



The [U.S. Department of Justice](#) (DOJ), [Office of Justice Programs](#) (OJP), the [National Institute of Justice](#) (NIJ) is seeking applications for funding for the National Survey of Internet- and Technology-Facilitated Child Exploitation. The award recipient will be expected to develop, test, and administer a national data collection from law enforcement agencies to produce accurate and reliable national estimates of, and information about, arrests for internet and technology-facilitated child sexual exploitation crimes.

This program furthers the Department's mission by helping to reduce violent crime and combat victimization.

National Survey of Internet- and Technology-Facilitated Child Exploitation

Applications Due: August 20, 2019

Eligibility

Eligible applicants are limited to degree-granting academic institutions in the United States and its territories. 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. Institutions of higher education (including tribal institutions of higher education) are eligible to apply. Foreign colleges and universities are not eligible to apply.

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

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

Deadline

Applicants must register with Grants.gov at <https://www.grants.gov/web/grants/register.html> prior to submitting an application. All applications are due by 11:59 p.m. Eastern time on August 20, 2019.

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

To be considered timely, an application must be submitted by the application deadline using Grants.gov, and the applicant must have received a validation message from Grants.gov that indicates successful and timely submission. OJP urges applicants to submit applications at least 72 hours prior to the application due date, to allow time for the applicant to receive validation messages or rejection notifications from Grants.gov, and to correct in a timely fashion any problems that may have caused a rejection notification.

OJP encourages all applicants to read this [Important Notice: Applying for Grants in Grants.gov](#).

For additional information, see [How to Apply](#) in [Section D. Application and Submission Information](#).

Contact Information

For technical assistance with submitting an application, contact the Grants.gov Customer Support Hotline at 800-518-4726, 606-545-5035, at <https://www.grants.gov/web/grants/support.html>, or via email to support@grants.gov. The [Grants.gov](#) Support Hotline operates 24 hours a day, 7 days a week, except on federal holidays.

An applicant that experiences unforeseen Grants.gov technical issues beyond its control that prevent it from submitting its application by the deadline may email the NIJ contact identified below **within 24 hours after the application deadline** to request approval to submit its application. Additional information on reporting technical issues, appears under Experiencing Unforeseen Grants.gov Technical Issues in the [How to Apply](#) section.

For assistance with any other requirements of this solicitation, contact the National Criminal Justice Reference Service (NCJRS) Response Center: toll-free at 1-800-851-3420; via TTY at 301-240-6310 (hearing impaired only); email grants@ncjrs.gov; fax to 301-240-5830; or web chat at <https://webcontact.ncjrs.gov/ncjchat/chat.jsp>. The NCJRS Response Center hours of operation are 10:00 a.m. to 6:00 p.m. Eastern time, Monday through Friday, and 10:00 a.m. to 8:00 p.m. Eastern time on the solicitation close date. General information on applying for NIJ awards can be found at www.nij.gov/funding/Pages/welcome.aspx. Answers to frequently asked questions that may assist applicants are posted at www.nij.gov/funding/Pages/faqs.aspx.

Grants.gov number assigned to this solicitation: NIJ-2019-16572

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National Survey of Internet- and Technology-Facilitated Child Exploitation

(CFDA No. # 16.560)

A. Program Description

Overview

With this solicitation, NIJ seeks proposals for funding to conduct a national study of internet- and technology-facilitated child sexual exploitation. The award recipient will be expected to develop, test, and administer a national data collection from law enforcement agencies to produce accurate and reliable national estimates of, and information about, arrests for internet- and technology-facilitated child sexual exploitation crimes. This study will allow for the identification of new threats, problems, and concerns encountered by law enforcement in the changing technological environment; improved tracking and monitoring of new and abating threats; and a better understanding of which investigative strategies are associated with more favorable outcomes in protecting children from online victimization.

This effort directly supports the U.S. Department of Justice's priorities of reducing crime and combatting victimization.

Statutory Authority: Title I of the Omnibus Crime Control and Safe Streets Act of 1968 (sections 201 and 202); the Homeland Security Act of 2002 (sections 231-233); and 28 U.S.C. 530C.

Program-Specific Information

As access to the Internet, social media, and other technology has rapidly advanced in the past decade, the ability to protect children against online predatory behavior has struggled to keep pace. The national study envisioned in this solicitation seeks to support law enforcement efforts to combat the rapid proliferation and constantly evolving tactics of technology-facilitated child sexual exploitation crimes.

The award recipient will develop, test, and administer a national data collection from law enforcement agencies to produce accurate and reliable national estimates of, and information about, arrests for internet- and technology-facilitated child sexual exploitation crimes. Study objectives will include: 1) developing a sampling plan and collecting data from a nationally representative sample of U.S. law enforcement agencies; 2) producing accurate and reliable national estimates of the prevalence of arrests for technology-facilitated sex crimes against minors; 3) obtaining information about how these cases were identified and handled by a diverse group of law enforcement agencies; 4) acquiring detailed data about the characteristics of these crimes; 5) analyzing how the prevalence and characteristics of such crimes have changed over time; and 6) producing methodological reports; a final research report and statistical tables; a complete, archived dataset; and other research publications for dissemination to the public.

This study will extend three prior studies conducted in [2000](#),² [2007](#),³ and [2009](#)⁴ by the University of New Hampshire Crimes Against Children Research Center. Collectively, these three studies were titled the National Juvenile Online Victimization Survey (NJOV). It is expected that core estimates from the study envisioned in this solicitation can be compared to past estimates from NJOV. Although the three NJOV studies examined other aspects of the justice system's response to internet- and technology-facilitated child sexual-exploitation, such as prosecution, with this solicitation NIJ seeks proposals to study law enforcement's response exclusively.

Goals, Objectives, Deliverables, and Expected Scholarly Products

The ultimate goal of this solicitation is to better protect children against online predatory behavior through developing a better understanding of: (1) new threats, problems, and concerns encountered by law enforcement in its effort to protect children in the changing technological environment; (2) the tracking and monitoring of new and abating threats; and (3) which investigative strategies are associated with more favorable outcomes in protecting children from online victimization.

The activities below are necessary for the successful applicant to meet the solicitation goals and objectives, including the main project deliverables. In its proposal, the applicant should briefly describe how it would accomplish each task and deliverable and propose a timeline. More specifically, this should include (1) a description of the specific strategies and approaches that would be conducted to meet each task; (2) a description of the capabilities and demonstration of the expertise that will enable the applicant to successfully meet each task; (3) a schedule to identify start dates for each task and subtask, and completion dates for all deliverables; and (4) a budget for performing the work. The application should fully describe the applicant's knowledge of the challenges and complexities associated with developing and testing survey instruments; designing samples; achieving adequate response rates to minimize bias in the national estimates; assessing the need for and conducting nonresponse bias analyses; imputing for item missing data; and weighting sample data to produce national estimates.

1. Project Management

Consistent with the use of a cooperative agreement, NIJ will have substantial involvement in the project. The successful applicant will work in close collaboration with NIJ with respect to review and approval of all major project decisions and deliverables.

Post-award meeting and project schedule. The recipient's project director and key staff will attend a "kick-off" meeting with the assigned NIJ social science analyst and other key federal staff at the Office of Justice Programs (OJP) offices in Washington, D.C. The initial meeting should focus on a review of the overall project goals and tasks, and discuss areas of concern related to the proposed project plan, project schedule, staffing plan, and other management requirements.

² National Juvenile Online Victimization Incidence Study (NJOV-1).

<https://www.ndacan.cornell.edu/datasets/dataset-details.cfm?ID=135>

³ Second National Juvenile Online Victimization Incidence Study (NJOV-2).

<https://www.ndacan.acf.hhs.gov/datasets/dataset-details.cfm?ID=162>

⁴ Third National Juvenile Online Victimization Incidence Study (NJOV-3).

<https://www.ndacan.cornell.edu/datasets/dataset-details.cfm?ID=209>

Based on the post-award meeting discussion, the recipient should anticipate the potential need to submit an updated version of the project plan and project schedule to NIJ for review and comment.

Institutional Review Board (IRB) approval. DOJ regulations (28 C.F.R. Part 46, "Protection of Human Subjects") protect the human subjects of federally funded research. In brief, the regulations require that, unless an exemption applies, NIJ-funded research projects that involve human subjects must be reviewed and approved by an Institutional Review Board (IRB). Before a recipient will be permitted to use NIJ funds for any research activity involving human subjects, the recipient must submit to NIJ documentation of IRB approval that is sufficient to demonstrate compliance with the requirements of 28 C.F.R. Part 46.

Data privacy and confidentiality requirements. DOJ regulations (28 C.F.R. Part 22, "Confidentiality of Identifiable Research and Statistical Information") require recipients, and any subrecipients under an NIJ award, to protect the privacy of individuals by requiring that information identifiable to a private person obtained during an NIJ-funded research or statistical program may only be used for the purpose for which the information was obtained.

Applicants that propose to conduct a research or statistical project that will collect personally identifiable information must submit an acceptable "Privacy Certificate" as part of the application. The Privacy Certificate must include a complete description of the policies and procedures that the applicant will use to ensure the confidentiality of identifiable data. The eight elements required for a Privacy Certificate are outlined at 22 C.F.R. 22.23.

An application that lacks an acceptable Privacy Certificate may result in restrictions that preclude use of award funds until an acceptable certificate is submitted.

Project calls and meetings. The recipient will establish a routine method for updating the assigned NIJ social science analyst on the status of the project. Virtual or in-person stakeholder meeting(s) will also be required for experts and other stakeholders to provide feedback on and a review of the content and development of the survey instruments. The recipient will also participate in a wrap-up meeting at the end of the project to present findings to NIJ and other federal personnel that NIJ may identify.

2. Survey Development and Implementation

Instrumentation. The recipient will work with NIJ and its designees to review publicly available products from the NJOV and develop new or modified survey instruments to collect information on internet- and technology-facilitated child sexual exploitation crimes, to ensure that the final survey items are constructed so that core estimates from the survey can be compared to past estimates from NJOV. The recipient will make recommendations on the optimal mode(s) of data collection considering the survey cost, length of the data collection period(s), respondent burden, and anticipated response rates.

The recipient will convene one or more expert panel(s) to inform the development of the instruments and mode of survey administration. The list of experts will be developed with NIJ's assistance and concurrence. The application should include proposed names and/or characteristics of expert panel members, including representatives of federal agencies concerned with this topic area. The goal of the meeting will be to recommend items for inclusion and discuss the feasibility of the items, wording of questions, and mode(s) of data

collection. The final survey instruments will be submitted to NIJ prior to pilot testing for review and comment.

The instruments should, at a minimum, be sufficient to produce national estimates of: technology-facilitated child sexual exploitation cases ending in arrest within a specified time period; cases of youth-generated sexual images handled by agencies, whether or not arrests were involved within a specified time period; victim and perpetrator demographics; and trends in case characteristics, including emerging technologies and investigative strategies.

Required deliverables: (1) Expert panel meeting (virtual or in-person) to discuss survey instruments and modes of administration and (2) revised and final versions of survey instruments, including screen shots for web-based data collection (if proposed).

Survey pilot tests. The recipient will develop and propose to NIJ a plan to pilot test the proposed instruments and data collection protocol. This draft report will contain a detailed plan for the proposed method to conduct the pilot testing, along with descriptions of any possible alternative methods and their anticipated benefits and drawbacks with respect to cost and response rates. The recipient will respond to and/or incorporate feedback from NIJ and its designees and prepare a final plan to pilot test the proposed instruments and data collection protocol.

Following completion of the pilot testing, the recipient will produce a report:

- Evaluating the strengths and challenges of the research design and its individual components to meet its objectives.
- Conducting an item response analysis to identify questions that may be problematic or unnecessary.
- Proposing revisions to the instruments and the data collection protocol based on responses to the pilot survey.

Based on the pilot test results, the recipient will provide a detailed plan for the full administration of the survey to NIJ for review. This draft plan will include all survey protocols to be implemented, including quality control procedures, and administration techniques to ensure data quality and completeness to minimize bias in the estimates. The plan should describe how the protocols and procedures would minimize costs and bias and maximize response rates.

Required deliverables: (1) Draft and final pilot testing plans for the survey, (2) report on the results of the pilot test, and (3) draft and final administration plans for the full survey, including any staff training materials.

Sampling Plan. The recipient will work collaboratively with NIJ to finalize a sample design to produce national estimates, taking into consideration how prior sampling plans performed, including their limitations, challenges, and strengths. The recipient will work with NIJ and the Bureau of Justice Statistics (BJS) to use the BJS [Law Enforcement Agency Roster](#) to identify a sample of eligible law enforcement agencies.

The recipient should consider the costs and benefits of proposed sampling strategies and data collection approaches to determine the optimal approach. The recipient should explore the trade-offs of precision and cost with respect to a large sample size. The recipient should also document any possible coverage bias associated with the proposed sampling frame and strategies.

Required deliverables: Report containing the proposed sample design and list of sampled law enforcement agencies.

OMB clearance. The recipient will work with NIJ to complete the necessary Paperwork Reduction Act (PRA)/Office of Management and Budget (OMB) package requirements and application process to secure the PRA clearance for the survey pilot test(s) and the full survey administration.

The recipient will prepare and provide to NIJ a draft package for OMB clearance that includes the pilot test(s) and full survey. The draft OMB package will include the 30- and 60-day notices; form 83-I; parts A and B of the supporting statement (including a plan, if needed, for nonresponse bias assessment and adjustments); a justification memorandum; and copies of all survey documents, including but not limited to the survey instruments, all instructions and follow-up documents, and any telephone scripts. NIJ will provide sample documents as needed. Applicants should plan on a period of 7 to 8 months to obtain full clearance, which includes NIJ internal review.

Required deliverables: All draft materials to support OMB clearance for the pilot testing and full administration of the survey.

Survey administration. NIJ's top priority for the survey is a response rate that meets or exceeds 80 percent in conjunction with minimizing bias in attaining national representation. The recipient should have a data quality follow-up protocol in place to verify the consistency and accuracy of completed surveys, and to monitor unit and item nonresponse throughout the process to minimize nonresponse bias. The recipient will provide NIJ with ongoing status updates of the progress of survey administration. These status updates will include summary reports that provide information about the status of the collection, including the overall response rate, response rate for selected subsets, assessment of nonresponse bias, and other information to be determined in conjunction with NIJ. At NIJ's discretion, the recipient may extend the data collection period to reach a satisfactory response rate or to resolve significant data quality issues. This may involve repeated contact attempts via multiple modes of communication with respondents. If the response rate falls below 80 percent, and all actions to increase response rates have been implemented and failed, the recipient of funds will conduct a nonresponse bias analysis.

Required deliverables: (1) During the data collection period, summary reports, delivered biweekly, to describe and assess response rates, data quality, and potential for nonresponse bias and (2) ad hoc reports, as needed, to describe any problems with data collection activities and corresponding remedial action.

3. Post Survey Administration

Post-survey adjustments. The recipient will develop and submit plans for data edits and data documentation to NIJ for review and approval. Data edits and processing should be documented thoroughly for verification. The recipient will conduct item and unit nonresponse analyses, and assess response patterns to determine the reliability and validity of the reported data. The recipient will provide documentation on nonresponse adjustment strategies, including all item imputation and unit weights necessary to produce national-level estimates and for standard error calculations.

Required deliverables: (1) Written documentation of data processing procedures and data

editing and cleaning; (2) draft and final plans for nonresponse adjustment, item imputation, and unit weighting; and (3) a draft methodological report for the survey.

Final research report and statistical tables. Upon completion of the data collection, the recipient will produce a final research report including detailed statistical tables. Additional information on the final research report requirement for the solicitation is posted on the [Post Award Reporting Requirements page](#) on NIJ's website. The statistical tables, with corresponding tables of confidence intervals, should sufficiently represent the key findings of the data collection.

NIJ retains rights to exclusive data use until the public-use data file is submitted to and released by the National Archive of Criminal Justice Data at <https://www.icpsr.umich.edu/icpsrweb/content/NACJD/index.html>, or until NIJ provides the recipient with written approval to publish and widely disseminate the study findings. At the discretion of NIJ, the recipient may be required to work with NIJ or its designee on an agency-published article. The recipient should also include a comprehensive dissemination plan to detail its proposed strategy to ensure the study findings are widely disseminated upon data release.

Required deliverables: Final research report including statistical tables and tables of confidence intervals on findings.

Final verification and data set. Final verification procedures should be conducted prior to delivering a final data set to the National Archive of Criminal Justice Data (NACJD). Any data issues must be reported to NIJ for resolution.

The recipient will produce a final data file and codebook documentation following specifications used by the NACJD and standards issued by the Inter-University Consortium for Political and Social Research. The recipient will also provide supporting documentation, including a detailed codebook. Documentation should also describe the sampling plan, performance of the sample, description of imputation and weighting procedures, codes that identify aspects of data quality from the collection (such as missing data and imputed values), and any documentation necessary for future efforts by others to reproduce the project's findings and/or to extend the scientific value of the data set through secondary analysis. For more information, see Program Narrative in [Section D. Application and Submission Information](#).

Required deliverables: (1) Data documentation and codebook and (2) final cleaned electronic versions of all data sets consistent with NACJD requirements.

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

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

Performance Measures

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

Applicants should visit OJP’s performance measurement page at www.ojp.gov/performance for an overview of performance measurement activities at OJP.

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

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

Objective	Performance Measure(s)	Data Recipient Provides
<p>Conduct research in social and behavioral sciences having clear implications for criminal justice policy and practice in the United States.</p>	<ol style="list-style-type: none"> 1. Relevance to the needs of the field as measured by whether the project’s substantive scope did not deviate from the funded project or any subsequent agency- approved modifications to the scope. 2. Quality of the research as demonstrated by the scholarly products that result in whole or in part from work funded under the NIJ award, such as published, peer-reviewed, scientific journal articles, and/or (as appropriate for the funded project) law review journal articles, book chapter(s) or book(s) in the academic press, technological prototypes, patented inventions, or similar scientific products. 3. Quality of management as measured by such factors as whether significant project milestones were achieved, reporting and other deadlines were met, and costs remained within approved limits. 	<ol style="list-style-type: none"> 1. Quarterly financial reports, semi-annual and final progress reports, and products of the work performed under the NIJ award (including, at minimum, a final research report). If applicable, an annual audit report 2. List of citation(s) to all scholarly products that resulted in whole or in part from work funded under the NIJ award. 3. If applicable, each data set that resulted in whole or in part from work funded under the NIJ award.

B. Federal Award Information

NIJ anticipates up to \$1,000,000 will be available to fund a single cooperative agreement. Successful applicants will be expected to complete the work proposed within a four-year period of performance.

To allow time for (among other things) any necessary post-award review and financial clearance by OJP of the proposed budget and for any associated responses or other action(s) that may be required of the recipient, applicants should propose an award start date of January 1, 2020.

If the applicant is proposing a project that reasonably could be conducted in discrete phases, with each phase resulting in completion of one or more significant, defined milestones, then NIJ strongly recommends that the applicant structure the application — specifically including the narrative, expected scholarly products, timelines/milestones, and budget detail worksheet and budget narrative — to clearly define each phase. (This is particularly the case if the applicant proposes a project that will exceed — in cost or the length of the period of performance — the amount or length of time anticipated for an individual award under this solicitation.) Given limitations on the availability to NIJ of funds for awards for research, development, and evaluation, this information will assist NIJ in considering whether partial funding of applications would be productive. (If, in FY 2019, NIJ elects to fund only certain phases of a proposed project, the expected scholarly products from the partial-funding award may, in some cases, vary from those described above.)

NIJ's decisions regarding future funding for applications only partially funded in FY 2019 will consider, among other factors, the availability of appropriations, when the program or project was last competed, NIJ's strategic priorities, and NIJ's assessment of both the management of the award (for example, timeliness and quality of progress reports) and the progress of the work funded under the award.

All awards are subject to the availability of appropriated funds and to any modifications or additional requirements that may be imposed by law.

Type of Award

NIJ expects to make any award under this solicitation in the form of a cooperative agreement, which is a type of award that provides for OJP to have substantial involvement in carrying out award activities. See [Administrative, National Policy, and Other Legal Requirements](#), under [Section F. Federal Award Administration Information](#), for a brief discussion of what may constitute substantial federal involvement. As discussed [later in the solicitation](#), important rules (including limitations) apply to any conference/meeting/training costs under cooperative agreements.

Please note: Any recipient of an award under this solicitation will be required to comply with DOJ regulations on confidentiality and protection of human subjects. See “Requirements related to Research” under [“Overview of Legal Requirements Generally Applicable to OJP Grants and Cooperative Agreements - FY 2019 Awards”](#) in the OJP Funding Resource Center at <https://ojp.gov/funding/index.htm>.

Financial Management and System of Internal Controls

Award recipients and subrecipients (including recipients or subrecipients that are pass-through entities⁵) must, as described in the Part 200 Uniform Requirements⁶ as set out at 2 C.F.R. 200.303:

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

To help ensure that applicants understand applicable administrative requirements and cost principles, OJP encourages prospective applicants to enroll, at no charge, in the DOJ Grants Financial Management Online Training, available at <https://onlineqfmt.training.ojp.gov>. (This training is required for all OJP recipients.)

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

Budget Information

What will not be funded:

⁵ For purposes of this solicitation, the phrase “pass-through entity” includes any recipient or subrecipient that provides a subaward (“subgrant”) to carry out part of the funded award or program.

⁶ The “Part 200 Uniform Requirements” means the DOJ regulation at 2 C.F.R Part 2800, which adopts (with certain modifications) the provisions of 2 C.F.R. Part 200.

- Applications primarily to purchase equipment, materials, or supplies. (A budget may include these items if they are necessary to conduct research, development, demonstration, evaluation, or analysis.)
- Applications that are not responsive to this specific solicitation.

Cost Sharing or Matching Requirement

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

Pre-agreement Costs (also known as Pre-award Costs)

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

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

Limitation on Use of Award Funds for Employee Compensation; Waiver

With respect to any award of more than \$250,000 made under this solicitation, a recipient may not use federal funds to pay total cash compensation (salary plus cash bonuses) to any employee of the recipient at a rate that exceeds 110 percent of the maximum annual salary payable to a member of the Federal Government’s Senior Executive Service (SES) at an agency with a Certified SES Performance Appraisal System for that year⁷. The 2019 salary table for SES employees is available at the Office of Personnel Management website at <https://www.opm.gov/policy-data-oversight/pay-leave/salaries-wages/salary-tables/19Tables/exec/html/ES.aspx>. Note: A recipient may compensate an employee at a greater rate, provided the amount in excess of this compensation limitation is paid with non-federal funds. (Non-federal funds used for any such additional compensation will not be considered matching funds, where match requirements apply.) If only a portion of an employee’s time is charged to an OJP award, the maximum allowable compensation is equal to the percentage of time worked times the maximum salary limitation.

The Director of the National Institute of Justice may exercise discretion to waive, on an individual basis, this limitation on compensation rates allowable under an award. An applicant that requests a waiver should include a detailed justification in the budget narrative of its application. An applicant that does not submit a waiver request and justification with its application should anticipate that OJP will require the applicant to adjust and resubmit the budget.

⁷ OJP does not apply this limitation on the use of award funds to the nonprofit organizations listed in Appendix VIII to 2 C.F.R. Part 200.

The justification should address, in the context of the work the individual would do under the award, the particular qualifications and expertise of the individual, the uniqueness of a service the individual will provide, the individual's specific knowledge of the proposed program or project, and a statement that explains whether and how the individual's salary under the award would be commensurate with the regular and customary rate for an individual with his/her qualifications and expertise, and for the work he/she would do under the award.

Prior Approval, Planning, and Reporting of Conference/Meeting/Training Costs

OJP strongly encourages every applicant that proposes to use award funds for any conference-, meeting-, or training-related activity (or similar event) to review carefully — before submitting an application — the OJP policy and guidance on approval, planning, and reporting of such events, available at www.ojp.gov/financialguide/DOJ/PostawardRequirements/chapter3.10a.htm. OJP policy and guidance (1) encourage minimization of conference, meeting, and training costs; (2) require prior written approval (which may affect project timelines) of most conference, meeting, and training costs for cooperative agreement recipients and of some conference, meeting, and training costs for grant recipients; and (3) set cost limits, which include a general prohibition of all food and beverage costs.

Costs Associated with Language Assistance (if applicable)

If an applicant proposes a program or activity that would deliver services or benefits to individuals, the costs of taking reasonable steps to provide meaningful access to those services or benefits for individuals with limited English proficiency may be allowable. Reasonable steps to provide meaningful access to services or benefits may include interpretation or translation services, where appropriate.

For additional information, see the "Civil Rights Compliance" section under "[Overview of Legal Requirements Generally Applicable to OJP Grants and Cooperative Agreements - FY 2019 Awards](#)" in the OJP Funding Resource Center at <https://ojp.gov/funding/index.htm>.

C. Eligibility Information

For eligibility information, see title page.

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

D. Application and Submission Information

What an Application Should Include

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

Moreover, an applicant should anticipate that an application that OJP determines is nonresponsive to the scope of the solicitation, or that OJP determines does not include the application elements that NIJ has designated to be critical, will neither proceed to peer review

nor receive further consideration. For this solicitation, NIJ has designated the following application elements as critical: Program Narrative, Budget Detail Worksheet (including Budget Narrative), and resumes/curricula vitae of key personnel. (For purposes of this solicitation, “key personnel” means the principal investigator, and any and all co-principal investigators.)

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

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

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

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

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

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

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

Intergovernmental Review: This solicitation (“funding opportunity”) is **not** subject to [Executive Order 12372](#). (In completing the SF-424, an applicant is to answer question 19 by selecting the response that the “Program is not covered by E.O. 12372.”)

2. Project Abstract

The project abstract is a very important part of the application and serves as an introduction to the proposed project. NIJ uses the project abstract for a number of purposes, including assignment of the application to an appropriate review panel. If the application is funded, the project abstract typically will become public information and be used to describe the project.

Applications should include a high-quality project abstract that summarizes the proposed project in 250 to 400 words. Project abstracts not submitted in the template below should be—

- Written for a general public audience.
- Submitted as a separate attachment with “Project Abstract” as part of its file name.
- Single-spaced, using the form’s standard 12-point font (with 1-inch margins).

As a separate attachment, the project abstract will **not** count against the page limit for the program narrative.

Project abstracts should follow the detailed template (including the detailed instructions as to content) available at www.nij.gov/funding/documents/nij-project-abstract-template.pdf.

3. Program Narrative

The program narrative section of the application should not exceed 30 double-spaced pages in 12-point font with 1-inch margins. If included in the main body of the program narrative, tables, charts, figures, and other illustrations count toward the 30-page limit for the narrative section. The project abstract, table of contents, appendices, and government forms do not count toward the 30-page limit.

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

The following sections should be included as part of the program narrative.⁸

Program Narrative Guidelines:

a. Title Page (not counted against the 30-page program narrative limit).

The title page should include the title of the project, submission date, funding opportunity number, and the name and complete contact information (that is, address, telephone number, and email address) for both the applicant and the principal investigator.

⁸ As noted earlier, if the proposed program or project reasonably could be conducted in discrete phases, with each phase resulting in completion of one or more significant, defined milestones, then NIJ strongly recommends that the applicant structure the application — specifically including the narrative, expected scholarly products, timelines/milestones, and budget detail worksheet and budget narrative — to set out each phase clearly. (In appropriate cases, the expected scholarly product(s) from a particular phase may vary from those described above.) See generally “Goals, Objectives, Deliverables, and Expected Scholarly Products” under “Program-Specific Information,” above.

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

If an applicant is resubmitting an application presented previously to NIJ, but not funded, the applicant should indicate this. A statement should be provided, no more than two pages, addressing: (1) the title, submission date, and NIJ-assigned application number of the previous application, and (2) a brief summary of revisions to the application, including responses to previous feedback received from NIJ.

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

d. Main Body.

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

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

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

- **Project Design and Implementation.** Applicants should provide a detailed description of the strategies to implement this research project and address the research questions. Design elements should follow directly from the research project's goals and objectives and address the program-specific information noted on page 4. Applicants should describe the research methodology in detail and demonstrate the validity and usefulness of the data they will collect. Applicants should consider the rigor and soundness of the methodology and analytical and technical approaches for the proposed research and address the feasibility of the proposed project and potential challenges or problems in carrying out the activities.
- **Potential Impact.** Applicants should describe the potential impact of the research and how it may inform or improve criminal or juvenile justice-related policy, practice, or theory in the United States.

The discussion of impact should include a discussion of the deliverables, including planned scholarly products indicated in the program-specific information on page 4 and a plan for dissemination to appropriate audiences. Applicants should identify plans to produce or make available

research deliverables to broader interested practitioners and policy makers in a form that is designed to be readily accessible and useful to them.

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

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

e. Appendices (not counted against the 30-page program narrative limit) include:

- Bibliography/references.
- Any tools/instruments, questionnaires, tables/charts/graphs, or maps pertaining to the proposed project that are supplemental to such items included in the main body of the narrative.
- Curriculum vitae of the principal investigator and any and all co-principal investigators. In addition, curriculum vitae or biographical sketches of all other individuals (regardless of “investigator” status) who will be significantly involved in substantive aspects of the proposed project (including, for example, individuals such as statisticians used to conduct proposed data analysis)
- To assist OJP in assessing actual or apparent conflicts of interest (including such conflicts on the part of prospective reviewers of the application), a complete list of the individuals named or otherwise identified anywhere in the application (including in the budget or in any other attachment) who will or may work (or advise or consult) on the proposed research, development, or evaluation project. This applies to all such individuals, including, for example, individuals who are or would be employees of the applicant or employees of any proposed subrecipient entity, any individuals who themselves may be a subrecipient, and individuals who may (or will) work without compensation (such as advisory board members). This appendix to the program narrative is to include, for each listed individual: name, title, employer, any other potentially pertinent organizational affiliation(s), and the individual's proposed roles and responsibilities in carrying out the proposed project. If the

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

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

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

- Proposed project timeline and expected milestones
- Human Subjects Protection paperwork (documentation and forms related to Institutional Review Board (IRB) review). (See [nij.gov/funding/humansubjects/Pages/welcome.aspx](https://www.nij.gov/funding/humansubjects/Pages/welcome.aspx)) **Note:** Final IRB approval is not required at the time an application is submitted.
- Privacy Certificate (for further guidance go to [nij.gov/funding/humansubjects/pages/confidentiality.aspx](https://www.nij.gov/funding/humansubjects/pages/confidentiality.aspx))(<https://www.ojdp.gov/research/research-grantee.html#1>)
- List of any previous and current NIJ awards to the applicant and investigator(s), including the NIJ-assigned award numbers and a brief description of any scholarly products that resulted in whole or in part from work funded under the NIJ award(s). (See "Goals, Objectives, Deliverables, and Expected Scholarly Products" under "Program-Specific Information," above, for definition of "scholarly products.")
- List of other agencies, organizations, or funding sources to which this application has been submitted (if applicable)
- Applicants proposing to use incentives or stipends payments as part of their research project design, must submit an incentive or stipend approval request, as a separate document, according to the requirements set forth at <https://www.nij.gov/funding/Pages/research-participant-costs-and-incentives.aspx>.
- Data archiving plan. Applicants should anticipate that NIJ will require (through special award conditions) that data sets resulting in whole or in part from projects funded under this solicitation be submitted for archiving with the

NACJD. (See <https://nij.gov/funding/data-resources-program/Pages/data-archiving-strategies.aspx>.)

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

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

Note that NIJ strongly encourages the successful applicant to submit required data sets to NIJ at least 90 days before the end of the period of performance.

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

4. Budget and Associated Documentation

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

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

a. Budget Detail Worksheet

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

For questions pertaining to budget and examples of allowable and unallowable costs, see the DOJ Grants Financial Guide at <https://ojp.gov/financialguide/DOJ/index.htm>.

b. Budget Narrative

The budget narrative should thoroughly and clearly describe every category of expense listed in the Budget Detail Worksheet. OJP expects proposed budgets to be complete, cost effective, and allowable (e.g., reasonable, allocable, and necessary for project activities).

An applicant should demonstrate in its budget narrative how it will maximize cost effectiveness of award expenditures. Budget narratives should generally describe cost effectiveness in relation to potential alternatives and the goals of the project. For example, a budget narrative should detail why planned in-person meetings are necessary, or how technology and collaboration with outside organizations could be used to reduce costs, without compromising quality.

The budget narrative should be mathematically sound and correspond clearly with the information and figures provided in the Budget Detail Worksheet. The narrative should explain how the applicant estimated and calculated all costs, and how those costs are necessary to the completion of the proposed project. The narrative may include tables for clarification purposes, but need not be in a spreadsheet format. As with the Budget Detail Worksheet, the budget narrative should describe costs by year.

c. Cofunding

An award made by NIJ under this solicitation may account for up to 100 percent of the total cost of the project. The application should indicate whether it is feasible for the applicant to contribute cash, facilities, or services as non-federal support for the project. The application should identify generally any such contributions that the applicant expects to make and the proposed budget should indicate in detail which items, if any, will be supported with non-federal contributions.

For additional match information, see the [Cost Sharing or Match Requirement](#) section under [Section B. Federal Award Information](#).

If a successful application proposes a voluntary match amount, and OJP approves the budget, the total match amount incorporated into the approved budget becomes mandatory and subject to audit.

d. Information on Proposed Subawards (if any), and on Proposed Procurement Contracts (if any)

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

Whether an action — for federal grants administrative purposes — is a subaward or procurement contract is a critical distinction as significantly different rules apply to subawards and procurement contracts. If a recipient enters into an agreement that is a subaward of an OJP award, specific rules apply — many of which are set by federal statutes and DOJ regulations; others by award conditions. These rules place particular responsibilities on an OJP recipient for any subawards the OJP recipient may make. The rules determine much of what the written subaward agreement itself must require or

provide. The rules also determine much of what an OJP recipient must do both before and after it makes a subaward. If a recipient enters into an agreement that is a procurement contract under an OJP award, a substantially different set of federal rules applies.

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

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

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

This will be true **even if** the recipient, for internal or other non-federal purposes, labels or treats its agreement as a procurement, a contract, or a procurement contract. Neither the title nor the structure of an agreement determines whether the agreement — for purposes of federal grants administrative requirements — is a *subaward* or is instead a procurement *contract* under an award. The substance of the relationship should be given greater consideration than the form of agreement between the recipient and the outside entity.

1. Information on proposed subawards

A recipient of an OJP award may not make subawards ("subgrants") unless the recipient has specific federal authorization to do so. Unless an applicable statute or DOJ regulation specifically authorizes (or requires) subawards, a recipient must have authorization from OJP before it may make a subaward.

A particular subaward may be authorized by OJP because the recipient included a sufficiently detailed description and justification of the proposed subaward in the Program Narrative, Budget Detail Worksheet, and Budget Narrative as approved by OJP. If, however, a particular subaward is not authorized by federal statute or regulation, and is not approved by OJP, the recipient will be required, post-award, to request and obtain written authorization from OJP before it may make the subaward.

If an applicant proposes to make one or more subawards to carry out the federal award and program, the applicant should-- (1) identify (if known) the proposed subrecipient(s),

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

2. Information on proposed procurement contracts (with specific justification for proposed noncompetitive contracts over \$250,000⁹)

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

The Procurement Standards in the Part 200 Uniform Requirements, however, reflect a general expectation that agreements that (for purposes of federal grants administrative requirements) constitute procurement “contracts” under awards will be entered into on the basis of full and open competition. All noncompetitive (sole source) procurement contracts must meet the OJP requirements outlined at <https://ojp.gov/training/subawards-procurement.htm>. If a proposed procurement contract would exceed the Simplified Acquisition Threshold — currently \$250,000 — a recipient of an OJP award may not proceed without competition unless and until the recipient receives specific advance authorization from OJP to use a non-competitive approach for the procurement. An applicant that (at the time of its application) intends — without competition — to enter into a procurement contract that would exceed \$250,000 should include a detailed justification that explains to OJP why, in the particular circumstances, it is appropriate to proceed without competition.

If the applicant receives an award, sole source procurements that do not exceed the Simplified Acquisition Threshold (currently \$250,000) must have written justification for the noncompetitive procurement action maintained in the procurement file. If a procurement file does not have the documentation that meets the criteria outlined in 2 C.F.R. 200, the procurement expenditures may not be allowable. Sole source procurement over the \$250,000 Simplified Acquisition Threshold must have prior approval from OJP using a Sole Source Grant Adjustment Notice (GAN). Written documentation justifying the noncompetitive procurement must be submitted with the GAN and maintained in the procurement file.

e. Pre-Agreement Costs

⁹ Consistent with the provisions of Office of Management and Budget memorandum, OMB M-18-18, dated June 20, 2018, and entitled, “Implementing Statutory Changes to the Micro-Purchase and the Simplified Acquisition Thresholds for Financial Assistance,” DOJ will allow recipients (and any subrecipients) of awards made under this solicitation to use a simplified acquisition threshold of \$250,000 and a micro-purchase threshold of \$10,000, for federal grants administrative purposes.

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

5. Indirect Cost Rate Agreement (if applicable)

Indirect costs may be charged to an award only if:

- (a) The recipient has a current (unexpired), federally approved indirect cost rate; or
- (b) The recipient is eligible to use, and elects to use, the “de minimis” indirect cost rate described in the Part 200 Uniform Requirements, as set out at 2 C.F.R. 200.414(f).

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

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

Certain OJP recipients have the option of electing to use the “de minimis” indirect cost rate. An applicant that is eligible to use the “de minimis” rate that wishes to use the “de minimis” rate should attach written documentation to the application that advises OJP of both-- (1) the applicant’s eligibility to use the “de minimis” rate, and (2) its election to do so. If an eligible applicant elects the “de minimis” rate, costs must be consistently charged as either indirect or direct costs, but may not be double charged or inconsistently charged as both. The “de minimis” rate may no longer be used once an approved federally-negotiated indirect cost rate is in place. (No entity that ever has had a federally-approved negotiated indirect cost rate is eligible to use the “de minimis” rate.) For the “de minimis” rate requirements (including information on eligibility to elect to use the rate), see the Part 200 Uniform Requirements, at 2 C.F.R. 200.414(f).

6. Tribal Authorizing Resolution (if applicable)

A tribe, tribal organization, or third party that proposes to provide direct services or assistance to residents on tribal lands should include in its application a resolution, letter, affidavit, or other documentation, as appropriate, that demonstrates (as a legal matter) that the applicant has the requisite authorization from the tribe(s) to implement the proposed project on tribal lands. In those instances when an organization or consortium of tribes applies for an award on behalf of a tribe or multiple specific tribes, the application should include appropriate legal documentation, as described above, from all tribes that would receive services or assistance under the award. A consortium of tribes for which existing consortium bylaws allow action without support from all tribes in the consortium (i.e., without an authorizing resolution or comparable legal documentation from each tribal governing body) may submit, instead, a copy of its consortium bylaws with the application.

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

Every OJP applicant (other than an individual applying in his or her personal capacity) is required to download, complete, and submit the OJP Financial Management and System of Internal Controls Questionnaire (Questionnaire) at <https://ojp.gov/funding/Apply/Resources/FinancialCapability.pdf> as part of its application. The Questionnaire helps OJP assess the financial management and internal control systems, and the associated potential risks of an applicant as part of the pre-award risk assessment process.

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

Among other things, the form requires each applicant to disclose whether it currently is designated "high risk" by a federal grant-making agency outside of DOJ. For purposes of this disclosure, high risk includes any status under which a federal awarding agency provides additional oversight due to the applicant's past performance, or other programmatic or financial concerns with the applicant. If an applicant is designated high risk by another federal awarding agency, the applicant must provide the following information:

- The federal awarding agency that currently designates the applicant high risk.
- The date the applicant was designated high risk.
- The high-risk point of contact at that federal awarding agency (name, phone number, and email address).
- The reasons for the high-risk status, as set out by the federal awarding agency.

OJP seeks this information to help ensure appropriate federal oversight of OJP awards. An applicant that is considered "high-risk" by another federal awarding agency is not automatically disqualified from receiving an OJP award. OJP may, however, consider the information in award decisions, and may impose additional OJP oversight of any award under this solicitation (including through the conditions that accompany the award document).

8. Disclosure of Lobbying Activities

Each applicant must complete and submit this information. An applicant that expends any funds for lobbying activities is to provide all of the information requested on the form Disclosure of Lobbying Activities (SF-LLL) posted at

<https://ojp.gov/funding/Apply/Resources/Disclosure.pdf>. An applicant that does not expend any funds for lobbying activities is to enter “N/A” in the text boxes for item 10 (“a. Name and Address of Lobbying Registrant” and “b. Individuals Performing Services”).

9. Applicant disclosure of pending applications¹⁰

Each applicant is to disclose whether it has (or is proposed as a subrecipient under) any pending applications for federally-funded grants or cooperative agreements that (1) include requests for funding to support the same project being proposed in the application under this solicitation, and (2) would cover the identical cost items outlined in the budget submitted to OJP under this solicitation. The applicant is to disclose both applications made directly to federal awarding agencies, and also applications for subawards of federal funds (e.g., applications to State agencies that will subaward (“subgrant”) federal funds).

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

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

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

Federal or State Funding Agency	Solicitation Name/Project Name	Name/Phone/E-mail for Point of Contact at Federal or State Funding Agency
DOJ/Office of Community Oriented Policing Services (COPS Office)	COPS Hiring Program	Jane Doe, 202/000-0000; jane.doe@usdoj.gov
Health and Human Services/ Substance Abuse and Mental Health Services Administration	Drug-Free Communities Mentoring Program/North County Youth Mentoring Program	John Doe, 202/000-0000; john.doe@hhs.gov

Each applicant should include the table as a separate attachment to its application. The file should be named “Disclosure of Pending Applications.” The applicant’s Legal Name on the application must match the entity named on the disclosure of pending applications statement.

¹⁰ Typically, the applicant is **not** the principal investigator. Rather, the applicant, most frequently, is the institution, organization, or company in which the principal investigator is employed.

Any applicant that does not have any pending applications as described above is to submit, as a separate attachment, a statement to this effect: “[Applicant Name on SF-424] does not have (and is not proposed as a subrecipient under) any pending applications submitted within the last 12 months for federally-funded grants or cooperative agreements or for subawards under federal grants or cooperative agreements) that request funding to support the same project being proposed in this application to OJP and that would cover the identical cost items outlined in the budget submitted as part of this application.”

10. Applicant Disclosure and Justification - DOJ High Risk Grantees¹¹(if applicable)

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

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

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

11. Additional Attachments

a. Research and Evaluation Independence and Integrity

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

¹¹ A “DOJ High Risk Grantee” is a recipient that has received a DOJ High Risk designation based on a documented history of unsatisfactory performance, financial instability, management system or other internal control deficiencies, or noncompliance with award terms and conditions on prior awards, or that is otherwise not responsible.

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

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

OR

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

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

OR

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

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

How to Apply

Applicants must register in and submit applications through Grants.gov, a primary source to find federal funding opportunities and apply for funding. Find complete instructions on how to register and submit an application at <https://www.grants.gov/web/grants/support.html>. Applicants that experience technical difficulties during this process should call the Grants.gov Customer Support Hotline at **800-518-4726** or **606-545-5035**, which operates 24 hours a day, 7 days a week, except on federal holidays.

Registering with Grants.gov is a one-time process; however, **processing delays may occur, and it can take several weeks** for first-time registrants to receive confirmation of registration and a user password. OJP encourages applicants to **register several weeks before** the application submission deadline. In addition, OJP urges applicants to submit applications at least 72 hours prior to the application due date, in order to allow time for the applicant to receive validation messages or rejection notifications from Grants.gov, and to correct in a timely fashion any problems that may have caused a rejection notification.

OJP strongly encourages all prospective applicants to sign up for Grants.gov email notifications regarding this solicitation at <https://www.grants.gov/web/grants/manage-subscriptions.html>. If this solicitation is cancelled or modified, individuals who sign up with Grants.gov for updates will be automatically notified.

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

Note on Attachments. Grants.gov has two categories of files for attachments: “mandatory” and “optional.” OJP receives all files attached in both categories. Attachments are also labeled to describe the file being attached (e.g., Project Narrative, Budget Narrative, Other). Please ensure that all required documents are attached in the correct Grants.gov category and are labeled correctly. Do not embed “mandatory” attachments within another file.

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

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

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

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

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

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

GMS does not accept executable file types as application attachments. These disallowed file types include, but are not limited to, the following extensions: “.com,” “.bat,” “.exe,” “.vbs,” “.cfg,” “.dat,” “.db,” “.dbf,” “.dll,” “.ini,” “.log,” “.ora,” “.sys,” and “.zip.” GMS may reject applications with files that use these extensions. It is important to allow time to change the type of file(s) if the application is rejected.

All applicants are required to complete the following steps:

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

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

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

Registration and Submission Steps

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

This unique entity identifier is used for tracking purposes, and to validate address and point of contact information for applicants, recipients, and subrecipients. It will be used throughout the life cycle of an OJP award. Obtaining a DUNS number is a free, one-time activity. Call Dun and Bradstreet at 866-705-5711 to obtain a DUNS number or apply online at www.dnb.com. A DUNS number is usually received within 2 business days.

2. **Acquire or maintain registration with SAM.** Any applicant for an OJP award creating a new entity registration (or updating or renewing a registration) in SAM.gov must submit an original, signed notarized letter appointing the authorized Entity Administrator within thirty (30) days of the registration activation. **Notarized letters must be submitted via U.S. Postal Service Mail.** Read the Alert at sam.gov/SAM/ to learn more about what is required in the notarized letter, and read the [Frequently Asked Questions \(FAQs\) from the Federal Service Desk](#) to learn more about this process change. All applicants for OJP awards (other than individuals) must maintain current registrations in the SAM database. Applicants will need the authorizing official of the organization and an Employer Identification Number (EIN). Information about SAM registration procedures can be accessed at sam.gov/SAM/.

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

3. **Acquire an Authorized Organization Representative (AOR) and a Grants.gov username and password.** Complete the AOR profile on Grants.gov and create a username and password. An applicant entity's "unique entity identifier" (DUNS number) must be used to complete this step. For more information about the registration process for organizations and other entities, go to <https://www.grants.gov/web/grants/applicants/organization-registration.html>.
4. **Acquire confirmation for the AOR from the E-Business Point of Contact (E-Biz POC).** The E-Biz POC at the applicant organization must log into Grants.gov to "confirm" the applicant organization's AOR. The E-Biz POC will need the Marketing Partner Identification Number (MPIN) password obtained when registering with SAM to complete this step. Note that an organization can have more than one AOR.
5. **Search for the funding opportunity on Grants.gov.** Use the following identifying information when searching for the funding opportunity on Grants.gov. The Catalog of

Federal Domestic Assistance (CFDA) number for this solicitation is 16.560 and the funding opportunity number is NIJ-2019-16572.

6. **Access Funding Opportunity and Application Package from Grants.gov.** Select “Apply for Grants” under the “Applicants” column. Enter your email address to be notified of any changes to the opportunity package before the closing date. Click the Workspace icon to use Grants.gov Workspace.
7. **Submit a valid application consistent with this solicitation by following the directions in Grants.gov.** To preview the application prior to (or after) submitting, go to the **View Application** tab in Workspace. For additional information, review the [View Application Tab](#) help article and [Attachments Tab](#) help article. Within 24 to 48 hours after submitting the electronic application, the applicant should receive two notifications from Grants.gov. The first will confirm the receipt of the application. The second will state whether the application has been validated and successfully submitted, or whether it has been rejected due to errors, with an explanation. It is possible to first receive a message indicating that the application is received, and then receive a rejection notice a few minutes or hours later. Submitting an application well ahead of the deadline provides time to correct the problem(s) that caused the rejection. **Important:** OJP urges each applicant to submit its application **at least 72 hours prior** to the application due date, to allow time to receive validation messages or rejection notifications from Grants.gov, and to correct in a timely fashion any problems that may have caused a rejection notification. Applications must be successfully submitted through Grants.gov by 11:59 p.m. Eastern time on August 20, 2019.

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

Note: Application Versions

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

Experiencing Unforeseen Grants.gov Technical Issues

An applicant that experiences unforeseen Grants.gov technical issues beyond its control that prevent it from submitting its application by the deadline must contact the [Grants.gov Customer Support Hotline](#) at <https://www.grants.gov/web/grants/support.html> or the [SAM Help Desk](#) (Federal Service Desk) at <https://www.fsd.gov/fsd-gov/home.do> to report the technical issue and receive a tracking number. The applicant must email the NIJ contact identified in the Contact Information section on the title page **within 24 hours after the application deadline** to request approval to submit its application after the deadline. The applicant’s email must describe the technical difficulties, and must include a timeline of the applicant’s submission efforts, the complete grant application, the applicant’s DUNS number, and any Grants.gov Help Desk or SAM tracking number(s).

Note: OJP does not automatically approve requests to submit a late application. After OJP reviews the applicant’s request, and contacts the Grants.gov or SAM Help Desks to verify the reported technical issues, OJP will inform the applicant whether the request to submit a late application has been approved or denied. If OJP determines that the untimely application submission was due to the applicant’s failure to follow all required procedures, OJP will deny the applicant’s request to submit its application.

The following conditions generally are insufficient to justify late submissions:

- Failure to register in SAM or Grants.gov in sufficient time. (SAM registration and renewal can take as long as 10 business days to complete. The information transfer from SAM to Grants.gov can take up to 48 hours.)
- Failure to follow Grants.gov instructions on how to register and apply as posted on its website.
- Failure to follow each instruction in the OJP solicitation
- Technical issues with the applicant's computer or information technology environment, such as issues with firewalls or browser incompatibility

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

E. Application Review Information

Review Criteria

Applications that meet basic minimum requirements will be evaluated by peer reviewers using the following review criteria. Each individual criterion is assigned a different weight based on the percentage value listed. For example, the first criterion, Statement of the Problem, is worth 10 percent of the score in the assessment of the application's technical merit.

Statement of the Problem and Research Questions (Understanding of the problem, research questions, and their importance) – 10%

1. Demonstrated understanding of the problem.
2. Demonstrated importance of research questions, goals and objectives, including alignment with the aims of the solicitation.
3. Demonstrated awareness of the state of current research.

Project Design and Implementation (Quality and technical merit) – 45%

1. Soundness of methods and analytic and technical approach to addressing the stated aim(s) of the proposed project.
2. Feasibility of proposed project.
3. Awareness of potential pitfalls of proposed project design and feasibility of proposed actions to minimize and/or mitigate them.
4. Feasibility of completing the deliverables noted in the solicitation.

Potential Impact – 15%

Potential for a significant scientific or technical advance(s) that will improve criminal/juvenile justice in the United States, such as:

- Potential for significantly improved understanding of the stated criminal/juvenile justice problem.
- Potential for innovative solution to address (all or a significant part of) the stated criminal/juvenile justice problem.

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

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

Plan for Dissemination to Broader Audiences – 10%

Strength and feasibility of proposed plan to produce or to make available to broader interested audiences, such as criminal/juvenile justice practitioners or policymakers, summary information from the planned scholarly products of the project.

Budget

In addition, peer reviewers will consider and may comment on the following additional items in the context of scientific and technical merit.

1. Total cost of the project relative to the perceived benefit (cost effectiveness)
2. Appropriateness of the budget relative to the level of effort
3. Use of existing resources to conserve costs
4. Alignment of the proposed budget with proposed project activities

Review Process

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

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

- The application must be submitted by an eligible type of applicant.
- The application must request funding within programmatic funding constraints (if applicable).
- The application must be responsive to the scope of the solicitation.
- The application must include all items designated as “critical elements.”
- The application, if submitted by an applicant that is a DOJ High Risk Grantee¹², or is designated “high risk” by a federal grant-making agency outside of DOJ, must not have been determined by the Director/Administrator to pose a substantial risk of program implementation failure, based on 1) the applicant’s lack of sufficient progress in addressing required corrective actions necessary for removal of the DOJ High Risk Grantee (or non-DOJ high risk) designation, 2) the nature and severity of the issues leading to or accompanying the DOJ High Risk Grantee (or non-DOJ high risk) designation, and/or 3) the applicant’s expected ability to manage grant funds and achieve grant goals and objectives.

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

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

Pursuant to the Part 200 Uniform Requirements, before award decisions are made, OJP also reviews information related to the degree of risk posed by applicants. Among other things to help assess whether an applicant that has one or more prior federal awards has a satisfactory record with respect to performance, integrity, and business ethics, OJP checks whether the applicant is listed in SAM as excluded from receiving a federal award. In addition, if OJP anticipates that an award will exceed \$250,000 in federal funds, OJP also must review and consider any information about the applicant that appears in the non-public segment of the

¹² See “Applicant Disclosure and Justification — DOJ High Risk Grantees” under “What an Application Should Include,” above, for a definition of “DOJ High Risk Grantee.”

integrity and performance system accessible through SAM (currently, the Federal Awardee Performance and Integrity Information System; "FAPIIS").

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

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

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

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

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

F. Federal Award Administration Information

Federal Award Notices

Award notifications will be made by September 30, 2019. OJP sends award notifications by email through GMS to the individuals listed in the application as the point of contact and the authorizing official (E-Biz POC and AOR). The email notification includes detailed instructions on how to access and view the award documents, and steps to take in GMS to start the award

acceptance process. GMS automatically issues the notifications at 9:00 p.m. Eastern time on the award date.

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

Administrative, National Policy, and Other Legal Requirements

If selected for funding, in addition to implementing the funded project consistent with the OJP-approved application, the recipient must comply with all award conditions, as well as all applicable requirements of federal statutes and regulations (including applicable requirements referred to in the assurances and certifications executed in connection with award acceptance). OJP strongly encourages prospective applicants to review information on post-award legal requirements and common OJP award conditions **prior** to submitting an application.

Applicants should consult the “[Overview of Legal Requirements Generally Applicable to OJP Grants and Cooperative Agreements - FY 2019 Awards](#),” available in the OJP Funding Resource Center at <https://ojp.gov/funding/index.htm>. In addition, applicants should examine the following two legal documents, as each successful applicant must execute both documents before it may receive any award funds. (An applicant is not required to submit these documents as part of an application.)

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

The webpages accessible through the “[Overview of Legal Requirements Generally Applicable to OJP Grants and Cooperative Agreements - FY 2019 Awards](#)” are intended to give applicants for OJP awards a general overview of important statutes, regulations, and award conditions that apply to many (or in some cases, all) OJP grants and cooperative agreements awarded in FY 2019. Individual OJP awards typically also will include additional award conditions. Those additional conditions may relate to the particular statute, program, or solicitation under which the award is made; to the substance of the funded application; to the recipient's performance under other federal awards; to the recipient's legal status (e.g., as a for-profit entity); or to other pertinent considerations.

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

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

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

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

OJP will include as appropriate an award condition (the specific terms of which will govern the award) requiring recipients of OJP grant funding that will support projects that involve or serve minors under the age of 18 to develop and implement written screening procedures (consistent with pertinent federal, state, and local law) for individuals who will interact in a staff or volunteer capacity with minors involved in the grant-funded programs.

General Information About Post-Federal Award Reporting Requirements

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

Required reports. Recipients typically must submit quarterly financial reports, semi-annual progress reports, final financial and progress reports, and, if applicable, an annual audit report in accordance with the Part 200 Uniform Requirements or specific award conditions. Applicants should anticipate that progress reports will be required to follow the non-budgetary components of the Research Performance Progress Report (RPPR) template/format. General information on RPPRs may be found at www.nsf.gov/bfa/dias/policy/rppr/. Future awards and fund drawdowns may be withheld if reports are delinquent. (In appropriate cases, OJP may require additional reports.)

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

Data on performance measures. In addition to required reports, an award recipient under this solicitation also must provide data that measure the results of the work done under the award. To demonstrate program progress and success, as well as to assist DOJ with fulfilling its responsibilities under the Government Performance and Results Act of 1993 (GPRA), Public Law 103-62, and the GPRA Modernization Act of 2010, Public Law 111-352, OJP will require

any award recipient, post award, to provide performance data listed as part of regular progress reporting. Successful applicants will be required to access OJP's performance measurement page at www.ojp.gov/performance for an overview of performance measurement activities at OJP.

G. Federal Awarding Agency Contact(s)

For questions directed to the Federal Awarding Agency, see NCJRS contact information on the title page.

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

H. Other Information

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

All applications submitted to OJP (including all attachments to applications) are subject to the federal Freedom of Information Act (FOIA) and to the Privacy Act. By law, DOJ may withhold information that is responsive to a request pursuant to FOIA if DOJ determines that the responsive information either is protected under the Privacy Act or falls within the scope of one of nine statutory exemptions under FOIA. DOJ cannot agree in advance of a request pursuant to FOIA not to release some or all portions of an application.

In its review of records that are responsive to a FOIA request, OJP will withhold information in those records that plainly falls within the scope of the Privacy Act or one of the statutory exemptions under FOIA. (Some examples include certain types of information in budgets, and names and contact information for project staff other than certain key personnel.) In appropriate circumstances, OJP will request the views of the applicant/recipient that submitted a responsive document.

For example, if OJP receives a request pursuant to FOIA for an application submitted by a nonprofit or for-profit organization or an institution of higher education, or for an application that involves research, OJP typically will contact the applicant/recipient that submitted the application and ask it to identify — quite precisely — any particular information in the application that the applicant/recipient believes falls under a FOIA exemption, the specific exemption it believes applies, and why. After considering the submission by the applicant/recipient, OJP makes an independent assessment regarding withholding information. OJP generally follows a similar process for requests pursuant to FOIA for applications that may contain law-enforcement sensitive information.

Provide Feedback to OJP

To assist OJP in improving its application and award processes, OJP encourages applicants to provide feedback on this solicitation, the application submission process, and/or the application review process. Provide feedback to OJPSolicitationFeedback@usdoj.gov.

IMPORTANT: This email is for feedback and suggestions only. OJP does not send replies from this mailbox to messages it receives in this mailbox. Any prospective applicant that has specific questions on any program or technical aspect of the solicitation **must** use the appropriate telephone number or email listed on the front of this solicitation document to obtain information.

These contacts are provided to help ensure that prospective applicants can directly reach an individual who can address specific questions in a timely manner.

If you are interested in being a reviewer for other OJP grant applications, please email your resume to ojprsupport@usdoj.gov. (Do not send your resume to the OJP Solicitation Feedback email account.) **Note:** Neither you nor anyone else from your organization or entity can be a peer reviewer in a competition in which you or your organization/entity has submitted an application.

Application Checklist

National Survey of Internet- and Technology-Facilitated Child Exploitation

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

What an Applicant Should Do:

Prior to Registering in Grants.gov:

- Acquire a DUNS Number (see page 31)
- Acquire or renew registration with SAM (see page 31)

To Register with Grants.gov:

- Acquire AOR and Grants.gov username/password (see page 31)
- Acquire AOR confirmation from the E-Biz POC (see page 31)

To Find Funding Opportunity:

- Search for the funding opportunity on Grants.gov (see page 31)
- Access Funding Opportunity and Application Package (see page 32)
- Sign up for Grants.gov [email](#) notifications (optional) (see page 29)
- Read [Important Notice: Applying for Grants in Grants.gov](#) (see page 2)
- Read OJP policy and guidance on conference approval, planning, and reporting available at ojp.gov/financialguide/DOJ/PostawardRequirements/chapter3.10a.htm (see page 14)

After Application Submission, Receive Grants.gov Email Notifications That:

- (1) application has been received
- (2) application has either been successfully validated or rejected with errors (see page 32)

If no Grants.gov receipt, and validation or error notifications are received:

- Please refer to the section: Experiencing Unforeseen Grants.gov Technical Issues (see page 32)

Overview of Post-Award Legal Requirements:

- Review the "[Overview of Legal Requirements Generally Applicable to OJP Grants and Cooperative Agreements - FY 2019 Awards](#)" in the OJP Funding Resource Center at <https://ojp.gov/funding/index.htm>.

Scope Requirement:

- The federal amount requested is within the allowable limit(s) of \$1,000,000.

Eligibility Requirement: See cover page.

What an Application Should Include:

- Application for Federal Assistance (SF-424) (see page 15)
- Project Abstract (if applicable) (see page 15)
- Program Narrative (see page 16)
- Budget Detail Worksheet (including Budget Narrative) (see page 20)
- Indirect Cost Rate Agreement (if applicable) (see page 24)

- _____ Tribal Authorizing Resolution (if applicable) (see page 24)
- _____ Financial Management and System of Internal Controls Questionnaire (see page 25)
- _____ [Disclosure of Lobbying Activities \(SF-LLL\)](#) (see page 25)
- _____ Applicant Disclosure of Pending Applications (see page 26)
- _____ Applicant Disclosure and Justification - DOJ High Risk Grantees (if applicable)
(see page 27)
- _____ Additional Attachments
 - _____ Research and Evaluation Independence and Integrity (see page 27)
 - _____ Request and Justification for Employee Compensation; Waiver (if applicable)
(see page 13)