The U.S. Department of Justice (DOJ), Office of Justice Programs (OJP), National Institute of Justice (NIJ) is seeking applications for funding for research, development, and evaluation projects to advance the technology used to monitor individuals under community supervision. This program furthers the Department's mission sponsoring research to provide objective, independent, evidence-based knowledge and tools to meet the challenges of crime and justice, particularly at the State and local levels.

Community Corrections: Technology Research, Development, and Evaluation to Improve Supervision and Outcomes

Applications Due: May 19, 2016

Eligibility

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

NIJ welcomes applications that involve two or more entities that will carry out the funded federal award activities, however, one eligible entity must be the applicant and the other(s) must be proposed as subrecipient(s). The applicant must be the entity with primary responsibility for conducting and leading the project. If successful, the applicant will be responsible for monitoring and appropriately managing any subrecipients or, as applicable, for administering any procurement subcontracts that would receive federal program funds from the applicant under the award.

An eligible applicant may submit more than one application, as long as each application proposes a different project in response to the solicitation. (Applicants should also review and consider the "Duplicate Applications" note under How to Apply in Section D. Application and Submission Information.) Subrecipients may be part of multiple proposals.

NIJ may elect to make awards for applications submitted under this solicitation in future fiscal years, dependent on, among other considerations, the merit of the applications and on the availability of appropriations.

Deadline

Applicants must register with Grants.gov prior to submitting an application. All applications are due to be submitted and in receipt of a successful validation message in Grants.gov by 11:59 p.m. eastern time on May 19, 2016.

All applicants are encouraged to read this: Important Notice: Applying for Grants in Grants.gov.

For additional application information, see How to Apply in Section D. Application and Submission Information.

Contact Information

For technical assistance with submitting an application, contact the Grants.gov Customer Support Hotline at 800-518-4726 or 606-545-5035, or via email to support@grants.gov. The Grants.gov Support Hotline hours of operation are 24 hours a day, 7 days a week, except federal holidays.

Applicants that experience unforeseen Grants.gov technical issues beyond their control that prevent them from submitting their application by the deadline must email the NIJ contact identified below **within 24 hours after the application deadline** and request approval to submit their application. Additional information on reporting technical issues is found 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 announcement: NIJ-2016-8997

Release date: February 19, 2016

Contents

NIJ-2016-8997

Community Corrections: Technology Research, Development, and Evaluation to Improve Supervision and Outcomes

(CFDA No. 16.560)

A. Program Description

Overview

The purpose of the NIJ Research, Evaluation, and Development Project Grants program is to encourage and support research, development, and evaluation to improve criminal justice policy and practice in the United States.

With this solicitation, NIJ seeks proposals for funding for both research and development, and evaluation projects to advance the technology used to monitor individuals under community supervision. These efforts are aimed at improving supervision of such individuals and their successful reintegration into society. More specifically, through these projects NIJ seeks to advance the state-of-the-art of technologies used for electronic monitoring (EM). To that end, NIJ seeks proposals for funding to develop prototype "smart technology" solutions that include artificial intelligence (AI) for community corrections supervision. NIJ also seeks proposals for funding for operational evaluation of those solutions. NIJ further seeks proposals for funding to develop improved tracking components for offender tracking systems (OTS). This includes the use of mobile device-based solutions to assist the individual in making full use of services and programs to address their criminogenic needs; and/or assist the supervising officer in supervising the individual. Two of NIJ's program offices, the Office of Science and Technology (OST) and the Office of Research and Evaluation (ORE), jointly support this effort.

Authorizing Legislation: 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

At the end of 2013, there were nearly 7 million persons under the supervision of adult correctional systems, with nearly 70 percent (in excess of 4.7 million) on probation or parole.[1] While individual average caseloads varied from a low of 4 active adult parolees in Wyoming to a high of 141 in Tennessee, the national average in 2006 was 38 active parolees for each full-time equivalent position devoted to parole supervision.[2]

Due to the high number of individuals under community supervision, community supervision agencies have found it challenging to provide the degree of supervision and immediacy that may be required to help guide an individual's use of services and programs to assist their

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[1] Lauren E. Glaze and Danielle Kaeble, *Correctional Populations in the United States, 2013*, Bureau of Justice Statistics, Dec. 2014,
[2] Thomas Bonczar, *Characteristics of State Parole Supervising Agencies, 2006*, Bureau of Justice Statistics, August 2008.

successful reentry into the community. Compounding this challenge is the shift in probation caseloads that once dealt with relatively low-risk individuals that posed little threat to public safety and with few criminogenic needs,[3] to higher risk individuals that pose a greater threat to public safety and have more criminogenic needs that may require more services and increased supervision.[4] A large proportion of these individuals will recidivate while in the community. According to BJS, among the state prisoners released in 2005, just under 50 percent had a parole or probation violation or an arrest that led to imprisonment within five years.[5]

The challenge of providing the degree of supervision and immediacy that may be required to help guide an individual under community supervision will only become more acute as the nation moves forward with the process of decarceration. Advancing technology in the area of EM may be one way to help address this challenge. EM has been widely adopted in the United States to assist in the supervision of such individuals in the community, and has been used for over 30 years. At least 46 States and the District of Columbia have statutes authorizing the use of EM.[6] Research, including NIJ-supported assessments, has found EM to be effective in reducing recidivism.[7]

The goal of this solicitation is to improve supervision and outcomes by advancing the state-of-the-art technologies used for EM. To accomplish this goal, NIJ seeks proposals for funding in two topic areas:

(1) Development and evaluation of smart technologies that include AI solutions for community supervision.

(2) Development of improved means to monitor the location of individuals under supervision in the community, including the use of mobile devices.

Topic Area 1 — Development and Evaluation of Smart Technologies that include Artificial Intelligence (AI) Solutions for Supervision in the Community

The use of smart technologies that include AI may provide the next wave of enhancement to EM as a means to help address this challenge in the community corrections environment, and could significantly influence a myriad of positive outcomes for individuals under community supervision and the officers supervising them.

There are a number of technology advancements that could be made to increase the effectiveness of EM such as the application of advanced data analytics. EM uses OTS to provide time-stamped location information on the whereabouts of individuals under supervision. These data collected from OTS are typically used to monitor whether an individual has violated

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[3] Bonta, J., Bourgon, G., Rugge, T., Scott, T-L., Yesinine, A. K., & Gutierrez, L. (2011). An experimental demonstration of training probation officers in evidence-based community supervision. *Criminal Justice and Behavior, 38*(1), 1127-1148.
[4] Matthew DeMichele, *Probation and Parole's Growing Caseloads and Workload Allocation: Strategies for Managerial Decision Making*, The American Probation & Parole Association, May 4, 2007.
[5] Matthew Durose, et al, *Recidivism of Prisoners Released in 30 States in 2005: Patterns from 2005 to 2010*, Bureau of Justice Statistics, April 2014.
[6] Matthew DeMichele and Brian Payne, *Offender Supervision with Electronic Technology Community Corrections Resource* [second edition], American Probation and Parole Association, 2009.
[7] William Bales, et al, *A Quantitative and Qualitative Assessment of Electronic Monitoring, January 2010*, p. x, final report submitted to NIJ, grant no. 2007-IJ-CX-0017, NCJ 230530. For information on other NIJ-funded studies, please see http://www.nij.gov/topics/corrections/community/monitoring-technologies/Pages/gps-community.aspx.

an inclusion/exclusion zone, which generally triggers an alert to the community supervision officer to follow up with the individual. Advanced data analytics could reveal patterns of movement by the individual that could suggest an increased risk for re-offense — e.g., closer approach to an inclusion/exclusion zone over time — however, the data provide little insight regarding if an individual may re-offend, and when or where. It also provides no ability to assist them with services.

On the other hand, AI technology, coupled with an interactive hands-free voice-controlled user interface (UI), could provide such assistance. It could provide a "humanized" interaction for on-demand support for the individual in between regularly scheduled face-to-face meetings with the community supervision officer. The technology could incorporate a variety of real-time biometric functionalities to potentially detect leading indicators that could suggest greater risk of re-offense. For example, the addition of voice analytics could enable earlier detection of problems with the individual under supervision that time-stamped location data from contemporary electronic monitoring would not otherwise reveal.

Furthermore, the community supervision officer could interact with the AI through the hands-free, voice-controlled UI to personalize the supervision experience by adding customized alerts for each individual to better prioritize which individuals under supervision need greater attention at any given time. Alerts could be verbally set using semantic descriptions for a wide range of complex triggers. This could assist community supervision officers with the added ability to triage their resources, and potentially target services for individuals most in need on any given day. This capability could permit better case management and deployment of early intervention resources to help reduce re-offense and strengthen the safety of the community.

Goals and Objectives

To begin to determine the utility of smart technology that includes AI combined with a hands-free, voice-controlled UI for community supervision, NIJ envisions a two-phased approach beginning with development of the technology followed by pilot testing.

Because there must be overlap between these two phases, NIJ is seeking proposals with this solicitation for both:

(1) Innovative research and development resulting in the delivery of a prototype technology (AI combined with a hands-free, voice-controlled UI); and

(2) Independent, operational evaluation of that prototype.

A separate application will be required for each. While the developer and evaluator are expected to collaborate, they must be independent entities of one another, and submit separate applications.

Phase 1 –Technology Research and Development

Phase 1 will consist of development of the technology and will conclude with a demonstration of the prototype. Proposals should describe in sufficient detail all salient aspects of the technology; how it is envisioned to work; and how this approach will address the challenge of providing the degree of supervision and immediacy that may be required to help guide an individual's use of services and programs to assist their successful reentry into the community. Available technologies — preferably commercially available — that can be adapted to the community

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corrections environment should be used to the greatest extent possible. However, novel development efforts will be considered for funding where there is no existing solution.

Applicants are encouraged to assemble interdisciplinary teams to develop viable approaches. Proposals should demonstrate a clear understanding of smart technologies, artificial intelligence, user interfaces, and voice-based technology. Proposals should demonstrate clear competencies in the technical fields required to develop a working prototype, such as computer science, computer engineering, psychology, sociology, industrial design, human factors, and information technology.

Applicants should consider the unique requirements of community corrections and potential impact of what a next-generation EM system could have on promoting various outcomes for individuals under community supervision and the officers supervising them. These outcomes include, but are not limited to, reductions in recidivism rates, improvements in the ability to triage and prioritize resources for individuals under community supervision, and improved interactions between those individuals and community supervision agencies. Applicants should consider how enhanced technological intervention could improve completion of treatment programs.

In considering design of the AI, the proposal should consider the technology ultimately interacting with individuals unaccustomed to such interactions, and presenting a wide range of speaking patterns and emotional states. The proposal should elaborate on the human factor issues involved. It should include discussion of whether there will be dependencies on network connectivity, and discussion of privacy implications. What could be the impact on members of a household with someone under community supervision?

The applicant selected to develop the technology will be expected to collaborate with the applicant selected to conduct the operational evaluation in the development of the evaluation plan, and with the conduct of the evaluation.

Phase 2 – Pilot Evaluation With a Community Corrections Agency

Phase 2 will consist of an operational evaluation of the proposed technology through a pilot test with one or more community supervision agencies to determine the feasibility of the technology to meet the needs of community corrections. Proposals should demonstrate a clear understanding of technology testing and evaluation in a relevant environment, and should, at a minimum, identify the critical parameters to assess during an operational evaluation. Performance measures and/or metrics for these parameters should be described, and how data would be collected should be discussed. Furthermore, proposals should discuss why the identified data should be collected to support conclusions regarding the feasibility of the technology to meet the needs of community corrections.

The first stage of the assessment will involve development of the evaluation plan and identification of the pilot site. Among other activities, the successful applicant will be working with the developer to understand the design features of the technology and how it is intended to address the challenge of providing the degree of supervision and immediacy that may be required to help guide an individual's use of services and programs to assist their successful reentry into the community. NIJ expects that the selection of the pilot site will be informed in part by an understanding of which criminal justice agencies are already using AI and/or are able to use AI technology in a community corrections environment. Key questions in this regard include:

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- Does the agency have well-established guidelines about the use of AI technology?

- Does the agency have a management information system in place that captures necessary data for tracking and supervision outcomes?

The applicant is encouraged to show evidence of their past collaborations with criminal justice agencies.

Minimally, letters of support from community corrections agencies participating in the evaluation will be required before initiation of the second stage. The letters should describe in detail the volume of individuals currently under community supervision in the agency's jurisdiction as well as their risk levels (low, medium, or high), and projections should be made about the number of individuals that are expected to be under community supervision in that jurisdiction in the coming years. Ideally, the agreements between these agencies and the evaluator would have been put in place prior to initiation of the second stage.

The second stage will assess the implementation of the AI technology at one or more pilot sites. Examples of information generated from this phase may include, but would not be limited to, the policies and practices guiding the use of the technology, and the requirements needed to implement and maintain the technology in a community corrections environment, for example, the cost of staff training and technological infrastructure.

While the successful applicant's proposal should address both stages of the evaluation, its budget should address only the first stage. A budget for the second stage cannot be developed until the pilot sites are identified and the evaluation plan is completed during the first stage.

NIJ expects to invite a second application addressing the second stage depending on the progress of the development and evaluation efforts, as well as NIJ's priorities, and available funding. For planning purposes, applicants can expect that Phase 1 may take three years.

Topic Area 2 — Development of Improved Offender Tracking Systems

As noted previously, electronic monitoring relies on OTS to monitor the location of an individual under community supervision. The draft NIJ Standard-1004.00 *Criminal Justice Offender Tracking System Standard* defines OTS as "A technology, consisting of hardware and software segments, designed to determine and report at programmed intervals the geographic location of a person (participant) who is subject to criminal justice system supervision."[8]

The first OTS were used to monitor individuals whose sentences required that their location be restricted to specific periods of time (e.g., home confinement or curfew). Technological advances now allow for OTS that can monitor the location of individuals in the community. Most OTS tracking components consist of a single element strapped to an individual's ankle commonly referred to as "ankle monitors" or "ankle bracelets." These elements incorporate both location and communications technologies and a power source. Most models use signals received from GPS satellites as the primary means to determine location that is then transmitted to a monitoring center via terrestrial cellular communications networks.[9] Ancillary technologies

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[8] NIJ Standard-1004-00 *Criminal Offender Tracking System Standard* (draft), December 2013.
[9] *Draft National Standard for Offender Tracking Systems Addresses Common Stakeholder Needs*, GAO-16-10, Government Accountability Office, Washington, DC, October 2016.

are used to determine location when GPS is not available. These include cellular-based location, inertial sensors, and Wi-Fi positioning, among others.

Some current OTS have multi-element tracking components. These usually consist of a transmitter (and/or receiver) that is strapped to the individual (either ankle or wrist) that sends (and/or receives) a signal to (or from) the second element that contains location and communications technologies.[10]

Often, the second element is a cellphone. This provides the added benefit of enabling direct voice communication between the individual and their supervising officer. Some OTS now use smartphones. This provides a greater potential capability to provide the individual the support needed for successful reentry than a cellphone. Not only does it provide the ability for direct communication with the supervising officer, but it also provides, for example, the potential to have apps that remind the individual of appointments for services to treat their criminogenic needs.[11]

The ankle and wrist monitors used in today's OTS tend to be obtrusive. They are several inches wide and deep. This may affect the individual's ability to "blend in," which may pose challenges to their successful reintegration into society. One NIJ-funded study noted that both individuals under supervision and supervising officers that participated in the study were almost unanimous in their belief that the visibility of the monitors made it much more difficult for a person wearing a monitor to obtain and keep a job.[12] Depending on size, some monitors might also pose a physical risk to the individual, particularly when worn while operating machinery. Additionally, while their susceptibility varies, the current generation of OTS tracking components are not impervious to circumvention.

Goals and Objectives

NIJ will only accept applications submitted for this topic that propose to accomplish one of the following three objectives:

1. Development and demonstration of unobtrusive one- or two-element tracking components for OTS.

2. Development and demonstration of apps (or suites of apps) for use with mobile devices that will extend the limits of what is possible today with respect to mobile device-based solutions to (1) assisting the individual in making full use of services and programs to address their criminogenic needs, and/or (2) assisting the supervising officer in supervising them. This may include the use of digital assistants.

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[10] The purpose of the first element is to monitor the proximity of the individual to the second. The second element, which may (or may not) be carried on the individual but is in close proximity to them, communicates its location to the monitoring center. If the signal from the first element is lost— indicating that the individual is no longer at that location—the second sends an alert to the monitoring center.

[11] One of the recommendations made in the NIJ-funded RAND report *Fostering Innovation in Community and Institutional Corrections: Identifying High-Priority Technology and Other needs for the U.S. Corrections Sector* was to "Develop applications for offender's smart phones so that they can report compliance and track progress." (Brian A. Jackson, et al, RAND Corporation, *Fostering Innovation in Community and Institutional Corrections: identifying High-Priority Technology and Other needs for the U.S. Corrections Sector*, P. 59 Table 5.2 Potential Additional Low-Hanging Fruit Needs in Community Corrections.)

[12] Bales, et al, p. 150.

3. Development and demonstration of an unobtrusive, single-element, mobile device-based, tracking component for OTS capable of monitoring the location of the individual; assisting them in making full use of available services and programs to address their criminogenic needs; and digitally assisting the supervising officer in supervising them.

Applicants may submit proposals to address more than one of these objectives. If they do, they <u>must</u> submit separate applications for each.

Proposed tracking component solutions must be at least as robust and capable as those currently in use, and — minimally — meet the relevant requirements outlined in draft [NIJ Standard-1004.00 Criminal Justice Offender Tracking System Standard](). Those include requirements related to both circumvention and location accuracy. Because achieving the third objective is a significant challenge, NIJ may entertain solutions that are not as capable as those currently in use. Applications proposing such solutions must identify capability gaps and the reason for those gaps.

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

Applicants are encouraged to consider the benefit of partnering with parole or probation agencies to gain a fuller understanding of the operational context within which these technologies would be employed.

Successful applicants should expect to be invited to participate in third-party evaluations of their solutions. Applicants should not include the cost of such participation in their budgets.

Deliverables and Expected Scholarly Products

The deliverables and expected scholarly products are the same for both Topic Area 1 and Topic Area 2. An exemplar of any solution resulting from research and development activities funded under this solicitation will be delivered to NIJ at the end of the award for third-party evaluation, along with detailed implementation instructions.

In addition to delivering technology exemplars, required data sets, interim and final progress and financial reports,[13] 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, or similar scientific products.

Evaluation Research

If an application includes an evaluation research component (or consists entirely of evaluation research), the application is expected to propose the use of random selection and assignment of participants to experimental and control conditions, if feasible. Applications that include evaluation research but do not propose the use of randomization should explain clearly why randomization is not feasible, and should propose a strong quasi-experimental design that can address the risk of selection bias.

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[13] See "Federal Award Administration Information" ("General Information About Post-Federal Award Reporting Requirements") section of this solicitation, below, for additional information.

Also, applications that include evaluation research are expected to seriously consider incorporation of cost/benefit analysis. NIJ views cost/benefit analysis as an effective way to communicate and disseminate findings from evaluation research and best serve our criminal justice constituents.

B. Federal Award Information

NIJ anticipates that up to a total of $2,000,000 may become available for awards under this solicitation in FY 2016. From the total amount, NIJ anticipates that it will make three awards: one for development resulting in the delivery of a prototype technology (AI combined with a hands-free, voice controlled UI); one for a pilot evaluation of that technology with a community corrections agency; and one for development of improved offender tracking systems.

Notwithstanding, <u>applicants should base their federal funding request and period of performance on the requirements of the research</u>, and not necessarily on the funding anticipated being available in FY 2016.

Important considerations in decisions regarding the provision of supplemental funding include, among other factors, the availability of funding, strategic priorities, NIJ's assessment of the quality of the management of the award (for example, timeliness and quality of progress reports), and NIJ's assessment of the progress of the work funded under the award.

If an applicant is proposing a project that will exceed the amount that NIJ anticipates becoming available for awards under this solicitation in FY 2016 and/or that will exceed a three-year period, the applicant's project design, to the extent possible, should be phased with each phase resulting in one or more significant, defined milestones. This will allow NIJ to make more informed decisions regarding the quality of management and the progress of the research. In such a case, the applicant's budget detail worksheet should also be structured in discrete phases that support the project design.

Awards will be made under this solicitation on or before September 30, 2016. To allow for time for, among other things, any necessary post-award review, modification, and clearance by OJP of the proposed budget, applicants should anticipate an award start date of January 1, 2017.

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[14]

NIJ expects that it will make any award from this solicitation in the form of a cooperative agreement, which is a particular type of grant used if NIJ expects to have ongoing substantial involvement in award activities. Substantial involvement includes direct oversight and involvement with the grantee organization in implementation of the grant, but does not involve day-to-day project management. See <u>Administrative, National Policy, and other Legal Requirements</u>, under <u>Section F. Federal Award Administration Information</u>, for details regarding the federal involvement anticipated under an award from this solicitation.

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[14] *See generally* 31 U.S.C. §§ 6301-6305 (defines and describes various forms of federal assistance relationships, including grants and cooperative agreements [a type of grant]).

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 Department of Justice regulations on confidentiality and human subjects' protection. See "Evidence, Research, and Evaluation Guidance and Requirements" under "Solicitation Requirements" in OJP's Funding Resource Center.

Financial Management and System of Internal Controls

Award recipients and subrecipients (including any recipient or subrecipient funded in response to this solicitation that is a pass-through entity[15]) must, as described in the Part 200 Uniform Requirements 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 (and any subrecipients) considers sensitive consistent with applicable federal, State, local, and tribal laws regarding privacy and obligations of confidentiality.

In order to better understand administrative requirements and cost principles, applicants are encouraged to enroll, at no charge, in the Department of Justice Grants Financial Management Online Training available here.

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[15] For purposes of this solicitation (or program announcement), "pass-through entity" includes any entity eligible to receive funding as a recipient or subrecipient under this solicitation (or program announcement) that, if funded, may make a subaward(s) to a subrecipient(s) to carry out part of the funded program.

Budget Information

What will not be funded:

- Proposals 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.)

- Proposals that are not responsive to the goals and objectives of this solicitation.

Cost Sharing or Matching Requirement

See "Cofunding" paragraph under item 4 ("Budget Detail Worksheet and Budget Narrative") under What an Application Should Include in Section D. Application and Submission Information.

Pre-Agreement Cost (also known as Pre-award Cost) Approvals

Pre-agreement costs are costs incurred by the applicant prior to the start date of the period of performance of the grant 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. If approved, pre-agreement costs could be paid from grant funds consistent with a grantee's approved budget, and under applicable cost standards. However, all such costs prior to award and prior to approval of the costs are incurred at the sole risk of an applicant. Generally, no applicant should incur project costs *before* submitting an application requesting federal funding for those costs. Should there be extenuating circumstances that appear to be appropriate for OJP's consideration as pre-agreement costs, the applicant should contact the point of contact listed on the title page of this announcement for details on the requirements for submitting a written request for approval. See the section on Costs Requiring Prior Approval in the Financial Guide, for more information.

Limitation on Use of Award Funds for Employee Compensation; Waiver

With respect to any award of more than $250,000 made under this solicitation, recipients may not use federal funds to pay total cash compensation (salary plus cash bonuses) to any employee of the award recipient at a rate that exceeds 110% of the maximum annual salary payable to a member of the Federal Government's Senior Executive Service (SES) at an agency with a Certified SES Performance Appraisal System for that year.[16] The 2016 salary table for SES employees is available at the Office of Personnel Management website. Note: A recipient may compensate an employee at a greater rate, provided the amount in excess of this compensation limitation is paid with non-federal funds. (Any such additional compensation will not be considered matching funds where match requirements apply.) For employees who charge only a portion of their time to an award, the allowable amount to be charged 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, the limitation on compensation rates allowable under an award. An applicant

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[16] This limitation on use of award funds does not apply to the non-profit organizations specifically named at Appendix VIII to 2 C.F.R. part 200.

requesting a waiver should include a detailed justification in the budget narrative of the application. Unless the applicant submits a waiver request and justification with the application, the applicant should anticipate that OJP will request the applicant to adjust and resubmit the budget.

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

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

OJP strongly encourages applicants that propose to use award funds for any conference-, meeting-, or training-related activity to review carefully—before submitting an application—the OJP policy and guidance on "conference" approval, planning, and reporting 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, including 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 "Solicitation Requirements" in OJP's Funding Resource Center.

C. Eligibility Information

Eligibility

For additional eligibility information, see title page.

For additional information on cost sharing and match requirement, see Section B. Federal Award Information.

Limit on Number of Application Submissions

If an applicant submits multiple versions of the same application, NIJ will review only the most recent system-validated version submitted. For more information on system-validated versions, see How to Apply.

D. Application and Submission Information

What an Application Should Include

Applicants should anticipate that if they fail to submit an application that contains all of the specified elements, it may affect negatively the review of their application; and, should a decision be made to make an award, it may result in the inclusion of special conditions that preclude the recipient from accessing or using award funds pending satisfaction of the conditions.

Moreover, applicants should anticipate that applications determined to be nonresponsive to the scope of the solicitation, or that do not include the application elements that NIJ has designated to be critical, will neither proceed to peer review nor receive further consideration. Under this solicitation, NIJ has designated the following application elements as critical: Program Narrative, Budget Detail Worksheet, Budget Narrative, and resumes/curriculum vitae of key personnel. For purposes of this solicitation, "key personnel" means the principal investigator, and any and all co-principal investigators. Please review the "Note on File Names and File Types" under How to Apply to be sure applications are submitted in permitted formats.

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

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

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

   Intergovernmental Review: This funding opportunity (program) **is not** subject to Executive Order 12372. (In completing the SF-424, applicants are to make the appropriate selection in response to question 19 to indicate that the "Program is not covered by E.O. 12372.")

2. **Project Abstract**

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

   Applications should include a high-quality project abstract that summarizes the proposed project in 250-400 words. Project abstracts 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 a standard 12-point font (Times New Roman) 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.

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

In the project abstract template, applicants are asked to indicate whether they give OJP permission to share their project abstract (including contact information) with the public if NIJ does not fund the proposed project. Granting (or failing to grant) this permission will not affect OJP's funding decisions, and, if the application is not funded, granting permission will not guarantee that project abstract information will be shared, nor will it guarantee funding from any other source.

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

3. **Program Narrative**

The program narrative section of the application should not exceed 30 pages 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.[17]

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,

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[17] 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, "Deliverables and Expected Scholarly Products" under "Program-Specific Information," above.

address, telephone number, and e-mail address) for both the applicant organization and the principal investigator.

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

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

- Project Design and Implementation.

- Potential Impact.

- Capabilities/Competencies.

Within these sections, the narrative should address:

- Purpose, goals, and objectives.

- Review of relevant literature.

- Detailed description of research design and methods, such as research questions, hypotheses, description of sample, and analysis plan.

- Planned Scholarly Products (See Deliverables and Expected Scholarly Products under Program-Specific Information, above, for a discussion of expected scholarly products.)

- Implications for criminal justice policy and practice in the United States.

- Management plan and organization.

- Plan for Dissemination to Broader Audiences (if applicable to the proposed project). Applicants should identify plans (if any) to produce or to make available to broader interested audiences – such as

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criminal/juvenile justice practitioners or policymakers – summary information from the planned scholarly products of the proposed project (such as summaries of articles in peer-reviewed scientific journals), in a form designed to be readily accessible and useful to those audiences. (Such dissemination might include, for example, trade press articles and webinars.)

e. **Performance Measures**

To demonstrate program progress and success, as well as, to assist the Department 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, applicants that receive funding under this solicitation must provide data that measure the results of their work done under this solicitation. OJP will require any award recipient, post award, to provide the data requested in the "Data Grantee Provides" column so that OJP can calculate values for the "Performance Measures" column. (Submission of performance measures data is not required for the application.) Performance measures for this solicitation are as follows:

Objective	Performance Measure(s)	Data Grantee Provides
Conduct research in science, technology, engineering, and/or mathematics having clear implications for criminal justice policy and practice in the United States. Conduct research in social and behavioral sciences having clear implications for criminal justice policy and practice in the United States.	1. Relevance to the needs of the field as measured by whether the project's substantive scope did not deviate from the funded proposal 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 (published, peer-reviewed, scientific journal articles, and/or (as appropriate for the funded project) law review journal articles, book chapter(s) or book(s) in the academic press, technological prototypes, patented inventions, or similar scientific products). 3. Quality of management as measured by such factors as whether significant project milestones were achieved, reporting and other deadlines were met, and costs remained within approved limits. 4. Number of technologies fielded as a result (in whole or in part) of work funded under the NIJ award.	1. Quarterly financial reports, semi-annual and final progress reports, and, if applicable, an annual audit report in accordance with the Part 200 Uniform Requirements of the work performed under the NIJ award. 2. List of citation(s) to all scholarly products that resulted in whole or in part from work funded under the NIJ award. 3. If applicable, each data set that resulted in whole or in part from work funded under the NIJ award. 4. Description of all technologies fielded as a result (in whole or in part) of work funded under the NIJ award.

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

- Bibliography/references.

- Any tools/instruments, questionnaires, tables/charts/graphs, or maps pertaining to the proposed project that are supplemental to such items included in the main body of the narrative.

- Curriculum vitae or resumes of the principal investigator and any and all co-principal investigators. In addition, curriculum vitae, resumes, or biographical sketches of all other individuals (regardless of "investigator" status) who will be significantly involved in substantive aspects of the proposal (including, for example, individuals such as statisticians serving as consultants to conduct proposed data analysis).

- List (to the extent known) of all proposed project staff members, including those affiliated with the applicant organization or any proposed subrecipient organization(s), any proposed consultant(s) and contractors (whether individuals or organizations), and any proposed members of an advisory board for the project (if applicable). The list should include, for each individual and organization: name, title (if applicable), employer or other organizational affiliation, and roles and responsibilities proposed for the project. Applicants should use the "Proposed Project Staff, Affiliation, and Roles" form available at www.nij.gov/funding/documents/nij-project-staff-template.xlsx to provide this listing.

- 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) 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).

- List of any previous and current NIJ awards to applicant organization 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 "Deliverables and Expected Scholarly Products" under "Program-Specific Information," above, for definition of "scholarly products.")

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

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

- Data archiving plan. Applicants should anticipate that NIJ will require (through special award conditions, including a partial withholding of award funds) that data sets resulting in whole or in part from projects funded under this solicitation be submitted for archiving with the National Archive of Criminal Justice Data (NACJD) (see www.nij.gov/funding/data-resources-program/applying/Pages/data-archiving-strategies.aspx).

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

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

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

4. **Budget Detail Worksheet and Budget Narrative**

   a. **Budget Detail Worksheet**

   A sample Budget Detail Worksheet can be found at www.ojp.gov/funding/Apply/Resources/BudgetDetailWorksheet.pdf. Applicants that submit their budget in a different format should include the budget categories listed in the sample budget worksheet. (Work associated with satisfying data archiving requirements should be reflected.) NIJ expects applicants to provide a thorough narrative to each section of the Budget Detail Worksheet. The Budget Detail Worksheet should be broken down by year.

   For questions pertaining to budget and examples of allowable and unallowable costs, see the Financial Guide at http://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).

   Applicants should demonstrate in their budget narratives how they will maximize cost effectiveness of grant 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 narrative should be sound mathematically, and correspond with the information and figures provided in the Budget Detail Worksheet. The narrative should explain how the applicant estimated and calculated <u>all</u> costs, and how they are relevant to the completion of the proposed project. The narrative may include tables for clarification purposes but need not be in a spreadsheet format. As with the Budget Detail Worksheet, the Budget Narrative should be broken down by year.

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 <u>Cost Sharing or Match Requirement</u> section under <u>Section B. Federal Award Information</u>.

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. Non-Competitive Procurement Contracts In Excess of Simplified Acquisition Threshold

If an applicant proposes to make one or more non-competitive procurements of products or services, where the non-competitive procurement will exceed the simplified acquisition threshold (also known as the small purchase threshold), which is currently set at $150,000, the application should address the considerations outlined in the <u>Financial Guide</u>.

e. Pre-Agreement Cost Approvals
For information on pre-agreement costs approvals, see <u>Section B. Federal Award Information</u>.

5. Indirect Cost Rate Agreement (if applicable)

Indirect costs are allowed only under the following circumstances:

(a) The applicant has a current, federally approved indirect cost rate.

(b) The applicant is eligible to use and elects to use the "de minimis" indirect cost rate described in the Part 200 Uniform Requirements as set out in 2 C.F.R. 200 414(f).

Attach a copy of the federally approved indirect cost rate agreement to the application. Applicants that do not have an approved rate may request one through their cognizant

federal agency, which will review all documentation and approve a rate for the applicant organization, or, if the applicant's accounting system permits, costs may be allocated in the direct cost categories. For the definition of Cognizant Federal Agency, see the "Glossary of Terms" in the Financial Guide. For assistance with identifying your cognizant agency, please contact the Customer Service Center at 1-800-458-0786 or at ask.ocfo@usdoj.gov. If DOJ is the cognizant federal agency, applicants may obtain information needed to submit an indirect cost rate proposal at www.ojp.gov/funding/Apply/Resources/IndirectCosts.pdf.

In order to use the "de minimis" indirect rate, attach written documentation to the application that advises OJP of both the applicant's eligibility (to use the "de minimis" rate) and its election. If the applicant elects the "de minimis" method, costs must be consistently charged as either indirect or direct costs, but may not be double charged or inconsistently charged as both. In addition, if this method is chosen then it must be used consistently for all federal awards until such time as you choose to negotiate a federally approved indirect cost rate.[18]

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

Tribes, tribal organizations, or third parties proposing to provide direct services or assistance to residents on tribal lands should include in their applications a resolution, a letter, affidavit, or other documentation, as appropriate, that certifies that the applicant has the legal authority from the tribe(s) to implement the proposed project on tribal lands. In those instances when an organization or consortium of tribes applies for a grant 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 grant. 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. **Applicant Disclosure of High-Risk Status**

Applicants are to disclose whether they are currently designated high-risk by another federal grant making agency. This includes any status requiring additional oversight by the federal agency due to past programmatic or financial concerns. If an applicant is designated high-risk by another federal grant making agency, you must email the following information to OJPComplianceReporting@usdoj.gov at the time of application submission:

- The federal agency that currently designated the applicant as high-risk.

- Date the applicant was designated high-risk.

- The high-risk point of contact name, phone number, and email address, from that federal agency.

- Reasons for the high-risk status

OJP seeks this information to ensure appropriate federal oversight of any grant award. Disclosing this high-risk information does not disqualify any organization from receiving an

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[18] See 2 C.F.R. § 200.414(f).

OJP award. However, additional grant oversight may be included, if necessary, in award documentation.

8. Additional Attachments

a. Applicant disclosure of pending applications[19]

Applicants are to disclose whether they have pending applications for federally funded grants or subgrants (including cooperative agreements) that include requests for funding to support the same project being proposed under this solicitation <u>and</u> will cover the identical cost items outlined in the budget narrative and worksheet in the application under this solicitation. The disclosure should include both direct applications for federal funding (e.g., applications to federal agencies) and indirect applications for such funding (e.g., applications to State agencies that will subaward federal funds).

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

Applicants that have pending applications as described above are 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 funding agency.

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

Applicants should include the table as a separate attachment to their application. The file should be named "Disclosure of Pending Applications."

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[19] 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.

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Applicants that do not have pending applications as described above are to include a statement to this effect in the separate attachment page (e.g., "[Applicant Name on SF-424] does not have pending applications submitted within the last 12 months for federally funded grants or subgrants (including cooperative agreements) that include requests for funding to support the same project being proposed under this solicitation and will cover the identical cost items outlined in the budget narrative and worksheet in the application under this solicitation.").

b. Research and Evaluation Independence and Integrity

If a proposal involves research and/or evaluation, regardless of the proposal's other merits, in order to receive funds, the applicant must demonstrate research/evaluation independence, including appropriate safeguards to ensure research/evaluation objectivity and integrity, both in this proposal and as it may relate to the applicant's other current or prior related projects. This documentation may be included as an attachment to the application which addresses BOTH i. and ii. below.

i. For purposes of this solicitation, applicants must document research and evaluation independence and integrity by including, at a minimum, one of the following two items:

    a. A specific assurance that the applicant has reviewed its proposal to identify any research integrity issues (including all principal investigators and sub-recipients) and it has concluded that the design, conduct, or reporting of research and evaluation funded by NIJ grants, cooperative agreements, or contracts will not be biased by any personal or financial conflict of interest on the part of part of its staff, consultants, and/or sub-recipients responsible for the research and evaluation or on the part of the applicant organization;

<div align="center">OR</div>

    b. A specific listing of actual or perceived conflicts of interest that the applicant has identified in relation to this proposal. These conflicts could be either personal (related to specific staff, consultants, and/or sub-recipients) or organizational (related to the applicant or any subgrantee organization). Examples of potential investigator (or other personal) conflict situations may include, but are not limited to, 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 could not be given a grant 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), as the organization in such an instance would 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.

<div align="center">24</div>

ii. In addition, for purposes of this solicitation applicants must address the issue of 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 potential personal or organizational conflicts of interest exist, then the applicant should provide a brief narrative explanation of how and why it reached that conclusion. Applicants MUST also include an explanation of the specific processes and procedures that the applicant will put in place to identify and eliminate (or, at the very least, mitigate) potential personal or financial conflicts of interest on the part of its staff, consultants, and/or sub-recipients for this particular project, should that be necessary during the grant period. Documentation that may be helpful in this regard could include organizational codes of ethics/conduct or policies regarding organizational, personal, and financial conflicts of interest.

<div align="center">OR</div>

    b. If the applicant has identified specific personal or organizational conflicts of interest in its proposal during this review, the applicant must propose a specific and robust mitigation plan to address conflicts noted above. At a minimum, the plan must include specific processes and procedures that the applicant will put in place to eliminate (or, at the very least, mitigate) potential personal or financial conflicts of interest on the part of its staff, consultants, and/or sub-recipients for this particular project, should that be necessary during the grant period. Documentation that may be helpful in this regard could include organizational codes of ethics/conduct or policies regarding organizational, personal, and financial conflicts of interest. There is no guarantee that the plan, if any, will be accepted as proposed.

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

9. Financial Management and System of Internal Controls Questionnaire

In accordance with the Part 200 Uniform Requirements as set out at 2 C.F.R. 200.205, federal agencies must have in place a framework for evaluating the risks posed by applicants before they receive a federal award. To facilitate part of this risk evaluation, **all** applicants (other than an individual) are to download, complete, and submit this form.

10. Disclosure of Lobbying Activities

All applicants must complete this information. Applicants that expend any funds for lobbying activities are to provide the detailed information requested on the form Disclosure of Lobbying Activities (SF-LLL). Applicants that do not expend any funds for lobbying activities are to enter "N/A" in the text boxes for item 10 ("a. Name and Address of Lobbying Registrant" and "b. Individuals Performing Services").

How to Apply

Applicants must register in, and submit applications through Grants.gov, a primary source to find federal funding opportunities and apply for funding. Find complete instructions on how to register and submit an application at www.Grants.gov. Applicants that experience technical difficulties during this process should call the Grants.gov Customer Support Hotline at **800-518-4726** or **606–545–5035**, 24 hours a day, 7 days a week, except federal holidays. Registering with Grants.gov is a one-time process; however, **processing delays may occur, and it can take several weeks** for first-time registrants to receive confirmation and a user password. OJP encourages applicants to **register several weeks before** the application submission deadline. In addition, OJP urges applicants to submit applications 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.

NIJ strongly encourages all prospective applicants to sign up for Grants.gov email notifications regarding this solicitation. If this solicitation is cancelled or modified, individuals who sign up with Grants.gov for updates will be automatically notified.

Note on Attachments. Grants.gov has two categories of files for attachments: mandatory and optional. OJP receives all files attached in both categories. Please insure all required documents are attached in the mandatory category

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

Characters	Special Characters		
Upper case (A – Z)	Parenthesis ( )	Curly braces { }	Square brackets [ ]
Lower case (a – z)	Ampersand (&)	Tilde (~)	Exclamation point (!)
Underscore (__)	Comma (,)	Semicolon (;)	Apostrophe (')
Hyphen (-)	At sign (@)	Number sign (#)	Dollar sign ($)
Space	Percent sign (%)	Plus sign (+)	Equal sign (=)
Period (.)	**When using the ampersand (&) in XML, applicants must use the "&" format.**		

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

All applicants are required to complete the following steps:

OJP may not make a federal award to an applicant organization until the applicant has complied with all applicable DUNS and SAM requirements. Individual applicants must comply with all Grants.gov requirements. If an applicant has not fully complied with the requirements by the time the federal awarding agency is ready to make a federal award, the federal awarding

agency may determine that the applicant is not qualified to receive a federal award and use that determination as a basis for making a federal award to another applicant.

Individual applicants should search Grants.gov for a funding opportunity for which individuals are eligible to apply. Use the Funding Opportunity Number (FON) to register. Complete the registration form at https://apply07.grants.gov/apply/IndCPRegister to create a username and password. Individual applicants should complete all steps except 1, 2 and 4.

1. **Acquire a Data Universal Numbering System (DUNS) number.** In general, the Office of Management and Budget requires that all applicants (other than individuals) for federal funds include a DUNS number in their applications for a new award or a supplement to an existing award. A DUNS number is a unique nine-digit sequence recognized as the universal standard for identifying and differentiating entities receiving federal funds. The identifier is used for tracking purposes and to validate address and point of contact information for federal assistance applicants, recipients, and subrecipients. The DUNS number will be used throughout the grant life cycle. Obtaining a DUNS number is a free, one-time activity. 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 1-2 business days.

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

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

   Information about SAM registration procedures can be accessed at www.sam.gov.

3. **Acquire an Authorized Organization Representative (AOR) and a Grants.gov username and password**. Complete the AOR profile on Grants.gov and create a username and password. The applicant organization's DUNS number must be used to complete this step. For more information about the registration process, go to www.grants.gov/web/grants/register.html. Individuals registering with Grants.gov should go to https://apply07.grants.gov/apply/IndCPRegister.

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. 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 number for this solicitation is 16.560, titled "National Institute of Justice Research, Evaluation, and Development Project Grants" and the funding opportunity number is NIJ-2016-8997.

6. **Submit a valid application consistent with this solicitation by following the directions in Grants.gov.** Within 24-48 hours after submitting the electronic application, the applicant should receive two notifications from Grants.gov. The first will confirm the receipt of the application and the second will state whether the application has been successfully validated, or 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 well ahead of the deadline provides time to correct the problem(s) that caused the rejection. **Important**: OJP urges applicants to submit applications **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. All applications are due to be submitted and in receipt of a successful validation message in Grants.gov by 11:59 p.m. eastern time on May 19, 2016.

   Click here for further details on DUNS, SAM, and Grants.gov registration steps and timeframes.

Note: Duplicate Applications

If an applicant submits multiple versions of the same application, NIJ will review <u>only</u> the most recent system-validated version submitted. See Note on File Names and File Types under How To Apply.

Experiencing Unforeseen Grants.gov Technical Issues

Applicants that experience unforeseen Grants.gov technical issues beyond their control that prevent them from submitting their application by the deadline must contact the Grants.gov Customer Support Hotline or the SAM Help Desk (Federal Service Desk) to report the technical issue and receive a tracking number. The applicant must e-mail the NIJ contact identified in the Contact Information section on page 2 **within 24 hours after the application deadline** and request approval to submit their application. The e-mail must describe the technical difficulties, and 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: NIJ does not automatically approve requests.** After the program office reviews the submission, and contacts the Grants.gov or SAM Help Desks to validate 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 applicant failed to follow all required procedures, which resulted in an untimely application submission, OJP will deny the applicant's request to submit their application.

The following conditions are generally 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, including firewalls.

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

E. Application Review Information

Selection Criteria

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

Statement of the Problem (Understanding of the problem and its importance) – 10%

1. Demonstrated understanding of the problem.

2. Demonstrated awareness of the state of current research.

Project Design and Implementation (Quality and technical merit) – 50%

1. Soundness of methods and analytic and technical approach to addressing the stated aim(s) of the proposed project.

2. Feasibility of proposed project.

3. Awareness of potential pitfalls of proposed project design and feasibility of proposed actions to minimize and/or mitigate them.

Potential Impact – 20%

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 proposal).

2. Demonstrated ability of the applicant organization to manage the effort.

3. Relationship between the capabilities/competencies of the proposed project staff (including the applicant organization) and the scope of the proposed project.

Budget

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. Proposed budget alignment with proposed project activities.

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

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

Review Process

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

Peer reviewers will review the applications submitted under this solicitation that meet basic minimum requirements. For purposes of assessing whether applicants have met basic minimum requirements, OJP screens applications for compliance with specified program requirements to help determine which applications should proceed to further consideration for award. Although program requirements may vary, the following are common requirements applicable to all solicitations for funding under OJP grant programs:

- Applications must be submitted by an eligible type of applicant.

- Applications must request funding within programmatic funding constraints (if applicable).

- Applications must be responsive to the scope of the solicitation.

- Applications must include all items designated as "critical elements."

- Applicants will be checked against the System for Award Management.

For a list of critical elements, see "What an Application Should Include" under Section D. Application and Submission Information.

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NIJ may use internal peer reviewers, external peer reviewers, or a combination, to assess applications meeting basic minimum requirements on technical merit using the solicitation's selection criteria. An external peer reviewer is an expert in the subject matter of a given solicitation who is not a current DOJ employee. An internal reviewer is a current DOJ employee who is well-versed or has expertise in the subject matter of this solicitation. A peer review panel will evaluate, score, and rate applications that meet basic minimum requirements.

OJP reviews applications for potential discretionary awards to evaluate the risks posed by applicants before they receive an award. This review may include but is not limited to the following:

1. Financial stability and fiscal integrity.

2. Quality of management systems and ability to meet the management standards prescribed in the Financial Guide.

3. History of performance.

4. Reports and findings from audits.

5. The applicant's ability to effectively implement statutory, regulatory, or other requirements imposed on award recipients.

6. Proposed costs to determine if the Budget Detail Worksheet and Budget Narrative accurately explain project costs, and whether those costs are reasonable, necessary, and allowable under applicable federal cost principles and agency regulations.

All final award decisions will be made by the Director of the National Institute of Justice. Peer reviewers' ratings and any resulting recommendations are advisory only, although their views are considered carefully. In addition to peer review ratings, considerations for award recommendations and decisions may include, but are not limited to, planned scholarly products, proposed budgets, past performance (including scholarly products) under prior NIJ and OJP awards, research independence and integrity, strategic priorities, and available funding when making awards.

F. Federal Award Administration Information

Federal Award Notices

OJP sends award notification 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 how to accept the award in GMS. GMS automatically issues the notifications at 9:00 p.m. eastern time on the award date (by September 30, 2016). Recipients will be required to login; accept any outstanding assurances and certifications on the award; designate a financial point of contact; and review, sign, and accept the award. The award acceptance process involves physical signature of the award document by the authorized representative and the scanning of the fully-executed award document to OJP.

Administrative, National Policy, and other Legal Requirements

If selected for funding, in addition to implementing the funded project consistent with the agency-approved project proposal and budget, the recipient must comply with award terms and conditions, and other legal requirements, that are included in the award, incorporated into the award by reference, or are otherwise applicable to the award. OJP strongly encourages prospective applicants to review the information pertaining to these requirements **prior** to submitting an application. To assist applicants and recipients in accessing and reviewing this information, OJP has placed it on its Solicitation Requirements page of the OJP Funding Resource Center.

Please note in particular the following two forms, which applicants must submit in GMS prior to the receipt of any award funds, as each details legal requirements with which applicants must provide specific assurances and certifications of compliance. Applicants may view these forms in the OJP Funding Resource Center and are strongly encouraged to review and consider them carefully prior to making an application for OJP grant funds.

- Certifications Regarding Lobbying; Debarment, Suspension and Other Responsibility Matters; and Drug-Free Workplace Requirements.

- Standard Assurances.

Upon grant approval, OJP electronically transmits (via GMS) the award document to the prospective award recipient. In addition to other award information, the award document contains award terms and conditions that specify national policy requirements[20] with which recipients of federal funding must comply; uniform administrative requirements, cost principles, and audit requirements; and program-specific terms and conditions required based on applicable program (statutory) authority or requirements set forth in OJP solicitations and program announcements. For example, certain efforts may call for special requirements, terms, or conditions relating to intellectual property, data/information-sharing or -access, or information security; or audit requirements, expenditures and milestones, or publications and/or press releases.

OJP also may place additional terms and conditions on an award based on its risk assessment of the applicant, or for other reasons it determines necessary to fulfill the goals and objectives of the program.

Prospective applicants may access and review the text of mandatory conditions OJP includes in all OJP awards, as well as the text of certain other conditions, such as administrative conditions, via the Mandatory Award Terms and Conditions page of the OJP Funding Resource Center.

As stated above, NIJ expects that it will make any award from this solicitation in the form of a cooperative agreement. Cooperative agreement awards include standard "federal involvement" conditions that describe the general allocation of responsibility for execution of the funded program. Generally stated, under cooperative agreement awards, responsibility for the day-to-day conduct of the funded project rests with the recipient in implementing the funded and

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[20] *See generally* 2 C.F.R. 200.300 (provides a general description of national policy requirements typically applicable to recipients of Federal awards, including the Federal Funding Accountability and Transparency Act of 2006 (FFATA)).

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approved proposal and budget, and the award terms and conditions. Responsibility for oversight and redirection of the project, if necessary, rests with NIJ.

In addition to any "federal involvement" condition(s), OJP cooperative agreement awards include a special condition specifying certain reporting requirements required in connection with conferences, meetings, retreats, seminars, symposium, training activities, or similar events funded under the award, consistent with OJP policy and guidance on "conference" approval, planning, and reporting.

General Information About Post-Federal Award Reporting Requirements

Recipients 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. Applicants should anticipate that NIJ will require recipients to use a version of the non-budgetary components of the Research Performance Progress Report (RPPR) template/format for progress reports, appropriately modified for NIJ research awards. 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.

Special Reporting requirements may be required by OJP depending on the statutory, legislative or administrative requirements of the recipient or the program.

As indicated earlier in this solicitation, NIJ expects scholarly products to result from any award under this solicitation. Please review the Deliverables and Expected Scholarly Products segment of the "Program-Specific Information" section of this solicitation, as well as the "Performance Measures" section.

In addition to the expectation of scholarly products, successful applicants under this solicitation will be required to submit the following deliverables regarding the work funded by the NIJ award*.*

Required Data Sets and Associated Files and Documentation

As discussed earlier, NIJ requires recipients of an award under this solicitation to submit to NACJD all data sets that result in whole or in part from the work funded by NIJ, along with associated files and any 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. All data sets and necessary documentation are to be submitted 90 days prior to the end of the project period. For more information, see the "Program Narrative" section of What an Application Should Include.

G. Federal Awarding Agency Contact(s)

For Federal Awarding Agency Contact(s), see the title page.

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

H. Other Information

Provide Feedback to OJP

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

IMPORTANT: This e-mail is for feedback and suggestions only. Replies are not sent from this mailbox. If you have specific questions on any program or technical aspect of the solicitation, you must directly contact the appropriate number or e-mail listed on the front of this solicitation document. These contacts are provided to help ensure that you can directly reach an individual who can address your specific questions in a timely manner.

If you are interested in being a reviewer for other OJP grant applications, please e-mail your résumé to ojppeerreview@lmsolas.com. The OJP Solicitation Feedback email account will not forward your résumé. Note: Neither you nor anyone else from your organization can be a peer reviewer in a competition in which you or your organization have submitted an application.

Application Checklist

Community Corrections: Technology Research, Development and Evaluation to Improve Supervision and Outcomes

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

What an Applicant Should Do:

Prior to Registering in Grants.gov:
_____ Acquire a DUNS Number   (see page 27)
_____ Acquire or renew registration with SAM   (see page 27)
To Register with Grants.gov:
_____ Acquire AOR and Grants.gov username/password   (see page 27)
_____ Acquire AOR confirmation from the E-Biz POC   (see page 27)
To Find Funding Opportunity:
_____ Search for the funding opportunity on Grants.gov   (see page 27)
_____ Download Funding Opportunity and Application Package (see page 27)
_____ Sign up for Grants.gov email notifications (optional) (see page 26)
_____ Read Important Notice: Applying for Grants in Grants.gov
_____ Read OJP policy and guidance on "conference" approval, planning, and reporting
            available at ojp.gov/financialguide/DOJ/PostawardRequirements/chapter3.10a.htm
            (see page 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 28)
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 28)

General Requirements:

_____ Review the Solicitation Requirements in the OJP Funding Resource Center.

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   (see page 20)
_____ Budget Narrative   (see page 20)
_____ Indirect Cost Rate Agreement (if applicable)   (see page 21)
_____ Tribal Authorizing Resolution (if applicable)   (see page 22)
_____ Applicant Disclosure of High-Risk Status   (see page 22)
_____ Additional Attachments
            _____ Applicant Disclosure of Pending Applications   (see page 23)
            _____ Research and Evaluation Independence and Integrity   (see page 24)
_____ Financial Management and System of Internal Controls Questionnaire   (see page 25)
_____ Disclosure of Lobbying Activities (SF-LLL)   (see page 25)
_____ Employee Compensation Waiver request and justification (if applicable)
            (see page 13)