

Notices regarding the solicitation “Artificial Intelligence Research and Development to Support Community Supervision”

April 15, 2019: On March 28, 2019, NIJ hosted a webinar which included an overview and discussion on this funding opportunity. The slides and transcript from this webinar have been added to the end of this solicitation document.

February 25, 2019: The link to the DOJ Grants Financial Management Online Training under “Financial Management and System of Internal Controls” was updated.

February 19, 2019: Information regarding submission of information pertaining to disclosure and justification for DOJ High Risk Grantees was redacted.

The original solicitation document begins on the next page.



The [U.S. Department of Justice](#) (DOJ), [Office of Justice Programs](#) (OJP), [National Institute of Justice](#) (NIJ) is seeking applications for funding of innovative, investigator-initiated technology research and development (R&D) projects to apply advances in artificial intelligence (AI) to promote the successful reentry of offenders under community supervision in the United States. This program furthers the U.S. Department of Justice's priorities to reduce crime and to protect police, other public safety personnel, and the public.

Artificial Intelligence Research and Development to Support Community Supervision

Applications Due: May 13, 2019

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").

Under this solicitation, any particular applicant entity may submit more than one application, as long as each application proposes a different project in response to the solicitation. Also, an entity may be proposed as a subrecipient (subgrantee) in more than one application.

NIJ may elect to fund applications submitted under this FY 2019 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 May 13, 2019.

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-2019-15287

Release date: February 15, 2019

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Artificial Intelligence Research and Development to Support Community Supervision

(CFDA No. 16.560)

A. Program Description

Overview

With this solicitation, NIJ seeks proposals for innovative, investigator-initiated technology research and development (R&D) projects to apply advances in artificial intelligence (AI) to promote the successful reentry of offenders under community supervision. Ideally, the R&D funded through this solicitation will result in fielded AI solutions that remain in use with community supervision agencies at the completion of the project.

The research resulting from this solicitation supports the U.S. Department of Justice's priorities to reduce crime and to protect police, other public safety personnel, and the public. NIJ's interests include, but are not limited to, solutions that may be applicable to offenders under supervision across various jurisdictions. Applications that examine AI solutions for offenders under supervision in rural communities are encouraged.

Applications proposing research involving partnerships with criminal justice or other agencies, are to include a strong letter of support, signed by an appropriate decision-making authority from each proposed, partnering agency. A letter of support must include the partnering agency's acknowledgement that de-identified data provided through this project will be archived by the awardee in the National Archive of Criminal Justice Data (NACJD) at the conclusion of the award (see [Goals, Objectives, Deliverables, and Expected Scholarly Products](#) below). If selected for award, applicants will be expected to have a formal agreement in place with partnering agencies by January 1, 2020. That agreement must include provisions to meet the data archiving requirements of the award. In rare circumstances, for example where law prohibits the archiving of agency data, NIJ may agree to a successful applicant creating and archiving an appropriate synthetic dataset. Those circumstances will be rare, decided by NIJ on a case-by-case basis, and will require extensive documentation and justification for exceptions to be made.

Statutory Authority: Any awards under this solicitation would be made under statutory authority provided by a full-year appropriations act for FY 2019. 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 2019.

Program-Specific Information

There are approximately five million offenders under community supervision.² A recently released (2018), nine-year study of recidivism for 401,288 state prisoners that were released in 2005 found that 83.4 percent were rearrested within nine years post-release.³ Due to the high number of individuals under supervision, community supervision agencies have found it challenging to provide the degree of supervision and immediacy that may be required to help guide an individual's use of services and programs to assist their successful reentry into their communities. Compounding this challenge is the shift in probation caseloads that once generally dealt with relatively low-risk individuals that posed little threat to public safety and with few criminogenic needs,⁴ to ones that now involve more higher-risk individuals that pose a greater threat to public safety and have more criminogenic needs and, consequently, may require more services and increased supervision.⁵

Artificial intelligence offers the potential to assist community supervision agencies in addressing this challenge. This includes assisting supervision officers to identify offenders at the highest risk of violating their supervision conditions or recidivating. It also includes enhancing reentry program delivery. Exemplars of potential applications of AI include, but are by no means limited to, the following or some combination of the following.

Situationally Dependent, Real-time Updates to an Offender's Risk-need-responsivity (RNR) Assessment — Evidence suggests that while high caseloads for supervision officers can increase recidivism rates for offenders, decreasing caseloads does not necessarily decrease recidivism on its own.⁶ What seems to matter most is that officers have the time and resources to respond to offender needs, and the ability to identify risky situations specific to the criminogenic needs of each individual offender.⁷ Having real-time updates to RNR assessments, will allow officers to channel more resources to higher-risk individuals most in need of services.⁸ Similarly, providing offenders with such real-time information about their own 1) recidivism risks based on criminogenic needs; 2) dynamic, static, and protective risk factors; and 3) improved information on the availability of resources, communication, and networking opportunities can give offenders increased agency, responsibility, and motivation to prevail in their rehabilitation.

Intelligent Offender Tracking — Tracking devices, such as GPS-based ankle bracelets, are used to monitor offenders in the community.⁹ Using the geospatial and temporal data from those devices, coupled with an understanding of how the attributes of the places an offender visits interact with their recidivism risks and how that changes with the time of the visit, AI can detect (and possibly predict) potentially risky behavior. Based on the nature of the event, an AI could autonomously take a number of different actions to address the risk. Those might include, alerting the supervising officer or a mentor, or initiating a chat bot system through an offender's

² Kaeble, D., & Glaze, L. (2016). *Correctional Populations in the United States, 2015*. Washington, DC: Bureau of Justice Statistics.

³ Alper, M., Durose, M. R., & Markman, J. (2018). *2018 Update on Prisoner Recidivism: A 9-Year Follow-up Period (2005-2014)*. Washington, DC: Bureau of Justice Statistics.

⁴ Bonta, J., Bourgon, G., Ruge, T., Scott, T-L., Yesinine, A. K., & Gutierrez, L. (2011). An experimental demonstration of training probation officers in evidence-based community supervision. *Criminal Justice and Behavior*, 38(1), 1127-1148.

⁵ Matthew DeMichele, *Probation and Parole's Growing Caseloads and Workload Allocation: Strategies for Managerial Decision Making*, The American Probation & Parole Association, May 4, 2007.

⁶ Jalbert et al., *J. Offender Rehab.*, 2010.

⁷ Lowenkamp et al., *Fed. Prob.*, 2006.

⁸ Cohen et al., *Crim. & Pub. Pol.*, 2016.

⁹ Coppola, *Tech Beat*, 2013; Dysart, *ABA Journal*, 2015; Ross, *Eur. J. Prob.*, 2018.

mobile device that is trained to deescalate situations. AI-initiated actions may also include notifying the offender through their mobile device to suggest a cooling-off period in a safe space, or to promote behavior modification techniques.

Mobile Service Delivery — AI offers the potential to provide offenders with increased access (potentially through mobile devices) to personalized resources and opportunities; for example, better tailored reentry programs that evolve to address their evolving risks and needs. Further, AI has the potential to enhance program delivery by reinforcing program components outside of therapy or educational sessions, through direct interaction with the offender and/or providing a platform for offender peer support and mentoring.

In addition to technology R&D, successful applications will also include examination of the outcomes of the implemented AI solution(s) related to community supervision and public safety. Measures of interest include, but are not limited to, reductions in recidivism and reentry-related outcomes (e.g., housing stability, and employment). For the purposes of this solicitation, NIJ encourages applicants to define recidivism as rearrest, reconviction, and ultimately reincarceration. Specific to rearrest, NIJ encourages the collection of technical violation and new crime data.

NIJ Expectations

Applicants are expected to partner with community corrections agencies to provide a fuller understanding of the challenges and operational context within which the proposed AI solutions would be employed; to examine the outcomes of their implementation; and, potentially, to provide a path for fielding these solutions. Applicants are also expected to comprise multidisciplinary teams that include researchers from the behavioral, computer, and social sciences in addition to practitioners from the field.

Among other topics, the applicant's proposal should explain the use-case for the proposed technology application, specifically how it will enhance evidence-based practices relating to offender supervision and reentry program delivery. Applicants should also consider the full range of costs incurred during technology deployment, including related training needs.

Any technology applications that are developed should be compatible with one or more widely-used mobile device operating systems. The operational value of the applications proposed — as well as how they will extend the limits of what is possible today — must be clearly articulated in the proposal.

NIJ expects that the research and development funded under this solicitation will result in a prototype technology that will be delivered to NIJ for third-party evaluation. The applicant's proposal should explain how the planned solution(s) would be introduced into practice. For example, would they be sold as a commercial product? If so, how would they be commercialized?

New Investigator/Early Career Opportunity

NIJ is interested in supporting researchers who are early in their careers and new to NIJ's research grant portfolios, specifically non-tenured assistant professors, or equivalent full-time staff scientist positions in a research institution, who propose research on topics relevant to NIJ's Office of Research and Evaluation (ORE) and/or Office of Science and Technology (OST). To that end, NIJ may, in appropriate circumstances, give special consideration in award

decisions to applications proposing such researchers as principal investigators (PIs). To qualify, the proposed PI must at the time of application submission:

- Hold a non-tenured assistant professor appointment at an accredited institution of higher education in the United States or an equivalent full-time staff scientist position at a research institution; and
- Have completed a terminal degree or post-graduate clinical training within the ten (10) years prior to September 30, 2019; and
- Have never previously received NIJ funding as a PI on a research project with the exception of Graduate Research Fellows or Data Resources Program grantees.

If seeking to be considered for the New Investigator/Early Career Opportunity, the applicant should identify that they are submitting a New Investigator/Early Career proposal on the title page of the application.

Encouraging Program Investments in Economically-Distressed Communities (Qualified Opportunity Zones)

Under this program, OJP will, as appropriate, give priority consideration in award decisions to applications that propose projects that directly benefit federally designated Qualified Opportunity Zones (QOZ).¹⁰ In order to assist OJP in considering this factor, applicants should include information in the application that specifies how the project will generate information about enhancing public safety in the specified QOZs. For resources on QOZs, and for a current list of designated QOZs, see the U.S. Department of the Treasury's resource webpage, accessible at <https://www.cdfifund.gov/pages/opportunity-zones.aspx>.

Goals, Objectives, Deliverables, and Expected Scholarly Products

The ultimate goal of this solicitation is to improve community supervision outcomes through the use and integration of best practices found in the social and behavioral sciences with state-of-the-art AI technologies. A secondary goal is to engage the rapidly-evolving AI research community in addressing criminal justice challenges. Ideally, the R&D funded through this solicitation will result in fielded AI solution(s) that remain in use with community supervision agencies.

Technology Prototype: An exemplar of any algorithm, method, software development kit, and training data set resulting from research and development activities funded under this solicitation will be delivered to NIJ at the end of the award for third-party evaluation, along with detailed implementation instructions. Documentation must include descriptions of algorithmic development and approaches to data collection.

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

¹⁰ See Public Law 115-97, Title I, Subtitle C, Part IX, Subpart B, Sec. 13823.

(NACJD) all relevant 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. NIJ also expects that successful applicants will make the research findings accessible to practitioner and policymaker audiences through articles in trade publications, the development of training manuals, policy briefs, conferences, webinars, and articles for newspapers or magazines.

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 for an overview of performance measurement activities at OJP.

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 science, technology, engineering, and/or mathematics having clear implications for criminal justice policy and practice in the United States.	<ol style="list-style-type: none"> 1. Relevance to the needs of the field as measured by whether the project's substantive scope did not deviate from the funded 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. 4. Number of technologies fielded as a result (in whole or in part) of work funded under the NIJ award. 	<ol style="list-style-type: none"> 1. Quarterly financial reports, 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. 4. Description of all technologies fielded as a result (in whole or in part) of 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 expects to make one or more awards with an estimated total amount awarded of up to \$3 million in FY 2019. Successful applicants will be expected to complete the work proposed within a five-year period of performance.

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, 2020.

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 FY 2019, 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's decisions regarding future funding for applications only partially funded in FY 2019, will consider, among other factors, the availability of appropriations, when the program or project was last competed, NIJ's strategic priorities, and NIJ'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 that any award under this solicitation will be made in the form of a grant or cooperative agreement. A cooperative agreement is a particular type of award that provides for OJP to have substantial involvement in carrying out award activities. See [Administrative, National Policy, and Other Legal Requirements](#), under [Section F. Federal Award Administration Information](#), for a brief discussion of what may constitute substantial federal involvement. As discussed [later in the solicitation](#), important rules (including limitations) apply to any conference/meeting/training costs under cooperative agreements. (Any funds provided to another federal agency will be handled in a different manner.)

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](https://ojp.gov/funding/index.htm)” 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 entities¹¹) must, as described in the Part 200 Uniform Requirements¹² as set out at 2 C.F.R. 200.303:

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

To help ensure that applicants understand 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://onlinegfmt.training.ojp.gov/>. (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.”

¹¹ 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.

¹² 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.

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.)
- 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](#).

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.¹³ The 2019 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/19Tables/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.

¹³ 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 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.

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 and 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, current recipients should enter the Employer Identification Number (EIN) in box 8b 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 the application (e.g., articles of incorporation, 501(c)(3) status documentation, organizational letterhead) 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.¹⁴

¹⁴ 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

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, 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

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.

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 program-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 or resume of the principal investigator and any and all co-principal investigators. In addition, curriculum vitae, resume, or biographical sketches 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 on, or 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) and 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 \$250,000)

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, \$250,000 — 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 \$250,000 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 \$250,000) 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 \$250,000 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 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 the “de minimis” rate requirements (including information on eligibility to elect to use the rate), see the Part 200 Uniform Requirements, at 2 C.F.R. 200.414(f).

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 applications¹⁵

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.

¹⁵ Typically, the applicant is **not** the principal investigator. Rather, the applicant, most frequently, is the institution, organization, or company in which the principal investigator is employed.

Federal or State Funding Agency	Solicitation Name/Project Name	Name/Phone/E-mail for Point of Contact at Federal or State Funding Agency
DOJ/Office of Community Oriented Policing Services (COPS Office)	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.

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. Applicant Disclosure and Justification – DOJ High Risk Grantees¹⁶ (if applicable)

An applicant that is designated as a DOJ High Risk Grantee is to submit [REDACTED], as a separate attachment to its application, information that OJP will use, among other pertinent information, to determine whether it will consider or select the application for an award under this solicitation. The file should be named “DOJ High Risk Grantee Applicant Disclosure and Justification.” (See, also, “Review Process,” below, under Section E. Application Review Information, for a brief discussion of how such information may be considered in the application review process.)

OJP constantly seeks to optimize its investments in criminal- and juvenile justice-focused programs and activities, increase program effectiveness, and maximize the return — and program impact — from limited programmatic resources. Therefore, OJP may remove from consideration or not select for award a “DOJ High Risk Grantee” applicant that is determined to pose a substantial risk of program implementation failure. In making such determinations, OJP will consider one or more of the following factors: the applicant’s lack of sufficient progress in addressing required corrective actions

¹⁶ A “DOJ High Risk Grantee” is a recipient that has received a DOJ High-Risk designation based on a documented history of unsatisfactory performance, financial instability, management system or other internal control deficiencies, or noncompliance with award terms and conditions on prior awards, or that is otherwise not responsible.

necessary for removal of the DOJ High Risk Grantee designation; the nature and severity of the issues leading to or accompanying the applicant's DOJ High Risk Grantee designation; or the applicant's expected ability to manage grant funds and achieve grant goals and objectives.

In this attachment, the applicant is to provide any additional information or justification – especially with regard to corrective actions yet to be implemented (as of the application date) – that may help demonstrate how the applicant has addressed or otherwise mitigated such uncorrected matters, such that any negative impact on the proposed program and its implementation would be immaterial or would be significantly reduced or eliminated. (To the extent that the applicant believes that any of the information provided pursuant to this disclosure may be confidential in nature, the applicant should specifically identify it.)

c. 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.

d. Documentation of Anticipated Benefit to Qualified Opportunity Zones (if applicable)

As is mentioned above, OJP will, as appropriate, give priority consideration in award decisions to applications that propose projects that will generate information about

enhancing public safety in the specified QOZs. Each applicant proposing a project it anticipates will generate information about enhancing public safety in the specified QOZs should provide a sufficient narrative explanation in order for OJP to identify clearly the public safety benefit the applicant anticipates that information generated under its project will have on a specified QOZ(s). The attachment(s) should be clearly labeled as addressing QOZs. The applicant may also include tables, charts, graphs, or other relevant illustrations that may be useful in comprehending the manner in which the proposed project is anticipated to benefit a QOZ(s).

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.

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). 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.

An applicant must use the **Add Attachment** button to attach a file to its application. Do not click the paperclip icon to attach files. This action will not attach the files to the application. After adding an attachment, select the **View Attachment** button to confirm you attached the correct file. To remove the file, select the **Delete Attachment** button.

An application can be checked for errors via the **Check Application** button on the **Forms** tab of the **Manage Workspace** page. The button is active if the set of forms in the workspace matches those required in the application package. If you receive a **Cross-Form Errors** message after clicking the **Check Application** button, refer to the Cross-Form Errors help article for more detailed information about this validation error.

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	Special Characters		
Upper case (A – Z)	Parenthesis ()	Curly braces { }	Square brackets []
Lower case (a – z)	Ampersand (&)*	Tilde (~)	Exclamation point (!)
Underscore (_)	Comma (,)	Semicolon (;)	Apostrophe (‘)
Hyphen (-)	At sign (@)	Number sign (#)	Dollar sign (\$)
Space	Percent sign (%)	Plus sign (+)	Equal sign (=)
Period (.)			

*When using the ampersand (&) in XML, applicants must use the “&” 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 SAM and unique entity identifier (currently, a 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).** 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 www.dnb.com. A DUNS number is usually received within 2 business days.

2. **Acquire or maintain registration with SAM.** Any applicant for an OJP award creating a new entity registration (or updating or renewing a registration) in SAM.gov must submit an original, signed notarized letter appointing the authorized Entity Administrator within thirty (30) days of the registration activation. **Notarized letters must be submitted via U.S. Postal Service Mail.** Read the Alert at sam.gov/SAM/ to learn more about what is required in the notarized letter, and read the Frequently Asked Questions (FAQs) at www.gsa.gov/samupdate to learn more about this process change. 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). Information about SAM registration procedures can be accessed at sam.gov/SAM/.

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.

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 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 16.560; National Institute of Justice Research, Evaluation, and Development Project Grants and the funding opportunity number is NIJ-2019-15287.

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.** To preview the application prior to (or after) submitting, go to the **View Application** tab in Workspace. For additional information, review the [View Application Tab](#) help article and [Attachments Tab](#) help article. 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 May 13, 2019.

Go to <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](#) at <https://www.grants.gov/web/grants/support.html> or the [SAM Help Desk](#) (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. 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.

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 application, if submitted by an applicant that is a DOJ High Risk Grantee,¹⁷ or is designated “high risk” by a federal grant-making agency outside of DOJ, must not have been determined by the Director/Administrator to pose a substantial risk of program implementation failure, based on 1) the applicant’s lack of sufficient progress in addressing required corrective actions necessary for removal of the DOJ High Risk Grantee (or non-DOJ high risk) designation, 2) the nature and severity of the issues leading to or accompanying the DOJ High Risk Grantee (or non-DOJ high risk) designation, and/or 3) the applicant’s expected ability to manage grant funds and achieve grant goals and objectives.

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 internal reviewer is a current DOJ employee who is well-versed or has expertise in the subject matter of this solicitation. An external peer reviewer is an expert in the subject matter of a given solicitation who is not a current DOJ employee. 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 (specifically including, but not limited to, demonstrable potential enhancement to public safety in one or more federally designated Qualified Opportunity Zones) and available funding, as well as the extent to which the Budget Detail Worksheet and Budget Narrative accurately explain

¹⁷ See “Applicant Disclosure and Justification – DOJ High Risk Grantees” under “What an Application Should Include,” above, for a definition of “DOJ High Risk Grantee.”

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 \$250,000 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; "FAPIS").

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

Note on applicants with a "high risk" designation: Risks associated with DOJ High Risk Grantees, or applicants designated as "high risk" by a federal grant-making agency outside of DOJ, are taken into account during the review process, and each applicant with such "high risk" designations will be considered for funding on a case-by-case basis, depending on the nature and severity of the issues that led to the DOJ High Risk Grantee (or non-DOJ high risk) designation, status of progress in addressing corrective actions, and expected ability to manage grant funds and achieve grant goals and objectives. A "high risk" designated applicant is to submit disclosure and justification documentation consistent with the requirements specified, above, under "What an Application Should Include" in Section D. Application and Submission Information.

All final award decisions 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. The NIJ Director may also take into consideration whether the principal investigator is new to his or her career and new to NIJ's research grant portfolios, and meets the criteria outlined on page 6 of this solicitation.

F. Federal Award Administration Information

Federal Award Notices

Award notifications will be made by September 30, 2019. 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 a physical signature on the award document by the authorized representative. The fully-executed award document must then be scanned and submitted 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 FY 2019 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 2019. 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.

As stated above, NIJ expects that it will make any award under this solicitation in the form of a grant or cooperative agreement. Cooperative agreements include a condition in the award document that sets out the nature of the “substantial federal involvement” in carrying out the award and program. Generally stated, under OJP cooperative agreement awards, responsibility for the day-to-day conduct of the funded project rests with the recipient. OJP, however, may have substantial involvement in matters such as substantive coordination of technical efforts and site selection, as well as review and approval of project work plans, research designs, data collection instruments, and major project-generated materials. In addition, OJP often indicates in the award terms and conditions that it may redirect the project if necessary.

In addition to an award condition that sets out the nature of the anticipated “substantial federal involvement” in the award, cooperative agreements awarded by OJP include an award condition that requires specific reporting in connection with conferences, meetings, retreats, seminars, symposium, training activities, or similar events funded under the award.

Awards under this solicitation will include a condition (the specific terms of which will govern the award) related to verification of employment eligibility. The condition will, generally speaking, require the recipient (and any subrecipient) that accepts the award to verify the employment eligibility of any individual hired under the award, consonant with 8 U.S.C. § 1324a(1).

Awards under this solicitation will include a condition (the specific terms of which will govern the award) related to competition requirements set forth at 2 C.F.R. § 200.319. The condition will, generally speaking, prohibit recipients (and any subrecipients) from procuring goods and services with award funds by means of any competition that disadvantages or excludes vendors on the basis of their having (or their having had) a prior or existing contractual relationship with the federal government.

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 for an overview of performance measurement activities at OJP.

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 ojpprsupport@usdoj.gov. (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

Artificial Intelligence Research and Development to Support Community Supervision

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 31)
- _____ 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 32)
- _____ 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 32)

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 20)
- _____ Budget Narrative (critical element) (see page 20)
- _____ Indirect Cost Rate Agreement (if applicable) (see page 23)

_____	Tribal Authorizing Resolution (if applicable)	(see page 23)
_____	Financial Management and System of Internal Controls Questionnaire	(see page 24)
_____	Disclosure of Lobbying Activities (SF-LLL)	(see page 25)
_____	Additional Attachments	
_____	Applicant Disclosure of Pending Applications	(see page 25)
_____	Applicant Disclosure and Justification – DOJ High Risk Grantees (if applicable)	(see page 26)
_____	Curriculum vitae or resume (critical element)	(see page 17)
_____	Research and Evaluation Independence and Integrity	(see page 27)
_____	Documentation of Anticipated Benefit to federally designated Qualified Opportunity Zones (if applicable)	(see page 28)
_____	Request and Justification for Employee Compensation; Waiver (if applicable)	(see page 12)

Funding Webinar Transcript

On March 28, 2019, 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, everybody and welcome to today's webinar, Funding Opportunity through the National Institute of Justice for Artificial Intelligence Research and Development to Support Community Supervision, hosted by the National Institute of Justice. At this time, I would like to introduce the presenters, Christopher Rigano, computer scientist. Eric Martin, social science analyst, and Marie Garcia, social science analyst with the National Institute of Justice. Go ahead, Eric.

ERIC MARTIN: Thank you, Mary Jo. Hello, my name is Eric Martin and I'm going to start us off on the webinar and I just want to reiterate what Mary Jo said, thank you for your interest in the solicitation and for taking the time to discuss it with us today. So, during this webinar, we're going to share with you guidance for applicants where, importantly, we're going to discuss the purpose and goals of this solicitation. This is a new solicitation for us and it really taps into the diverse expertise that NIJ has, both in computer science engineering and the social sciences and we're pretty excited to share this with you, and we hope that it will garner, again, a cross-disciplinary approach to bring the latest technologies to community supervision. But we'll talk a little bit about that later in the webinar. We're going to review eligibility requirements for the solicitation. And then finally, we're going to address frequently asked questions. At the end of this webinar, a Q&A session will take place. And just to remind everyone, since this is the open and competitive solicitation, we will not be able to comment on individual proposals, project narrative, or any specific idea an applicant may have for the solicitation. But we can field questions about the application process, about the goals of the solicitation, and more of the technical or mechanical aspects that we'll find, especially for first-time applicants. So, just to go over again, we're going to discuss the goals, NIJ's expectations for the solicitation, the expected deliverables, what will not be funded, the application process, the review process and selection criteria, again, this is very informative for any first-time NIJ applicants, recommended resources, and then, as I said, we will have a Q&A session.

So, the goals for this solicitation. NIJ is seeking to promote successful reentry of offenders under community supervision through the use and application of AI technology. We hope that AI technology will allow community supervision officers to identify offenders who are at the highest risk of violating their supervision conditions or recidivating. We also hope that AI will be able to enhance reentry program delivery. As you can see in the solicitation, this is a critical time for community corrections. There are reports that community corrections officers are experiencing every increasing caseloads. We feel that AI may be a tool that can enhance service delivery and community supervision practices to allow community supervision officers to connect with offenders in their caseload, most at need. Some--secondary goal is to encourage AI research individuals in that community to address criminal justice challenges, we

think there is a possible nexus for AI advancement in criminal justice. And then finally, of course, we seek to field new technologies, including a prototype of the AI tool at the end of the solicitation. NIJ expects, as we say, this is found in page six of the solicitation, we expect applicants to partner with community correction agencies. We expect a multi-disciplinary approach. We are looking for applicants to develop solutions that are relevant and practical. We discuss in the expectation section that the applicant needs to make the use case for this technology clear and show how this technology can easily be implemented in a criminal justice or community corrections agency. And then finally, we expect that the technology that's fielded be compatible with one or more widely used mobile device operating systems. The expected deliverables from the solicitation include the technology prototype, and this prototype will be delivered to NIJ with the expectation that it will receive eventual third-party evaluation. The final research report prepared by the applicant, and as we say in the solicitation, we expect efficacy testing or some kind of measurement of outcomes that the AI technology tool was able to impact. And we discussed in the solicitation that's found on page six, we are interested in but not limited to supposedly reductions and recidivism and reentry with related outcomes, particularly housing, stability, employment, education. At the end of the project period, all applicants will have to submit data sets and associated files and documentation that were used to create the prototype, and also we expect our applicants to publish scholarly journals and also present at appropriate academic and practitioner conferences. What will not be funded through the solicitation? Applications primarily to purchase equipment, materials, or supplies. Now, this is often a question we receive. You can or an applicant can have a budget that includes purchase for equipment materials or supplies but there has to be a justification that these are necessary for research purposes or the development of the AI tool. This is to separate us from our sister agencies at OJP, some of the programmatic agencies like BJA where they engage in solicitations for primarily to purchase equipment to assist local criminal justice agencies. We are a research agency at NIJ and although we do allow some purchase of equipment and materials, you have to make a justification that this is necessary to engage in the research that NIJ is funding. Also, we will not find applications that are not responsive to the specific solicitation. Again, go over the program-specific information in the solicitation located on pages six and seven, and make sure that the application that's being submitted is responsive to those criteria. Now, I will turn it over to my colleague Marie Garcia to discuss the application process.

MARIE GARCIA: Good afternoon and thank you for joining us. I'm going to review the key elements of the application process. So, we have four critical application elements. Two that are specific to the budget and I'll review those. So, we have the program narrative. This basically outlines the research that you're going to perform for NIJ research technology development and evaluation, whichever your application is going to provide for NIJ. The budget detail worksheet and the narrative. These are really--these are separate items but they're critical. The budget detail worksheet is the mathematics behind the budget, how you calculated your rates for your personnel costs, et cetera. And the narrative is the actual text that describes each of your category items. So, be sure that you submit both of those items because they are critical elements for the

solicitation. We also require Curriculum Vitae or resumes for key personnel. So, again, these particular items are critical and if they're not submitted as a part of the application, then your application cannot move forward for the review. With regards to the application submission on pages 29 and 33, it's important that you become familiar with Grants.gov, specifically if you do not have unique identifiers or a DUNS number or a SAMs number, these are--this is information that you have to have as part of the application. So, if you don't have either of those, please go online and begin the registration process. It's important that you submit your application package at least 72 hours prior to the deadline. And by doing this, you can avoid technology issues that often arrive. And in the solicitation, you'll see that you have a certain amount of time to contact NIJ when you have technological issues. So, it's critical that you both submit your application on time and at least 72 hours prior, and if you experience any technical issues that you contact NIJ as soon as possible. And separately, we have mandatory and optional attachments. And you'll be able to see that in the application package. And you should label your files accordingly. For example, program narrative, budget narrative, and CVs or resumes. It's really important that we can see all of the files and that they're labeled appropriately. And importantly, when you submit your application, we would encourage that you go back into the system to make sure all of the documents made it into your application. Oftentimes, there are some, again, technological issues that the certain files from attaching. So, please make sure and double-check that all of your critical files have made it over.

So, now I'm going to talk about the review process on pages 33 and 34. So, you'll see we have four review criteria. The first is the statement of the problem and the research questions. So, in this section, we want to make sure that you clearly delineate the problem that's under consideration and the importance of the criminal justice system. And you'll see that there's a 15 percent allocation of the review that we allocate to this particular discussion in the application. The most critical piece of the application is the project design and implementation. And here, we want to have the applicants outline how they're going to address the specific problems and research questions under consideration. So, the bulk of the consideration is on this particular element. So, it's critical to remember that. Potential impact is 15 percent. And here, we want you to clearly delineate the ability of your prototype or this particular research question to change the criminal justice system. So, here, we need to understand how this impact not only to the system generally to but to practitioners on the ground. And then lastly, we have the capabilities and competencies of your staff. So, we need to understand from you and have you, again, clearly delineate the staff that you've chosen, their experience and expertise, and how they have added value to your project. Also, we request, again, the budget detailed worksheet and again, this is a critical element. And another element is the dissemination plan, so how, at the end of the project, you plan to communicate your findings to the field. And again, this is a really important piece of this process and here you can be as creative and innovative as you like. So, with regard to the external and internal review of application, we initially will do a basic minimum requirement or a responsiveness review. So, what we make sure here is that every application was submitted by an eligible type applicant. And you'll see on page one of

the solicitation who is eligible to apply for funding under this solicitation, so be sure that you meet the eligibility criteria. Responsiveness to the scope of the solicitation. Again, we have a very specific issue that we're addressing here, the AI research and development to support community supervision. Now, if you're doing something that's not related to this topic, that may not be responsive to our solicitation. So, please make sure that the problem under consideration and your narrative is one that addresses the issues laid out in the solicitation. And again, the basic minimum requirement. As I previously discussed, we have four. The budget worksheet, the narrative, the project narrative, and the CVs. Without those four elements, we are unable to move applications forward. So, please make sure that those basic minimum requirements are met. Once the BMR review is completed, we will submit the applications that are responsive to an external peer review process. And again, we have practitioners and researchers and other stakeholders with expertise in this area that will review the application for their technical merit. We will also do an internal review and this will include NIJ science staff leadership as well as other department subject matter experts. And just as a note, a very important note, all funding decisions are made at the discretion of the NIJ Director. So, other review considerations. You'll notice in our solicitation that we have a specific section about new investigator, early career opportunities. This particular element is critical if you are a new investigator or you're early in your career, specifically if you're a new research staff and a think-tank, for instance, or new faculty at a university. As the applicant, you should identify on your application perhaps from the title page or somewhere in your narrative that you were applying as a new investigator. And please make sure you review the criteria on page six. We're also considering program investments in economically distressed communities. And these are qualified opportunity zones on page 28. So, please be sure, if you qualify as an opportunity zone, that you are listed in the federally designated list on page 28. And another consideration that we make is risk. Risks associated with being on the DOJ High Risk Grantee list, or if you've been designated high risk by another federal grant-making agency outside of DOJ. So, as an applicant, we encourage you to find out if you are in fact on a high risk list here at DOJ or outside of the justice department. There are implications for the risk level for whether not we can make awards, so it's important to have that information at your disposal when you're applying to NIJ. So now, I'll pass it back to Eric to talk about common application pitfalls.

ERIC MARTIN: Thank you, Marie. We've compiled a list of the feedback we often receive from our external peer review and also things NIJ science staff and our leadership noticed, and we want to share this with you, this is both general information and also some information that's specifically tied to this solicitation. So, overall, we often have issues with potential applicants failing to garner a letter of support from a partner in law enforcement agency. This is critical--or, in this case, it would be a corrections or pretrial or, you know, whoever you are partnering to work with. Here, this is critical because our research often is asking a lot of our practitioner partners. And at times NIJ-funded researchers may have difficulty implementing the project with the practitioner partner especially if the practitioner did not fully understand the implications

of what was being asked of them. We see this often arise with the data archiving requirement that is included in all NIJ solicitations. So, getting a letter of support early in the application process signals to us at NIJ that, yes, they've discussed all the ramifications with their practitioner partner and we have faith that this partnership will be successful. Other pitfalls we tend to see, the proposal may fail to demonstrate the significance of the proposed work to policy and practice. NIJ is an applied science agency. Our charter from Congress mandates that all our research is used to support the criminal--local, tribal, and state criminal justice agencies. We take that very seriously. So, we're always looking and as Marie talked about we have a pretty significant waiting for impact in our solicitations. We really want to ensure that our NIJ-funded research and development is actually going to make a difference and enhance policy and practice. Also, applicants may not fully understand what hurdles or limitations their research or development may face or they may acknowledge them but they don't fully explain them in the application. So, if the external reviewer is reviewing the application and it's not fully discussed they may, you know, feel that the applicant is not aware or doesn't recognize the challenges. Of course, that may limit the space in the qualifications or capabilities of the applicant. And then, finally, and I touched on this a little bit, how the proposed research, or the proposed R&D in this instance, is going to impact criminal justice policy and practice. This solicitation, as we say, you know, right in the expectations, we expect that the applicant's going to fully discuss and delineate the use case for this tool and how this tool will be easily implemented in a community corrections or similar agency that will then enhance their practices in assisting offender supervision and reentry. Finally, it is rare but we do, at times, receive applications that are just poorly written or fail to have a coherent flow to them. You know, there may be excessive typographical errors, missing criteria we suggest in the application. So, one thing I suggest and as Marie stated, you know, prepare your application materials early, also make sure to have your own external reviewer look over the application, someone who, you know, when you're familiar with the work and you're working on something, it is often easy to overlook certain things that you take for granted. And if that external reviewer is okay with that application, you know, that only bodes well for your application that we will be able to, and our external reviewers would be able to understand what's being communicated.

Going in specifically and this follows the selection criteria right in the solicitation. And this selection criteria is what our external peer reviewer reviews to assess the merit of each application. But we may have a statement of the problem that fails to identify the gaps in the literature or may not have their proposed technological enhancement justified by the literature. And in this instance since we're dealing with community supervision, reentry, desistance from crime, we want to see tools that are engaging activities that are justified, that this is justified in the literature that it will have an impact on adhering to supervision requirements engaging in RNR, desisting from crime, that sort of thing. The project design, we've hit on this a few times in the solicitation but it's very important. The use-case for the tool is not grounded in RNR literature or current practices in community supervision. We--and as we say, we expect multi-disciplinary approach working with community corrections and criminal justice agencies. We want

to see tools that can be adapted in the field that will enhance policy and practice and community supervision. And as I'm talking all of these bullets tend to feed together. You need to ensure that the practices you're seeking to enhance with the AI tool is clearly discussed in the application that it's evident to any external reviewer what this tool is going to do for that offender or community supervision officer. Again, that it can be easily adapted and fielded and by community corrections agencies. And then finally we expect that evaluations are at arm's length. Sometimes we receive applications at NIJ where there may not be the clear delineation of duties between those who are developing the products and those who are evaluating its efficacy or testing it out. So, we want to make those demarcations clear. Capabilities and competencies. The PI sometimes does not demonstrate familiarity or proficiency with the proposed work. The research team may have a limited experience with policy and scholarly materials or engaging in the scholarly discourse around the topic. And unfortunately we do see this a little bit, dissemination plans may be overly generic or not particularly innovative. Just because we do not score dissemination plans in the evaluation criteria doesn't mean that these aren't important. We are looking for applicants who are committed to disseminating their findings, disseminating their tools to impacting policy and practice. And just a reminder, as we conclude the pitfalls, this solicitation closes on May 13th at 11:59 Eastern Daylight Time. And there is the solicitation number for your reference. And yeah, as we go on, you should make sure to take note of these resources for you. One thing I suggest to all prospective applicants. Do subscribe to NIJ Email Alerts, specifically. This will also give you information if anything changes to the solicitation once it's been posted, it's--you know, that does happen occasionally, not often, but that will alert you right away, and also of new and exciting opportunities NIJ may have for you. On the page are websites for your information. You can go to the nij.gov/funding, and this will give you information on all our current and expired and also forthcoming, I think we still have forthcoming solicitations. And then there's also a page of frequently asked questions. I can turn it over to our facilitator, Mary Jo now, and she will take us through the Q&A portion. Thank you.

MARY JO GIOVACCHINI: Actually, before we go to the Q&A portion, I would like to mention a little couple things. One, the slides and a transcript for this webinar will be posted to the NIJ website. They will actually be added to the end of the solicitation. So, if you go back to the solicitation in about five days, you should be able to see the slides and the transcript. The other thing I'm going to mention, you're looking at the slide right now that has the National Criminal Justice Reference Service showing. They are available if you have any questions after this webinar about the solicitation. And if you're confused about something or you need some type of support, send them an email, their email address is here, it's grants@ncjrs.gov, and they will work with the NIJ team to get you an answer. You can also web chat them, their web chat address is listed, and they have a toll free number. They are open 10:00 a.m. to 6:00 p.m, Monday through Friday, and they are open later on the day that the application is due. I just want to mention again, Eric has already mentioned it, but I will say again, don't wait until 11:59 on the due date to submit your application, do so at least 72 hours in advance. If you are having problems with submitting your application, you should reach to the

Grants.gov. Their information is on the screen right now, they have an 800 hotline, and their number is there, 800-815-4726. They are operated seven days a week, 24 hours a day except on federal holidays, and you can also email them at support@grants.gov, again, if you're having technical problems with submitting your application. In addition, there are some other resources that are listed here including the Grants.gov Learning Center, OJP Funding Resource Center, and one really important--well, they're all important, but it's actually the Grant Financial Guide that you might want to reference when filling out your application. So, what I'm going to do before we start questions, I'm going to go back to the NCJRS slide, I'll leave that slide up for a little while so you can write the information down, and then I will move through at random to the other slides to give you an opportunity to write that information down. So now that we've gone through all of that, I will take care of the first questions. First part of the first question has already been answered about the presentation, but they're interested in finding out where they can obtain the application documents.

MARIE GARCIA: Great. So this Marie Garcia and I'll answer this question, the application document that we referenced earlier in the webinar is on Grants.gov. So, when you download the solicitation, you'll go onto Grants.gov, you'll search for this solicitation, and you'll download the application package. And that is where you will find the mandatory documents that are required to be submitted with the application, as well as--this is where you will download and submit your program narrative, your budget worksheet, your budget narrative, as well as your CV. So, go onto Grants.gov, and that is where you will find all of the relevant materials for your application package.

MARY JO GIOVACCHINI: What are common years per award amount you expect to fund, how many awards do you expect to fund?

ERIC MARTIN: I can take this question. If you turn to page 10 on the solicitation, NIJ expects to make one or more awards with an estimated total amount awarded up to three million for the solicitation. And we expect the applicants to complete the work proposed within a five-year period. So we've allotted three million for the entire solicitation, and that could be, as we say, for one or more awards, and we expect all our applicants to be completed with their work within five years.

MARY JO GIOVACCHINI: Do you have suggestions on how to approach contact for possible partnerships? This is one of our biggest challenges.

MARIE GARCIA: So hi, this is Marie again, and I will provide my advice, and my colleagues, Chris and Eric can provide theirs as well. This is a common challenge for a lot of research teams that submit applications to NIJ, and one of the things that you could do or could think about doing is because we have a specific focus on community supervision agencies, one of the initial outreach, things that you might want to do is reach out to your local community supervision agency to see if this is an issue they might work on with you. You might--and if they're not interested, you could also ask them, do you know of a county or a local municipality that is engaging in research that

might be helpful to us? So I would encourage an initial contact to be made with your local supervision agency. Eric do you have other advice?

ERIC MARTIN: That was a really comprehensive answer, Marie. I don't really have anything. But one thing I would say, please, just to make a plug for NIJ other funded research, we have test research portfolios that engaged in researcher practitioner partnerships, and also what we call translational criminology, how to apply criminal justice research to practice. And in those webpages, if you just go to nij.gov and search those like researcher practitioner partnerships, you'll probably find in some of the published summaries and reports, unique hints or tips, you know, best advice, I should say for researchers engage...

CHRISTOPHER R. RIGANO: Best practices.

ERIC MARTIN: Thank you, Chris. To engage in--with partners. And you also may find listings of practitioner partnership engaged in NIJ research in the past, and there's nothing to prevent you from reaching out to them and, you know, saying we've noticed, you've engaged in research for your partnerships and describe your project and what you're interested in doing. I hope that helps.

MARY JO GIOVACCHINI: All right. Next question is, do we need prior to application permission from NIJ to use the de minimis overhead rate?

MARIE GARCIA: So with regard to the overhead rates that are submitted, your approved indirect cost rate must be submitted as part of the application in--as part of your budget narrative and budget worksheet, so you don't need our permission prior to, but it must be submitted with your application.

MARY JO GIOVACCHINI: Is there a place where we can reuse successful grant applications for previous NIJ solicitations?

MARIE GARCIA: Yes. On our website on nij.gov/funding, you'll find a couple of examples of successful applications. When you go to, again, nij.gov/funding, they will be available here on this particular page.

MARY JO GIOVACCHINI: What do you anticipate will need to be available for archiving, would it not be the code for the modeling rather than the traditional data sets?

MARIE GARCIA: Chris, do you--do you want to address that question?

CHRISTOPHER P. RIGANO: It's all going to depend on the research. It's going to have to be sufficient for us to be able to conduct what is stated in the solicitation with respect to third party evaluations. And [INDISTINCT] prototype, that's all we can say.

MARIE GARCIA: Additionally, I will add to that Chris that in your application, there is a date of archiving plan. And in that plan is where you should lay out what you expect to archive for NIJ. And if there is any questions that we have for you, we will discuss it with you. Should there--again, should there be any questions. But what you plan to archive should be listed and clearly delineated in the data archiving plan.

MARY JO GIOVACCHINI: Can you say more about the expectations of the evaluation and testing in the scope of this opportunity versus third party evaluation? Eric.

ERIC MARTIN: I can take this one. Yeah. NIJ engages in evaluations at a number of levels. And if you go on and look at our tool or the repository we host called Prime Solutions, you'll see a number of policies, practice, and technologies that have received multiple levels of evaluation. And there's a bit of a typology or a continuum where a practitioner or someone on the outside could have more and more phase that this is an accepted practice, that this is what we called evidence-based. So initially, we would expect any type of tool developed to have some basis of evidence that, yes, this tool is performing the way we way expect it to. It is engaging with the target audience in this case, the offender or the community supervision officer in this way. It is driving these outcomes, and in the solicitation, we delineate what outcomes we expect to be included, not limited to, but included. That's right on page six, right above NIJ expectation section. Now, that wouldn't be enough for the practitioner community in the research community to say that this has found evidence behind it. This is established in the research that this will produce these outcomes. Thus, NIJ would expect that any tool we receive would be amenable to a third party evaluator that NIJ will fund. I hope that made sense.

MARY JO GIOVACCHINI: What is NIJ's expectation regarding intellectual property? Is this to be an open source tool or will the creator retain ownership? Chris, do you want to handle that?

CHRISTOPHER P. RIGANO: Oh, first of all I'd say, Eric and Marie, do you know what we have in the solicitation that because I'm a little fresh to this that I would not know about.

MARIE GARCIA: So technically, with regard to NIJ funding generally, we--the expectation is that what is developed under the solicitation? Whether that'd be deliverables, any articles, manuscripts, any data collected, any technology developed, it is expected to be shared and made available to NIJ's constituents. So in that regard, Eric, I believe that would be an open source.

ERIC MARTIN: One thing I will say is in the special conditions that come with any award NIJ makes, it's the issue of intellectual property and copyright is clearly delineated. Anything that is funded through OJP, OJP that's Office of Justice Programs, which NIJ

is a part of, retains a right to use, that may not prohibit other uses from the applicant, which would, you know, allow to be perfect for the next funding.

CHRISTOPHER P. RIGANO: The productization of something. Which would allow for some kind of productization of a prototype.

ERIC MARTIN: Yeah, but you can't restrict OJP or the Federal Government's use.

CHRISTOPHER P. RIGANO: Correct.

ERIC MARTIN: And then again, any awarded applicant will receive documentation that has a number of special conditions in the copyright issues and intellectual property are clearly delineated.

MARY JO GIOVACCHINI: All right. Next question. Do we expect the partnering agency discussing project and partnership details in the letter of support?

MARIE GARCIA: Hi, this is Marie again. The expectation, when you--if you are partnering with a local agency, you should provide a letter of support from them and it should outline their commitment to the project and the expectations between you and their team, and how you will engage in the work to get it done. So it should clearly delineate your relationship and everything that will go into your partnership to engage in the research, and to bring it to fruition for NIJ.

MARY JO GIOVACCHINI: What is the expectation for the sample size or the agency size? Do you expect an RCT design for the evaluations?

ERIC MARTIN: And this, I apologize. We can't really comment specifically on any proposed application. You know, given that it is an open and competitive solicitation. One thing I can say and I feel comfortable saying, is just make sure that when the application you create and if you have one of your peers review it, that it clearly discusses how you will, you know, establish effectiveness given those outcomes. One thing I will say is do not take that part of the scope of work for granted. But other than, you know, I'm not going to weigh on this, one is better than the other, or what's the threshold for the size of the partnering agency. No, I think what I can say and what I would--you know, I think my best advice would be focus on the used case, focus how you are going to establish those outcome measures in at this point.

MARY JO GIOVACCHINI: All right. So we have two questions left and we're doing good on time here, because we only have about five minutes. Chris, these are both going to be for you. In terms of exercising a prototype, what can be act--what can be accessed to host a hosted solution, example design to operate in a secure environment such as AWS or GovCloud?

CHRISTOPHER P. RIGANO: Well, given that we're working with law enforcement, we're not going to have any--there's--as a rule law enforcement does not deal with classified information. It may be restricted but it's not classified. So as far as hosting in a GovCloud, it would be not be classified but if you would like to come up with an application that can be hosted there, that is your, you know, that's within your scope. However, please include the cost and so on and so forth of doing so. The same with AWS, please include the cost if it has anything visual the number of general processing units that sort of thing that would be needed to host and run, and sustain such a thing. So that we'll have an idea of what the cost would be. So there are no limiting factors on that.

MARY JO GIOVACCHINI: Great. What are the expectations and restrictions that will be expected of a private for-profit company that applies? Does right to use include code or just data set? Chris?

CHRISTOPHER P. RIGANO: I think the right to use is pretty clear within the solicitation, I would rather not try and reiterate or deviate from that. Eric, Marie, do you have anything further to say?

MARIE GARCIA: No. Thank you, Chris.

MARY JO GIOVACCHINI: All right. That appears to be our last question. I'm going to take a quick look at the chat to make sure that nobody submitted anything there that we might have missed. And as you see on the screen right now, we have the information for Grants.gov, which is who you would contact if you have any technical issues. And it appears that all of the questions have been addressed. I don't see anything else. And we are at 3:57. So at this time, we will end the webinar. On behalf of the National Institute of Justice, I'd like to thank you very much for joining us today. And we wish you good luck with your application.

Funding Opportunity through NIJ for Artificial Intelligence Research and Development to Support Community Supervision, FY 2019

Solicitation: NIJ-2019-15287

Solicitation Post Date: February 15, 2019

Solicitation Close Date: May 13, 2019 11:59 PM EDT

Today's Presenters:

Christopher P. Rigano, Computer Scientist, Eric Martin, Social Science Analyst,
Marie Garcia, Social Science Analyst



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Goals of this Webinar

During this webinar the presenters will provide:

- Guidance to potential applicants,
- Discuss the purpose and goals of this funding opportunity,
- Review eligibility requirements, and
- Address frequently asked questions.

A Q&A session will conclude this webinar.



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Webinar Overview

- Goals of the Solicitation
- NIJ Expectations
- Expected Deliverables
- What Will not be Funded
- Application Process
- Review Process & Selection Criteria
- Recommended Resources
- Q&A Session



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Goals of the Solicitation (pages 5, 6, 7)

- Promote the successful reentry of offenders under community supervision through the application of AI technology.
 - Assist supervision officers to identify offenders at the highest risk of violating their supervision conditions or recidivating.
 - Enhance reentry program delivery.
- Engage the AI research community in addressing criminal justice challenges.
- Field new technologies.

NIJ Expectations (page 6)

- Partner with community corrections agencies.
- Employ a multi-disciplinary approach.
- Develop solutions that are relevant and practical.
- Technology should be compatible with one or more widely-used mobile device operating systems.

Expected Deliverables

- Technology Prototype
 - Prototype technology will be delivered to NIJ for third-party evaluation.
- Final Research Report
- Required Data Sets and Associated Files and Documentation
- Published scholarly products

What Will not be Funded (page 12)

- 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).
- Applications that are not responsive to this specific solicitation.



APPLICATION PROCESS



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Application Checklist | Requirements (pages 41– 42)

- Application Critical Elements:
 - Program Narrative
 - Budget Detail Worksheet & Narrative
 - Curriculum vitae or resume



Application Submission (pages 29-33)

- Grants.gov
 - Register 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**
 - Mandatory and Optional Attachments
 - Files labeled to describe the file being attached (e.g., program narrative, budget narrative, CVs or résumés, etc.)



REVIEW PROCESS



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Application Review Information (pages 33-34)

- **Review 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 Detailed Worksheet**

- **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

Other Review Considerations

- **New Investigator/Early Career Opportunity**
 - Principal investigator is new to his or her career and new to NIJ's research grant portfolios.
 - Meets the criteria on page 6 of the solicitation.
- **Program Investments in Economically-Distressed Communities**
 - Projects directly benefit federally designated Qualified Opportunity Zones (page 28).
- **Risk**
 - Risks associated with DOJ High Risk Grantees, or applicants designated as "high risk" by a federal grant-making agency outside of DOJ (page 24).

Common Application Pitfalls

- **Overall Application Problems**

- Missing a letter of support from partnering law enforcement agencies.
 - Not acknowledging that de-identified data provided through this project will be archived by the grant recipient in the National Archive of Criminal Justice Data (NACJD).
- Proposal fails to demonstrate
 - The significance of the proposed work,
 - An understanding of the potential pitfalls and limitations of the proposed research,
 - How it will impact criminal justice policy and practice in the real world.
- Proposal was disorganized in its presentation, poorly written or lacked coherence.



Common Application Pitfalls

- **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.



Common Application Pitfalls

- **Project Design**

- The technology use-case is not grounded in community supervision or RNR literature.
- It is unclear how the technology would enhance common community supervision practices or officer-offender interactions.
- It is not apparent that the technology could be readily fielded in community corrections agencies.
- Evaluations are not at arms length.



Common Application Pitfalls

- **Capabilities and Competencies**

- The Principal Investigator (PI) does not demonstrate familiarity or proficiency with the proposed work.
- The research team has a limited track record of publishing scholarly research.
- The dissemination plan lacks specificity and/or is not innovative.



**Solicitation Close Date:
May 13, 2019 11:59 PM EDT**

Solicitation #: NIJ-2019-15287



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Recommended Resources from NIJ

NIJ Grants

- <https://www.nij.gov/funding/pages/welcome.aspx>

NIJ Funding FAQ's

- <https://www.nij.gov/funding/Pages/faqs.aspx>
- Note: OJP updates to the solicitations are posted. If there is a conflict between what the Webinar presents and the solicitation, the solicitation is the official document.

Application Assistance and Support

National Criminal Justice Reference Service (NCJRS) Response Center

<https://www.ncjrs.gov>

- Provides solicitation support and general assistance.
- Links to all current OJP funding opportunities.
- Funding Notices - subscribe to receive email notifications of new opportunities:
 - Sign up to receive the bi-weekly JUSTINFO newsletter as well as the weekly Funding News From NCJRS email.
 - Be sure to select “Grants/funding” as an area of interest in your NCJRS registration profile when you subscribe.
- **email** - grants@ncjrs.gov
- **web chat** - <https://webcontact.ncjrs.gov/ncjchat/chat.jsp>
- **toll free** at 800–851–3420;
- **TTY** at 301–240–6310 (hearing impaired only)

The NCJRS Response Center hours of operation are 10:00 a.m. to 6:00 p.m. eastern time, Monday through Friday.



Application Assistance

Grants.gov

- Provides technical assistance with submitting an application:
 - **Customer Support Hotline** – 800-518-4726 or 606-545-5035
 - The Grants.gov Support Hotline operates 24 hours a day, 7 days a week, except on federal holidays.
 - **Email**
 - support@grants.gov
 - **Website**
 - <https://www.grants.gov/web/grants/support.html>
- Provides information on available federal funding opportunities for various federal agencies.



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Recommended Resources

Grants.gov Grants Learning Center

- <https://www.grants.gov/learn-grants.html>

OJP Funding Resource Center

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

2019 OJP Grant Application Resource Guide

- <https://ojp.gov/funding/Apply/Resources/Grant-App-Resource-Guide.htm>

DOJ Grants Financial Guide

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

DOJ Grants Financial Management Online Training

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



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Please submit questions using the Q&A
box and selecting all panelists.



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