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The [U.S. Department of Justice](#) (DOJ), [Office of Justice Programs](#) (OJP), [Bureau of Justice Statistics](#) (BJS) is seeking applications for funding for one or more visiting fellows in its Criminal Justice Statistics Programs. This program furthers the Department's mission by facilitating collaboration between academic scholars and government researchers in survey methodology, statistics, economics, and social sciences. BJS visiting fellows have the unique opportunity to address substantive, methodological, and analytic issues relevant to BJS programs and to further knowledge about and understanding of the operation of the criminal justice system. Fellows conduct research at BJS or their home sites, use BJS data and facilities, and interact with BJS staff.

## **FY 2017 BJS Visiting Fellows: Criminal Justice Statistics Programs**

**Application Due: May 4, 2017**

### **Eligibility**

Eligible applicants are individuals who have a nationally recognized research portfolio and considerable expertise in their area of proposed research. They should be willing to commit a substantial portion of their time over at least a 12-month period to undertake analyses of BJS data or statistical programs and produce at least one publishable-quality report summarizing their analysis.

BJS may elect to fund applications submitted under this FY 2017 solicitation in future fiscal years, dependent on, among other considerations, the merit of the applications and on the availability of appropriations.

### **Deadline**

Applicants must register with [Grants.gov](#) prior to submitting an application. All applications are due by 11:59 p.m. eastern time on May 4, 2017.

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, 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 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 or 606-545-5035, or via email to [support@grants.gov](mailto: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 must email the BJS contact identified below **within 24 hours after the application deadline** in order to request approval to submit its application after the deadline. 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 Gerard F. Ramker, Deputy Director, BJS, by telephone at 202-307-0765, or by email at [askbjs@usdoj.gov](mailto:askbjs@usdoj.gov). Include “2017VFCJSP” in the subject line.

Grants.gov number assigned to this announcement: BJS-2017-11861

Release date: March 20, 2017

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# FY 2017 Visiting Fellows: Criminal Justice Statistics Programs (CFDA # 16.734)

## A. Program Description

### Overview

The Bureau of Justice Statistics (BJS) is seeking applications to fund one or more BJS visiting fellows to work in its Criminal Justice Statistics Programs. The purpose of this program is to address substantive, methodological, and analytic issues to enhance or inform BJS statistical programs; support the scholarly use of BJS data collections; and expand the body of policy-relevant research that uses these data to further knowledge about and understanding of the operation of the criminal justice system.

**Statutory Authority:** Under section 302 of the Omnibus Crime Control and Safe Streets Act, BJS is authorized to “make grants to, or enter into cooperative agreements or contracts with, public agencies, institutions of higher education, private organizations, or private individuals” for purposes of collecting and analyzing criminal justice statistics or programs.

### Program-Specific Information

BJS’s Visiting Fellows Program ([www.bjs.gov/content/fellows.cfm](http://www.bjs.gov/content/fellows.cfm)) aims to facilitate collaboration between academic scholars and government researchers in survey methodology, statistics, economics, and social sciences. BJS visiting fellows have the unique opportunity to address substantive, methodological, and analytic issues relevant to BJS programs and to further knowledge about and understanding of the operation of the criminal justice system. Fellows may conduct research at BJS or at their home site, use BJS data and facilities, and interact with BJS staff.

Fellowship applicants should have a recognized research record or considerable expertise in their area of proposed research. Applicants must submit a detailed research proposal, which will be evaluated on the applicability of the research to BJS programs, the value of the proposed research to science, and the quality of the applicant’s research record. Qualified women and members of minority groups are encouraged to apply.

BJS visiting fellows conduct projects that aim to enhance understanding of the operation of the criminal justice system and contribute to the improvement of BJS’s statistical programs. The BJS Visiting Fellows Program offers researchers, survey methodologists, and statisticians an opportunity to conduct statistical research in a particular area of mutual interest to them and BJS, examine innovative approaches to the analysis and dissemination of BJS data, and interact with BJS staff to gain first-hand knowledge of developments in BJS statistical programs. Projects completed or underway by BJS visiting fellows have involved—

- researching issues related to the National Crime Victimization Survey (NCVS) screening process and developing a modular crime incident report
- addressing repeat victimization measured by the NCVS
- the impact of including repeat victimizations in national statistics on criminal victimization
- a framework for organizing and streamlining the NCVS’s criminal incident instrument

- measuring the victim-offender overlap
- post-prison mortality and recidivism
- developing weighting and record-linking methods to improve the use of National Corrections Reporting Program (NCRP) data for statistical purposes
- comparing crime and justice in England and the United States
- developing graphical and geographical methods for analyzing criminal justice data
- investigating how different police departments classify assaults and homicides for statistical purposes
- describing differences in punishment across the nation, with a special emphasis on the use of incarceration
- creating easy-to-use, incident-based police datasets for analysis of diverse topics related to crime.

Applicants should present proposals that involve data from BJS statistical programs. Information about BJS statistical collections is available on the BJS website at <https://www.bjs.gov/index.cfm?ty=dca>. BJS data are archived at the National Archive of Criminal Justice Data (NACJD) (<http://www.icpsr.umich.edu/icpsrweb/NACJD/index.jsp>). Applicants may propose to use data from other federal statistical agencies if the data can be used to improve the understanding of criminal justice system operations and contribute to improving specific BJS statistical programs.

Each year in the solicitation for visiting fellows, BJS identifies priority project areas for applicants to consider addressing in preparing their proposals. These areas are not meant to be exclusive, and applicants may propose topics that fall outside of the identified areas. However, BJS will give priority to the applications that address projects described below.

## **Goals, Objectives, Deliverables, and Expected Scholarly Products**

### **Project 1      Enhanced investigations into the recidivism patterns of state prisoners**

BJS recently conducted a study of the recidivism patterns of more than 70,000 persons released from prisons in 30 states in 2005. Using the FBI's Interstate Identification Index (III) system, BJS obtained the multistate criminal history records on each offender's criminal career prior to entering prison and for 5 years after release. BJS supplemented this criminal history information with limited data from correctional records on each offender reported to the NCRP, such as date of admission, commitment offense, length of stay, and the nature of release. For this study, a representative sample was drawn from the universe of each state's released prisoners. Therefore, the data can support state-specific studies of prisoner recidivism.

These data could support research efforts that explore the correlates of prisoner recidivism using data that state departments of corrections (DOC) possess and use to inform administrative and operational decisions. These data may include internally produced correctional records capturing information on the prisoners' experiences while in prison (e.g., needs and risk assessments; educational, drug treatment, and job training programs; incident reports; or reentry preparations) or information from parole records on the released prisoners employment, physical and mental health problems, drug involvement, technical violations, and social support mechanisms. Supplemental data may also include person-level information obtained from external sources (such as departments of health, mental health, social services, housing, and education) that may affect correctional decisions and correctional and post-release

outcomes. Such projects would permit DOC staff or other researchers to link the data BJS collected for its recidivism study with data found in the DOCs or other administrative records. Data from DOCs do not need to immediately inform questions of recidivism. Instead it could provide an infrastructure for the state to use disparate datasets to address recidivism in the future.

### Proposed Scope of Work

The proposed work involves the following tasks:

Task 1: The visiting Fellow will (1) identify the range of data available for the administrative records of its DOC and other sources that could be used in an expanded study of the predictors of prisoner recidivism; and (2) assess the quality and completeness of this information for statistical purposes.

Task 2: The visiting fellow will work with BJS, the FBI, and the DOC to link the various data on an individual and determine the status and future use of these data.<sup>1</sup>

Task 3: With the support of and possible collaboration with BJS staff, the visiting fellow will prepare at least one technical report for publication by BJS on the predictors of prisoner recidivism. This report could also explore how predictors change for various measures of recidivism (e.g., a technical violation, a new arrest, a new conviction, or an incarceration for a new crime) over various time periods. The report could also recommend which data elements DOCs should collect to help their own recidivism or risk prediction research.

### **Project 2      Mobility patterns of state prisoners before and after their release from prison**

BJS recently conducted a study of the recidivism patterns of more than 70,000 persons released from prisons in 30 states in 2005. Using the FBI's Ill system, BJS obtained the multistate criminal history records on each offender's criminal career prior to entering prison and for 5 years after release. BJS supplemented this criminal history information with limited data from correctional records on each offender reported to BJS's NCRP, such as date of admission, commitment offense, length of stay, and nature of release. For this study, a representative sample was drawn from the universe of each state's released prisoners. Therefore, data can support state-specific studies of prisoner mobility both within and between states.

A criminal history record is designed to log the date and nature of each arrest of the subject along with the law enforcement agency that made that arrest. Knowing the date and location (i.e., the state, county, city, and township served by each law enforcement agency) enables the temporal and geospatial mapping of an offender's arrest history. BJS is interested in exploring such patterns within the criminal careers of its sample of 70,000 persons released from state prisons in 2005. In general, these individuals have lengthy criminal histories with movements both within and across states.

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<sup>1</sup>Applicants must be able to guarantee the confidentiality of any criminal history data collected by BJS and that all human subjects concerns will be addressed. Because of the nature of the proposed project, criminal background checks may need to be performed on all personnel who have access to criminal history record information.

## Proposed Scope of Work

The proposed work involves the following tasks:

Task 1: The visiting fellow will prepare a report that (1) summarizes what is known from the literature about the mobility patterns of persons involved in the justice -system across their criminal careers and; (2) proposes a set of research questions and publications exploring the temporal and geospatial movement of individuals that can be addressed using the data BJS collected for its 2005 released prisoner study.

Task 2: The visiting fellow will work with BJS staff to prepare customized databases using data from the 2005 released prisoner study that are designed to support statistical analyses by standard geographical information systems.

Task 3: With the support of and possible collaboration with BJS staff, the visiting fellow will prepare at least one technical report for publication by BJS on the offending mobility patterns of persons who have been incarcerated in state prisons. This report will explore (1) how mobility patterns of persons involved in the justice system can be quantified and characterized for research in this arena and (2) how mobility patterns both prior to entering prison and after release differ for various types of offenders. The report will also recommend how such findings should be summarized and displayed in reports for various audiences and how they could be used to support criminal justice practice and policy development.

### **Project 3      Juvenile justice populations**

The Office of Juvenile Justice and Delinquency Prevention (OJJDP), in collaboration with BJS, seeks a visiting fellow to enhance its capacity to analyze and report critical data to the field regarding juvenile justice populations. Applicants should describe plans for methodological work or statistical analyses focused in one of the priority areas listed below, or they should propose and justify a related area of investigation.

#### **Youth in adult prisons and jails**

BJS maintains a number of data collections that capture information on prison and jail inmates, including persons age 17 or younger. The [National Prisoner Statistics Program](#) and [Annual Survey of Jails](#) collect national- and state-level data, and the [NCRP](#) collects individual-level data on state prisoners. In 2014, a total of 1,035 inmates age 17 or younger were held in custody in state prisons at yearend<sup>2</sup> and about 4,200 inmates age 17 or younger were confined in local jails at midyear.<sup>3</sup> BJS has conducted prior work to estimate the standing prison and jail populations and the number of state prison admissions and releases involving person's age 17 or younger, including their demographic characteristics, offenses, sentences, and time-served.<sup>4</sup> Additionally, the [National Inmate Survey](#) interviewed a representative sample of juveniles ages 16 to 17 who were held in adult prisons and jails and asked them about their experiences since coming to the facility. BJS and OJJDP are particularly interested in expanding on prior analyses that examined trends in and characteristics of inmates age 17 or younger.

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<sup>2</sup>*Prisoners in 2014*, NCJ 248955, BJS web, September 2015.

<sup>3</sup>*Jail Inmates at midyear 2014*, NCJ 248629, BJS web, June 2015.

<sup>4</sup>*Profile of State Prisoners under Age 18, 1985-97*, NCJ 176989, BJS web, February 2000.

## Needs of youth in custody and facility service availability

BJS and OJJDP have conducted surveys and data collections of youth in custody in the juvenile justice system, as described below. Nationally, 50,821 youth charged or adjudicated for an offense were held in juvenile residential placement facilities on the census date in 2014.<sup>5</sup> These collections include information related to youth problems, needs, and service experiences; facility practices around screening and assessment; and the provision of treatment and other services. BJS and OJJDP are interested in research using record-linking methods to improve the use of these data for statistical purposes. The [Census of Juveniles in Residential Placement](#) (CJRP) and [Juvenile Residential Facility Census](#) (JRFC) are administered by the U.S. Census Bureau for OJJDP in alternating years. They collect information from all secure and nonsecure residential placement facilities that house juveniles. The CJRP collects detailed information on the characteristics of these youth (e.g., age, sex, race, offenses, adjudication status) and the JRFC collects detailed information on the characteristics of facilities and their conditions (e.g., ownership, operation, services, security, crowding, injuries and deaths in custody).<sup>6</sup> The JRFC also collects supplementary information each year on specific services such as mental and physical health, substance abuse, and education.

The [Children in Custody](#) census was administered biennially between 1971 and 1995 to provide information on the number of juveniles held in public and private facilities, related facility characteristics (e.g., administration, security, capacity), and resident population characteristics (e.g., offenses, adjudication status) and movements (e.g., admissions, discharges, length of stay).

The [National Survey of Youth in Custody](#) is part of BJS's National Prison Rape Statistics Program, which gathers data on the incidence and prevalence of sexual assault in juvenile facilities mandated by the Prison Rape Elimination Act of 2003 (PREA; P.L. 108-79). While the majority of youth in the sample participate in a survey of sexual victimization, about 10 percent receive an alternative survey on drug and alcohol use and treatment. BJS conducted interviews with youth held in juvenile correctional facilities in 2008 to 2009 and 2012.

The [Survey of Youth in Residential Placement](#) was sponsored by OJJDP and conducted in 2003 to gather individual and facility information through anonymous interviews of a nationally representative sample of more than 7,000 youth in public and private residential placements. Data include information about the youths' criminal history, experience in custody, risks, and needs.

The [Survey of Youth in Custody](#), conducted by BJS in 1987, was the first nationally representative survey of youth confined in long-term, state-operated juvenile institutions. The survey provided information on youth characteristics, current offenses, prior justice involvement, drug and alcohol use, peer groups, and family.

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<sup>5</sup>Hockenberry, S., Wachter, A., and Sladky, A. (2016). *Juvenile Residential Facility Census, 2014: Selected Findings*, NCJ 250123 Washington, D.C.: U.S. Department of Justice, Office of Juvenile Justice and Delinquency Prevention

<sup>6</sup>In 1991, OJJDP conducted a separate, large-scale study on conditions of confinement in public and private juvenile facilities. See Parent, D. G., Lieter, V., Kennedy, S., Livens, L., Wentworth, D., & Wilcox, S. (1994). *Conditions of Confinement: Juvenile Detention and Corrections Facilities. Research Report*. Washington, DC: Office of Juvenile Justice and Delinquency Prevention.

OJJDP and BJS are interested in analyses that combine available data to explore changes in the nature of juveniles held in custody over the last several decades.

### **Youth Victimization and Offending**

The [NCVS](#) collects information on nonfatal crimes, both reported and not reported to the police, against persons age 12 or older from a nationally representative sample of U.S. households. NCVS is a primary source of information on the prevalence, nature, and trends in criminal victimization against youth.<sup>7</sup> In 2015, the rate of violent crime for persons ages 12 to 17 was 31.3 victimizations per 1,000.<sup>8</sup> Although the NCVS is not designed to study offending, victims interviewed through the NCVS report on the nature of nonfatal violent incidents and the demographic characteristics of associated perpetrators.<sup>9</sup> Using NCVS data, OJJDP has supported and BJS has conducted prior work to estimate rates of violent offending by juveniles.<sup>10</sup> The visiting fellow will examine trends in juvenile victimization and offending rates and the characteristics of victimization incidents involving juveniles based on data from the NCVS. BJS and OJJDP are particularly interested in updating and expanding prior analyses to examine—

- trends,
- characteristics of the victim and perceived perpetrator (e.g., age, sex, race),
- the type (e.g., domestic violence, violence resulting in an injury, violence involving a firearm) and situational characteristics (e.g., gang involvement drug use) of victimization incidents.

### Proposed Scope of Work

The proposed work involves the following tasks:

Task 1: The visiting fellow will (1) identify data available from BJS and OJJDP surveys and collections of administrative records that can be used to expand knowledge of juvenile justice populations in one of the priority areas identified above; and (2) assess the quality and completeness of this information for statistical purposes.

Task 2: The visiting fellow will work with BJS and OJJDP to explore methodologies to support new estimates or new analyses.

Task 3: With the support of and possible collaboration with BJS and OJJDP staff, the visiting fellow will prepare at least one technical report for publication by BJS. Based on findings in the report, the fellow will also be required to develop and draft a minimum of two bulletins in collaboration with and for publication by OJJDP that are suitable for a nonacademic audience.

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<sup>7</sup>*Indicators of School Crime and Safety: 2014*. NCJ 248036, BJS web, July 2015, and *Violent Crime Against Youth, 1994–2010*, NCJ 240106, BJS web, December 2012.

<sup>8</sup>*Criminal Victimization, 2015*, NCJ 250180, BJS web, October 2016.

<sup>9</sup>For a description of the various measures of offending and offenders that can be generated using the NCVS see Oudekerk, B and Morgan, R. *Co-Offending Among Adolescents in Violent Victimization, 2004-13*, NCJ 249756, July 2016 <http://www.bjs.gov/content/pub/pdf/caavv0413.pdf>.

<sup>10</sup> Lynch, J. P. (2002). *Trends in Juvenile Violent Offending: An Analysis of Victim Survey Data*, NCJ 191052 Washington, D.C.: U.S. Department of Justice, Office of Juvenile Justice and Delinquency Prevention; Baum, K. *Juvenile Victimization and Offending, 1993-2003*, NCJ 209468, BJS web, August 2005; and *Co-Offending Among Adolescents In Violent Victimization, 2004-13*, NCJ 249756, BJS web, July 2016.

## **Project 4 Enhance Law Enforcement Data Collections**

Projects using existing BJS law enforcement data. BJS has historically collected large amounts of information on law enforcement agencies through various collections. Conducted periodically since 1987, the [Law Enforcement Administration and Management Surveys](#) (LEMAS) has collected data from over 3,000 general purpose state and local law enforcement agencies, including all those that employ 100 or more sworn officers and a nationally representative sample of smaller agencies. Data obtained include agency responsibilities, operating expenditures, job functions of sworn and civilian employees, officer salaries and special pay, demographic characteristics of officers, weapons and armor policies, education and training requirements, computers and information systems, vehicles, special units, and community policing activities.

BJS is interested in two possible enhancements to this collection include (1) linking the survey respondents over time across periods; and (2) linking external data sets to the LEMAS collections. For example, LEMAS certainty sample (large agencies with 100 or more full-time employees can be linked across periods to examine change in organizational composition, structure or function over time. Key technical challenges relate to handling unit and item missing data and crosswalking variables over time.

Additionally, LEMAS data files can be linked to other data sets to expand the descriptive information and to address other research questions related to agency performance and the association with community characteristics, among others. One potential data resource is the [Law Enforcement Agency Identifiers Crosswalk Series](#) (LEAIC) that provides geographic and other identification information for each record included in the FBI's uniform crime reporting files and BJS's [Census of State and Local Law Enforcement Agencies](#). The LEAIC records contain common match keys for merging reported crime data and Census Bureau data. These linkage variables include: the Originating Agency Identifier code; Federal Information Processing Standards state, county, and place codes; and Governments Integrated Directory government identifier codes. These variables make it possible for researchers to take police agency-level data, combine them with U.S. Census Bureau and BJS data, and perform analyses at the place, jurisdiction, and government level.

### Proposed Scope of Work

Task 1: The visiting fellow will work with existing BJS Law Enforcement data collections to create a crosswalk file and data set using the LEMAS certainty sample and/or create a data linkage file with external sources that is reliable and valid to a specific population. The visiting fellow will generate a report that describes the quality and completeness of this information for statistical purposes.

Task 2: With the support of and possible collaboration with BJS staff, the visiting fellow will prepare at least one technical report for publication by BJS based on this file addressing a law enforcement substantive issue.

### Deliverables for Visiting Fellowships

Regardless of the topic selected, the visiting fellow should plan to assess the relevant literature and develop appropriate methods for analysis based on that review. BJS expects that at least

one product developed from the visiting fellowship will be disseminated as a BJS report, and that publication may have either a substantive or methodological focus.

Persons selected as BJS visiting fellows will present a plan and timetable for their project and, through negotiation with the BJS project monitor, arrive at a final plan and schedule for their project. The researchers selected as BJS visiting fellows will be expected to deliver the following:

- At least one publishable-quality report or working paper containing, at a minimum—
  - a review of relevant literature and previous research
  - a discussion of the research questions or hypotheses that guided the research
  - the methodology employed, including a thorough discussion of linking or merging methods and analytical techniques used for the datasets
  - technical documentation about created variables, the results related to linking datasets, and other information necessary to allow replication of the work
  - archiving of all final data files created
  - key findings derived from the analysis
  - major conclusions or recommendations resulting from the project, including those that may address BJS data quality issues.
- One or more conference presentation on topics that will be determined in conjunction with the BJS program manager.
- Close collaboration with BJS staff on a report based on the data used and generated in the project.
- Periodic meetings with BJS staff to discuss the methodology and development of the project deliverables.

Although the timeframes for deliverables are to be determined in conjunction with the BJS program manager, BJS expects that they will be delivered at specific times during the project period, rather than at the end. Final reports may be delivered at or near the end of the project period.

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

The Goals, Objectives, Deliverables, and Expected Scholarly Products are directly related to the performance measures set out in the table immediately below.

## Performance Measures

Objective	Performance Measure(s)	Data Recipient Provides
Develop a research project that addresses substantive, methodological, and analytic issues relevant to BJS programs and that furthers knowledge about and understanding of the operation of the criminal justice system.	Percentage of deliverables that meet BJS's expectations	Documentation of the research methods proposed and used and utility of the designs proposed.
	Percentage of deliverables that are completed on time	Original and final versions of all methodological and substantive papers.
	Percentage of milestones and deadlines met	Time frames for project work and dates of submission for deliverables.
	Number of research documents reviewed as acceptable by peers	Number of papers accepted for publication, either solely or jointly authored with BJS staff.
Number of presentations conducted at conferences	Number of presentations accepted for conferences, either solely or jointly authored with BJS staff.  Number of presentations conducted for conference, either solely or jointly authored with BJS staff.	

## B. Federal Award Information

BJS expects to make up to three awards under this solicitation. The period of performance for the visiting fellowship is normally 12 months, beginning October 1 of a year and ending September 30 the following year. However, the start date, duration of the fellowship, and level of effort may vary. The expected start date and duration should be described in the application and project plan. A BJS visiting fellow is expected to commit a significant portion of time to the project. A maximum of \$200,000 will be allocated per visiting fellowship.

Visiting fellows may, at their discretion, remain on-site at BJS for the duration of their project or visit BJS as needed to accomplish the collaborative objectives of their projects and to accommodate their schedules. For fellows who plan to visit BJS periodically, costs associated with travel to BJS should be included within the total amount of the request.

While in Washington, D.C., fellows may have office space at BJS and access to the agency's datasets and software. They will interact with BJS staff, gain first-hand knowledge of recent developments in criminal justice research, and learn about BJS statistical programs. Fellowships may be extended at BJS's discretion and depending on available funding.

BJS may, in certain cases, provide additional funding in future years to awards made under its research, development, and evaluation solicitations, through supplemental awards. In making decisions regarding supplemental awards, BJS will consider, among other factors, the availability of appropriations, OJP's strategic priorities, and OJP's assessment of both the management of the award (e.g., 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**

BJS expects that any award under this solicitation will be made in the form of a cooperative agreement, which is a 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.

**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 2017 Awards"](#) in the [OJP Funding Resource Center](#).

### **Financial Management and System of Internal Controls**

Award recipients and subrecipients (including recipients or subrecipients that are pass-through entities<sup>11</sup>) must, as described in the Part 200 Uniform Requirements<sup>12</sup> 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.

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<sup>11</sup> 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.

<sup>12</sup> 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.

- (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 [here](#).

### **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 Match Requirement**

This solicitation does not require a match. However, if a successful application proposes a voluntary match amount, and OJP approves the budget, the total match amount incorporated into the approved budget becomes mandatory and subject to audit.

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

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

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

### **Limitation on Use of Award Funds for Employee Compensation; Waiver**

With respect to any award of more than \$250,000 made under this solicitation, a recipient may not use federal funds to pay total cash compensation (salary plus cash bonuses) to any

employee of the recipient at a rate that exceeds 110% of the maximum annual salary payable to a member of the federal government's Senior Executive Service (SES) at an agency with a Certified SES Performance Appraisal System for that year.<sup>13</sup> The 2017 salary table for SES employees is available at the Office of Personnel Management [website](#). Note: A recipient may compensate an employee at a greater rate, provided the amount in excess of this compensation limitation is paid with non-federal funds. (Non-federal funds used for any such additional compensation will not be considered matching funds, where match requirements apply.) If only a portion of an employee's time is charged to an OJP award, the maximum allowable compensation is equal to the percentage of time worked times the maximum salary limitation.

The Director of BJS 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](http://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 ["https://ojp.gov/funding/Explore/SolicitationRequirements/index.htm"](https://ojp.gov/funding/Explore/SolicitationRequirements/index.htm) in the [OJP Funding Resource Center](#).

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<sup>13</sup>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.

## C. Eligibility Information

For eligibility information, see the title page.

For information on cost sharing or matching requirements, see [Section B. Federal Award 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 BJS has designated to be critical, will neither proceed to peer review nor receive further consideration. For this solicitation, BJS has designated the following application elements as critical: Program Narrative, Budget Detail Worksheet, Budget Narrative, and resumes/curriculum vitae of key personnel. (For purposes of this solicitation, "key personnel" means the principal investigator, and any and all co-principal investigators.) An applicant may combine the Budget Narrative and the Budget Detail Worksheet in one document. However, if an applicant submits only one budget document, it must contain **both** narrative and detail information. Please review the "Note on File Names and File Types" under [How to Apply](#) to be sure applications are submitted in permitted formats.

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

### 1. Information to Complete the Application for Federal Assistance (SF-424)

The SF-424 is a required standard form used as a cover sheet for submission of pre-applications, applications, and related information. Grants.gov and OJP's Grants Management System (GMS) take information from the applicant's profile to populate the fields on this form. When selecting "type of applicant," if the applicant is a for-profit entity, select "For-Profit Organization" or "Small Business" (as applicable).

To avoid processing delays, an applicant must include an accurate legal name on its SF-424. Current OJP award recipients, when completing the field for "Legal Name" 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. On the SF-424, enter the Legal Name in box 5 and Employer Identification Number (EIN) in box 6 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 the Official Legal Name and address of the applicant entity in box 5 and the EIN in box 6 of the SF-424. An applicant must attach official legal documents to its application (e.g., articles of incorporation, 501(c)(3), etc.) to confirm the legal name, address, and EIN entered into the SF-424.

**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. BJS sees the project abstract for a number of purposes, including assignment of the application to an appropriate review panel. If the application is funded, the project abstract typically will become public information and be used to describe the project.

Applications should include a high-quality project abstract that summarizes the proposed project in 250-400 words. Project abstracts should be—

- Written for a general public audience.
- Submitted as a separate attachment with "Project Abstract" as part of its file name.
- Single-spaced, using 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.

All project abstracts should follow the detailed template available at [ojp.gov/funding/Apply/Resources/ProjectAbstractTemplate.pdf](http://ojp.gov/funding/Apply/Resources/ProjectAbstractTemplate.pdf).

**Permission to Share Project Abstract with the Public:** It is unlikely that OJP will be able to fund all applications submitted under this solicitation, but it may have the opportunity to share information with the public regarding unfunded applications, for example, through a listing on a web page available to the public. The intent of this public posting would be to allow other possible funders to become aware of such applications.

In the project abstract template, each applicant is asked to indicate whether it gives OJP permission to share the applicant's project abstract (including contact information for individuals) with the public. Granting (or failing to grant) this permission will not affect OJP's funding decisions. Moreover, if the application is not funded, providing permission will not ensure that OJP will share the abstract information, nor will it assure funding from any other source.

**Note:** OJP may choose not to list a project that otherwise would have been included in a listing of unfunded applications, should the abstract fail to meet the format and content requirements noted above and outlined in the project abstract template.

### 3. Program Narrative

The program narrative section of the application should not exceed 20 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 20-page limit for the narrative section. The project abstract, table of contents, appendices, and government forms do not count toward the 20-page limit.

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

The following sections should be included as part of the program narrative.<sup>14</sup>

#### Program Narrative Guidelines:

**a. Title Page** (not counted against the 20-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. Table of Contents and Figures** (not counted against the 20-page program narrative limit).

**c. Main Body.**

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

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

Within these sections, the narrative should address the following:

- Purpose, goals, and objectives

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<sup>14</sup>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 BJS strongly recommends that the applicant structure the application – specifically including the narrative, expected scholarly products, timelines/milestones, and budget detail worksheet and budget narrative – to set out each phase clearly. (In appropriate cases, the expected scholarly product(s) from a particular phase may vary from those described above.) See generally “Goals, Objectives, Deliverables, and Expected Scholarly Products” under “Program-Specific Information,” above.

- Review of relevant literature
- Detailed description of research design and methods, such as research questions, hypotheses, description of sample, and analysis plan
- Planned Scholarly Products (see [Goals, Objectives, Deliverables, and Expected Scholarly Products](#) under [Program-Specific Information](#), above, for a discussion of expected scholarly products)
- Implications for criminal justice policy and practice in the United States
- Management plan and organization
- Plan for Dissemination to Broader Audiences (if applicable to the proposed project). Applicants should identify plans (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 proposed project (such as summaries of articles in peer-reviewed scientific journals), in a form designed to be readily accessible and useful to those audiences. (Such dissemination might include, for example, trade press articles and webinars.)

**a. Appendices** (not counted against the 20-page program narrative limit) include the following:

- Bibliography/references
- Any tools/instruments, questionnaires, tables/charts/graphs, or maps pertaining to the proposed project that are supplemental to such items included in the main body of the narrative
- Curriculum vitae or resumes of the principal investigator and any and all co-principal investigators. In addition, curriculum vitae, resumes, or biographical sketches of all other individuals (regardless of “investigator” status) who will be significantly involved in substantive aspects of the proposed project (including, for example, individuals such as statisticians used to conduct proposed data analysis)
- Proposed project timeline and expected milestones
- Human Subjects Protection Certification of Compliance. BJS requires the funding recipient to submit proper documentation to be used to determine that the research project meets the federal requirements for human subjects protections set forth in 28 CFR Part 46. A model certificate that describes the necessary information to be provided by the funding recipient is located at <http://www.bjs.gov/content/hscr.cfm>. NOTE: Final IRB approval is not required at the time an application is submitted.

- Privacy Certification. The Privacy Certificate is a funding recipient's certification of compliance with federal regulations requiring confidentiality of information identifiable to a private person that is collected, analyzed, or otherwise used in connection with an OJP-funded research or statistical activity. The funding recipient's Privacy Certificate includes a description of its policies and procedures to be followed to protect identifiable data. A model certificate is located at <http://www.bjs.gov/content/pub/pdf/bjsmpc.pdf>.
- List of any previous and current BJS awards to the applicant and investigator(s), including the BJS-assigned award numbers and a brief description of any scholarly products that resulted in whole or in part from work funded under the BJS award(s). (See "Goals, Objectives, Deliverables, and Expected Scholarly Products" under "Program-Specific Information," above, for definition of "scholarly products.")
- Letters of cooperation/support or administrative agreements from organizations collaborating in the project, such as law enforcement and correctional agencies (if applicable)
- List of other agencies, organizations, or funding sources to which this application has been submitted (if applicable)
- Data archiving plan. Applicants should anticipate that BJS will require (through special award conditions, which may include a partial withholding of award funds) that data sets resulting in whole or in part from projects funded under this solicitation be submitted for archiving with the NACJD ([www.nij.gov/funding/data-resources-program/applying/Pages/data-archiving-strategies.aspx](http://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 BJS (through NACJD) of **all files and documentation** necessary to allow for future efforts by others to reproduce the project's findings and/or to extend the scientific value of the data set through secondary analysis. Pertinent files and documentation include, among other things, qualitative and quantitative data produced, instrumentation and data collection forms, codebook(s), any specialized programming code necessary to reproduce all constructed measures and the original data analysis, description of necessary de-identification procedures, and (when required) a copy of the privacy certificate and informed consent protocols.

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

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

### **Note on Project Evaluations**

An applicant that proposes to use award funds through this solicitation to conduct project evaluations should be aware that certain project evaluations (such as systematic investigations designed to develop or contribute to generalizable knowledge) may constitute “research” for purposes of applicable DOJ human subjects protection regulations. However, project evaluations that are intended only to generate internal improvements to a program or service, or are conducted only to meet OJP’s performance measure data reporting requirements, likely do not constitute “research.” Each applicant should provide sufficient information for OJP to determine whether the particular project it proposes would either intentionally or unintentionally collect and/or use information in such a way that it meets the DOJ definition of research that appears at 28 C.F.R. Part 46 (“Protection of Human Subjects”).

Research, for purposes of human subjects protection for OJP-funded programs, is defined as “a systematic investigation, including research development, testing and evaluation, designed to develop or contribute to generalizable knowledge.” 28 C.F.R. 46.102(d).

For additional information on determining whether a proposed activity would constitute research for purposes of human subjects protection, applicants should consult the decision tree in the “Research and the protection of human subjects” section of the “[Requirements related to Research](#)” web page of the “[Overview of Legal Requirements Generally Applicable to OJP Grants and Cooperative Agreements - FY 2017 Awards](#),” available through the [OJP Funding Resource Center](#). Every prospective applicant whose application may propose a research or statistical component also should review the “Data Privacy and Confidentiality Requirements” section on that web page.

## **4. Budget and Associated Documentation**

### **a. Budget Detail Worksheet**

A sample Budget Detail Worksheet can be found at [www.ojp.gov/funding/Apply/Resources/BudgetDetailWorksheet.pdf](http://www.ojp.gov/funding/Apply/Resources/BudgetDetailWorksheet.pdf). An applicant that submits its budget in a different format should use the budget categories listed in the sample budget worksheet. (An applicant should include in the budget work associated with satisfying data archiving requirements.) BJS expects applicants to provide a thorough narrative for each section of the Budget Detail Worksheet. The Budget Detail Worksheet should break out costs by year.

For questions pertaining to budget and examples of allowable and unallowable costs, see the [DOJ Grants Financial Guide](#).

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

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

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

In general, the central question is the relationship between what the third-party will do under its agreement with the recipient and what the recipient has committed (to OJP) to do under its award to further a public purpose (e.g., services the recipient will provide, products it will develop or modify, research or evaluation it will conduct). If a third party will provide some of the services the recipient has committed (to OJP) to provide, will develop or modify all or part of a product the recipient has committed (to OJP) to develop or modify, or 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.

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

**1. Information on proposed subawards**

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 application as approved by OJP. If, however, a particular subaward is not authorized by federal statute or regulation, and is not sufficiently described and justified in the application as approved by OJP, the recipient will be required, post-award, to request and obtain written authorization from OJP before it may make the subaward.

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

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

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

The Procurement Standards in the Part 200 Uniform Requirements, however, reflect a general expectation that agreements that (for purposes of federal grants administrative requirements) constitute procurement “contracts” under awards will be entered into on the basis of full and open competition. If a proposed procurement contract would exceed the simplified acquisition threshold—currently, \$150,000—a recipient of an OJP award may not proceed without competition unless and until the recipient receives specific advance authorization from OJP to use a non-competitive approach for the procurement.

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

### **d. Pre-Agreement Costs**

For information on pre-agreement 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 (that is, 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 (that is, 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 Customer Service Center at 1-800-458-0786 or at [ask.ocfo@usdoj.gov](mailto: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 [www.ojp.gov/funding/Apply/Resources/IndirectCosts.pdf](http://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 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 (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.)

#### **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.

An applicant unable to submit an application that includes a fully executed (i.e., signed) copy of legal appropriate documentation, as described above, consistent with the applicable tribe’s governance structure, should, at a minimum, submit an unsigned, draft version of such legal documentation as part of its application (except for cases in which, with respect to a tribal consortium applicant, consortium bylaws allow action without the support of all consortium member tribes). If selected for funding, OJP will make use of and access to award funds contingent on receipt of the fully executed legal documentation.

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

Every applicant (other than an individual applying in his/her personal capacity) is to download, complete, and submit the [OJP Financial Management and System of Internal Controls Questionnaire](#), as part of its application...

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 \(SF-LLL\)](#). 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 applications<sup>15</sup>

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).

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<sup>15</sup> 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.

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

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

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

Federal or State Funding Agency	Solicitation Name/Project Name	Name/Phone/Email for Point of Contact at Federal or State Funding Agency
DOJ/Office of Community Oriented Policing Services (COPS)	COPS Hiring Program	Jane Doe, 202/000-0000; jane.doe@usdoj.gov
Health and Human Services/Substance Abuse & 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 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 any identical cost items outlined in the budget submitted as part of in this application.”

**b. Research and Evaluation Independence and Integrity**

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

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

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

OR

- b. A specific description of actual or potential apparent conflicts of interest that the applicant has identified—including through review of pertinent information on the principal investigator, any co-principal investigators, and any subrecipients—that could affect the independence or integrity of the research, including the design, conduct, or reporting of the research. These conflicts may be personal (e.g., on the part of investigators or other staff), financial, or organizational (related to the applicant or any subrecipient entity). Some examples of potential investigator (or other personal) conflict situations are those in which an investigator would be in a position to evaluate a spouse's work product (actual conflict), or an investigator would be in a position to evaluate the work of a former or current colleague (potential apparent conflict). With regard to potential organizational conflicts of interest, as one example, generally an organization would not be given an award to evaluate a project, if that organization had itself provided substantial prior technical assistance to that specific project or a location implementing the project (whether funded by OJP or other sources), because the organization in such an instance might appear to be evaluating the effectiveness of its own prior work. The key is whether a reasonable person understanding all of the facts would be able to have confidence that the results of any research or evaluation project are objective and reliable. Any outside personal or financial interest that casts doubt on that objectivity and reliability of an evaluation or research product is a problem and must be disclosed.
- ii. In addition, for purposes of this solicitation, each applicant is to address possible mitigation of research integrity concerns by including, at a minimum, one of the following two items:
  - a. If an applicant reasonably believes that no actual or potential apparent conflicts of interest (personal, financial, or organizational) exist, then the applicant should provide a brief narrative explanation of how and why it reached that conclusion. The applicant also is to include an explanation of the specific processes and procedures that the applicant has in place, or will put in place, to identify and prevent (or, at the very least, mitigate) any such

conflicts of interest pertinent to the funded project during the period of performance. Documentation that may be helpful in this regard may include organizational codes of ethics/conduct and policies regarding organizational, personal, and financial conflicts of interest. There is no guarantee that the plan, if any, will be accepted as proposed.

OR

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

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

### **c. Disclosure of Process Related to Executive Compensation**

An applicant that is a nonprofit organization may be required to make certain disclosures relating to the processes it uses to determine the compensation of its officers, directors, trustees, and key employees.

Under certain circumstances, a nonprofit organization that provides unreasonably high compensation to certain persons may subject both the organization's managers and those who receive the compensation to additional federal taxes. A rebuttable presumption of the reasonableness of a nonprofit organization's compensation arrangements, however, may be available if the nonprofit organization satisfied certain rules set out in Internal Revenue Service regulations with regard to its compensation decisions.

Each applicant nonprofit organization must state at the time of its application (in the "OJP Financial Management and System of Internal Controls Questionnaire" mentioned earlier) whether or not the applicant entity believes (or asserts) that it currently satisfies the requirements of 26 C.F.R. 53.4958-6 (which relate to establishing or invoking a rebuttable presumption of reasonableness of compensation of certain individuals and entities).

A nonprofit organization that states in the questionnaire that it believes (or asserts) that it has satisfied the requirements of 26 C.F.R. 53.4958-6 must then disclose, in an attachment to its application (to be titled "Disclosure of Process related to Executive Compensation"), the process used by the applicant nonprofit organization to determine the compensation of its officers, directors, trustees, and key employees (together, "covered persons").

At a minimum, the disclosure must describe in pertinent detail: (1) the composition of the body that reviews and approves compensation arrangements for covered persons; (2) the methods and practices used by the applicant nonprofit organization to ensure that no individual with a conflict of interest participates as a member of the body that reviews and approves a compensation arrangement for a covered person; (3) the appropriate data as to comparability of compensation that is obtained in advance and relied upon by the body that reviews and approves compensation arrangements for covered persons; and (4) the written or electronic records that the applicant organization maintains as concurrent documentation of the decisions with respect to compensation of covered persons made by the body that reviews and approves such compensation arrangements, including records of deliberations and of the basis for decisions.

For purposes of the required disclosure, the following terms and phrases have the meanings set out by the Internal Revenue Service for use in connection with 26 C.F.R. 53.4958-6: officers, directors, trustees, key employees, compensation, conflict of interest, appropriate data as to comparability, adequate documentation, and concurrent documentation.

Applicant nonprofit organizations should note that following receipt of an appropriate request, OJP may be authorized or required by law to make information submitted to satisfy this requirement available for public inspection. Also, a recipient may be required to make a prompt supplemental disclosure after the award in certain circumstances (e.g., changes in the way the organization determines compensation).

### **How to Apply**

Applicants must register in, and submit applications through 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 [www.Grants.gov](http://www.Grants.gov). Applicants that experience technical difficulties during this process should call the Grants.gov Customer Support Hotline at **800-518-4726** or **606-545-5035**, 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. If this solicitation is cancelled or modified, individuals who sign up with Grants.gov for updates will be automatically notified.

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

**Note on Attachments.** Grants.gov has two categories of files for attachments: “mandatory” and “optional.” OJP receives all files attached in both categories. Please ensure that all required documents are attached in either Grants.gov category.

**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 ( . )	<b>When using the ampersand (&amp;) in XML, applicants must use the “&amp;” format.</b>		

**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

Every applicant entity must comply with all applicable System for Award Management (SAM) and unique entity identifier (currently, a Data Universal Numbering System [DUNS] number) requirements. If an applicant entity has not fully complied with 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.

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.)

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

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

A DUNS number is a unique nine-digit identification number provided by the commercial company Dun and Bradstreet. 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](http://www.dnb.com). A DUNS number is usually received within 1-2 business days.

2. **Acquire registration with the System for Award Management (SAM).** SAM is the repository for certain standard information about federal financial assistance applicants, recipients, and subrecipients. All applicants for OJP awards (other than individuals) must maintain current registrations in the SAM database. An applicant must be registered in SAM to successfully register in Grants.gov. Each applicant must **update or renew its SAM registration at least annually** to maintain an active status. SAM registration and renewal can take as long as 10 business days to complete.

An application cannot be successfully submitted in Grants.gov until Grants.gov receives the SAM registration information. Once the SAM registration/renewal is complete, **the information transfer from SAM to Grants.gov can take as long as 48 hours.** OJP recommends that the applicant register or renew registration with SAM as early as possible.

Information about SAM registration procedures can be accessed at [www.sam.gov](http://www.sam.gov).

3. **Acquire an Authorized Organization Representative (AOR) and a Grants.gov username and password.** Complete the AOR profile on Grants.gov and create a username and password. An applicant entity's "unique entity identifier" (DUNS number) must be used to complete this step. For more information about the registration process for organizations and other entities, go to <https://apply07.grants.gov/apply/OrcRegister>. Individuals registering with Grants.gov should go to <http://www.grants.gov/web/grants/applicants/individual-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 "Special Data Collections and Statistical Studies" and the funding opportunity number is BJS-2017-11861
6. **Submit a valid application consistent with this solicitation by following the directions in Grants.gov.** Within 24-48 hours after submitting the electronic application, the applicant

should receive two notifications from Grants.gov. The first will confirm the receipt of the application. 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 4, 2017.

Click [here](#) 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](#) or the [SAM Help Desk](#) (Federal Service Desk) to report the technical issue and receive a tracking number. The applicant must e-mail the BJS 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](#) web page.**

## E. Application Review Information

### Review Criteria

Applications that meet basic minimum requirements will be evaluated by peer reviewers using the following review criteria.

#### **Statement of the Problem** (Understanding of the problem and its importance) – 25%

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

The problem statement must describe the need for the project and provide a clear statement of how funding will support the project's value to the field. The statement must also identify and describe the datasets that will be the subject of the intended project or the BJS statistical program that will be enhanced through the visiting fellowship.

#### **Project Design and Implementation** (Quality and technical merit) – 25%

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.

The project design and research methodology should describe how the applicant will achieve the stated project objectives and discuss how the strategy will address the identified problems and support the goals and objectives. It must include a time-task plan that clearly identifies objectives, major activities, and deliverables. The time-task plan and deliverable schedule will be assessed in terms of the reasonableness of the proposed level of effort to accomplish the objectives. Deliverables will be assessed for the relevance to the project.

The time-task plan also must provide for the submission of financial and progress reports. All recipients are required to submit semiannual progress reports and quarterly financial reports. BJS visiting fellows must attend one Financial Management Training Seminar in Washington, D.C., sponsored by OJP's Office of the Chief Financial Officer (OCFO) for grantees. Specific information, such as dates and locations of upcoming OCFO events, can be found at <https://ojp.gov/training/fmts.htm>.

#### **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.

Evaluation is critical to ensure that each BJS project is operating as designed and achieving its goals and objectives. Accordingly, each application must provide a plan to assess the Fellowship's effectiveness and to evaluate accomplishment of project goals and objectives. Applicants should describe how they will assess performance in attaining the project's outcomes. Goals and objectives must be clearly stated, links must be established between program activities and objectives, and performance measures must be identified. Performance measures will address a mix of immediate and intermediate outcomes and, as appropriate and feasible, information on long-term impact.

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

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

Applications must include a clear description of the applicant's academic and professional expertise in the specialized subject matter areas of the fellowship, as well as the applicant's unique qualifications that will enable him or her to fulfill the grant responsibilities. Applicants should demonstrate that they possess the flexibility, skills, and temperament to operate in a fast-paced environment on multiple activities, sometimes with very short turn-around times. The applicant must demonstrate sufficient subject matter and project management expertise and other necessary skills, such as technical writing and technological proficiency with specific software programs, to perform crucial functions of the proposed project.

**Budget** (complete, cost effective, and allowable). Budget is reasonable, allocable, and necessary for project activities – 15%

Budget narratives should demonstrate generally how applicants will maximize cost effectiveness of grant expenditures. Budget narratives should demonstrate cost effectiveness in relation to potential alternatives and the goals of the project.<sup>16</sup>

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.

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<sup>16</sup>Generally speaking, a reasonable cost is a cost that, in its nature or amount, does not exceed that which would be incurred by a prudent person under the circumstances prevailing at the time the decision was made to incur the costs.

3. Use of existing resources to conserve costs.
4. Proposed budget alignment with proposed project activities.

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

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

### **Review Process**

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

Peer reviewers will review the applications submitted under this solicitation that meet basic minimum requirements. For purposes of assessing whether an application meets basic minimum requirements and should proceed to further consideration, OJP screens applications for compliance with those requirements. Although specific requirements may vary, the following are common requirements applicable to all solicitations for funding under OJP programs:

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

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

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

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. If OJP anticipates that an award will exceed \$150,000 in federal funds, OJP also must review and consider any information about the applicant that appears in the non-public segment of the integrity and performance system accessible through SAM (currently, the Federal Awardee Performance and Integrity Information System; "FAPIIS").

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

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

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

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

## **F. Federal Award Administration Information**

### **Federal Award Notices**

Award notifications will be made by September 30, 2017. OJP sends award notifications by email through GMS to the individuals listed in the application as the point of contact and the authorizing official (E-Biz POC and AOR). The email notification includes detailed instructions on how to access and view the award documents, and steps to take in GMS to start the award acceptance process. GMS automatically issues the notifications at 9:00 p.m. eastern time on the award date.

For each successful applicant, an individual with the necessary authority to bind the applicant will be required to login; execute a set of legal certifications and a set of legal assurances; designate a financial point of contact; thoroughly review the award, including all award conditions; and sign and accept the award. The award acceptance process requires physical signature of the award document by the authorized representative and the scanning of the fully executed award document to OJP.

## **Administrative, National Policy, and Other Legal Requirements**

If selected for funding, in addition to implementing the funded project consistent with the OJP-approved application, the recipient must comply with all award conditions, as well as all applicable requirements of federal statutes, regulations, and executive orders (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 2017 Awards](#)”, available in the [OJP Funding Resource Center](#). 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.

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

Applicants may view these documents in the Apply section of the [OJP Funding Resource Center](#).

The web pages accessible through the “[Overview of Legal Requirements Generally Applicable to OJP Grants and Cooperative Agreements – FY 2017 Awards](#)” are intended to give applicants for OJP awards a general overview of important statutes, regulations, and award conditions that apply to many (or in some cases, all) OJP grants and cooperative agreements awarded in FY 2017. 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, BJS expects any award under this solicitation to be a cooperative agreement. A cooperative agreement will include a condition in the award document that sets out the “substantial federal involvement” in carrying out the award and program. Generally speaking, under cooperative agreements with OJP, 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 coordination efforts and site selection, as well as review and approval of work plans, research designs, data collection instruments, and major project-generated materials. In addition, OJP often indicates in the award condition that it may redirect the project if necessary.

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

In accordance with the Federal Grant and Cooperative Agreement Act of 1977 (31 U.S.C. § 6305), if the purpose of the funded activity is to support a public purpose rather than for direct benefit or use by the federal government, a grant or a cooperative agreement can be used to administer the funds. A cooperative agreement is distinguished from a grant by the level of

federal participation or involvement in carrying out project activities. Specifically, Title 31, section 6305 of the U.S. Code states, "An executive agency shall use a cooperative agreement as the legal instrument reflecting a relationship between the United States Government and . . . other recipient when . . . substantial involvement is expected between the executive agency and the . . . recipient when carrying out the activity contemplated in the agreement." For the purpose of this solicitation, "substantial involvement" by BJS means that BJS will provide substantial guidance, input, and approval of the approach through which deliverables are accomplished. It also means that throughout the performance period, BJS will specify project deliverables that the award recipient agrees to by accepting the award.

The award document will incorporate several Special Conditions that operationalize the specific parameters of this cooperative agreement. The goals of BJS's substantial involvement are to (1) ensure that final deliverables are of acceptable quality to justify the use of federal funds, (2) accurately represent the project's findings, and (3) ensure that all federal regulations governing the collection and dissemination of statistical information are met.

All tasks carried out through the use of project funds will be assessed by BJS as needed to ensure that they meet federal regulations concerning confidentiality, personal identifying information, human research subjects, and the release of proprietary information; and to ensure that they meet general data quality standards for substance and presentation. As part of the assessment, BJS will continuously monitor the project to ensure that all activities performed under project tasks contribute to developing previously agreed upon deliverables within the award's budget. BJS reserves the right to stop funding the project and to restrict the release of the information or findings should regulations or standards not be met. However, BJS will not impede the completion of deliverables within the project period unless project tasks or deliverables fail to meet general data quality standards or federal regulations as previously described.

All methodological, statistical, procedural, and technological work conducted by the award recipient using award funds will remain the property of BJS until BJS determines that the information can be made publicly available. Therefore, BJS must approve any release of this proprietary information by the award recipient. BJS retains the right to the first release of all work funded by the project. This includes specific knowledge related to the project that was developed through the course of generating the deliverables that the award recipient was funded to produce.

Any additional work using project funds, including attendance or presentations at conferences and the publication of journal articles or other materials, that constitutes a change in the scope of the project requires BJS approval in the same way that any other changes to the performance period, key project staff, or budget would require prior approval and a Grant Adjustment Notification. Because the information and materials generated through the project constitute proprietary information, any release of this information using outside funding sources without sufficient justification and specific approval by BJS would jeopardize the relationship between BJS and the award recipient and potentially result in an inability to work together to accomplish remaining project goals. BJS is generally supportive of public dissemination efforts to the extent that BJS has prior knowledge and approval of the release of information by the award recipient and is able to ensure that this release contributes to the success of the project or enhances public knowledge regarding the topic without violating confidentiality restrictions or other federal regulations

**Among others, the following special conditions will be attached to an award under this solicitation:**

1. Exclusive rights to data. BJS retains all rights to exclusive use of the data until BJS releases the public use dataset, which will be available to the public via the internet and at the NACJD at the University of Michigan. The recipient shall not release or disclose any data collected through this cooperative agreement without BJS's prior written approval or until the dataset has been released to the public. This includes, but is not limited to, presentations at professional conferences and meetings, press releases, or grant applications. Unauthorized release of the data by the recipient or its associates may result in the immediate commencement of termination or suspension proceedings in accordance with 28 CFR Part 18.
2. Exclusive rights to methodological information. Within certain limitations, BJS may grant the recipient exclusive use of any methodological findings derived from the project funded through this cooperative agreement. The recipient must have BJS's prior written approval before publicly disclosing methodological information or experiential findings derived from the project prior to the public release of the dataset. Any such disclosures, however, must be public in nature and contribute meaningfully to the development or advancement of social science research. Subject to BJS's prior written approval, allowable public disclosure may include, but is not limited to, presentations at professional conferences and meetings, articles appearing in widely distributed publications, Internet postings, or similar outlets that constitute a broad public release of the methodological information. Unauthorized release of the methodological information by the recipient or its associates may result in the immediate commencement of termination or suspension proceedings in accordance with 28 CFR Part 18.
3. Prior approval of products and publications. All materials and reports drafted or produced using funds under this award will be provided to BJS for its review and approval prior to initial publication.

**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/](http://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 web site at <https://ojp.gov/funding/FAPIIS.htm>.

Data on performance measures. In addition to required reports, each recipient of an award 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 recipient, post award, to provide the data required in [Section A. Program Description](#), under "Performance Measures," so that OJP can calculate values for this solicitation's performance measures.

## **G. Federal Awarding Agency Contact(s)**

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

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

## **H. Other Information**

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

All applications submitted to OJP (including all attachments to applications) are subject to the federal Freedom of Information Act (FOIA) and to the Privacy Act. By law, DOJ may withhold information that is responsive to a request pursuant to FOIA if DOJ determines that the responsive information either is protected under the Privacy Act or falls within the scope of one of nine statutory exemptions under FOIA. DOJ cannot agree in advance of a request 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 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](mailto: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 résumé to [ojppeerreview@lmsolas.com](mailto:ojppeerreview@lmsolas.com). (Do not send your résumé 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

### FY 2017 BJS Visiting Fellows: Criminal Justice Statistics Programs

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)
- \_\_\_\_\_ Download Funding Opportunity and Application Package (see page 31)
- \_\_\_\_\_ Sign up for Grants.gov email [notifications](#) (optional) (see page 30)
- \_\_\_\_\_ 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 15)

##### *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:*

- \_\_\_\_\_ contact BJS regarding experiencing technical difficulties (see page 32)

#### Overview of Post-Award Legal Requirements:

- \_\_\_\_\_ Review the "[Overview of Legal Requirements Generally Applicable to OJP Grants and Cooperative Agreements - FY 2017 Awards](#)" in the OJP Funding Resource Center.

#### Scope Requirement:

- \_\_\_\_\_ The federal amount requested is within the allowable limit(s) of \$200,000.

**Eligibility Requirement-** See the title page

#### What an Application Should Include:

- \_\_\_\_\_ Application for Federal Assistance (SF-424) (see page 16)
- \_\_\_\_\_ Project Abstract (see page 17)
- \_\_\_\_\_ Program Narrative (see page 18)
- \_\_\_\_\_ Budget Detail Worksheet (see page 21)
- \_\_\_\_\_ Budget Narrative (see page 21)
- \_\_\_\_\_ Indirect Cost Rate Agreement (if applicable) (see page 23)

_____	Tribal Authorizing Resolution (if applicable)	(see page 24)
_____	Financial Management and System of Internal Controls Questionnaire	(see page 25)
_____	Disclosure of Lobbying Activities (SF-LLL)	(see page 25)
_____	Additional Attachments	
_____	Applicant Disclosure of Pending Applications	(see page 25)
_____	Research and Evaluation Independence and Integrity	(see page 26)
_____	Disclosure of Process Related to Executive Compensation	(see page 28)
_____	Request and Justification for Employee Compensation; Waiver (if applicable)	(see page 14)