

Clarification of page 4, "Doctoral Student Eligibility Requirements."

Applicants who have completed the three requirements as listed in the section "Doctoral Student Eligibility Requirements" are encouraged to provide documentation of such completion in their application. Applicants who do not expect to have completed these requirements by the February 28, 2011, solicitation application deadline are encouraged to apply, but should be sure to include a timeline or otherwise indicate the expected completion dates of the three requirements under this section. Successful applicants will be required to provide documentation of the completion this section's requirements by the award start date, and completion must be achieved no later than the award start date.



The U.S. Department of Justice (DOJ), Office of Justice Programs (OJP), National Institute of Justice (NIJ) is pleased to announce that it is seeking applications for funding under the Ph.D. Graduate Research Fellowship (GRF) program, which provides awards for research on crime, violence, and other criminal justice-related topics to accredited academic universities that support graduate study leading to research-based doctoral degrees in disciplines relevant to NIJ's mission. This program furthers the Department's mission by sponsoring research to provide objective, independent, evidence-based knowledge and tools to meet the challenges of crime and justice, particularly at the State and local levels.

Solicitation: NIJ Ph.D. Graduate Research Fellowship Program FY 2011

Eligibility

Applicants are limited to degree-granting educational institutions in the United States. To be eligible, the institution must be fully accredited by one of the regional institutional accreditation agencies recognized by the U.S. Secretary of Education. Under this solicitation, the applicant institution must apply as the sponsoring institution for a doctoral candidate conducting research in a discipline relevant to NIJ's mission.

Deadline

Registration with Grants.gov is required prior to application submission. (See "How to Apply," page 8.)

All applications are due by 11:59 p.m. eastern time on February 28, 2011. (See "Deadlines: Registration and Application," page 3)

Contact Information

For technical assistance with submitting the application, contact the Grants.gov Customer Support Hotline at 800-518-4726 or via e-mail to support@grants.gov.

Note: The Grants.gov Support Hotline hours of operation are 24 hours a day, 7 days a week, except Federal holidays.

For assistance with any other requirement of this solicitation, contact Marie Garcia, Social Science Analyst, at 202-514-7128 or by e-mail to Marie.Garcia@usdoj.gov.

Grants.gov number assigned to announcement: NIJ-2011-2821

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NIJ Ph.D. Graduate Research Fellowship Program FY 2011 Solicitation (CFDA 16.562)

Overview

The NIJ Ph.D. Graduate Research Fellowship (GRF) program provides awards for research on crime, violence, and other criminal justice-related topics to accredited universities that support graduate study leading to research-based doctoral degrees. NIJ invests in doctoral education by supporting universities that sponsor students who demonstrate the potential to successfully complete doctoral degree programs in disciplines relevant to the mission of NIJ. Applicants sponsoring doctoral students in policy and health sciences or in an education field are eligible to apply only if the doctoral research dissertation is in an NIJ-supported discipline (i.e., social and behavioral sciences, operations technology, information and sensors research and development, and investigative and forensic sciences).

The GRF program is intended to support universities that sponsor students who are in the final stages of graduate study. Awards are granted to successful applicants in the form of a grant to cover a doctoral student fellowship. Currently, the GRF fellowship is \$25,000.

Deadlines: Registration and Application

Registration is required prior to submission. OJP strongly encourages registering with Grants.gov several weeks before the deadline for application submission. The deadline for applying for funding under this announcement is 11:59 p.m. eastern time on February 28, 2011. Please see the “How to Apply” section, page 8, for more details.

Eligibility

Please refer to the title page for eligibility under this program.

Program-Specific Information—NIJ Ph.D. Graduate Research Fellowship Program FY 2011

Universities are encouraged to sponsor outstanding and promising doctoral students whose dissertation prospectus demonstrates independent and original research that has direct implications for criminal justice in the United States.

Successful applicants must clearly demonstrate how the proposed dissertation research advances basic criminal justice knowledge, practice, and/or policy for criminal justice agencies in the United States. Quantitative, qualitative, primary, and secondary data analysis studies are encouraged. Special consideration will be given to applicants who use the most rigorous research methods applicable to their proposed research topic to maximize the validity and reliability of findings.

Official Applicant

The official applicant under this solicitation must be a degree-granting educational institution in the United States. To be eligible, the institution of record must be fully accredited by one of the regional institutional accreditation agencies recognized by the U.S. Secretary of Education. Applicants sponsoring doctoral students in policy and health sciences or in an education field are eligible to apply only if the doctoral research dissertation is in an NIJ-supported discipline (i.e., social and behavioral sciences, operations technology, information and sensors research and development, and investigative and forensic sciences).

Working with a qualified doctoral student (candidate) and his or her dissertation chair or advisor, the university or college office of sponsored research or the university-wide research office must complete an application and submit it electronically using Grants.gov (see "What an Application Should Include," pages 10–14).

In addition, the university applicant must submit an official statement regarding the student's progress in his or her current program of study. This statement must be signed by either the department chair or the college dean. Copies of the student's current academic transcripts are required. The transcripts must document current matriculation toward a doctoral degree.

Doctoral Student Eligibility Requirements

Universities are encouraged to sponsor doctoral students who have nearly completed all Ph.D. requirements. Below are general guidelines for determining doctoral student eligibility.

Although it is not necessary for the student to have formally defended the dissertation prospectus at the time of the application due date, the following must have occurred and be documented in the application:

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

Prior to award, documentation must be provided indicating that the doctoral student's dissertation prospectus has been approved and successfully defended. FY11 awards are anticipated to be made by no later than September 2011. Failure to provide documentation of any of these requirements will result in disqualification from eligibility for an award under this program. Evidence of advancement to candidacy will be required if an award is made.

Doctoral Student Advisor Requirements

The sponsored student's dissertation chair or advisor must submit a signed statement of support on university letterhead which:

- Evaluates the student's proposed project.
- Describes the current status of the proposed work.
- Outlines any other outstanding work toward completion of the degree.
- States (demonstrates) the student's potential to successfully complete the dissertation.

The statement must also:

- Describe the advisor's role in monitoring the project and present evidence of both the department's and the advisor's track record with respect to doctoral candidates' completion of their degrees.
- Verify that the dissertation research has begun or will begin by the time of the award (i.e., by no later than September 30, 2011).
- Indicate that the student has the full support of the dissertation committee.
- Verify that the advisor will review and approve all progress reports prior to their submission to NIJ.

Relevance of the student's project for policy and practice in the United States.

NIJ's specific research, development, testing, and evaluation interests are established and are modified in response to the needs of the field of criminal justice. High-quality proposals that clearly articulate the practical implications of the research to the field of criminal justice are preferred. Applicants may include letters of support or agreement from collaborating agencies; however, these carry less weight than clear evidence that the applicant understands how and why policymakers and practitioners would benefit from the proposed research.

Amount and length of awards: NIJ anticipates that up to a total of \$25,000 may become available for up to five awards made through this solicitation. **All awards are subject to the availability of appropriated funds and to any modifications or additional requirements that may be imposed by law.**

Students do not receive awards directly. The university will be responsible for the administration of grant funds and for distributing payments to the fellowship recipient. The grant recipient organization should request funds based upon immediate disbursement/reimbursement requirements. Funds will not be paid in a lump sum, but rather disbursed over time as project costs are incurred or anticipated. Recipients should time their drawdown requests to ensure that Federal cash on hand is the minimum needed for disbursements/reimbursements to be made immediately or within 10 days. The official grant end date must be calculated to reflect the expected successful completion and submission of the student's dissertation to NIJ. In addition, it is important to note that the fellowship recipient is eligible for funding only during months of enrollment in a full-time program leading to the doctoral degree.

Match requirement: See "Cofunding" paragraph under "What an Application Should Include" (below).

Evaluation research: Within applications proposing evaluation research, funding priority will be given to experimental research designs that use random selection and assignment of participants to experimental and control conditions. When randomized designs are not feasible, priority will be given to quasi-experimental designs that include contemporary procedures such

as Propensity Score Matching or Regression Discontinuity Design to address selection bias in evaluating outcomes and impacts.

Evaluations that also include measurements of program fidelity and implementation as part of a thorough process assessment are desirable. Measurements of program fidelity should be included as part of an assessment of program processes and operations to ensure that policies, programs, and technologies are implemented as designed. As one aspect of a comprehensive evaluation, assessments of program processes should include objective measurements and qualitative observations of programs as they are actually implemented and of services that are delivered. These may include assessment of such aspects as adherence to program content and protocol, quantity and duration, quality of delivery, and participant responsiveness.

Proposed evaluation research designs with multiple units of analysis and multiple measurements will also be given priority. Design aspects that contribute to the validity of results are necessary to effectively address issues of generalizability and representativeness of findings.

Finally, applications that include cost/benefit analysis will be given priority. NIJ views cost/benefit analysis as an effective way to communicate and disseminate findings from evaluation research.

Please note: All applicants under this solicitation must comply with Department of Justice regulations on confidentiality and human subjects' protection. See "Other Requirements for OJP Applications" at www.ojp.usdoj.gov/funding/other_requirements.htm.

What will not be funded:

1. Provision of training or direct service.
2. Proposals primarily to purchase equipment, materials, or supplies. (The budget may include these items if they are necessary to conduct applied research, development, demonstration, evaluation, or analysis.)
3. Work that will be funded under another specific solicitation.
4. Proposals that do not contain a research component or do not respond to the specific goals of this solicitation.
5. Direct or indirect administrative expenses of the applicant university.
6. Research that lacks clear implications for criminal justice policy and/or practice in the United States.

Budget 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, Federal funds may not be used to pay total cash compensation (salary plus bonuses) to any employee of the award recipient at a rate that exceeds 110% of the maximum annual salary payable to a member of the Federal Government's Senior Executive Service (SES) at an agency with a Certified SES Performance Appraisal System for that year. (The 2010 salary table for SES employees is available at www.opm.gov/oca/10tables/indexSES.asp.) Note: A recipient may compensate an employee at a higher rate, provided the amount in excess of this compensation limitation is paid with non-Federal funds. (Any such additional compensation will not be considered matching funds where match requirements apply.)

The limitation on compensation rates allowable under an award may be waived on an individual basis at the discretion of the Director of the National Institute of Justice. An applicant that wishes to request a waiver must include a detailed justification in the budget narrative of its application. Unless the applicant submits a waiver request and justification with the application, the applicant should anticipate that OJP will request the applicant to adjust and resubmit its budget.

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

Performance Measures

To assist in fulfilling the Department’s responsibilities under the Government Performance and Results Act (GPRA), Public Law 103-62, applicants that receive funding under this solicitation must provide data that measure the results of their work. Any award recipient will be required, post award, to provide the data requested in the “Data Grantee Provides” column so that OJP can calculate values for the “Performance Measures” column. Performance measures for this solicitation are as follows:

Objective	Performance Measure(s)	Data Grantee Provides
Develop and analyze information and data having clear implications for criminal justice policy and practice in the United States.	<ol style="list-style-type: none"> 1. Relevance to the needs of the field as measured by whether the grantee’s substantive scope did not deviate from the funded proposal or any subsequent agency modifications to the scope. 2. Quality of the research as assessed by peer reviewers. 3. Quality of management as measured by whether significant interim project milestones were achieved, final deadlines were met, and costs remained within approved limits. 4. If applicable, number of NIJ final grant reports, NIJ research documents, and grantee research documents published. 	<ol style="list-style-type: none"> 1. A final report (doctoral student’s dissertation) providing a comprehensive overview of the project and a detailed description of the project design, data, and methods; a full presentation of scientific findings; and a thorough discussion of the implications of the project findings for criminal justice practice and policy in the United States. 2. Quarterly financial reports, semi-annual progress reports, and a final progress report. 3. If applicable, each data set that was collected, acquired, or modified in conjunction with the project. 4. If applicable, citation to report(s)/document(s).

Submission of performance measures data is not required for the application. Instead, applicants should discuss in their applications their proposed methods for collecting data for performance measures. Please refer to the section “What an Application Should Include” (below) for additional information.

Note on project evaluations: Applicants that propose to use funds awarded 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.” 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.” Research is subject to applicable DOJ human subjects protections. Applicants should provide sufficient information for OJP to determine whether the particular project they propose would either intentionally or unintentionally collect and/or use information in such a way that it meets the DOJ regulatory definition of research.

Research, for the purposes of 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, see the decision tree to assist applicants on the “Research and the Protection of Human Subjects” section of the OJP Web site (www.ojp.usdoj.gov/funding/other_requirements.htm).

Notice of New Post-Award Reporting Requirements

Applicants should anticipate that all recipients (other than individuals) of awards of \$25,000 or more under this solicitation, consistent with the Federal Funding Accountability and Transparency Act of 2006 (FFATA), will be required to report award information on any first-tier subawards totaling \$25,000 or more, and, in certain cases, to report information on the names and total compensation of the five most highly compensated executives of the recipient and first-tier subrecipients. Each applicant entity must ensure that it has the necessary processes and systems in place to comply with the reporting requirements should it receive funding.

It is expected that reports regarding subawards will be made through the FFATA Subaward Reporting System (FSRS), found at <https://www.fsr.gov>. Additional guidance on reporting will be provided in the near future by OJP and/or the Office of Management and Budget (OMB).

Please note also that applicants should anticipate that no subaward of an award made under this solicitation may be made to a subrecipient (other than an individual) unless the potential subrecipient acquires and provides a Data Universal Numbering System (DUNS) number.

How to Apply

Applications will be submitted through Grants.gov. Grants.gov is a “one-stop storefront” that provides a unified process for all customers of Federal awards to find funding opportunities and apply for funding. Complete instructions on how to register and submit an application can be found at www.Grants.gov. If the applicant experiences technical difficulties at any point during this process, please call the Grants.gov Customer Support Hotline at **800-518-4726**, 24 hours a day, 7 days a week, except Federal holidays. Registering with Grants.gov is a one-time process; however, **processing delays may occur, and it can take up to several weeks** for first-time registrants to receive confirmation and a user password. OJP highly recommends that applicants start the registration process as early as possible to prevent delays in submitting an application package by the specified application deadline.

All applicants are required to complete the following steps:

1. **Acquire a DUNS number.** A DUNS number is required for Grants.gov registration. In general, the Office of Management and Budget requires that all applicants (other than individuals) for Federal funds include a DUNS (Data Universal Numbering System) number in their applications for a new award or renewal of an existing award. A DUNS number is a unique nine-digit sequence recognized as the universal standard for identifying and keeping track of entities receiving Federal funds. The identifier is used for tracking purposes and to validate address and point of contact information for Federal assistance applicants, recipients, and subrecipients. The DUNS number will be used throughout the grant life cycle. Obtaining a DUNS number is a free, one-time activity. Obtain a DUNS number by calling Dun and Bradstreet at 866-705-5711 or by applying online at www.dnb.com. Individuals are exempt from this requirement.
2. **Acquire or renew registration with the Central Contractor Registration (CCR) database.** OJP requires that all applicants (other than individuals) for Federal financial assistance maintain current registrations in the Central Contractor Registration (CCR) database. An applicant must be registered in the CCR to successfully register in Grants.gov. The CCR database is the repository for standard information about Federal financial assistance applicants, recipients, and subrecipients. Organizations that have previously submitted applications via Grants.gov are already registered with CCR, as it is a requirement for Grants.gov registration. Please note, however, that applicants must **update or renew their CCR registration annually** to maintain an active status. Information about CCR registration procedures can be accessed at www.ccr.gov.
3. **Acquire an Authorized Organization Representative (AOR) and a Grants.gov username and password.** Complete the AOR profile on Grants.gov and create a username and password. The applicant organization's DUNS Number must be used to complete this step. For more information about the registration process, go to www.grants.gov/applicants/get_registered.jsp.
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. Please note that there can be more than one AOR for the organization.
5. **Search for the funding opportunity on Grants.gov.** Please use the following identifying information when searching for the funding opportunity on Grants.gov. The Catalog of Federal Domestic Assistance (CFDA) number for this solicitation is 16.562, titled "Criminal Justice Research and Development Graduate Research Fellowships" and the funding opportunity number is NIJ-2011-2821.
6. **Submit an 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 an e-mail validation message from Grants.gov. The validation message will state whether the application has been received and validated, or rejected, with an explanation. **Important:** Applicants are urged to submit applications **at least 72 hours prior** to the due date of the application to allow time to receive the validation message and to correct any problems that may have caused a rejection notification.

Note: Grants.gov will forward the application to OJP’s Grants Management System (GMS). 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.”

Experiencing Unforeseen Grants.gov Technical Issues

If an applicant experiences unforeseen Grants.gov technical issues beyond the applicant’s control that prevent submission of its application by the deadline, the applicant must contact NIJ staff **within 24 hours after the deadline** and request approval to submit its application. At that time, NIJ staff will instruct the applicant to submit specific information detailing the technical difficulties. The applicant must e-mail: a description of the technical difficulties, a timeline of submission efforts, the complete grant application, the applicant DUNS number, and Grants.gov Help Desk tracking number(s) received. After the program office reviews all of the information submitted, and contacts the Grants.gov Help Desk to validate the technical issues reported, OJP will contact the applicant to either approve or deny the request to submit a late application. If the technical issues reported cannot be validated, the application will be rejected as untimely.

To ensure a fair competition for limited discretionary funds, the following conditions are not valid reasons to permit late submissions: (1) failure to begin the registration process in sufficient time, (2) failure to follow Grants.gov instructions on how to register and apply as posted on its Web site, (3) failure to follow all of the instructions in the OJP solicitation, and (4) technical issues experienced with the applicant’s computer or information technology (IT) environment.

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

What an Application Should Include

This section describes what an application should include and sets out a number of elements. Applicants should anticipate that failure to submit an application that contains all of the specified elements may negatively affect the review of the application; and, should a decision be made to make an award, it may result in the inclusion of special conditions that preclude access to or use of award funds pending satisfaction of the conditions.

Moreover, applicants should anticipate that some application elements are so critical that applications unresponsive to the scope of the solicitation, or that do not include a program narrative, budget detail worksheet including a budget narrative, tribal resolution (if applicable), resumes/curriculum vitae of key personnel, and all items listed under Section f “Appendices” and labeled as “required” (see pages 12–13), will neither proceed to peer review nor receive further consideration.

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

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

The SF-424 is a standard form required for use as a cover sheet for submission of pre-applications, applications, and related information. Grants.gov and 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, please select "For-Profit Organization" or "Small Business" (as applicable).

2. Program Narrative

The program narrative section of your application should not exceed 15 double-spaced pages in 12-point font with 1-inch margins. Abstract, table of contents, charts, figures, appendices, and government forms do not count toward the 15-page limit for the narrative section.

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

Program Narrative Guidelines:

- a. **Title Page** (not counted against the 15-page program narrative limit).
The title page should include the title of the project, submission date, funding opportunity number, and the applicant's name and complete contact information (i.e., name, address, telephone number, and e-mail address).
- b. **Project Abstract** (not counted against the 15-page program narrative limit).
The 400 to 600-word abstract should state the problem under investigation (including research goals and objectives) and the anticipated relevance of the project to criminal justice public policy, practice, or theory. It should describe the proposed method and/or research design, including data to be used in addressing research questions, data collection procedures and instrumentation, access to data, and other methods or procedures of the proposed study. It should also describe procedures for data analysis and all expected products, including interim and final reports, instrumentation, and devices. If applicable, it should describe the subjects who will be involved in the proposed project, including the number of participants; participants' age, gender, and race/ethnicity; and other pertinent characteristics, such as methods used to gain access to subjects.
- c. **Resubmit Response** (if applicable) (not counted against the 15-page program narrative limit). If an applicant is resubmitting a proposal that was presented previously to NIJ, but not funded, the applicant should indicate this. A statement should be provided, no more than two pages, addressing: (1) the title, submission date, and NIJ-assigned application number of the previous proposal, and (2) a brief summary of revisions to the proposal. This document should be inserted after the abstract.
- d. **Table of Contents and Figures** (not counted against the 15-page program narrative limit).
- e. **Main body.** The main body of the program narrative should describe the project in depth. The following sections should be included as part of the program narrative:
 - Statement of the Problem.
 - Project/Program Design and Implementation.

- Capabilities/Competencies.
- Impact/Outcomes and Evaluation.
- Dissemination Strategy.

Note: Within these sections, the narrative should address:

- Purpose, goals, and objectives.
- Review of relevant literature.
- Detailed description of research design and methods (a minimum 5-page description) to include: research questions, hypotheses, description of sample, research methods justification, analysis plan and justification, etc.
- Research independence and integrity (see “Selection Criteria” below).
- Implications for criminal justice policy and practice in the United States.
- Management plan and organization.
- Dissemination strategy.

f. **Appendices** (not counted against the 15-page program narrative limit) include:

- Bibliography/references (required).
- Any tools/instruments, questionnaires, tables/charts/graphs, or maps pertaining to the proposed study (required if applicable).
 - Examples of when the documents listed immediately above may be required:
 - If tables/charts/graphs are referenced in the text, they must be included with the application.
 - If the proposed study includes analysis of survey data, the survey/questionnaire documents must be included with the application.
 - If the proposed study includes a geographical component or geospatial analysis, maps or other geospatial products must be included in the application.
- List of names of the student’s dissertation committee and their complete contact information to include: names, addresses, telephone numbers, and email addresses (required).
- Curriculum vitae, resumes or biographical sketches of student and his or her dissertation chair or advisor (required).
- Dissertation chair or advisor’s statement of support (required). *For information on required content, see pages 4-5.*
- University statement of student progress in the current program of study (required). *For information on required content, see page 4.*
- A copy of the student’s academic transcripts (required). *For information on required content, see page 4.*
- Project timeline and research calendar with expected milestones (required).
- Human Subjects Protection Paperwork including Institutional Review Board (IRB) documentation and forms (see www.ojp.gov/nij/funding/humansubjects/human-subjects.htm).

- Privacy Certificate (for further guidance go to www.ojp.gov/nij/funding/humansubjects/privacy-certificate-guidance.htm).
- List of previous and current NIJ awards to applicant organization and investigator(s) (required). Note: Applicant universities with a history of poor performance may not be considered for funding (i.e., failure to meet grant deadlines and reporting requirements or failure to comply with special conditions of awards). All applicants must complete the form provided as Attachment A to this solicitation and include the completed form with the application.
- Letters of cooperation/support or administrative agreements from organizations collaborating in the project, such as law enforcement and correctional agencies (if applicable).
- List of other agencies, organizations, or funding sources to which this proposal has been submitted (if applicable).

3. Budget Detail Worksheet and Budget Narrative

a. Budget Detail Worksheet

A sample Budget Detail Worksheet can be found at www.ojp.gov/funding/forms/budget_detail.pdf. If the budget is submitted in a different format, the budget categories listed in the sample budget worksheet should be included.

For questions pertaining to budget and examples of allowable and unallowable costs, please see the OJP Financial Guide at www.ojp.usdoj.gov/financialguide/index.htm.

b. Budget Narrative

The Budget Narrative should thoroughly and clearly describe every category of expense listed in the Budget Detail Worksheet. The narrative should be mathematically sound and correspond with the information and figures provided in the Budget Detail Worksheet. The narrative should explain how all costs were estimated and calculated and how they are relevant to the completion of the proposed project. The narrative may include tables for clarification purposes but need not be in a spreadsheet format. As with the Budget Detail Worksheet, the Budget Narrative should be broken down by year.

The following is a sample budget narrative description of a cost item.

Salaries and Wages-Personnel (\$25,000)

The Principal Investigator (i.e., the doctoral student), Mr./Mrs. xxx, will devote xxx summer and xxx academic months per year toward the project. The University has established that a one-month effort is equivalent to xxx hours.

The fringe benefit rate during the academic year for the graduate student is ____%. The summer fringe benefit rate is ____%. The benefits included in the rate cover _____.

Cofunding: A grant made by NIJ under this solicitation may account for up to 100 percent of the total cost of the project. The application should indicate whether it is feasible to contribute cash, facilities, or services as non-Federal support for the

project. The application should identify generally any such contributions that the applicant expects to make and the proposed budget should indicate in detail which items, if any, will be supported with non-Federal contributions.

4. **Other Standard Forms**

Additional forms that may be required in connection with an award are available on OJP's funding page at www.ojp.usdoj.gov/funding/forms.htm. For successful applicants, receipt of funds may be contingent upon submission of all necessary forms. Please note in particular the following forms.

- a. Certifications Regarding Lobbying; Debarment, Suspension and Other Responsibility Matters; and Drug-Free Workplace Requirements (required to be submitted in GMS prior to the receipt of any award funds)
- b. Disclosure of Lobbying Activities (required for any applicant that expends any funds for lobbying activities; this form must be downloaded, completed, and then uploaded)
- c. Accounting System and Financial Capability Questionnaire (required for any applicant other than an individual that is a non-governmental entity and that has not received any award from OJP within the past 3 years; this form must be downloaded, completed, and then uploaded)
- d. Standard Assurances (required to be submitted in GMS prior to the receipt of any award funds)

Selection Criteria

Statement of the Problem (Understanding of the problem and its importance)—20%

1. Clarity of problem statement and its importance to the field of study.
2. Demonstrated connection between problem and proposed research.
3. Awareness of the state of current research and/or technology.
4. Identification of gaps in existing research.
5. Demonstrated understanding of the population under investigation.

Project/Program Design and Implementation (Quality and technical merit)—35%

1. Detailed and complete discussion of proposed research methods.
2. Explanation for research method approach.
3. Awareness of limitations of analysis plan and proposed practical solutions.
4. Awareness of human subjects' matters.
5. Overall feasibility of proposed project and awareness of pitfalls.
6. Innovation and creativity.

Impact/Outcomes and Evaluation (Impact of the proposed project and relevance to policy and practice)—20%

1. Potential for major advances in scientific or technical understanding of the problem.
2. Potential for significant advances in the field and filling key gaps in scientific knowledge related to criminal justice policy and practice in the United States.

3. Relevance for improving criminal justice policy and practice, public safety, security and/or quality of life.
4. Relevance to the concerns of criminal justice agencies focusing on crime and justice problems.
5. Perceived potential for commercialization and/or implementation of new technology (when applicable).

Capabilities/Competencies (Capabilities, demonstrated productivity, and experience of applicants)—10%

1. Qualifications and experience of doctoral student and dissertation chair or advisor (i.e., successful coursework completion, relevant work and/or research experience, leadership roles, mentoring experience, and record of publication).
2. Demonstrated ability of dissertation advisor to manage endeavor.
3. Adequacy of management plan to ensure project completion.
4. Identification of appropriate stakeholders and/or consultants in field of interest.
5. University record of accomplishment with respect to doctoral candidate's completion of degrees.
6. University record of past performance regarding NIJ grants and contracts.

Dissemination Strategy—15%

1. Extensiveness and creativity of the applicant's plan for print and electronic product dissemination to researchers, practitioners, and policymakers. Extensive dissemination may include plans for peer-reviewed journal articles, web-based documents, conference/meeting presentations, program guides/tools, trade articles, etc.; and identification of journals and organizations through which products will be released. Creativity is the degree to which the applicant's plan goes beyond standard reporting requirements (i.e., final technical report) and/or may include multimedia products such as DVDs, blogs and podcasts, etc.

Research Independence and Integrity

Regardless of a proposal's rating under the criteria outlined above, in order to receive funds, the applicant's proposal must demonstrate research independence, including appropriate safeguards to ensure research objectivity and integrity.

For purposes of this solicitation, research independence and integrity pertains only to ensuring that the design, conduct, or reporting of research funded by NIJ grants, cooperative agreements, or contracts will not be biased by any financial interest on the part of the investigators responsible for the research or on the part of the applicant.

In the program narrative section dealing with research independence and integrity, the applicant must explain the process and procedures that the applicant has put in place to identify and manage potential financial conflicts of interest on the part of its staff, consultants, and/or subrecipients. It must also identify any potential organizational financial conflicts of interest on the part of the applicant with regard to the proposed research. If the applicant believes that there are no potential organizational financial conflicts of interest, the applicant must provide a brief narrative explanation of why it believes that to be the case.

Where potential organizational financial conflicts of interest exist, in the program narrative the applicant must identify the safeguards the applicant has put in place to address those conflicts of interest.

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

Review Process

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

Peer reviewers will review the applications submitted under this solicitation that meet basic minimum requirements. NIJ may use either internal peer reviewers, external peer reviewers, or a combination to review the applications under this solicitation. An external peer reviewer is an expert in the field of the subject matter of a given solicitation who is NOT a current U.S. Department of Justice employee. An internal reviewer is a current U.S. Department of Justice employee who is well-versed or has expertise in the subject matter of this solicitation. Eligible applications will be evaluated, scored, and rated by a peer review panel. Peer reviewers' ratings and any resulting recommendations are advisory only. In addition to peer review ratings, considerations for award recommendations and decisions may include, but are not limited to, underserved populations, geographic diversity, strategic priorities, past performance, and available funding.

The Office of the Chief Financial Officer (OCFO), in consultation with NIJ, conducts a financial review of applications for potential discretionary awards to evaluate the fiscal integrity and financial capability of applicants; examines proposed costs to determine if the budget detail worksheet and budget narrative accurately explain project costs; and determines whether costs are reasonable, necessary, and allowable under applicable Federal cost principles and agency regulations.

All final award decisions will be made by the Director of the National Institute of Justice, who also may give consideration to factors including, but not limited to, underserved populations, geographic diversity, strategic priorities, past performance, and available funding when making awards.

Additional Requirements

Applicants selected for awards must agree to comply with additional legal requirements upon acceptance of an award. OJP strongly encourages applicants to review the information pertaining to these additional requirements prior to submitting an application. Additional information for each requirement can be found at www.ojp.usdoj.gov/funding/other_requirements.htm.

- Civil Rights Compliance
- Faith-Based and Other Community Organizations
- Confidentiality
- Research and the Protection of Human Subjects
- Anti-Lobbying Act
- Financial and Government Audit Requirements
- National Environmental Policy Act (NEPA)
- DOJ Information Technology Standards (if applicable)
- Single Point of Contact Review
- Non-Supplanting of State or Local Funds
- Criminal Penalty for False Statements
- Compliance with Office of Justice Programs Financial Guide
- Suspension or Termination of Funding
- Nonprofit Organizations
- For-profit Organizations
- Government Performance and Results Act (GPRA)
- Rights in Intellectual Property
- Federal Funding Accountability and Transparency Act (FFATA) of 2006
- Awards in Excess of \$5,000,000 – Federal Taxes Certification Requirement
- Active CCR Registration

If a proposal is funded, the grant recipient will be required to submit several reports and other materials, including:

- Documentation of Institutional Review Board's review (human subjects) and approval of the proposed project prior to funding availability.
- Quarterly financial reports, semi-annual progress reports, a final progress report, and, if applicable, an annual audit report in accordance with Office of Management and Budget Circular A-133.
- A copy of the student's defended, approved, and edited dissertation.

Application Checklist

NIJ Ph.D. Graduate Research Fellowship Program FY2011

This application checklist has been created to assist in developing an application.

Eligibility Requirement:

_____ University is fully accredited by one of the regional institutional accreditation agencies recognized by the U.S. Secretary of Education

_____ Dissertation topic is in an NIJ-supported discipline (select one)

- social and behavioral sciences
- operations technology
- information and sensors research and development
- investigative and forensic sciences

_____ Documentation of doctoral student having completed all required course work, passed qualifying comprehensive exams, and advanced to candidacy by the university.

What an Application Should Include:

_____ Application for Federal Assistance (SF-424), see page 10

_____ Program Narrative (see pages 11–13 and “Selection Criteria” pages 14–15)

_____ Appendices to the Program Narrative:

_____ Bibliography/references (required)

_____ Any tools/instruments, questionnaires, tables/charts/graphs, or maps pertaining to the proposed study (required if applicable)

_____ Dissertation committee complete contact information (required)

_____ Curriculum vitae, resumes or biographical sketches of student and advisor or chair (required)

_____ Student Advisor’s or Chair’s Statement of Support (on university letterhead and signed by advisor or chair) (required)

_____ Official university statement regarding student’s progress in the doctoral program (on university letterhead and signed by authorized university representative for example, department chair or college dean) (required)

_____ Transcripts (official or unofficial) (required)

_____ Project timeline and research calendar with expected milestones (required)

_____ Human Subjects Protection Paperwork

_____ Privacy Certificate

_____ List of previous and current NIJ awards to applicant organization and investigators (form at Attachment A) (required)

_____ Letters of cooperation/support or administrative agreements from organizations collaborating in the project (if applicable)

_____ List of other agencies, organizations, or funding sources to which this proposal has been submitted (if applicable)

_____ Budget Detail Worksheet (see page 13)

_____ Budget Narrative (see page 13)

_____ Program Narrative/Abstract Format: (see page 11)

_____ Double-spaced

_____ 12-point standard font

_____ 1” standard margins

_____ Narrative is 15 pages or less

_____ Other Standard Forms as applicable (see page 14), including:

_____ Disclosure of Lobbying Activities (if applicable)
_____ Accounting System and Financial Capability Questionnaire (if applicable)

Attachment A

List of Previous and Current NIJ Awards to Applicant Organization and Investigators

All applicants must complete this form and include it as an appendix to the application. See page 13 for additional information regarding this form.

NIJ Ph.D. Graduate Research Fellowship Program FY 2011

- Official Applicant:

- Principal Investigator (intended fellowship recipient):

List of previous and current NIJ awards to applicant organization and investigators. Please note that this information is required.

No, the applicant organization and investigators have never received funding from NIJ.

Yes, the applicant organization and/or investigators have previously received or are currently receiving funding from NIJ.

If yes, please list the award number(s) and amount(s). (Add additional pages as necessary.)

<u>Award</u>	<u>Amount</u>
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____