The Questionnaire helps OJP assess the financial management and internal control systems, and the associated potential risks of an applicant as part of the pre-award risk assessment process.

The Questionnaire should only be completed by financial staff most familiar with the applicant's systems, policies, and procedures in order to ensure that the correct responses are recorded and submitted to OJP. The responses on the Questionnaire directly impact the pre-award risk assessment and should accurately reflect the applicant's financial management and internal control system at the time of the application. The pre-award risk assessment is only one of multiple factors and criteria used in determining funding. However, a pre-award risk assessment that indicates that an applicant poses a higher risk to OJP may affect the funding decision and/or result in additional reporting requirements, monitoring, special conditions, withholding of award funds, or other additional award requirements.

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 the applicant's 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).

8. 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) posted at <https://ojp.gov/funding/Apply/Resources/Disclosure.pdf>. 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").

9. Additional Attachments

a. Applicant disclosure of pending applications⁸

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 (1) include requests for funding to support the same project being proposed in the application under this solicitation, and (2) would cover the identical cost items outlined in the budget submitted to OJP under this solicitation. The applicant is to disclose both applications made directly to federal awarding agencies, and also 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 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 Federal or State Funding Agency
DOJ/Office of Community Oriented Policing Services (COPS)	COPS Hiring Program	Jane Doe, 202/000-0000; jane.doe@usdoj.gov
Health and Human Services/ Substance Abuse and 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.” The applicant’s Legal Name on the application must match the entity named on the disclosure of pending applications statement.

⁸ 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.

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 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 submitted as part of this application.”

b. Research and Evaluation Independence and Integrity

When an application proposes 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.

■ [REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[Redacted text block]

How to Apply

Applicants must register in and submit applications through [Grants.gov](https://www.grants.gov), a primary source to find federal funding opportunities and apply for funding. Find complete instructions on how to register and submit an application at <https://www.grants.gov/web/grants/support.html>.

Applicants that experience technical difficulties during this process should call the Grants.gov Customer Support Hotline at **800-518-4726** or **606-545-5035**, which operates 24 hours a day, 7 days a week, except on federal holidays.

Important Grants.gov update. Grants.gov has updated its application tool. The legacy PDF application package has been phased out and was retired on December 31, 2017. Grants.gov Workspace is now the standard application method for applying for grants. OJP applicants should familiarize themselves with the Workspace option now. For complete information and instructions on using Workspace (and other changes), go to the Workspace Overview page at <https://www.grants.gov/web/grants/applicants/workspace-overview.html>.

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 of registration and a user password. OJP encourages applicants to **register several weeks before** the application submission deadline. In addition, OJP urges applicants to submit applications at least 72 hours prior to the application due date, in order to allow time for the applicant 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.

OJP strongly encourages all prospective applicants to sign up for Grants.gov email notifications regarding this solicitation at <https://www.grants.gov/web/grants/manage-subscriptions.html>. 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. Attachments are also labeled to describe the file being attached (e.g., Project Narrative, Budget Narrative, Other, etc.) Please ensure that all required documents are attached in the correct Grants.gov category and are labeled correctly. Do not embed “mandatory” attachments within another file.

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

Characters
Upper case (A – Z)
Lower case (a – z)
Underscore (_)
Hyphen (-)
Space
Period (.)

Special Characters		
Parenthesis ()	Curly braces { }	Square brackets []
Ampersand (&)*	Tilde (~)	Exclamation point (!)
Comma (,)	Semicolon (;)	Apostrophe (‘)
At sign (@)	Number sign (#)	Dollar sign (\$)
Percent sign (%)	Plus sign (+)	Equal sign (=)

*When using the ampersand (&) in XML, applicants must use the “&” 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:

Unique Entity Identifier (DUNS Number) and System for Award Management (SAM)

Every applicant entity must comply with all applicable System for Award Management (SAM) and unique entity identifier (currently, a Data Universal Numbering System [DUNS] number) requirements. SAM is the repository for certain standard information about federal financial assistance applicants, recipients, and subrecipients. A DUNS number is a unique nine-digit identification number provided by the commercial company Dun and Bradstreet. More detailed information about SAM and the DUNS number is in the numbered sections below.

If an applicant entity has not fully complied with the applicable SAM and unique identifier requirements by the time OJP makes award decisions, OJP may determine that the applicant is not qualified to receive an award and may use that determination as a basis for making the award to a different applicant.

Applying as an Individual

An individual who wishes to apply in his/her personal capacity should search Grants.gov for funding opportunities for which individuals are eligible to apply. Use the Funding Opportunity Number (FON) to register. (An applicant applying as an individual must comply with all applicable Grants.gov individual registration requirements.)

Enter the FON at <https://apply07.grants.gov/apply/IndCPRegister> to complete the registration form and create a username and password for Grants.gov. (An applicant applying as an individual should complete all steps except 1, 2 and 4.)

Registration and Submission Steps

- 1. Acquire a unique entity identifier (currently, a DUNS number).** In general, the Office of Management and Budget requires every applicant for a federal award (other than an individual) to include a "unique entity identifier" in each application, including an application for a supplemental award. Currently, a DUNS number is the required unique entity identifier.

This unique entity identifier is used for tracking purposes, and to validate address and point of contact information for applicants, recipients, and subrecipients. It will be used throughout the life cycle of an OJP award. 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 <https://www.dnb.com>. A DUNS number is usually received within 1-2 business days. A DUNS number is usually received within 1-2 business days.

- 2. Acquire or maintain registration with SAM.** All applicants for OJP awards (other than individuals) must maintain current registrations in the SAM database. Applicants will need the authorizing official of the organization and an Employer Identification Number (EIN). An applicant must be registered in SAM to successfully register in Grants.gov. Each applicant must **update or renew its SAM registration at least annually** to maintain an active status. SAM registration and renewal can take as long as 10 business days to complete (2 more weeks to acquire an EIN).

An application 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 as long as 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. An applicant entity's "unique entity identifier" (DUNS number) must be used to complete this step. For more information about the registration process for organizations and other entities, go to <https://www.grants.gov/web/grants/applicants/organization-registration.html>. Individuals registering with Grants.gov should go to <https://www.grants.gov/web/grants/applicants/registration.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 (CFDA) number for this solicitation is 16.566 titled "National Institute of Justice W.E.B. Du Bois Fellowship Program" and the funding opportunity number is NIJ-2018-14220.
- 6. Access Funding Opportunity and Application Package from Grants.gov.** Select "Apply for Grants" under the "Applicants" column. Enter your email address to be notified of any changes to the opportunity package before the closing date. Click the Workspace icon to use Grants.gov Workspace.
- 7. Submit a valid application consistent with this solicitation by following the directions in Grants.gov.** Within 24-48 hours after submitting the electronic application, the applicant should receive two notifications from Grants.gov. The first will confirm the receipt of the application. The second will state whether the application has been validated and

successfully submitted, or whether it has been 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 an application well ahead of the deadline provides time to correct the problem(s) that caused the rejection. **Important:** OJP urges each applicant to submit its application **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. Applications must be successfully submitted through Grants.gov by 11:59 p.m. eastern time on April 30, 2018.

Click <https://www.grants.gov/web/grants/applicants/organization-registration.html> for further details on DUNS numbers, SAM, and Grants.gov registration steps and timeframes.

Note: Application Versions

If an applicant submits multiple versions of the same application, OJP will review only the most recent system-validated version submitted.

Experiencing Unforeseen Grants.gov Technical Issues

An applicant that experiences unforeseen Grants.gov technical issues beyond its control that prevent it from submitting its application by the deadline must contact the [Grants.gov Customer Support Hotline](https://www.grants.gov/web/grants/support.html) at <https://www.grants.gov/web/grants/support.html> or the [SAM Help Desk](https://www.fsd.gov/fsd-gov/home.do) (Federal Service Desk) at <https://www.fsd.gov/fsd-gov/home.do> to report the technical issue and receive a tracking number. The applicant must e-mail the NIJ contact identified in the Contact Information section on the title page **within 24 hours after the application deadline** to request approval to submit its application after the deadline. The applicant's e-mail must describe the technical difficulties, and must 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: OJP does not automatically approve requests to submit a late application. After OJP reviews the applicant's request, and contacts the Grants.gov or SAM Help Desks to verify 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 untimely application submission was due to the applicant's failure to follow all required procedures, OJP will deny the applicant's request to submit its application.

The following conditions generally are 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, such as issues with firewalls or browser incompatibility.

Notifications regarding known technical problems with Grants.gov, if any, are posted at the top of the OJP Funding Resource Center at <https://ojp.gov/funding/index.htm>.

E. Application Review Information

Review Criteria

Applications that meet basic minimum requirements will be evaluated by peer reviewers using the following review criteria. Each individual criterion is assigned a different weight based on the percentage value listed. For example, the first criterion, Statement of the Problem, is worth 15 percent of the score in the assessment of the application's technical merit.

Statement of the Problem and Research Questions (Understanding of the problem, research questions, and their importance) – 15%

1. Demonstrated understanding of the problem.
2. Demonstrated importance of research questions, goals and objectives, including alignment with the aims of the solicitation.
3. 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.
4. Cultural competence in addressing regional, racial/ethnic, language and other diversity issues in proposed research protocol.
5. Feasibility of completing the deliverables noted in the solicitation.

Potential Impact – 15%

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 proposed project).
2. Demonstrated ability of the applicant organization to implement the proposed strategies and manage the effort.
3. Relationship between the capabilities/competencies of the proposed project staff (including the applicant organization) and the scope and strategies of the proposed project.
4. Cultural competence by addressing regional, racial/ethnic, language and other diversity issues in proposed team capabilities.
5. General mentorship plan relevant to Category 1 applications only.

Budget

In addition, 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. Alignment of the proposed budget with proposed project activities
5. 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 scholarly products of the project.

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 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 an application meets basic minimum requirements and should proceed to further consideration, OJP screens applications for compliance with those requirements. Although specific requirements may vary, the following are common requirements applicable to all solicitations for funding under OJP 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 the critical elements for this solicitation, 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 review 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 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.

Pursuant to the Part 200 Uniform Requirements, before award decisions are made, OJP also reviews information related to the degree of risk posed by applicants. Among other things 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. In addition, if OJP anticipates that an award will exceed \$150,000 in federal funds, OJP also must review and consider any information about the applicant that appears in the non-public segment of the integrity and performance system accessible through SAM (currently, the Federal Awardee Performance and Integrity Information System; “FAPPIIS”).

Important note on FAPIIS: An applicant, at its option, may review and comment on any information about itself that currently appears in FAPIIS and was entered by a federal awarding agency. OJP will consider any such comments by the applicant, in addition to the other information in FAPIIS, in its assessment of the risk posed by the applicant.

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 applicant's management systems, 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

Award notifications will be made by September 30, 2018. OJP sends award notifications 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 steps to take in GMS to start the award acceptance process. GMS automatically issues the notifications at 9:00 p.m. eastern time on the award date.

For each successful applicant, an individual with the necessary authority to bind the applicant will be required to login; execute a set of legal certifications and a set of legal assurances; designate a financial point of contact; thoroughly review the award, including all award conditions; and sign and accept the award. The award acceptance process requires physical signature of the award document by the authorized representative and the scanning and submission 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 OJP-approved application, the recipient must comply with all award conditions, as well as all applicable requirements of federal statutes and regulations (including applicable requirements referred to in the assurances and certifications executed in connection with award acceptance). OJP strongly encourages prospective applicants to review information on post-award legal requirements and common OJP award conditions **prior** to submitting an application.

Applicants should consult the “[Overview of Legal Requirements Generally Applicable to OJP Grants and Cooperative Agreements - FY 2018 Awards](#)”, available in the OJP Funding Resource Center at <https://ojp.gov/funding/index.htm>. In addition, applicants should examine the following two legal documents, as each successful applicant must execute both documents before it may receive any award funds. (An applicant is not required to submit these documents as part of an application.)

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

The webpages accessible through the “[Overview of Legal Requirements Generally Applicable to OJP Grants and Cooperative Agreements - FY 2018 Awards](#)” are intended to give applicants for OJP awards a general overview of important statutes, regulations, and award conditions that apply to many (or in some cases, all) OJP grants and cooperative agreements awarded in FY 2018. Individual OJP awards typically also will include additional award conditions. Those additional conditions may relate to the particular statute, program, or solicitation under which the award is made; to the substance of the funded application; to the recipient's performance under other federal awards; to the recipient's legal status (e.g., as a for-profit entity); or to other pertinent considerations.

General Information about Post-Federal Award Reporting Requirements

In addition to the deliverables and expected scholarly products described in [Section A. Program Description](#), any recipient of an award under this solicitation will be required to submit the following reports and data.

Required reports. Recipients typically 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 or specific award conditions. Applicants should anticipate that progress reports will be required to follow the non-budgetary components of the Research Performance Progress Report (RPPR) template/format. General information on RPPRs may be found at www.nsf.gov/bfa/dias/policy/rppr/. Future awards and fund drawdowns may be withheld if reports are delinquent. (In appropriate cases, OJP may require additional reports.)

Awards that exceed \$500,000 will include an additional condition that, under specific circumstances, will require the recipient to report (to FAPIIS) information on civil, criminal, and administrative proceedings connected with (or connected to the performance of) either the OJP award or any other grant, cooperative agreement, or procurement contract from the federal government. Additional information on this reporting requirement appears in the text of the award condition posted on the OJP webpage at <https://ojp.gov/funding/FAPIIS.htm>.

Data on performance measures. In addition to required reports, an award recipient under this solicitation also must provide data that measure the results of the work done under the award. To demonstrate program progress and success, as well as to assist DOJ 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, OJP will require

any award recipient, post award, to provide performance data listed as part of regular progress reporting. Successful applicants will be required to access OJP's performance measurement page at www.ojp.gov/performance to view the specific reporting requirements for this grant program.

G. Federal Awarding Agency Contact(s)

For questions directed to the Federal Awarding Agency, see NCJRS contact information on 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 pursuant to FOIA 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 the 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, OJP encourages applicants to provide feedback on this solicitation, the application submission process, and/or the application 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 to messages it receives in 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 resume to ojppeerreview@l-secb.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

W.E.B. Du Bois Program of Research on Crime FY 2018

This application checklist has been created as an aid in developing an application.

What an Applicant Should Do:

Prior to Registering in Grants.gov:

_____ Acquire a DUNS Number (see page 30)

_____ Acquire or renew registration with SAM (see page 31)

To Register with Grants.gov:

_____ Acquire AOR and Grants.gov username/password (see page 31)

_____ Acquire AOR confirmation from the E-Biz POC (see page 31)

To Find Funding Opportunity:

_____ Search for the funding opportunity on Grants.gov (see page 31)

_____ Access Funding Opportunity and Application Package (see page 31)

_____ Sign up for Grants.gov [email](#) notifications (optional) (see page 29)

_____ 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 13)

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 31)

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 32)

Overview of Post-Award Legal Requirements:

_____ Review the [Overview of Legal Requirements Generally Applicable to OJP Grants and Cooperative Agreements - FY 2018 Awards](#) in the OJP Funding Resource Center at <https://ojp.gov/funding/index.htm>.

Scope Requirement:

_____ The federal amount requested is within the allowable limit(s).

Eligibility Requirement: See cover page.

What an Application Should Include:

_____ Application for Federal Assistance (SF-424) (see page 14)

_____ Project Abstract (if applicable) (see page 15)

_____ Program Narrative (critical element) (see page 15)

_____ Budget Detail Worksheet (critical element) (see page 19)

_____ Budget Narrative (critical element) (see page 20)

_____ Indirect Cost Rate Agreement (if applicable) (see page 22)

_____ Tribal Authorizing Resolution (if applicable) (see page 23)

- _____ Financial Management and System of Internal Controls Questionnaire (see page 23)
- _____ [Disclosure of Lobbying Activities \(SF-LLL\)](#) (see page 24)
- _____ Additional Attachments
 - _____ Applicant Disclosure of Pending Applications (see page 25)
 - _____ Research and Evaluation Independence and Integrity (see page 26)
 - _____ CVs/Resumes/Biographical Sketches (critical element) (see page 17)
- _____  
Request and Justification for Employee Compensation; Waiver (if applicable)
(see page 12)

Funding Webinar Transcript

On Thursday, February 26, 2018, NIJ hosted a webinar that provided an overview of this solicitation. Following are the transcript and slide presentation from that webinar.

MARY JO GIOVACCHINI: Good afternoon, everyone, and welcome to today's webinar, the W.E.B. Du Bois Program in Fiscal Year 2018. At this time, I would like to introduce today's presenters, Dr. Nadine Frederique, Senior Social Science Analyst, Dr. Brett Chapman, Social Science Analyst, and Tina Crossland, Senior Social Science Analyst with NIJ.

DR. NADINE FREDERIQUE: All right. Thank you very much, MJ, and welcome, everyone. Thank you for taking part in today's webinar. The goals of today's webinar are to highlight the solicitation for the W.E.B. Du Bois Program, give you a little background information and history of the program, review the topic areas of interest under this solicitation and the funding categories, and provide a central overview of the application process. We'll also identify some tools and resources for applicants, which will facilitate the application submission process as well as the application review process and provide some critiques we've heard from peer reviewers in the past with regard to the solicitation in particular. We'll also offer an opportunity for prospective applicants to ask questions.

In 1979, the Justice System Improvement Act was authorized by Congress. It gave NIJ the authority to do certain types of research, and it expanded the scope and authorization of the agency to do research, as detailed next. The act also specified the areas for short-term research. It authorized NIJ to do work on the causes and correlates of crime and of juvenile delinquency, and new methods for understanding the fair disposition, improving police and minority relations, and conducting research into problems of victims of crime and witnesses.

The award made under this funding opportunity has a goal of supporting projects with direct implications for criminal justice policy and practice in the United States. The goals are to support research that places a particular emphasis on the intersection of race, crime, violence, and the administration of justice. Also, I want to emphasize that this solicitation also seeks investigator-initiated proposals for funding to conduct research on topics linked to the issues that are deemed critical by the U.S. Department of Justice (DOJ).

A little bit of background about the program: It's named after William Edward Burghardt Du Bois, who was from Massachusetts. He was the early leader in the struggle for racial equality in the United States. As a social scientist, Du Bois used objective methods to challenge discriminatory ideologies and institutions to advocate for social change. His classic study, *The Philadelphia Negro*, was published in 1899 and was a groundbreaking sociological study of the city's black community. It was one of the first research projects to combine urban ethnography, social history, and descriptive statistics. In 2000, NIJ began funding the W.E.B. Du Bois Program. When NIJ staff sought to build the ranks of minority researchers in crime and justice issues, they started this research program.

Our first fellow was Dr. Becky Lynn Tatum, from Georgia State University. She was awarded the Du Bois scholarship to study social support across racial, ethnic, and gender groups and the relationship between social support and juvenile misconduct. We've been fortunate enough to be able to award about \$3.5 million in funding to more than 30 Du Bois scholars and fellows. I'm going to highlight some notable fellows, although this is by no means a reflection of the qualifications of these individuals or the lack of qualifications of other fellows — just a few that I thought had made significant contributions to the field, although there are many others that we could have highlighted.

Dr. Ramiro Martinez was a 2002 NIJ Fellowship recipient. His core research agenda asks, "How does violence vary across ecological settings, and do violent crimes and

violent deaths vary across racial, ethnic, and immigrant groups?" After his fellowship, he went on to write a seminal book called *Latino Homicide*, which many of you may have read in your graduate program. Dr. Martinez continues to be a very productive scholar on race and crime issues.

In 2006, NIJ awarded a co-fellowship to Drs. Amy Farrell and Geoff Ward, who went on to publish several articles from their Du Bois Fellowship research. Dr. Farrell's research seeks to understand arrest, adjudication, and criminal case disposition practices. Professor Farrell is co-author of *Not Guilty: Are the Acquitted Innocent?* published by NYU Press in 2002. Dr. Ward also went on to publish his book, *The Black Child-Savers*, exhibiting the rise and fall and lasting repercussions of Jim Crow juvenile justice.

There are a few other notable fellows. One is Dr. Ivory Toldson, who was a fellowship recipient in 2003 and is now a full professor at Howard University, a senior research analyst for the Congressional Black Caucus Foundation, and Editor-in-Chief of the *Journal of Negro Education*. Dr. Toldson looked at research methods to study propensities toward racial and sexual civil violations among police officer candidates. His most research focuses on the role of schools in the American education system in reducing the number of black males in contact with the juvenile justice system. He also had the distinction of serving under the Obama administration as the Executive Director of the White House Initiative on Historical Black Colleges and Universities.

Dr. Cynthia Lum is currently at George Mason University. She's a Deputy Director for the Center of Evidence-Based Crime Policy at George Mason. Her research primarily focuses on policing, technology, evidence-based crime policy, crime prevention, and translational criminology. Dr. Lum has been appointed to the Committee on Proactive Policing and the Standing Committee on Traffic Law Enforcement, both at the National Academy of Sciences. She is a member of the Research Advisory Committee for the International Association of Chiefs of Police, and on the Board of Trustees for the Pretrial Justice Institute. She's also the founding editor for *Translational Criminology Magazine*.

Let's now talk about the general topics of interest under the solicitation: reducing violent crime, enhancing investigations and prosecutions, protecting law enforcement and other public policy personnel, reducing victimization, and enhancing immigration enforcement. However, as I mentioned earlier, the solicitation is investigator initiated. Although these are topic areas of interest deemed important to the administration, we will review other topics as well. In 2016, NIJ made a change in the Du Bois Program, adding a second category of scholars. Traditionally, we have funded fellows for a smaller budgetary amount, but in 2016, this changed.

For scholars, we're looking for researchers who are advanced in their career and who have been awarded a terminal degree at least six years prior to the end of this year — they may apply for a 36-month grant. For our scholars, one of the expectations is not only to conduct primary research but also to mentor junior scholars, so it's a key distinction. For the fellows, we are looking for researchers who are early in their academic careers, awarded a terminal degree within the last six years prior to December 31, 2018. Fellows may apply for a grant for 24 months or less, with funding up to \$250,000 for research. Residency at NIJ is an option but is not required, and grants to fellows for primary and secondary data collection is permitted. For scholars, the grants are up to \$500,000. In terms of the outputs of research programs, there are standard reporting requirements — like semi-annual research performance progress reports and quarterly financial reports — as well as other deliverables, associated data sets or files if appropriate, and additional scholarly products.

Increasingly, NIJ is requiring that our grantees publish their research and peer-reviewed for scientific or practitioner-oriented audiences. There are also some things that we will not fund under this research program, such as applications that are not responsive to this specific solicitation or whose primary purpose is to purchase equipment, materials, or supplies. However, these items may be included in the budget as long as the research focus is the primary focus. NIJ will not fund applications whose work is funded under another federal award (e.g., ongoing work or a similar project). It will not fund training in support of programs or direct services not related to or associated with the

proposed project. NIJ will also not fund programs or services unrelated to the scope of the project or existing programs or services being evaluated. As always, please see the solicitation for more information on what will not be funded.

There are also plenty of resources in helping you craft your application. To ensure that costs are allowable, we strongly encourage applicants to review the Funding Resource Center for additional information and helpful guidance. We also encourage applicants to review the DOJ's Grant Financial Guide and take the online training, which is a requirement of all funded programs. Finally, descriptions and biographies of our current Du Bois scholars and fellows are available on the NIJ website. It might be helpful to review this information to get an idea of the types of projects and the programs that NIJ has funded in the past. Next, I'll talk a little bit about the application process.

The Application Checklist for the solicitation can be found on pages 40 to 41 of the solicitation. Please carefully review the checklist when preparing your application and prior to submitting it. NIJ has designated application elements that are critical. If any of these elements are missing, a proposal will not move to the peer review process. The four critical elements are the Program Narrative, the Budget Detail Worksheet, the Budget Narrative, and Resumes and CVs of Key Personnel. For the purposes of this solicitation, Key Personnel means the Principal Investigator and any and all Co-Principal Investigators, any Project Directors or Coordinators, and any Key Staff. Please see the solicitation for guidance and details on each of these items. Once again, you can see the solicitation for guidance and more information on Application Submission.

Some key application processes that are time-sensitive include registering on [Grants.gov](https://www.grants.gov), a one-time process. However, processing delays may occur and it can take several weeks for first-time registrants to register. So, we strongly encourage applicants to register several weeks before the application submission deadline, which is April 30th. In addition, we urge applicants to submit their applications at least 72 hours prior to the application due date in order to allow time for the applicant to receive validation messages or rejection notifications from Grants.gov, and to correct in a timely fashion any problems that may have caused the rejection notification.

For any technical difficulties, click on the [Grants.gov](https://www.grants.gov) Support Center tab, and also see the solicitation for additional information on NIJ's acceptance policy for technical difficulties. Our suggestions are that you register early and submit early, well in advance, because these are not reasons for NIJ to consider a late application. "Workspace" is now the standard application method for applying for grants. So, applicants should familiarize themselves with the "Workspace" option now.

Grants.gov has two categories of files for attachment: mandatory and optional. NIJ receives all files attached for both categories. Attachments are also labeled to describe the file being attached. Therefore, mandatory files include the Program Narrative, Budget Narrative and Budget Worksheet, and CVs and Resumes of Key Staff. Optional files include other forms and appendices. Make sure that all required documents are attached in the correct Grants.gov category and are labeled correctly.

Now, I'll turn it over to my colleague, Dr. Brett Chapman, who'll discuss the review process.

DR. BRETT CHAPMAN: Thank you, Nadine. So, when you submit the proposal, that starts a multilevel review process here at NIJ, and as my colleague just talked about the things that you have to submit: the Program Narrative, the Budget Detail Worksheet, the Budget Narrative, and the CV, *résumés*, or biographical sketches. We cannot emphasize enough: *Give yourself enough time to get these in.* Before you hit "send," make sure you have all four of these documents in the package because, if any of these documents are not included, your application will not move on to funding consideration, and you will not have met basic minimum requirements. Also, give yourself at least 72 hours to submit your proposal. Please do not be that person who is submitting at 11:50 p.m., before the midnight close of business, because that is not a good place to be. Take it from my experience, it's a bad place to be, and you don't want to be that person.

We have *Selection Criteria*, where the reviewers are judging the suitability and feasibility of your proposal. We want to know the *Statement of the Problem*. Is it clearly stated? What are your research questions? Do you understand the problem, the research

questions, and can you state their importance? You need to have a Project Design and its implementation, which will be judged for quality and technical merit. This is a big section, 50 percent of the requirements. If you fall here, you're not likely to move on because this is very critical. You need to include as much detail as you can, and I will get to that in a minute. Again, what potential impact does this work have? Yes, it's important to you, but it should also be important to the system and to practitioners in the applicable area of interest.

In *Capabilities and Competencies*, it's very important to demonstrate the abilities of the proposed research staff. Just having people on a project without the commensurate abilities is not a good thing. For the budget, no percentages are set for your budget, but it should match up with the proposed work. A Dissemination Plan should be more than "we're going to write some papers and disseminate to X number of places." It should have some detail to make people aware of how this work is going to translate to the practitioner and the research community. We have our external and internal reviews. First, we're going to look at whether each applicant meets the basic minimum requirements. Nadine and I have already discussed these four documents and what they need to be, and they all need to be there. At that point, we have an external peer view process of researchers and practitioners. Once that level of review has taken place, the application moves to an internal review by scientific staff at NIJ, the leadership, and all of the other relevant parties internal to NIJ. The last step is the NIJ Director, who makes all the final funding decisions.

Often, people don't understand the process or where they have fallen short. You should know what we are looking for, so I just wanted to share some of the places we have found that people tend to fall short. And it's not only on this solicitation; it's also across all our solicitations. I often say "details, details, details" because that's where people fall short, but it's just not in the details.

Vague proposals are those in which it isn't clear how the data will be collected or analyzed. A proposal needs to demonstrate the potential significance of the findings for research in the field of interest. The work is important to you, but we want it to be important to the field as well. Do you understand the pitfalls and limitations of the proposed work? If you're just highlighting all of the strengths and positives but you don't understand the weaknesses and negatives, one wrong turn can sink the proposal. There should not be too many missing details. The devil is in the details, so spend less time on sections that don't require detail. Also spend time linking all of the sections in a cohesive way so that the reviewers can understand what you want to do and how you're going to do it. What is the impact of the proposed work in the real world? And you should also avoid submitting a disorganized, poorly written, or incoherent proposal. That's generally a problem.

Statement of the Problem, Literature. Does your literature review state the gaps in the literature? Does it give us the sense that what you're doing is going to contribute to addressing a problem? If it's just some work you want to do but if there isn't a problem to solve — that could be a problem for reviewers. How significant is your literature review? Often, we find that these literature reviews are really thin and full of holes. They lack an understanding of the existing literature, which can also be problematic. If the scope of the proposed research is limited, your overall score on the review will drop significantly.

Research Design is very important. You have to articulate how you're going to accomplish the proposed work. For example, if you tell us that you're going to use a series of analyses, that doesn't tell the reviewers anything. And if your analyses don't match up with your research questions or what you want to do, then the reviewer of your proposal cannot judge its feasibility. You need to be clear on what your design and your methods are, and how they link up to the Statement of the Problem, the research questions, the data you're going to use, and how they address the problems cited in the

literature review. Your sample sizes should be supported by a power analysis because, generally, proposals do not fare well if this information is missing.

To continue on the topic of research design, some overly ambitious people pretend or suggest that they're going to give us the world but we end up with a small county. The research design should be clearly laid out but not too complex, otherwise the reviewers will flag the proposal and say, "You know, this sounds good, but they can't possibly do this." Again, sampling strategies typically are flawed and your proposal will lose points, so your qualitative and quantitative analyses need to be clear.

In the *Capabilities and Competencies* section, reviewers often see that the proposed staff do not appear to have the competencies to conduct the quantitative analyses being proposed. Reviewers should be able to see how the staff competencies and capabilities will be applied in the proposed work. That also goes for the research team; every team member's competencies and duties should be clear. If the dissemination plan lacks specifics, it probably is more relevant for another section. Sometimes people say, "Well, we're going to submit to a number of outlets, such as ...," because the number of outlets really doesn't tell the reviewers that you understand how your proposed work will involve certain entities — for example, it could be submitted to policing (which is my world): the Police Foundation, the Police Executive Research Forum, and the International Association of Chiefs of Police. How is this work going to be disseminated to each audience? I will now turn it over — the Q&A and the discussion — to my colleague, Christine Crossland.

CHRISTINE CROSSLAND: Thank you, Brett. We will open this webinar for questions. If you have not already done so, please remember to submit your questions via the Q&A panel, not the Chat Box, and make sure it's directed to all. One last reminder, the solicitation is competitive, so we won't be able to discuss specific topics, designs, methods, and so forth. With that said, we do have some questions already, and I'm going to post those to Nadine.

"It appears that the vast majority of the 2017 awardees were more senior scholars. Will there be similar funding priorities this year or will funds be divided between the W.E.B. Du Bois senior and junior scholar funding categories?"

DR. NADINE FREDERIQUE: Thank you, Christine, for that question. So, the hope is to fund scholars and fellows. Last year was an anomaly in that the applications that rose to the top were better reviewed for some senior scholars. However, we did review and receive several applications from fellows but they just weren't selected for funding, either through the peer review internal/external process or the NIJ Director.

CHRISTINE CROSSLAND: Okay. So, our next question is, "How much elaboration or emphasis should I provide on the NIJ focus areas that my application falls under?"

DR. NADINE FREDERIQUE: Also a great question. And so, the NIJ focus areas are quite important. So, we do seek research in those areas. However, as I mentioned before, this is investigator initiated, so we will consider high-quality applications that might not fall under those purpose areas. But we are looking for research in those focus areas that aligns with the administration's priorities.

CHRISTINE CROSSLAND: Okay. "I received my Ph.D. in September 2011 but I had a child, and my tenure clock stopped since then. I consider myself still early career pre-tenured. Would I be considered early career for this grant?"

DR. NADINE FREDERIQUE: Unfortunately, I think you would not be considered early career for this grant, because we do go by the date that the Ph.D. was earned. I would encourage you to apply for the category that fits the dates when you earned your Ph.D.

CHRISTINE CROSSLAND: Okay. The next question is, "Can the early career research team have co-Principal Investigators (PIs)?"

DR. NADINE FREDERIQUE: Absolutely. We have funded teams of researchers in the past and we'll do so in the future.

CHRISTINE CROSSLAND: "If co-PIs are allowed, can one PI hold only adjunct status at a university?"

DR. NADINE FREDERIQUE: Yes, that's possible. However, I'll go back to what my colleague Brett mentioned as the capabilities and competencies. Those are what we're concerned about, not necessarily the position of the individual team member, but we're looking for — demonstrating that the team that's gathered is going to be able to carry out the proposed research and can demonstrate their capabilities and competencies in publications and other ways.

CHRISTINE CROSSLAND: Okay. "What is the lowest FTE commitment a PI can have, for instance, less than 0.5 percent?"

DR. NADINE FREDERIQUE: Okay. So, this is another weird, no-hard-and-fast rule about FTE PI commitment, but we will say that the commitment of the PI has to be commensurate with the amount of work that's involved in the research proposal. And so, if the PI is going to be managing the whole project and there's no Project Director, but they only indicate they'll have 0.15 FTE, (full-time equivalent) then we're going to call that into question. And so, it has to be commensurate with the work that the PI is going to be involved in.

CHRISTINE CROSSLAND: Okay. And the next question is, "Can we send out the CV and biographical sketch combined in one file? Is there a page limit on the sketch and CV?"

DR. NADINE FREDERIQUE: No page limit on the sketch and CV, and you can send them in any form that you want. We accept both.

CHRISTINE CROSSLAND: "I will receive my terminal degree after the grant deadline but before the end of the calendar year. I just want to be totally sure I'm still eligible to apply for the fellowship funding category."

DR. NADINE FREDERIQUE: So, if I'm understanding this correctly, the application deadline is before the awarding of the terminal degree. Sorry, it's after the awarding of the terminal degree, but before December 31st. In that case, we would circle back and require documentation that the terminal degree was received, if selected for an award. So, yes, of course, eligible to apply, but we would need verification that the terminal degree was in fact received.

CHRISTINE CROSSLAND: I'm not exactly sure what this particular question referenced, but the question is, "What if we were doing a secondary analysis? In reference to a sample size." For that particular question, I think we're digging a little bit more into the design, and we're unable to answer that question. If perhaps we have the substantive areas correct, we encourage you to go to NCJRS and present your question there, and we will respond to that. The next question that we can respond to, "Is the review process a blind review?"

DR. NADINE FREDERIQUE: No — NIJ. The review process is not a blind peer review process. Obviously, we're asking for CVs and other materials to document capabilities and competencies, and so it cannot be a blind process.

CHRISTINE CROSSLAND: Our next question is, "I'm wondering what my residency at NIJ will look like for fellows. Do you have examples of how fellows have used this opportunity?"

DR. NADINE FREDERIQUE: Yes, but not in the recent past. I guess in the last five years, we've had one individual take advantage of the residency option, and that individual came to NIJ for about one month. And so, the program officer who was there arranged for the fellow to attend high-level policy briefings and meetings on the Hill and in the building to meet with the staff from NIJ, from BJA (the Bureau of Justice Assistance), the Bureau of Justice Statistics, and the Office of Juvenile Justice and Delinquency Prevention. It was all geared toward the areas of interest of that individual. And so, it was really kind — the huge meet-and-greet with staff from NIJ, the staff from OJP — and also to be involved in these policy discussions that were happening at the time related to that individual's work. There were also opportunities to attend meetings with other federal agencies as they arose during that month. So, there are plenty of options. There are no hard-and-fast rules for what that residency might look like. It can definitely be geared toward the interests of the fellow.

CHRISTINE CROSSLAND: Okay. "Can one PI submit more than one proposal?"

DR. NADINE FREDERIQUE: Yes, an applicant can submit more than one proposal. However, they have to be on distinct topic areas.

CHRISTINE CROSSLAND: Next question is, "What sort of power analysis is needed when discussing sampling?" I think, once again, that goes to the design, and please refer that question to the NCJRS response center.

DR. BRETT CHAPMAN: I think there are two questions in there, because we're talking about power analysis related to your proposed number in the sample, and then there's the sampling frame aspect. So, I think that — if I'm reading that right — it's kind of two questions embedded in one. You know, because if your sample size is not sufficient, you're not going to have power to detect differences. But then if you're proposing to sample by race, and sex, and so on, that goes to your sampling frame. So, I think you're asking two things in one. So, those are distinct, I believe.

CHRISTINE CROSSLAND: But once again, because it has to do with specific content of your possibly proposed idea, if you don't think that would fall under our discussion of specific substantive areas, please send that question to NCJRS and we will clarify via that venue. The next question is, "Do we need to have preliminary data for the Du Bois Fellowship?"

DR. BRETT CHAPMAN: Preliminary data.

NADINE FREDERIQUE: So, I think preliminary data are not mandatory. However, if there are preliminary data, it may improve the chances of being funded. If there's some pretest, or some pre-study, or the focus group, or some data that can point to the importance of the impact — social impact or any of the questions that this might be a worthwhile project for NIJ to fund.

CHRISTINE CROSSLAND: Okay. "Do you fund researchers in a nonacademic setting such as a think tank or a non-university research institute?"

DR. NADINE FREDERIQUE: Absolutely, we do. Actually, one of our most recent fellows works for a county in Oregon. And so, yes, academic — or researchers who are in non-academic institutions — can indeed apply for the Du Bois Fellowship and Scholarship.

CHRISTINE CROSSLAND: Our next question, "Are there any restrictions about the mentor-mentee relationship, for instance, both at the same institution or in prior working relationships? Is there a preference for multiple mentees versus only one?"

DR. NADINE FREDERIQUE: Applicants are — some scholars for any category are asked to submit a mentoring plan. There are no preferences or restrictions for prior relationships, number of mentees, or anything like that, but it will refer you back to the

solicitation because it does discuss what we're looking for in the mentee-mentor relationship.

CHRISTINE CROSSLAND: Okay. And I think this was answered earlier, but I'll repeat the question: "I have not yet completed my Ph.D. but will have done so by December of this year. Will that be sufficient for this year's program?"

DR. NADINE FREDERIQUE: Yes, and I'll answer the same way. It will be sufficient and we will just require verification that the terminal degree was awarded and the timeframe suggested by the applicant was selected for an award.

CHRISTINE CROSSLAND: And I think this question was posed earlier and answered, but I'll repeat: "Can a PI submit more than one application if the projects are different?"

DR. BRETT CHAPMAN: Yes.

DR. NADINE FREDERIQUE: Yes. Projects must be different to submit multiple applications.

CHRISTINE CROSSLAND: "Does the budget have a requirement on including training?"

DR. NADINE FREDERIQUE: There is no requirement on including training, but I'll refer you to the Grants Financial Guide just to get an idea of what costs are allowable and not allowable.

CHRISTINE CROSSLAND: Is there an indirect cost limit?

DR. NADINE FREDERIQUE: I'll also refer you back to the Financial Guide in the section on Indirect Cost Agreements for that information.

CHRISTINE CROSSLAND: Typically, for indirect we go with the negotiated rate of the Institution of Record. However, it's really important to include where the research is going to take place and making sure that you use appropriate onsite or offsite indirect rates. The next question is, "I have a J.D., am I still eligible to apply?"

DR. NADINE FREDERIQUE: Yes, we consider a J.D. a terminal degree and you would be eligible to apply.

CHRISTINE CROSSLAND: "I plan to rely on several staff members in my department to assist with research dissemination, for example, graphic design. Are these considered key staff? Should I describe their competencies in the Capabilities section?"

DR. NADINE FREDERIQUE: If I'm understanding correctly, this key staff is for dissemination purposes only. If it's for dissemination purposes only, I would not consider that key staff.

CHRISTINE CROSSLAND: Next question, "Do co-PIs have to be from the same university?"

DR. NADINE FREDERIQUE: Nope, co-PIs can be from multiple universities.

CHRISTINE CROSSLAND: "And can I participate if I serve as the university administrator and a part-time faculty member?"

DR. NADINE FREDERIQUE: I'm assuming that means, can you apply...

CHRISTINE CROSSLAND: Yes.

DR. NADINE FREDERIQUE: ... if you're in a university? Yes.

CHRISTINE CROSSLAND: Okay. "For junior fellow proposals, would the addition of consultants to help with part of the statistical analysis be perceived as a total lack of competency?"

DR. NADINE FREDERIQUE: No.

CHRISTINE CROSSLAND: Okay. "In terms of the budget, if you're doing a secondary data analysis and are interested in budgeting time on the research, does NIJ prioritize summer funding versus course buyouts during the academic year?"

DR. NADINE FREDERIQUE: No. To my knowledge, we do not prioritize. It's up to the applicants to propose what's best for them.

CHRISTINE CROSSLAND: And I'm getting the next question: "Do you fund sites outside of academia like the State Statistical Analysis Center? I work for the Illinois Criminal Justice Information Authority, and we do work with interns at the graduate and undergraduate levels."

DR. NADINE FREDERIQUE: Yes. We have no provisions about the site to which a scholar or a fellow applies to do their work. And so, to my knowledge, we haven't funded anyone from the Statistical Analysis Center, but that does not mean that if a good proposal was submitted that we would not.

CHRISTINE CROSSLAND: Okay. Next question is, "Since the fellowship focuses on early career scholars, should applicants emphasize how receiving the fellowship will advance their career?"

DR. NADINE FREDERIQUE: ... My pause is, I was thinking of where in the application that you might put that information, and I'm not sure if there's a place for that

information. And I think we look at it from a different perspective of funding applicants who have proposed rigorous enough research that aligns with the administration's priorities, that are worthy of funding from NIJ, and that fit within our priorities. So, although we do celebrate our past fellows' accomplishments and what the fellowship has done for them, we don't use that potential in our decision-making.

CHRISTINE CROSSLAND: Okay. And the next question is, "I may be tenured in 2019 but will apply for tenure in June 2018. Am I still eligible for the fellowship?"

DR. NADINE FREDERIQUE: For the fellowship, ... yes. When you apply, it's about the dates. And so, if you're tenured by December 31, 2018, and it's within six years, you're eligible.

CHRISTINE CROSSLAND: Okay. The next question, "Can a co-PI be a non-U.S. citizen?"

DR. NADINE FREDERIQUE: Yes. Citizenship is not a requirement for the solicitation. The fellowship usually goes to the institution or the organization, not the individual. And so, individuals do not need to be U.S. citizens.

CHRISTINE CROSSLAND: Okay. And our next question is, "Will a project be funded if the methods are archival, for instance, historical analysis of government records?"

DR. NADINE FREDERIQUE: I think that's ...

CHRISTINE CROSSLAND: It's eligible.

DR. NADINE FREDERIQUE: ...a detailed question.

CHRISTINE CROSSLAND: Yeah. And it's also asking about eligibility and, once again, we're getting into content. We ask you to pose that question to NCJRS and we'll review and provide a response that way. I have another question here, "Are there similar funding opportunities for current Ph.D. students?"

DR. NADINE FREDERIQUE: Yes. However, they just closed for FY 2018. So, we do have a Graduate Research Fellowship Program here at NIJ — one in Social Behavioral Sciences and one in Forensic and Physical Sciences — but I believe those funding opportunities may have just recently been closed, as of this week. Check the website under Current Funding Opportunities to see what it looked like this past year. You can also go to the NIJ website, look at our past funding announcements to see what those solicitations looked like over the past couple years, and start planning for a possible submission next year.

CHRISTINE CROSSLAND: The deadlines have been moved up for those particular fellowships to try to match the academic calendar year, which is why it's one of the first solicitations to be released by NIJ each year. I'm getting some more questions regarding substance that I will not be able to answer, but in regard to NIJ priorities or areas that we're interested in, I highly recommend that you go to NIJ's website.

We have several topical pages that outline the different projects that we have funded, so you'll get a really good grasp of the different projects that we have funded in a number of different areas having to deal with the criminal justice system. So, the next one is ... I don't know that any of us are going to be able to answer, but I'll go ahead and say it out aloud: "NIJ's research areas are quite broad. Can you elaborate upon what is meant by the Enhancing Investigations and Prosecution area?" (which happens to be an administrative priority). I don't know that we can extend or give specific examples in that area. Just know that if your project uses those or related key terms or phrases, it would fall within that category.

DR. NADINE FREDERIQUE: And we can't elaborate, but one suggestion of how you may get more information on this is to look at the Attorney General's speeches and comments that he's made — they're available on the main DOJ website — and get an idea of what his priorities are and how he's expressed them, and see if your project may align.

CHRISTINE CROSSLAND: "Should conference travel to present unfunded research be part of the dissemination plan and should this be part of the proposed budget?"

DR. NADINE FREDERIQUE: Yes.

DR. BRETT CHAPMAN: That'll work.

CHRISTINE CROSSLAND: Questions have come in slower and I think that we — oh, I have one left. "If a postdoc fellow is funded well at one university, is the postdoc fellow able to take the funding with them to a new position at another university?"

DR. NADINE FREDERIQUE: I'm going to reinterpret this question for our purposes. And so, I hear this question asking, "If the postdoc was awarded a Du Bois scholarship or fellowship, would they be able to take it with them to another university?" So, the technical answer is yes. However, I would not recommend it because the process is very lengthy, it takes a long time, and it's administratively a headache for both institutions.

CHRISTINE CROSSLAND: Part of this issue has to do with the actual authorized legal authority at the university or whatever the research entity is. Therefore, if the grant doesn't belong to the PI or any of the key staff, it is property of the university. The university would have the right to request that the grant be de-obligated, and we would have to go through that process. But you would just need to keep that in mind as you're applying because it always depends on who is the legal authority of the grant fund.

DR. NADINE FREDERIQUE: Okay. And this process takes an enormous amount of time and effort for all involved, and it's not an easy process, so I would recommend working something out. If you know you're going to another institution, would they apply on your behalf? Perhaps talk to their sponsored program's office. There are other ways that you might be able to work around that.

CHRISTINE CROSSLAND: Okay. I don't see any more questions. We've mentioned on several occasions right now, if you have any other questions that you don't feel that we can answer, we would like you to contact NCJRS, and there are several ways, via phone, web chat, and frequently asked questions. We do have a couple more questions, and so here we go. "Do previous W.E.B. Du Bois fellows tend to be at the end of their spectrum, the more experienced?"

DR. NADINE FREDERIQUE: Do previous fellows tend to be at the end of their spectrum? It varies. I don't think there's a typical previous fellow. We've had fellows who are as early as one or two years out from receiving their Ph.D. to those who may be at their second or third institution and haven't received tenure yet.

CHRISTINE CROSSLAND: Okay. Did you want it ...?

DR. BRETT CHAPMAN: Someone joined this conference call late and they asked about the availability of this PowerPoint presentation — will it be available? Okay. Great.

CHRISTINE CROSSLAND: Okay. And then we have, "If an early career PI adds a co-PI, do they need to be early career?"

DR. NADINE FREDERIQUE: Yes.

CHRISTINE CROSSLAND: "Can you speak to why the fellowship funding increased to \$250,000?"

DR. NADINE FREDERIQUE: Historically, we have examined the kinds of applications and projects we were getting and really tried to align the funds available with those projects. So, I do want to say it's up to \$250,000, and you can propose projects that are lower than that. We actually did have one fellow whose budget was \$45,000. And so, we're trying to increase the capability of our fellows to do more primary data collection, but we will still review secondary data collection projects. So, we're just trying to increase the breadth and depth of the type of projects that our fellows will be able to do.

CHRISTINE CROSSLAND: Okay. I don't see any other questions. You can contact the National Criminal Justice Reference Service Response Center and pose your questions, and they will respond to you. We do want to thank you all for taking the time to be part of this presentation, and I'm going to hand things over to Mary Jo.

MARY JO GIOVACCHINI: I just want to address one question (I answered it privately). As a reminder, the transcripts and the slides will be posted on the NIJ website. They will be added to the solicitation. So, if you read through the solicitation, it'll be at the end of it. If you registered, whether you registered or attended, or just registered, you will receive an email once the transcripts and the slides have been posted. That email will contain a direct link to the solicitation so you'll be able to get that information at that time.

CHRISTINE CROSSLAND: Oh, two questions popped up. "I hold two Ph.D.s but my last Ph.D. was completed in 2015," and ends there. I don't know what the question was.

MARY JO GIOVACCHINI: I'm guessing, "Am I eligible?"

DR. NADINE FREDERIQUE: So, this might require a lot of assumptions on our part to be able to answer. So, I would recommend that the person send it to the response center with a little more detail.

CHRISTINE CROSSLAND: "How important is the revision memo for those applying again on a revise and resubmit?"

DR. NADINE FREDERIQUE: It's very important. And so, we do provide revision memos to our peer reviewers and review them ourselves. It's important to consider how the applicant responds to the previous year's peer review comments, and what decisions have been made subsequent to that original peer review. We do consider that closely.

CHRISTINE CROSSLAND: Okay. "Is it possible to see a funded budget as an example?" We do not provide funded documents like that. There are examples on the OJP website, which was referenced in the webinar, where you can see a template of those items.

"I'm part of the research center at a university that usually takes overhead costs from grants. Does the fellowship allow for these expenses?"

DR. NADINE FREDERIQUE: Yes, it does.

CHRISTINE CROSSLAND: Can the same proposal be resubmitted the next year if rejected in the first round of submission?

DR. NADINE FREDERIQUE: Yes, we do allow for resubmissions (a question related to an earlier one). A memo at the beginning of the resubmission requires the applicant to submit details on how the proposal addressed previous peer review comments or made adjustments to address any insufficiencies that were identified.

CHRISTINE CROSSLAND: Okay. We have one more question: "How many fellowships are available for funding?"

DR. NADINE FREDERIQUE: We don't have a limit, but the solicitation does have a total budget limit. So, it really depends on what applications we get and how much the applicants ask for.

MARY JO GIOVACCHINI: So, one more question came through: "If I am working at a university and also working in partnership with a local DA's office, should I apply through the D.A.'s office rather than the university?"

DR. NADINE FREDERIQUE: We'd recommend the university because the university would probably be better equipped to manage and handle the federal requirements associated with the federal grant.

MARY JO GIOVACCHINI: All right. "How many applications do you typically receive?"

DR. NADINE FREDERIQUE: That's changed since we added the scholar component, so I'd say between 40 and 50. ... So, the question is, "If the proposal is liked but some minor modifications are needed, can it be accepted for funding with modifications?" Unfortunately, no. We have to accept the proposal as submitted by the applicant and it has to be judged on the merit of what was submitted. And so, if an application wasn't accepted, then modifications could be made and the applicant can resubmit the next year, if they're still eligible.

CHRISTINE CROSSLAND: "I'm graduating this May and I still do not have a postdoc position. Will I be eligible? I'm in the process of applying now."

DR. NADINE FREDERIQUE: So, that's going to be a challenging question for the applicant because who would submit the application on your behalf and who would

manage all the federal rules and regulations? Do you have an institution who would be willing to do that on your behalf? That would be a judgment call. It's very challenging to manage a federal grant, and there are lots of requirements.

CHRISTINE CROSSLAND: "How much weight do letters of support from local criminal justice officials have, and what information should they include in the letter?"

DR. NADINE FREDERIQUE: I'll invite my colleague to chime in on this one, too. Letters of support are important, especially when you're planning to partner with an organization. We want to know that they're on board. So, the letter of support really should be related to the project that's being proposed. So, for example, someone mentioned working at the D.A.'s office. So, in that application, we want to see a memorandum of understanding (MOU) or some form of agreement with the D.A.'s office, agreeing to share data and allow access to staff, and those kinds of things. So, we do look at — we do read the letters of support very closely.

DR. BRETT CHAPMAN: And I would add to that, sometimes a letter of support, if the official just says, "I support this project," well, yeah, that's a letter of support of sorts, but it's not really what we're looking for in terms of "If this is awarded, we will grant this applicant access to our records," or something of that nature. So, there's a letter of support and there's a letter of agreement to partner with the potential applicant. So, those are somewhat different. Support is great, but commitment to giving access is even better.

CHRISTINE CROSSLAND: Yes. And it's important that those letters ... a lot of them come in "canned," where it's very clear that the PI has actually drafted it using the same letter. That tells us right away that we don't really know if that entity that's providing that letter of support actually knows what they're doing. So, it's helpful for them to express, in their own words, what they're willing to commit to on this particular project. "If I'm an

unpaid visiting scholar but a PI for my project, am I eligible?" The question is, who is the funding entity? I'm not exactly certain of that.

DR. NADINE FREDERIQUE: If you could forward that to the response center, probably with more detail, then we can provide you further clarification. Okay. We've got one minute left. So, any other questions that you'd like to pose, please send them. Okay. Since there don't seem to be any further questions, we'd all like to take the opportunity to thank you again for participating. We hope this information was helpful. If you have any further questions that you'd like answered, please contact the response center. And we'll provide them a very big thank you. ... And we look forward to all the potential applications that will be coming in this year.

DR. NADINE FREDERIQUE: Yes. Thank you all.

Funding Opportunities through NIJ for the W.E.B. Du Bois Program in FY 2018

Solicitation: NIJ-2018-14220

Solicitation Post Date: February 26, 2018

Solicitation Close Date: April 30, 2018 11:59 PM EDT

Today's Presenters:

Nadine Frederique, Senior Social Science Analyst and Brett Chapman, Social Science Analyst, and
Christine Crossland, Senior Social Science Analyst

Office of Research and Evaluation



NIJ

Webinar Overview

- Goals of the Du Bois Program
- Background and History
- Notable Recipients
- Topic Areas of Interest
- Funding Categories
- Expected Deliverables
- Application Process
- Tools and Resources
- Review Process & Selection Criteria
- Q&A Session



Goals of W.E.B. Du Bois Program

The program supports research that places particular emphasis on the intersections of race, crime, violence, and the administration of justice within the United States.

This solicitation seeks investigator-initiated proposals for funding to conduct research on topics linked to issues deemed critical by the U.S. Department of Justice.



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Background of the Program

- William Edward Burghardt Du Bois was born in 1868 in Great Barrington, MA.
- His first book, *The Philadelphia Negro* (1899) represents the first scientific inquiry in the study of social phenomena.
- In 2000, NIJ began the W.E.B. Du Bois Program



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Background of the Program

- **Background**

- Since FY 2000, NIJ has supported the W.E.B. Du Bois Program to advance the field of research on race and crime in the United States.
- Dr. Becky Lynn Tatum, Georgia State University was the First Du Bois Fellow in 2000
- FY 2016 Scholars added to the solicitation
- 30 Du Bois awards with approximately \$3.5 in funding since 2000;
- There are currently 12 open and on going Du Bois projects

Notable Du Bois Fellowship Recipients

- **Dr. Ramiro Martinez** – *Latino Homicide*
- **Drs. Amy Farrell and Geoff Ward** – the significance of the courtroom workgroup on case outcomes.



Notable Du Bois Fellowship Recipients

- **Dr. Ivory Toldson** – Former Executive director of the White House Initiative on Historically Black Colleges and Universities



Dr. Cynthia Lum - Deputy Director of the Center for Evidence-Based Crime Policy in the Department of Criminology, Law and Society at George Mason University.



General Topic Areas of Interest

- Reducing violent crime
- Enhancing investigations and prosecutions
- Protecting law enforcement and other public safety personnel
- Reducing victimization and
- Enhancing immigration enforcement



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Du Bois Funding Categories

- **W.E.B. Du Bois Scholars in Race and Crime Research**
 - Advanced in their careers
 - Terminal Degree at least six years prior to December 31, 2018
 - Up to \$500,000 for 36 month grants
 - Research and mentoring
- **W.E.B Du Bois Fellowship for Research on Race and Crime**
 - Early in their careers
 - Terminal degree within six years prior to December 31, 2018
 - Up to \$250,000 for 24 month grants
 - Primary and secondary data collection



Expected Deliverables

- **Standard grant reporting requirements**
 - Quarterly and final financial reports
 - Semi-annual research performance progress reports
- **Associated data sets or files, if appropriate**
- **Community and scholarly products**
 - Peer-reviewed journal articles
 - Presentations to appropriate scientific and practitioner conferences



- Applications...

- that are not responsive to this specific solicitation
- whose primary purpose is to purchase equipment, materials, or supplies
- whose work is funded under another federal award
- that request training in support of programs or direct services unrelated to or associated with the proposed project
- that request programs or services unrelated to the scope of the project or existing programs or services being evaluated
 - However: “A budget may include these items if they are necessary to conduct research, development, demonstration, evaluation, or analysis.”



Recommended Resources

- **OJP Funding Resource Center**

- <https://ojp.gov/funding/index.htm>

- **DOJ Grants Financial Guide**

- <https://ojp.gov/financialguide/DOJ/index.htm>

- **DOJ Grants Financial Management Online Training**

- <https://ojpfgm.webfirst.com/>

- **NIJ Du Bois Grants**

- <https://nij.gov/funding/fellowships/dubois-fellowship/pages/welcome.aspx>



APPLICATION PROCESS



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Application Checklist | Requirements

– See pages **40-41** of the solicitation

- What an Application Should Include:

- Application for Federal Assistance (SF-424)
- Project Abstract
- Program Narrative (critical element)
- Budget Detail Worksheet & Narrative (critical elements)
- Indirect Cost Rate Agreement (if applicable)
- Tribal Authorizing Resolution or Executive Order
- Financial Management and System of Internal Controls Questionnaire
- Disclosure of Lobbying Activities (SF-LLL)



Application Checklist | Requirements

– See pages **40-41** of the solicitation

- Additional Attachments

- Applicant Disclosure of Pending Applications
- Curriculum vitae or resume (critical element)
- Research and Evaluation Independence and Integrity
- Request and Justification for Employee Compensation; Waiver (if applicable)
- Complete list of the individuals named or otherwise identified anywhere in the application



Application Submission

- Grants.gov

- Registering in advance of deadline
- Acquire a unique entity identifier (currently, a DUNS number).
- Acquire or maintain registration with SAM
- Submit application packet at least 72 hours prior to deadline

- Workspace
- Mandatory and Optional Attachments
 - Files labeled to describe the file being attached (e.g., program narrative)



REVIEW PROCESS



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Basic Minimum Requirements

1. Program narrative
2. Budget detail worksheet
3. Budget narrative
4. CVs, resumes, or biographical sketches of key personnel



Selection Criteria

- **Statement of the Problem and Research Questions** 15%
 - Understanding of the problem, research questions, and their importance
- **Project Design and Implementation** 50%
 - Quality and technical merit
- **Potential Impact** – 15%
 - Ability to change a stated criminal justice problem
- **Capabilities/Competencies** – 20%
 - Demonstrated productivity, and experience of the applicant organization and proposed project staff
- **Budget**
- **Dissemination plans**

External and Internal Review

- **BMR/Responsiveness Review**
 - Submitted by an eligible type applicant
 - Responsive to the scope of the solicitation
 - Basic Minimum Requirements included
- **External Peer Reviewer**
 - Technical and practitioner reviewers
- **Internal Review**
 - NIJ scientific staff and leadership
 - Department subject matter experts
- **All funding decisions are at the discretion of the NIJ Director**

Critiques Raised During Peer Review Process

- **Overall Problems in Applications**

- The proposal vaguely describes how the data will be collected and analyzed.
- Proposal fails to demonstrate the significance of the proposed work.
- Failure to demonstrate an understanding of the potential pitfalls and limitations of the proposed research.
- Too many details in the proposal are missing.
- The proposal fails to demonstrate how it will impact criminal justice policy and practice in the real world.
- Proposal was disorganized in its presentation, poorly written or lacked coherence.



Critiques Raised During Peer Review Process

- **Statement of the Problem**

- Statement fails to identify gaps in the current literature.
- The literature review is insufficient.
- The scope of the proposed research is extremely limited.



Critiques Raised During Peer Review Process

- **Research Design**
 - The overall research design is not well articulated.
 - The proposed research design/methods approach does not logically flow from the problem statement, research questions and literature review.
 - The proposed research questions are not derived from the literature review.
 - The proposed sample size should be supported by a power analysis.



Critiques Raised During Peer Review Process

- **Research Design (continued)**

- The research design is too ambitious and too complex.
- Proposed research design is not clearly laid out.
- The proposed sampling strategy is flawed.
- The proposed quantitative analyses is vague and unclear.



Critiques Raised During Peer Review Process

- **Capabilities and Competencies**

- The Principal Investigator (PI) does not demonstrate familiarity or proficiency with the proposed quantitative analysis.
- Limited information to suggest that the PI can manage the proposed research project.
- The research team has a limited track record of publishing scholarly research.
- The dissemination plan lacks specificity and/or is not innovative.
- No criminology/criminal justice outlets are identified in the dissemination plan.





QUESTIONS & ANSWERS

DISCUSSION



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Contact Information

National Criminal Justice Reference Service Response Center (NCJRS)

Toll-free +1 (800) 851-3420

TTY +1 (301) 240-6310 for hearing impaired only

Email Grants@ncjrs.gov

Fax +1 (301) 240-5830

Web chat <https://webcontact.ncjrs.gov/ncjchat/chat.jsp>

NIJ FAQs <https://www.nij.gov/funding/Pages/faqs.aspx>



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Thank You!



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