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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 an evaluation of the Honest Opportunity Probation With Enforcement demonstration field experiment. 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: Evaluation of the Honest Opportunity Probation With Enforcement Demonstration Field Experiment (HOPE DFE)**

### **Eligibility**

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

### **Deadline**

Registration with Grants.gov is required prior to application submission. (See "How to Apply," page 9.)

All applications are due by 11:59 p.m. eastern time on July 6, 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 Eric Martin, Social Science Analyst, at 202-514-9588 or by e-mail to eric.d.martin@usdoj.gov.

Grants.gov number assigned to announcement: NIJ-2011-3002

SL# 000977

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# Evaluation of the Honest Opportunity Probation With Enforcement Demonstration Field Experiment (HOPE DFE) (CFDA 16.560)

## Overview

As part of a collaborative effort with the Bureau of Justice Assistance (BJA) to implement and rigorously test important criminal justice interventions and programs, NIJ seeks competitive proposals for a single award that will support a multi-site randomized controlled trial (RCT) program evaluation of the HOPE DFE. Jurisdictions across the United States are seeking effective ways to maintain public safety by holding offenders accountable while at the same time reducing costs of imprisonment. A recent NIJ-funded evaluation of the Hawaii Opportunity Probation With Enforcement (HOPE) program showed that the program has great promise for reducing offending and ensuring probationer compliance by combining random drug tests with swift and certain sanctions for probation violations. Based on these positive findings, BJA will fund the expansion of the original HOPE program model implemented in Hawaii to four other sites. Every effort will be made to replicate the original program as closely as possible in the new sites. The demonstration field experiment (DFE) will examine the HOPE program's processes, outcomes, and cost effectiveness through a multi-site study conducted for the explicit purpose of generating evidence about this probation program.

For additional information on DFEs, please visit our webpage:  
[www.ojp.usdoj.gov/nij/funding/2010/demonstration-field-experiment.pdf](http://www.ojp.usdoj.gov/nij/funding/2010/demonstration-field-experiment.pdf).

Applicants may also refer to the following key sources of information regarding the HOPE DFE in particular:

- [BJA HOPE DFE Solicitation \(contains information that describes the key characteristics of the original HOPE program\)](#). See <http://www.ojp.usdoj.gov/BJA/grant/11HOPEsol.pdf>.
- [NIJ HOPE Evaluation Final Report](#).

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

## 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 July 6, 2011. Please see the "How to Apply" section, page 9 for more details.

## Eligibility

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

## Program-Specific Information—Evaluation of the Honest Opportunity Probation With Enforcement Demonstration Field Experiment (HOPE DFE)

NIJ seeks to award a single evaluation of the HOPE program model as implemented under the HOPE DFE to generate empirical evidence about effective probation practices and policies. Costs associated with the expansion program model as implemented under the HOPE DFE and implementation at those sites will be funded by BJA under a separate solicitation. Under the BJA solicitation, BJA will select sites for funding based upon several factors including their commitment to implement the HOPE program with fidelity, to adhere to requirements including random assignment of cases to experimental and control conditions, and to cooperate fully with the evaluation. DFE site applicants to the BJA solicitation must agree to comply with these mandatory program requirements, or they will not be selected for funding. Costs associated with the multi-site evaluation of HOPE will be funded by NIJ under this solicitation (subject to the availability of funds). Approximately **four** demonstration sites will be selected and funded by BJA (subject to the availability of funds) for inclusion in the evaluation. The evaluation will help to determine if the original HOPE model's processes, outcomes, and cost effectiveness can be successfully replicated elsewhere.

### Goals, Objectives, and Deliverables

The overall goal of this DFE is to build knowledge about effective strategies to ensure probationers' compliance, reduce reoffending, and increase public safety. This DFE will rigorously test whether the HOPE program model promotes the successful completion of probation for high-risk probationers in several jurisdictions across the United States. Successful completion of probation is defined by desired outcomes such as the reduction of probation violations (e.g., missed appointments, positive urine tests) and reductions in revocations of probation.

The main objective of the DFE will be to determine whether the program works in other jurisdictions. The DFE approach creates an infrastructure to promote adherence to both the required probation intervention model and the evaluation design that randomizes assignment of cases to experimental and control groups. The **process evaluation** will monitor the fidelity of program implementation and inform others about common expectations and barriers to implementation associated with HOPE. The **outcome evaluation** will assess program impact on the offenders who received the intervention on three primary and three secondary outcomes:

#### Primary Outcomes

- No-shows for probation appointments,
- Positive urine tests, and
- Re-arrest rates.

### Secondary Outcomes

- Revocation rates,
- Jail-days served, and
- Prison-days sentenced.

The **cost effectiveness study** will determine the financial impact on sites implementing HOPE in terms of both actual costs of program implementation and any potential savings through reduction of probation revocations (if materialized) and related system savings.

Once the evaluation team has been selected, the evaluator will work with NIJ and BJA to finalize the evaluation design for conducting the DFE. The successful applicant under this solicitation will be tasked with:

- Working with the programs to design a RCT at each program demonstration site.
- Implementing a process for random assignment of offenders to experimental and control groups at each DFE site.
- Establishing expected target sample sizes for experimental and control groups at each site.
- Assigning an onsite Research Coordinator for each program in the DFE to provide coordination for all aspects of the DFE implementation, including human subjects, informed consent, randomization, process evaluation, and design compliance.
- Working collaboratively with NIJ and BJA staff, as well as the DFE sites to track fidelity to the program and randomization process, including regularly scheduled conference calls.
- Conducting an assessment of program operations, policies, procedures, implementation, and overall fidelity of program delivery.
- Conducting a process evaluation to determine whether the model is delivered as intended to the target recipients by reviewing resources, caseload, and other pertinent data.
- Collecting data for the evaluation questions provided in the original evaluation.
- Conducting an assessment of program outcomes and impact on probationers from the program as a whole.
- Conducting an assessment of program outcomes and impact on probationers among HOPE's various treatment elements (e.g., random drug testing versus swift sanctions) to the extent possible.
- Conducting an assessment of program costs and cost effectiveness to determine the efficacy of the program in relation to program costs.
- Reporting and disseminating interim and final study results, including presentation of interim and final findings at one or more NIJ Conferences and at other relevant practitioner and researcher meetings (to be determined in collaboration with NIJ and BJA as part of design finalization).

Because state program sites have not yet been selected, the successful applicant to this evaluation solicitation will be required to submit a revised evaluation plan with proposed budget

modifications as necessary. A special condition will be attached to the award stipulating that the grantee may not obligate, expend, or drawdown more than \$25,000 until NIJ approves the revised evaluation plan and issues a grant adjustment notice to remove or modify this special condition.

**Amount and length of awards:** NIJ anticipates that up to a total of \$2.5 million for the three and a half (3.5) year evaluation may become available for one award 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.**

**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](http://www.ojp.usdoj.gov/funding/other_requirements.htm).

**What will not be funded:**

- i. Provision of training or direct service.
- ii. 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.)
- iii. Work that will be funded under another specific solicitation.
- iv. Proposals that do not contain a research component or do not respond to the specific goals of this solicitation.

**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 2011 salary table for SES employees is available at [www.opm.gov/oca/11tables/indexSES.asp](http://www.opm.gov/oca/11tables/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.

**Match Requirement:** See “Cofunding” paragraph under “What an Application Should Include” (below).

## 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:

| <b>Objective</b>   | <b>Performance Measure(s)</b>  | <b>Data Grantee Provides</b>  |
|--|--|---|
| <p>To determine whether the Honest Opportunity Probation with Enforcement model is successful in promoting the completion of probation for high-risk probationers in a Demonstration Field Experiment (HOPE-DFE)</p> | <ol style="list-style-type: none"> <li>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.</li> <li>2. Quality of the research as assessed by peer reviewers.</li> <li>3. Quality of management as measured by whether significant interim project milestones were achieved, final deadlines were met, and costs remained within approved limits.</li> <li>4. If applicable, number of NIJ final grant reports, NIJ research documents, and grantee research documents published.</li> </ol> | <ol style="list-style-type: none"> <li>1. A final report 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.</li> <li>2. Quarterly financial reports, semi-annual progress reports, and a final progress report.</li> <li>3. If applicable, each data set that was collected, acquired, or modified in conjunction with the project.</li> <li>4. If applicable, citation to report(s)/document(s).</li> </ol> |

|  |   |  |
|--|---|--|
|  | <p>5. Provide a comprehensive process evaluation report.</p> <p>6. Provide a comprehensive outcome evaluation report.</p> <p>7. Provide a comprehensive cost effectiveness study.</p> | <p>5. a. Provide an assessment of program operations, policies, procedures, implementation and overall fidelity.</p> <p>5. b. Provide a process evaluation, including common expectations and barriers to implementation associated with HOPE.</p> <p>6. a. Provide an evaluation of primary outcomes, including no-shows for probation appointments, positive urine tests, and re-arrest rates overall.</p> <p>6. b. Provide an evaluation of primary outcomes, including no-shows for probation appointments, positive urine tests, and re-arrest rates by treatment elements to the extent possible.</p> <p>6. c. Provide an evaluation of secondary outcomes, including revocation rates, jail-days served, and prison-days sentenced overall.</p> <p>6. d. Provide an evaluation of secondary outcomes, including revocation rates, jail-days served, and prison-days sentenced by treatment elements to the extent possible.</p> <p>7. Provide a study analyzing the program's effects in terms of cost effectiveness.</p> |
|--|---|--|

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:** This project evaluation (a systematic investigation designed to develop or contribute to generalizable knowledge) constitutes “research” and is subject to applicable DOJ human subjects protections under 28 C.F.R. § 46.102(d). See the “Research and the Protection of Human Subjects” ([www.ojp.usdoj.gov/funding/other\\_requirements.htm](http://www.ojp.usdoj.gov/funding/other_requirements.htm)) Web page. Applicants whose proposals may involve a research or statistical component also should review the “Confidentiality” section on that Web page.

## 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. Reports regarding subawards will be made through the FFATA Subaward Reporting System (FSRS), found at [www.fsrs.gov](http://www.fsrs.gov).

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](http://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](http://www.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](http://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](http://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](http://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 16.650, titled "National Institute of Justice Research, Evaluation, and Development Project Grants," and the funding opportunity number is NIJ-2011-3002.
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](http://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, and resumes/curriculum vitae of key personnel 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 the application should not exceed 30 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 30-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 30-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 30-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 30-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 30-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 to include: research questions, hypotheses, description of sample, analysis plan, etc.
  - Implications for criminal justice policy and practice in the United States.
  - Management plan and organization.
- f. **Appendices** (not counted against the 30-page program narrative limit) include:
  - Bibliography/references.
  - Any tools/instruments, questionnaires, tables/charts/graphs, or maps pertaining to the proposed study.
  - Curriculum vitae, resumes or biographical sketches of all key personnel.
  - Project timeline and research calendar with expected milestones.
  - Research independence and integrity (see "Selection Criteria," below).

- Human Subjects Protection Paperwork including Institutional Review Board (IRB) documentation and forms (see [www.ojp.gov/nij/funding/humansubjects/human-subjects.htm](http://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](http://www.ojp.gov/nij/funding/humansubjects/privacy-certificate-guidance.htm)).
- List of previous and current NIJ awards to applicant organization and investigator(s).
- 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).
- Other materials specified by the solicitation.
- Data Archiving Strategy (see descriptive paragraph below).

**Data Archiving Strategy:** NIJ requires that each data set resulting from funded research be submitted as a grant product or deliverable for archiving with the National Archive of Criminal Justice Data. (Data sets are to be submitted 90 days before the end of the project period.) Applicants for NIJ research grants are strongly encouraged to include a brief (one- or two-page) data archiving strategy. For purposes of research replication and extension, the inclusion of only the final data set often prevents other researchers from replicating or extending the study because there are no original data, intermediate data, or documentation detailing how the data changed throughout the project. This data archiving strategy therefore should briefly describe the—

- Anticipated manipulations of original, intermediate, and final data sets (as applicable).
- Methods of documentation of such manipulations.
- Preparation of original, intermediate, and final data sets for archive submission.

The data archiving strategy should be submitted as an appendix to the application and will not count toward the 30-page limit. Please label this appendix “Data Archiving Strategy.”

### 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](http://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](http://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.

**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 you believe it is feasible for the applicant to contribute cash, facilities, or services as non-Federal support for the project. The application should identify generally any such contributions that the applicant expects to make, and the proposed budget should indicate in detail which items, if any, will be supported with non-Federal contributions.

4. **Indirect Cost Rate Agreement** (if applicable)

Indirect costs are allowed only if the applicant has a federally approved indirect cost rate. (This requirement does not apply to units of local government.) A copy of the rate approval should be attached. If the applicant does not have an approved rate, one can be requested by contacting the applicant's cognizant Federal agency, which will review all documentation and approve a rate for the applicant organization or, if the applicant's accounting system permits, costs may be allocated in the direct cost categories. If DOJ is the cognizant Federal agency, obtain information needed to submit an indirect cost rate proposal at [www.ojp.usdoj.gov/financialguide/part3/part3chap17.htm](http://www.ojp.usdoj.gov/financialguide/part3/part3chap17.htm).

5. **Tribal Authorizing Resolution** (if applicable)

If an application is being submitted by either (1) a tribe or tribal organization or (2) a third party proposing to provide direct services or assistance to residents on tribal lands, then a current authorizing resolution of the governing body of the tribal entity or other enactment of the tribal council or comparable governing body authorizing the inclusion of the tribe or tribal organization and its membership should be included with the application. In those instances when an organization or consortium of tribes proposes to apply for a grant on behalf of a tribe or multiple specific tribes, then the application should include a resolution from all tribes that will be included as a part of the services/assistance provided under the grant. A consortium of tribes for which existing consortium bylaws allow action without support from all tribes in the consortium (i.e., without authorizing resolution or other enactment of each tribal governing body) may submit a copy of its consortium bylaws with the application in lieu of tribal resolutions.

6. **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](http://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%

**Project/Program Design and Implementation** (Quality and technical merit)—20%

1. Awareness of the state of current research.
2. Soundness of methods and analytic and technical approach.
3. Feasibility of proposed project and awareness of pitfalls.
4. Innovation and creativity (when appropriate).

**Capabilities/Competencies** (Capabilities, demonstrated productivity, and experience of applicants)—25%

1. Qualifications and experience of proposed staff.
2. Demonstrated ability of proposed staff and organization to manage the effort.
3. Adequacy of the plan to manage the project, including how various tasks are subdivided and resources are used.
4. Successful past performance on NIJ grants and contracts (when applicable).

**Budget**—15%

1. Total cost of the project relative to the perceived benefit.
2. Appropriateness of the budget relative to the level of effort.
3. Use of existing resources to conserve costs.

**Impact/Outcomes and Evaluation** (Relevance to policy and practice)—10%

1. Potential for significant advances in scientific or technical understanding of the problem.
2. Potential for significant advances in the field.
3. Relevance for improving the policy and practice of criminal justice and related agencies in the United States and improving public safety, security, and quality of life.
4. Affordability and cost-effectiveness of proposed products, when applicable (e.g., purchase price and maintenance costs for a new technology or cost of training to use the technology).

### Relevance of the project for policy and practice in the United States

Higher quality applications clearly explain the practical implications of the project. They connect technical expertise with criminal justice policy and practice. To ensure that the project has strong relevance for policy and practice, some researchers and technologists

collaborate with practitioners and policymakers. The application may include letters showing support from practitioners, but they carry less weight than clear evidence of the applicant's understanding of how policymakers and practitioners can best use and benefit from your work. While a partnership may affect State or local activities, it should also have broader implications for other communities nationwide.

### **Dissemination Strategy—10%**

1. Well-defined plan for the grant recipient to disseminate results to appropriate audiences, including researchers, practitioners, and policymakers.
2. Suggestions for print and electronic products NIJ should consider practitioners and policymakers.
3. If applicable, a clear strategy leading to the adoption into practice of any equipment or software.

### **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 appendix 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 appendix 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](http://www.ojp.usdoj.gov/funding/other_requirements.htm).

- Civil Rights Compliance
- Funding to Faith-Based 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
- Non-profit Organizations
- For-profit Organizations
- Government Performance and Results Act (GPRA)
- Rights in Intellectual Property
- Federal Funding Accountability and Transparency Act of 2006 (FFATA)
- Awards in Excess of \$5,000,000 – Federal Taxes Certification Requirement
- Active CCR Registration

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

**Final substantive report:** The final report should be a comprehensive overview of the project and should include a detailed description of the project design, data, and methods; a full presentation of scientific findings, placed in the context of existing literature; a thorough discussion of the implications of the project findings for criminal justice practice and policy in the United States; etc. It must contain an abstract of no more than 600 words and an executive summary of 2,500 to 4,000 words.

A draft of the final report, abstract, and executive summary must be submitted 90 days before the end date of the grant. The draft final report will be peer reviewed upon submission. The reviews will be forwarded to the principal investigator with suggestions for revisions. The author must then submit the revised final report, abstract, and executive summary by the end date of the grant. The abstract, executive summary, and final report must be submitted in electronic format.

**Interim reports:** Grantees must submit 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. Future awards and fund drawdowns may be withheld if reports are delinquent.

**Data sets:** NIJ requires submission of all data sets (original, intermediate, and final) produced or collected for the funded project, and any artifact associated with the project data. Included with the final sets of data should be the plan outlined in the Data Archiving Strategy section of the proposal.

# Application Checklist

## Evaluation of the Honest Opportunity Probation with Enforcement Demonstration Field Experiment (HOPE DFE)

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

### What an Application Should Include:

- Application for Federal Assistance (SF-424) (see page 11)
- Program Narrative (see page 11)
- Appendices to the Program Narrative (see page 12)
  - Bibliography/references
  - Any tools/instruments, questionnaires, tables/charts/graphs, or maps pertaining to the proposed study
  - Curriculum vitae, resumes or biographical sketches of all key personnel
  - Project timeline and research calendar with expected milestones
  - Research independence and integrity
  - Human Subjects Protection Paperwork
  - Privacy Certificate
  - List of previous and current NIJ awards to applicant organization and investigators
  - 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 submitted (if applicable)
  - Data Archiving Strategy
- Budget Detail Worksheet (see page 13)
- Budget Narrative (see page 13)
- Indirect Cost Rate Agreement (if applicable) (see page 14)
- Tribal Authorizing Resolution (if applicable) (see page 14)
- Program Narrative/Abstract Format (see page 11)
  - Double-spaced
  - 12-point standard font
  - 1" standard margins
  - Narrative is 30 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)