

Notices regarding the solicitation “Research and Development in Forensic Science for Criminal Justice Purposes”

January 11, 2017: The operational requirements referenced in this solicitation have been updated.

The updated operational requirements are available at
<http://www.nij.gov/topics/forensics/pages/forensic-operational-requirements.aspx>.

The original solicitation document begins on the next page.



The [U.S. Department of Justice](#) (DOJ), [Office of Justice Programs](#) (OJP), [National Institute of Justice](#) (NIJ) is seeking applications for funding of basic or applied research and development in forensic science for criminal justice purposes. This program furthers the Department's mission by sponsoring research to provide objective, independent, evidence-based knowledge and tools to meet the challenges of criminal justice, particularly at the state and local levels. NIJ's Forensic Science Technology Working Group (TWG) assists in identifying and prioritizing operational needs and requirements of the field. The forensic science needs discussed at the FY 2015 TWG meeting may be found on [NIJ.gov](#) and are intended to facilitate proposal development.

Research and Development in Forensic Science for Criminal Justice Purposes

Applications Due: February 28, 2017

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. Federal agencies are eligible to apply. (Any award made to a federal agency will be made as an interagency reimbursable agreement). For-profit organizations must agree to forgo any profit or management fee. Foreign governments, foreign organizations, and foreign colleges and universities are not eligible to apply.

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

Under this solicitation, any particular applicant entity may submit more than one application, as long as each application proposes a different project in response to the solicitation. Also, an entity may be proposed as a subrecipient ("subgrantee") in more than one application.

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

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

Deadline

Applicants must register with [Grants.gov](https://grants.gov) prior to submitting an application. All applications are due by 11: 59 p.m. eastern time on February 28, 2017.

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

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

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

Contact Information

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

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

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

Grants.gov number assigned to this announcement: NIJ-2017-11080

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Research and Development in Forensic Science for Criminal Justice Purposes

(CFDA No. 16.560)

A. Program Description

Overview

With this solicitation, NIJ seeks proposals for basic or applied research and development projects. An NIJ forensic science research and development grant supports a discrete, specified, circumscribed project that will: (1) increase the body of knowledge to guide and inform forensic science policy and practice, or (2) lead to the production of useful material(s), device(s), system(s), or method(s) that have the potential for forensic application. The intent of this program is to direct the findings of basic scientific research; research and development in broader scientific fields applicable to forensic science; and ongoing forensic science research toward the development of highly-discriminating, accurate, reliable, cost-effective, and rapid methods for the identification, analysis, and interpretation of physical evidence for criminal justice purposes. The forensic science operational needs discussed at NIJ's FY 2015 Forensic Science TWG meeting may be found on NIJ.gov, and are intended to assist in proposal development. Additional research needs of the forensic science community can be found at the Organization of Scientific Area Committees website.

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

Program-Specific Information

This solicitation seeks applications for funding to support basic or applied research and development forensic science projects. For the purposes of this solicitation, the following definitions apply:

- **Forensic**—Of, relating to, or used in legal proceedings or argumentation.²
- **Science**—The observation, identification, description, experimental investigations, and theoretical explanation of natural phenomena.³
- **Basic research**—A systematic study directed toward fuller knowledge or understanding of the fundamental aspects of phenomena and of observable facts without specific applications towards processes or products in mind. Basic research may include activities with broad applications in mind.⁴ (For the purposes of this solicitation, basic research must include activities with broad application to forensic sciences related to the criminal justice system.)

² The definition of "forensic" is taken from *Webster's II New Riverside University Dictionary*.

³ The definition of "science" is taken from *Webster's II New Riverside University Dictionary*.

⁴ Definition is taken from: OMB Circular A-11, Preparation, Submission, and Execution of the Budget, Section 84—Character Classification (Schedule C).

- **Applied research**—A systematic study to gain knowledge or understanding necessary to determine the means by which a recognized and specific need may be met.⁵ (For the purposes of this solicitation, the specific need(s) being met must relate to the improvement of forensic science services for criminal justice purposes.)
- **Development**—The systematic application of knowledge or understanding, directed toward the production of useful materials, devices, and systems or methods, including design, development, and improvement of prototypes and new processes to meet specific requirements.⁶ (For the purposes of this solicitation, the development of forensic technologies and methods should assist in answering questions posed in criminal investigations or increase crime laboratory capacity to meet the demand for forensic science services.)

Proposals are expected to identify the forensic science discipline(s) intended to benefit from the project. **The forensic science discipline(s) should be listed in the keywords on the title page.** Some of the forensic science disciplines are listed below (where available, links have also been provided to sites containing additional information).

- DNA and forensic biology (www.cstl.nist.gov/strbase, www.swgdam.org, <https://www.nist.gov/topics/forensic-science/biologydna-scientific-area-committee>).
- Forensic crime scene analysis (<https://www.nist.gov/topics/forensic-science/crime-scenedeath-investigation-scientific-area-committee>, <https://www.nist.gov/topics/forensic-science/crime-scene-investigation-subcommittee>).
- Forensic anthropology and forensic odontology (www.swganth.org, <https://www.nist.gov/topics/forensic-science/anthropology-subcommittee>, <https://www.nist.gov/topics/forensic-science/odontology-subcommittee>).
- Bloodstain pattern analysis (<http://www.swgstain.org/>, <https://www.nist.gov/topics/forensic-science/bloodstain-pattern-analysis-subcommittee>).
- Controlled substances (www.swgdrug.org, <https://www.nist.gov/topics/forensic-science/seized-drugs-subcommittee>).
- Fire debris analysis and arson scene investigations (<https://www.nist.gov/topics/forensic-science/fire-and-explosion-investigation-subcommittee>, <https://www.nist.gov/topics/forensic-science/fire-debris-and-explosives-subcommittee>).
- Firearms and toolmark identification (www.swggun.org, <https://www.nist.gov/topics/forensic-science/firearms-and-toolmarks-subcommittee>).
- Latent print (www.swgfast.org, <https://www.nist.gov/topics/forensic-science/friction-ridge-subcommittee>).
- Shoeprint/tire tread examination (www.swgtread.org, <https://www.nist.gov/topics/forensic-science/footwear-and-tire-subcommittee>).

⁵ Ibid.

⁶ Ibid.

- Questioned documents (www.swgdoc.org, <https://www.nist.gov/topics/forensic-science/forensic-document-examination-subcommittee>).
- Trace evidence (www.swgmat.org, <https://www.nist.gov/topics/forensic-science/sac-chemistryinstrumental-analysis>, <https://www.nist.gov/topics/forensic-science/materials-trace-subcommittee>).
- Forensic toxicology (www.swgtox.org, <https://www.nist.gov/topics/forensic-science/toxicology-subcommittee>).
- Medicolegal death investigations, including forensic pathology (www.swgmdi.org, <https://www.nist.gov/topics/forensic-science/crime-scenedeath-investigation-scientific-area-committee>, <https://www.nist.gov/topics/forensic-science/medicolegal-death-investigation-subcommittee>).

Goals, Objectives, Deliverables, and Expected Scholarly Products

NIJ's Research and Development in Forensic Science for Criminal Justice Purposes program is intended to meet the following goals and objectives. Proposals should address at least one of the goals specified below. Proposed projects that address more than one goal should be separated into discrete phases that clearly identify the goal to be addressed by each phase (additional information regarding the phasing of proposals can be found in [Section B. Federal Award Information](#)).

- **Fundamental/Basic Research Goal:** Improve the understanding of the accuracy, reliability, and measurement validity of forensic science disciplines. Applicants may refer to [*Strengthening Forensic Science in the United States: A Path Forward*](#) by the National Research Council of the National Academies to review research recommendations put forth by the committee. To achieve this goal, projects should meet at least one of the following objectives:
 - Conduct basic scientific research in the physical, life, and cognitive sciences that is designed to increase the knowledge underlying forensic science disciplines intended for use in the criminal justice system. For the purposes of this objective, basic research studies proposed must include activities with broad application to forensic sciences related to the criminal justice system. Proposals should describe the anticipated impact of the study on one or more forensic science disciplines.
 - Perform studies that examine the degree of accuracy and reliability of methods used by forensic scientists to achieve a more complete understanding of the scientific basis of forensic evidence and the interpretation of that evidence. Studies also may examine various processes within forensic methods, from the initial acceptance and examination of evidence for its probative value and quality, to the final interpretation of forensic results, including assessment of error rate.
 - Conduct research studies designed to further the understanding of quantifiable measures of uncertainty in the conclusions of forensic analyses, regardless of the sources of uncertainty. Studies should seek to establish limits of reliability and accuracy that forensic methods can achieve with respect to varying conditions of forensic evidence.

- Develop new approaches to forensic analysis, including quantitation of analyses that are currently qualitative in nature (e.g., in the development of quantitative studies related to friction ridge analysis or other impression and pattern evidence).
- **Applied Research Goal:** Increase knowledge or understanding necessary to guide criminal justice policy and practice related to the forensic sciences. To achieve this goal, projects should meet at least one of the following objectives:
 - Perform applied research to increase knowledge of physical evidence and/or its behavior. Examples include, but are not limited to, the study of fluid transfer and fluid dynamics of certain biological fluids (e.g., blood) to increase understanding of patterns deposited at crime scenes; the examination of chemical properties of evidence for the purpose of identifying source materials; studies of the behavior of chemical compounds of forensic interest in biological systems; research to better understand aged, degraded, limited, damaged, inhibited, or otherwise compromised physical evidence (e.g., studies on the effect of environmental factors on physical evidence; studies to increase the overall understanding of the processes and mechanisms that result in the inability to obtain analytical results from evidence).
 - Perform evaluation studies of technologies that are expected to have application to forensic sciences in criminal justice settings. The purpose of an evaluation must be to test a new, modified, or previously untested technology to determine whether it is effective for forensic science application. Proposals for evaluation studies should systematically use scientific methods to measure efficiency, implementation, and utility of the technology being evaluated. The primary intent of a proposed evaluation study must be to generate new knowledge or contribute to the knowledge in the forensic scientific literature. Furthermore, knowledge gained from an evaluation study should be applicable to sites other than the one(s) being evaluated. An evaluation study should result in a report suitable for publication and dissemination to guide criminal justice policy and/or practice related to the forensic sciences. The results of an evaluation study should contribute to **generalizable knowledge that can be applied beyond a particular program/geography, and can inform other researchers, practitioners, and/or policymakers.**
- **Development Goal:** Produce novel and useful materials, devices, systems, or methods that have the potential for forensic application for criminal justice purposes. For development projects, proposals should demonstrate potential for increased quality of result and/or decreased time/cost for forensic analyses as compared to current standard practices. In order to achieve this goal, projects should meet at least one of the following objectives:
 - Improve the “front end” of the forensic analysis processes. Examples include, but are not limited to, the development of improved methods for detection and identification of evidence at crime scenes, the development of improved screening methods to help assess the probative value of physical evidence (i.e., onsite presumptive and/or confirmatory analysis of evidence), the development of improved means to remotely detect forensic evidence at a crime scene to overcome scene hazards and prevent evidence contamination, the development of nondestructive or minimally destructive methods for evidentiary sample identification and/or collection, and the development of improved tools or methods for evidence preservation and/or storage.

- Develop instrumental systems to improve analysis throughput and the reliability, reproducibility, selectivity, and/or sensitivity of current methods used in crime laboratories for forensic analysis.
- Develop tools or methods that can separate the various components of a mixture. The separation method must be successful on typical forensic samples (limited in yield, etc.) and must not reduce the efficiency of downstream forensic methods. Examples of mixtures include, but are not limited to, cells from different sources (e.g., sperm cells from female epithelial cells, epithelial cells from different sources), products of DNA processes (e.g., polymerase chain reaction [PCR] products in mixtures from two or more individuals), and trace materials.
- Develop improved tools for examining aged, degraded, limited, damaged, inhibited, or otherwise compromised physical evidence. Examples include, but are not limited to, the development of tools to determine the condition of the evidence to assist crime laboratory analysts in selecting the appropriate analytical approach, the development of methods to repair damaged evidence (without compromising sample integrity) to increase the likelihood of obtaining an analytical result, improvements to the methods for detection and/or removal or remediation of substances that inhibit the success of analysis, or other methods that will maximize the success rate of the analysis of compromised evidence.
- Develop novel approaches to forensic science methods for analysis and interpretation. Examples include streamlined, portable, high-throughput, more informative, more sensitive, less susceptible to inhibition, and other novel methods for analysis of physical evidence for criminal justice purposes.
- Develop novel approaches and/or enhance current approaches to interpret forensic data derived from physical evidence, including an assessment of the significance of association. This may include development of databases (comprehensive, searchable, easily accessible, secure databases for use in determining the statistical strength of analytical results obtained from evidence found at crime scenes) and/or analyses that provide quantitative measures and statistical evaluation of forensic evidence.

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

Some projects may be chosen for technology evaluation or technology transition activities. More information, including examples of previous workshops and evaluations, can be found through the following links: www.nij.gov/topics/forensics/lab-operations/Pages/workshops.aspx and www.forensiccoe.org/Our-Impact/Sharing-Knowledge/Workshops.

NIJ encourages researchers to seek guidance from, or partner with, crime laboratories. Such associations foster a greater understanding of the issues unique to the field of forensic science, and may strengthen the scope of the proposed research plan.

Information on NIJ's forensic science research and development programs (including previously funded projects) can be found at: <http://www.nij.gov/topics/forensics/pages/welcome.aspx>.

New Investigator Opportunities

NIJ is interested in funding new investigators in forensic science research as it pertains to NIJ's mission. Proposals whose principal investigator and any co-investigator(s) are defined as "new investigators" may, in appropriate circumstances, be given special consideration in award decisions.

To be considered a "new investigator" for the purposes of this solicitation, one of the two sets of criteria below must be demonstrated, and the applicant should identify the principal investigator(s) and any co-investigators, as "new investigator(s)" on the title page of the proposal:

- The investigator must have received — no earlier than April 1, 2013 — an initial appointment in the United States to a full-time junior faculty position at a university or to an equivalent full-time staff scientist position in a research institution; hold such a full-time appointment at the time of application submission; and must never have received NIJ funding for a research project — other than a Graduate Research Fellowship program grant. (Typically, the appropriate faculty rank is that of "Assistant Professor," although some institutions may use a different title to designate junior faculty status.)
- The investigator must be an established researcher who has not successfully competed for NIJ funding as a principal investigator, co-principal investigator, or collaborative researcher in the past 10 years. The investigator must hold a full-time appointment in the United States to a faculty position at a university or an equivalent position as a scientist on the staff of a research institution at the time of application submission.

In the case of a grant application that involves more than one investigator, **all co-investigators must meet the definition of "new investigator" in order for the application to be considered as one from a "new investigator."**

Innovative Areas of Research Opportunities

NIJ is interested in funding innovative research in developing fields as applied to the forensic sciences. Proposals that contribute to the following national research initiatives may be given special consideration in award decisions. If submitting a research proposal that contributes to the following national research initiatives, the applicant should state thus on the title page of the proposal.

- **Nanotechnology:** Nanotechnology is the understanding and control of matter at dimensions between approximately 1 and 100 nanometers, where unique phenomena enable novel applications. Encompassing nanoscale science, engineering, and technology, nanotechnology involves imaging, measuring, modeling, and manipulating matter at this length scale.⁷ The National Nanotechnology Initiative is a U.S. government research and development initiative to understand and control matter at the nanoscale, intended to revolutionize technology and industry to benefit society. NIJ is interested in funding proposals that employ nanotechnology to advance the forensic science

⁷ www.nano.gov/sites/default/files/pub_resource/2014_nni_strategic_plan.pdf.

disciplines. Information on the National Nanotechnology Initiative can be found at: www.nano.gov/.

- **Microbiome:** Microbiomes are the communities of microorganisms that live on or in people, plants, soil, oceans, and the atmosphere. Microbiomes maintain healthy function of these diverse ecosystems, influencing human health, climate change, food security, and other factors. Although new technologies have enabled exciting discoveries about the importance of microbiomes, scientists still lack the knowledge and tools to manage microbiomes in a manner that prevents dysfunction or restores healthy function.⁸ The National Microbiome Initiative was launched to foster the study of microbiomes across different ecosystems. There are many potential applications to studying the microbiome for forensic purposes. A well-known application is the estimation of time since death by recording the change in the microbiome over a known period of time; however, the study of the microbiome for other forensic purposes is encouraged. NIJ is interested in funding proposals investigating the microbiome for forensic applications beyond postmortem interval (i.e., time since death) determination. Such applications may be related to trace evidence, cause of death, or human identification, among others. A fact sheet on the National Microbiome Initiative, including a description of recent NIJ funding in microbiome-related research, can be found at: [https://www.whitehouse.gov/sites/whitehouse.gov/files/documents/OSTP National Microbiome Initiative Fact Sheet.pdf](https://www.whitehouse.gov/sites/whitehouse.gov/files/documents/OSTP%20National%20Microbiome%20Initiative%20Fact%20Sheet.pdf).
- **Fatal Head Trauma:** The BRAIN (Brain Research through Advancing Innovative Neurotechnologies) Initiative is a “research effort to revolutionize our understanding of the human mind...” NIJ is interested in funding proposals investigating the human brain for forensic applications. Such applications may include cause of death determination, pediatric head trauma assessment, or sudden and unexplained death in infants and adults. Information on the BRAIN Initiative can be found at: www.whitehouse.gov/brain.

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

⁸ <https://www.whitehouse.gov/sites/whitehouse.gov/files/documents/OSTP%20National%20Microbiome%20Initiative%20Fact%20Sheet.pdf>.

Performance Measures

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.	<ol style="list-style-type: none"> 1. Relevance to the needs of the field as measured by whether the project's substantive scope did not deviate from the funded 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. If applicable, the number of technologies fielded as a result (in whole or in part) of work funded under the NIJ award. 	<ol style="list-style-type: none"> 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. If applicable, a description of all technologies fielded as a result (in whole or in part) of work funded under the NIJ award.

B. Federal Award Information

Total funding for this solicitation and the number of awards made will depend on the availability of funds, the quality of the applications, and other pertinent factors. In fiscal year 2015, NIJ provided over \$29,748,420 million in grants to fund research and development projects related-to forensic science, including DNA. NIJ funding for an individual research or development project rarely exceeds \$500,000 annually, although total funding for projects requiring multiple years to complete has exceeded \$1 million in some cases. In FY 2015, the average forensic science research and development award was approximately \$238,943 per year, and the average project period was two years. **NIJ encourages the submission of proposed project periods that do not exceed three years.**

To allow time for (among other things) any necessary post-award review and financial clearance by OJP of the proposed budget (and for any associated responses or other action(s) that may be required of the recipient), applicants should propose an award start date of January 1, 2018.

If the applicant is proposing a project that reasonably could be conducted in discrete phases, with each phase resulting in completion of one or more significant, defined milestones, then NIJ strongly recommends that the applicant structure the application—specifically including the narrative, expected scholarly products, timelines/milestones, and budget detail worksheet and budget narrative—to clearly set out each phase. (This is particularly the case if the applicant proposes a project that will exceed—in cost or the length of the period of performance—the amount or length anticipated for an individual award (or awards) under this solicitation.) Given

limitations on the availability to NIJ of funds for awards for research, development, and evaluation, this information will assist NIJ in considering whether partial funding of applications would be productive. (If, in FY 2017, NIJ elects to fund only certain phases of a proposed project, the expected scholarly products from the partial-funding award may, in some cases, vary from those described above.)

NIJ may, in certain cases, provide additional funding in future years to awards made under its research, development, and evaluation solicitations, through supplemental awards. In making decisions regarding supplemental awards, NIJ will consider, among other factors, the availability of appropriations, OJP's strategic priorities, and OJP's assessment of both the management of the award (for example, timeliness and quality of progress reports), and the progress of the work funded under the award.

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

Type of Award

NIJ expects that any award under this solicitation will be in the form of a grant. See [Administrative, National Policy, and Other Legal Requirements](#), under [Section F. Federal Award Administration Information](#), for a brief discussion of important statutes, regulations, and award conditions that apply to many (or in some cases, all) OJP grants.

Any funds provided to another federal agency will be transferred by interagency agreement.

Please note: Any recipient of an award under this solicitation will be required to comply with DOJ regulations on confidentiality and protection of human subjects. See "Requirements related to Research" under ["Overview of Legal Requirements Generally Applicable to OJP Grants and Cooperative Agreements - FY 2017 Awards"](#) in the [OJP Funding Resource Center](#).

Financial Management and System of Internal Controls

Award recipients and subrecipients (including recipients or subrecipients that are pass-through entities⁹) must, as described in the Part 200 Uniform Requirements¹⁰ as set out at 2 C.F.R. 200.303:

- (a) Establish and maintain effective internal control over the Federal award that provides reasonable assurance that [the recipient (and any subrecipient)] is managing the Federal award in compliance with Federal statutes, regulations, and the terms and conditions of the Federal award. These internal controls should be in compliance with guidance in "Standards for Internal Control in the Federal Government" issued by the Comptroller General of the United States and the "Internal Control Integrated Framework", issued by the Committee of Sponsoring Organizations of the Treadway Commission (COSO).
- (b) Comply with Federal statutes, regulations, and the terms and conditions of the Federal awards.

⁹ For purposes of this solicitation, the phrase "pass-through entity" includes any recipient or subrecipient that provides a subaward ("subgrant") to carry out part of the funded award or program.

¹⁰ The "Part 200 Uniform Requirements" means the DOJ regulation at 2 C.F.R. Part 2800, which adopts (with certain modifications) the provisions of 2 C.F.R. Part 200.

- (c) Evaluate and monitor [the recipient's (and any subrecipient's)] compliance with statutes, regulations and the terms and conditions of Federal awards.
- (d) Take prompt action when instances of noncompliance are identified including noncompliance identified in audit findings.
- (e) Take reasonable measures to safeguard protected personally identifiable information and other information the Federal awarding agency or pass-through entity designates as sensitive or [the recipient (or any subrecipient)] considers sensitive consistent with applicable Federal, state, local, and tribal laws regarding privacy and obligations of confidentiality.

To help ensure that applicants understand applicable administrative requirements and cost principles, OJP encourages prospective applicants to enroll, at no charge, in the DOJ Grants Financial Management Online Training, available [here](#).

Budget Information

What will not be funded:

- Proposals that are not responsive to this specific solicitation. This includes:
 - Proposals that do not contain a research component or do not respond to the specific goals of this solicitation.
 - Proposals that do not clearly address criminal justice concerns in the United States.
- 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 include equipment purchases should include a discussion of how federally-funded equipment is proposed to be used after the funded work has been completed and/or the project period has ended. Note that OJP may issue specific equipment disposition instructions in appropriate circumstances.)
- Provision of training or direct service.
- Proposals in the area of digital evidence or digital forensics. Digital evidence includes information stored or transmitted in binary form that may be relied on in court. It is typically found on computer hard drives, mobile phones, personal digital assistants, CDs/DVDs, flash memory equipment and other electronic devices. Digital evidence is commonly associated with electronic crime (e.g., child pornography or credit card fraud); however, digital evidence can also be used as forensic evidence in other types of crimes.
- Proposals that focus primarily on crimes directly related to nonhuman animals. (A project may include nonhuman animals, if: (a.) they are necessary to conduct the proposed research [e.g., the use of animals or other organisms for experimental modeling], or (b.) the nonhuman biological components are analogous to the physical evidence that would be examined in criminal investigations involving human suspects and victims.)

- Proposals focusing on the estimation of postmortem interval (i.e. time since death) whose research design is not novel nor applicable across the geography of the United States. The primary intent of these studies must be to generate new knowledge or contribute to the knowledge in the forensic scientific literature that is applicable to locations other than the one(s) being evaluated.
- Proposals that focus on predicting the behavior of criminal offenders or indicators that result in victimization.
- Proposals that seek to administer surveys on the perceptions of physical evidence collection policies among evidence examiners.
- Proposals that focus on legal factors involved in how physical evidence is processed.
- Proposals for social science research whose primary focus is not identification, collection, testing and interpretation of physical evidence.
- Proposals focused on criminal psychology.
- Proposals involving the use of canines, (e.g. detector dogs).
- Proposals on voice authentication.
- Proposals on deception detection.
- Costs associated with conducting conferences. A conference is a symposium, seminar, workshop, or any other organized and formal meeting, whether conducted face-to-face or via the Internet, where individuals assemble (or meet virtually) to exchange information and views or explore or clarify a defined subject, problem, or area of knowledge, whether or not a published report results from such meeting. A meeting where a gathering discusses general matters as part of a normal course of doing business is not considered a conference. Funds may be used to *attend* conferences for the purposes of dissemination of research findings.

Cost Sharing or Match Requirement

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

Pre-Agreement Cost

Requests for approval of pre-agreement costs will not be considered under this solicitation.

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.¹¹ The 2016 salary

¹¹ 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.

table for SES employees is available at the Office of Personnel Management [website](#). Note: A recipient may compensate an employee at a greater rate, provided the amount in excess of this compensation limitation is paid with non-federal funds. (Non-federal funds used for any such additional compensation will not be considered matching funds, where match requirements apply.) If only a portion of an employee's time is charged to an OJP award, the maximum allowable compensation is equal to the percentage of time worked times the maximum salary limitation.

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

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

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

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

Costs Associated with Language Assistance (if applicable)

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

For additional information, see the "Civil Rights Compliance" section under "[Overview of Legal Requirements Generally Applicable to OJP Grants and Cooperative Agreements - FY 2017 Awards](#)" in the [OJP Funding Resource Center](#).

C. Eligibility Information

For eligibility information, see title page.

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

D. Application and Submission Information

What an Application Should Include

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

Moreover, an applicant should anticipate that an application that OJP determines is nonresponsive to the scope of the solicitation, or that OJP determines does not include the application elements that NIJ has designated to be critical, will neither proceed to peer review nor receive further consideration. For this solicitation, NIJ has designated the following application elements as critical: Program Narrative, Budget Detail Worksheet, Budget Narrative, and resumes/curriculum vitae of key personnel. (For purposes of this solicitation, “senior/key personnel” means the principal investigator, and any and all co-principal investigators and other significant contributors.) An applicant may combine the Budget Narrative and the Budget Detail Worksheet in one document. However, if an applicant submits only one budget document, it must contain **both** narrative and detail information. Please review the “Note on File Names and File Types” under [How to Apply](#) to be sure applications are submitted in permitted formats.

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

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

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

To avoid processing delays, applicants must include an accurate legal name on their SF-424. Current OJP award recipients, when completing the field for “Legal Name” should use the same legal name that appears on the prior year award document which is also the legal name stored in OJP’s financial system. On the SF-424, enter the Legal Name in box 5 and Employer Identification Number (EIN) in box 6 exactly as it appears on the prior year award document. Applicants with current awards must ensure that their GMS profile is current. If it isn’t they should submit a GAN updating the information on their GMS profile prior to applying under this solicitation.

New applicants should enter the Official Legal Name and address of the applicant entity in box 5 and the EIN in box 6 of the SF-424. Applicants must attach official legal documents to their applications (e.g., articles of incorporation, 501C3, etc.) to confirm the legal name, address, and EIN entered into the SF-424.

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

3. Program Narrative

The program narrative section of the application should not exceed 18 single-spaced pages in 12-point font with 1-inch margins, of which a minimum of nine (9) pages should be dedicated to Project Design and Implementation. If included in the main body of the program narrative, tables, charts, figures, and other illustrations count toward the 18-page limit for the narrative section. The project abstract, table of contents, appendices, and government forms do not count toward the 18-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.¹²

Program Narrative Guidelines:

a. Title Page (not counted against the 18-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,

¹² As noted earlier, if the proposed program or project reasonably could be conducted in discrete phases, with each phase resulting in completion of one or more significant, defined milestones, then NIJ strongly recommends that the applicant structure the application – specifically including the narrative, expected scholarly products, timelines/milestones, and budget detail worksheet and budget narrative – to set out each phase clearly. (In appropriate cases, the expected scholarly product(s) from a particular phase may vary from those described above.) See generally, “Goals, Objectives, Deliverables, and Expected Scholarly Products” under “Program-Specific Information,” above.

address, telephone number, and e-mail address) for both the applicant organization and the principal investigator, including “new investigator” status and/or “innovative area of research” proposal, as applicable.

b. Resubmit Response (if applicable) (not counted against the 18-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. See additional information regarding revision applications under Project Design and Implementation section below.

c. Table of Contents and Figures (not counted against the 18-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:

- Specific Aims
 - State concisely the goals of the proposed research and summarize the expected outcome(s), including the impact that the results of the proposed research will exert on the research field(s) involved.
 - List succinctly the specific objectives of the research proposed, e.g., to test a stated hypothesis, create a novel design, solve a specific problem, challenge an existing paradigm or forensic practice, address a critical barrier to progress in the field, or develop new technology.
- Research Strategy – Organize the Research Strategy in the specified order using the instructions provided below. Start each section with the appropriate section heading – Statement of the Problem, Project Design and Implementation, Impact, Capabilities and Competencies.
 - **Statement of the Problem.**
 - Explain the importance of the problem or critical barrier to progress in the field that the proposed project addresses.
 - Explain the criminal justice significance of the problem.
 - Describe the scientific premise for the proposed project, including consideration of the strengths and weaknesses of published research or preliminary data crucial to the support of your application.

- Describe the current state of the art and technologies, both in practice and in past/current research, directed at the described problem. If this request is a direct follow up of an earlier study, describe those results.
 - Explain how the proposed project will improve scientific knowledge, technical capability, and/or forensic practice. Describe how concepts, methods, technologies, or services that drive the forensic science field will be changed if the proposed aims are achieved.
- **Project Design and Implementation.** (This section should account for a minimum of nine (9) pages of the main body of the narrative.)
- Describe the overall strategy, methodology, and analyses to be used to accomplish the specific aims of the project. Describe the experimental design and methods proposed and how they will achieve robust and unbiased results. Include how the data will be collected, analyzed, and interpreted as well as any resource sharing plans as appropriate.
 - **Human Subjects/Study Population:** If the project will involve human subjects, clearly describe the study population. Include detailed information about how subjects were or will be identified and sampled and the method(s) of characterization. For case-control studies, provide inclusion and exclusion criteria and any matching done between cases and controls. Describe relevant environmental factors and how they were measured. If the subjects provided for this study are a subset of a family population, explain which individuals were included and how they were selected. Highlight special features of the study population that would enhance success.
 - **Sample Information:** In table form, provide: sample description such as case/control status and/or collection site; number of samples included in the study; subsample source (e.g., tissue source of the DNA). If data from other subjects will be included in the analysis, add row(s) to describe those samples. Three examples are provided here:

Sample Set	Target # of Samples	Source	Service	Previous Service
Known controls	500	Buccal	Targeted sequencing	STR base genotyping
Forensic samples	500	Buccal	Targeted sequencing	STR base genotyping

Sample Set	Target # of Samples	Source	Subsample Set	Service
Crania	300	Modern Donated Collection	300 individuals of known Hispanic Ancestry; 150 Male, 150 Female	Morphometric sex estimation
Pelvis	300	Modern Donated Collection	300 individuals of known Hispanic Ancestry; 150 Male, 150 Female	Morphometric sex estimation

Subject Description	Target # of Samples	Collection Site
Patients at drug rehab facilities	100	Scalp, cut (not plucked)
Controls – subjects donating hair for wigs	100	Scalp, cut (not plucked)

Provide supporting text that justifies the choice of samples. Describe other relevant information (e.g., the extraction methods used for each DNA source and the approximate DNA concentrations). Describe previous analyses done on these subjects.

- **Power and Effect Size:** Use power analyses to describe the range of effect sizes detectable by the study. Address relevant features of the analytic plan, such as the model(s) to be tested, the extent of multiple testing, and what significance level would be used for testing. Include all appropriate parameters. If the study design requires separate analysis of subject groups, provide power analyses for each category. If there is a plan to test for environment effects, address the power for detection of these effects.
- **Data Analyses:** Provide a thorough plan for data analyses. Include: analytical approaches to be used and their justification; plans for quality control analyses; methods to control for possible confounding effects; how false positive rates will be controlled in light of multiple testing; etc. If there is a plan to analyze the data obtained with earlier data, or to perform comparisons to determine success, describe your strategy for that process.
- Describe the role of each team member in the analysis process, and summarize the team's experience with the approaches proposed.
- Discuss potential problems, alternative strategies, and benchmarks for success anticipated to achieve the aims.
- If the project is in the early stages of development, describe any strategy to establish feasibility, and address the management of any high-risk aspects of the proposed work.
- Explain how relevant variables are factored into research designs and analyses.
- **Data Management:** Describe the institutional computing resources available for this study, the type of database that will be used (if applicable), and how the data will be managed. Highlight the team's experience with management of data sets (especially those similar to the proposed project). Also describe strategies for data sustainability beyond the proposed funded work.
- As applicable, also include the following information as part of the Project Design and Implementation:
 - **Preliminary Studies for New Applications:** For new applications, include information on preliminary studies. Discuss the PI's

preliminary studies, data, and or experience pertinent to this application. Preliminary data can be an essential part of a research grant application, and help to establish the likelihood of success of the proposed project. New Investigators should include preliminary data.

○ **Potential Impact.**

- Explain the criminal justice significance of the proposed study.
- Explain how the application challenges and seeks to shift current research or forensic practice paradigms.
- Describe any novel theoretical concepts, approaches or methodologies, instrumentation, or interventions to be developed or used, and any advantage over existing methodologies, instrumentation, or inventions.
- Explain any refinements, improvements, or new applications of theoretical concepts, approaches or methodologies, or instrumentation.

○ **Capabilities/Competencies.**

- Facilities and Other Resources: Describe how the scientific environment in which the research will be done contributes to the probability of success (e.g., institutional support, physical resources, and intellectual rapport). In describing the scientific environment in which the work will be done, discuss ways in which the proposed studies will benefit from unique features of the scientific environment or subject populations or will employ useful collaborative arrangements. If there are multiple performance sites, describe the resources available at each site.
- Equipment: List major items of equipment already available for this project and, if appropriate identify location and pertinent capabilities.
- Senior/Key Personnel Profile: Describe each senior/key personnel's role in the project, and why the individual is well-suited for that role. The relevant factors may include: aspects of past training; previous experimental work on this specific topic or related topics; technical expertise; collaborators or scientific environment; and/or past performance in this or related fields. Senior/key personnel are defined as all individuals who contribute in a substantive, meaningful way to the scientific development or execution of the project, whether or not salaries are requested. Consultants should be included if they meet this definition.
 - Principal investigator (PI) profile should be listed first.
 - Senior/Key Personnel Profile: The remaining senior/key personnel profiles should be listed in alphabetical order. While

alphabetical order is preferred, it is not required. However, be aware that these profiles will appear in the application in the order provided by the applicant. Therefore, peer reviewers will see them in the order presented. Those with a postdoctoral role should be included if they meet the definition of senior/key personnel.

- Other Significant Contributors (OSCs): OSCs are those individuals who commit to contribute to the scientific development or execution of the project, but do not commit any specified measurable effort (i.e., person months) to the project. These individuals are typically presented at effort of “zero person months” or “as needed.” Individuals with measurable effort may not be listed as OSCs. Consultants should be included if they meet the OSC definition. OSCs should be listed after all senior/key persons.

- Review of Relevant Literature.
- Planned Scholarly Products (See [Goals, Objectives, Deliverables, and Expected Scholarly Products](#) under [Program-Specific Information](#), above, for a discussion of expected scholarly products.)
- Implications for criminal justice policy and practice in the United States.
- Plan for Dissemination to Broader Audiences (if applicable to the proposed project). Applicants should identify plans (if any) to produce or to make available to broader interested audiences – such as criminal/juvenile justice (and other related fields) practitioners or policymakers – summary information from the planned scholarly products of the proposed project (such as summaries or translational materials 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. Appendices (not counted against the 18-page program narrative limit; however, do not use the appendix to circumvent the program narrative page limits) include:

- Bibliography/references. Provide a bibliography of any references cited in the Project Narrative. Each reference must include the names of all authors (in the same sequence in which they appear in the publication), the article and journal title, book title, volume number, page numbers, and year of publication. Include only bibliographic citations. While there is not a page limitation, it is important to be concise, and to select only those literature references pertinent to the proposed research. Attach this information as a separate PDF file titled “Bibliography and References Cited.”
- 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. (Tables, charts, graphs, or other

relevant illustrations that are essential for comprehension of the project/program design should be included in the main body of the narrative.)

- Curriculum vitae or resumes of senior/key personnel. For the purposes of this solicitation, “senior/key personnel” means the principal investigator, any and all co-principal investigators, and other significant contributors. Reviewers use these pages in part to address the “Capabilities/Competencies” selection criterion. Attach this information as a separate PDF file titled “Curriculum Vitae or Resumes of Senior/Key Personnel.”
- Documentation of “new investigator” status, if applicable.
- Proposed project timeline and expected milestones.
- Progress report for renewal and revision applications, if applicable. For renewal/revision applications, provide a progress report. Provide the beginning and ending dates for the period covered since the last competitive review. Summarize the specific aims of the previous project period and the importance of the findings, and emphasize the progress made toward their achievement. Explain any significant changes to the specific aims and any new directions, including changes to the specific aims resulting from significant budget reductions. For any studies meeting the NIH definition for research involving human subjects (<http://www.nih.gov/funding/humansubjects/pages/welcome.aspx>), discuss previous participant enrollment (e.g., recruitment, retention, inclusion of women, minorities, children etc.) as part of the progress report, particularly if relevant to studies proposed in the renewal or revision application. If applicable, Reviewers use these pages in part to address the “Project Design and Implementation” selection criterion. Attach this information as a separate PDF file titled “Progress Report for Renewal”.
- Progress report publication list (renewal applications only). List the titles and complete references to all appropriate publications, manuscripts accepted for publication, patents, and other printed materials that have resulted from the project since it was last reviewed competitively. This list should be included with the “Progress Report for Renewal” PDF file attachment noted above.
- Multiple PI leadership plan. For applications designating multiple PIs, a leadership plan must be included. For applications designating multiple PIs, all such individuals must be assigned the PI role on the Senior/Key Personnel Profile form, even those at organizations other than the applicant organization. A rationale for choosing a multiple PI approach should be described. The governance and organizational structure of the leadership team and the research project should be described, including communication plans, process for making decisions on scientific direction, and procedures for resolving conflicts. The roles and administrative, technical, and scientific responsibilities for the project or program should be delineated for the PIs and other collaborators. Do not submit a leadership plan if you are not submitting a multiple PI application. Reviewers use these pages in part to address the “Capabilities/Competencies” selection criterion. Attach this information as a separate PDF file titled “Multiple PI Leadership Plan.”

- Consortium/contractual arrangements. Explain the programmatic, fiscal, and administrative arrangements to be made between the applicant organization and the consortium organization(s). If consortium/contractual activities represent a significant portion of the overall project, explain why the applicant organization, rather than the ultimate performer of the activities, should be the grantee. Reviewers use these pages in part to address the “Project Design and Implementation” selection criterion. Attach this information as a separate PDF file titled “Consortium/Contractual Arrangements”
- Letters of Support. Attach all appropriate letters of support, including any letters necessary to demonstrate the support of consortium participants and collaborators such as senior/key personnel and other significant contributors included in the grant application. Letters are not required for personnel (such as research assistants) not contributing in a substantive, measurable way to the scientific development or execution of the project. Letters should stipulate expectations for co-authorship, and whether samples, data, or other resources promised in the letter are freely available to other investigators in the scientific community or will be provided to the particular investigators only. For consultants, letters should include rate/charge for consulting services and level of effort/number of hours per year anticipated. In addition, letters ensuring access to core facilities and resources should stipulate whether access will be provided as a fee-for-service. Combine and attach this information as one separate PDF file titled “Letters of Support”.
- Resource sharing plan(s). NIH considers the sharing of unique research resources developed through NIH-sponsored research an important means to enhance the value and further the advancement of the research. When resources have been developed with NIH funds and the associated research findings published or provided to NIH, it is important that they be made readily available for research purposes to qualified individuals within the scientific community. Applications should include as an appendix a brief plan about proposed data management and archiving, including submission to NIH 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. Attach this information as a separate PDF file titled “Resource Sharing Plan(s).”
- Human Subjects Protection paperwork (documentation and forms related to Institutional Review Board (IRB) review). (See nii.gov/funding/humansubjects/Pages/welcome.aspx)
- Privacy Certificate (for further guidance go to nii.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 “Goals, Objectives, Deliverables, and Expected Scholarly Products” under “Program-Specific Information,” above, for definition of “scholarly products.”)
- List of other agencies, organizations, or funding sources to which this proposal has been submitted (if applicable).
- To assist OJP in assessing actual or apparent conflicts of interest (including such conflicts on the part of prospective reviewers of the application, a complete list of the individuals named or otherwise identified anywhere in the application (including in the budget or in any other attachment) who will or may work (or advise or consult) on the proposed research, development, or evaluation project. This applies to all such individuals, including, for example, individuals who are or would be employees of the applicant or employees of any proposed subrecipient entity, any individuals who themselves may be a subrecipient, and individuals who may (or will) work without compensation (such as advisory board members). This appendix to the program narrative is to include, for each listed individual: name, title, employer, any other potentially-pertinent organizational affiliation(s), and the individual's proposed roles and responsibilities in carrying out the proposed project. If the application identifies any specific entities or organizations (other than the applicant) that will or may work (or advise or consult) on the proposed project, without also naming any associated individuals, the name of each such organization also should be included on this list. Applicants should use the “Proposed Project Staff, Affiliation, and Roles” form available at www.nij.gov/funding/documents/nij-project-staff-template.xlsx to provide this list.

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

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

4. Budget and Associated Documentation

a. Budget Detail Worksheet

A sample Budget Detail Worksheet can be found at www.ojp.gov/funding/Apply/Resources/BudgetDetailWorksheet.pdf. An applicant that submits its budget in a different format should use the budget categories listed in the sample budget worksheet. (An applicant should include in the budget work associated with satisfying data archiving requirements.) NIJ expects applicants to provide a

thorough narrative for each section of the Budget Detail Worksheet. The Budget Detail Worksheet should break out costs by year.

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

b. Budget Narrative

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

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

c. Cofunding

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

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

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

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

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

Whether — for purposes of federal grants administrative requirements — a particular agreement between a recipient and a third party will be considered a "subaward" or instead considered a procurement "contract" under the award is determined by federal

rules and applicable OJP guidance. It is an important distinction, in part because the federal administrative rules and requirements that apply to "subawards" and procurement "contracts" under awards differ markedly.

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

This will be true **even if** the recipient, for internal or other non-federal purposes, labels or treats its agreement as a procurement, a contract, or a procurement contract. Neither the title nor the structure of an agreement determines whether the agreement — for purposes of federal grants administrative requirements — is a subaward or is instead a procurement "contract" under an award.

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

1. Information on proposed subawards

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

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

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

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

Unlike a recipient contemplating a subaward, a recipient of an OJP award generally does not need specific prior federal authorization to enter into an agreement that — for

purposes of federal grants administrative requirements — is considered a procurement contract, **provided that** (1) the recipient uses its own documented procurement procedures and (2) those procedures conform to applicable federal law, including the Procurement Standards of the (DOJ) Part 200 Uniform Requirements (as set out at 2 C.F.R. 200.317 - 200.326). The Budget Detail Worksheet and Budget Narrative should identify proposed procurement contracts. (As discussed above, subawards must be identified and described separately from procurement contracts.)

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

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

e. Pre-Agreement Cost Approvals

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

5. Indirect Cost Rate Agreement (if applicable)

Indirect costs may be charged to an award only if:

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

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

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

Certain OJP recipients have the option of electing to use the “de minimis” indirect cost rate. An applicant eligible to use the “de minimis” rate that wishes to use the “de minimis” rate should attach written documentation to the application that advises OJP of both — (1) the applicant’s eligibility to use the “de minimis” rate, and (2) its election to do so. If an eligible

applicant elects the “de minimis” rate, costs must be consistently charged as either indirect or direct costs, but may not be double charged or inconsistently charged as both. The “de minimis” rate may no longer be used once an approved federally-negotiated indirect cost rate is in place. (No entity that ever has had a federally-approved negotiated indirect cost rate is eligible to use the “de minimis” rate.)

6. Tribal Authorizing Resolution (if applicable)

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

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

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

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

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

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

8. Disclosure of Lobbying Activities

Each applicant must complete and submit this information. An applicant that expends any funds for lobbying activities is to provide all of the information requested on the form Disclosure of Lobbying Activities (SF-LLL). An applicant that does not expend any funds for lobbying activities is to enter "N/A" in the text boxes for item 10 ("a. Name and Address of Lobbying Registrant" and "b. Individuals Performing Services").

9. Additional Attachments

a. Applicant disclosure of pending applications¹³

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

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

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

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

¹³ 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.

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

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

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

b. Research and Evaluation Independence and Integrity

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

Each application should include an attachment that addresses **both** i. and ii. below. Attach this information as a separate PDF file titled "Research and Evaluation Independence and Integrity."

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

OR

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

OR

- b. If the applicant has identified actual or potential apparent conflicts of interest (personal, financial, or organizational) that could affect the independence and integrity of the research, including the design, conduct, or reporting of the research, the applicant is to provide a specific and robust mitigation plan to address each of those conflicts. At a minimum, the applicant is expected to explain the specific processes and procedures that the applicant has in place, or will put in place, to identify and eliminate (or, at the very least, mitigate) any such conflicts of interest pertinent to the funded project during the period

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

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

c. Disclosure of Process Related to Executive Compensation

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

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

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

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

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

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

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

How to Apply

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

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

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

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

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

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

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

Every applicant entity must comply with all applicable System for Award Management (SAM) and unique entity identifier (currently, "DUNS" number) requirements. If an applicant entity has not fully complied with applicable SAM and unique identifier requirements by the time OJP makes award decisions, OJP may determine that the applicant is not qualified to receive an award and may use that determination as a basis for making the award to a different applicant.

An individual who wishes to apply in his/her personal capacity should search Grants.gov for funding opportunities for which individuals are eligible to apply. Use the Funding Opportunity Number (FON) to register. (An applicant applying as an individual must comply with all applicable Grants.gov individual registration requirements.)

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

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

A DUNS number is a unique nine-digit identification number provided by the commercial company Dun and Bradstreet. This unique entity identifier is used for tracking purposes, and to validate address and point of contact information for applicants, recipients, and subrecipients. It will be used throughout the life cycle of an OJP award. Obtaining a DUNS number is a free, one-time activity. Call Dun and Bradstreet at 866–705–5711 to obtain a DUNS number or apply online at www.dnb.com. A DUNS number is usually received within 1-2 business days.

- 2. Acquire registration with the System for Award Management (SAM).** SAM is the repository for certain standard information about federal financial assistance applicants, recipients, and subrecipients. All applicants for OJP awards (other than individuals) must maintain current registrations in the SAM database. An applicant must be registered in SAM to successfully register in Grants.gov. Each applicant must **update or renew its SAM**

registration at least annually to maintain an active status. SAM registration and renewal can take as long as 10 business days to complete.

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

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

- 3. Acquire an Authorized Organization Representative (AOR) and a Grants.gov username and password.** Complete the AOR profile on Grants.gov and create a username and password. An applicant entity's "unique entity identifier" (DUNS number) must be used to complete this step. For more information about the registration process for organizations and other entities, go to www.grants.gov/web/grants/register.html. Individuals registering with Grants.gov should go to <http://www.grants.gov/web/grants/applicants/individual-registration.html>.
- 4. Acquire confirmation for the AOR from the E-Business Point of Contact (E-Biz POC).** The E-Biz POC at the applicant organization must log into Grants.gov to "confirm" the applicant organization's AOR. The E-Biz POC will need the Marketing Partner Identification Number (MPIN) password obtained when registering with SAM to complete this step. Note that an organization can have more than one AOR.
- 5. Search for the funding opportunity on Grants.gov.** Use the following identifying information when searching for the funding opportunity on Grants.gov. The Catalog of Federal Domestic Assistance ("CFDA") number for this solicitation is 16.560, titled "National Institute of Justice Research, Evaluation, and Development Project Grants" and the funding opportunity number is NIJ-2017-11080.
- 6. Submit a valid application consistent with this solicitation by following the directions in Grants.gov.** Within 24-48 hours after submitting the electronic application, the applicant should receive two notifications from Grants.gov. The first will confirm the receipt of the application. The second will state whether the application has been validated and successfully submitted, or whether it has been rejected due to errors, with an explanation. It is possible to first receive a message indicating that the application is received, and then receive a rejection notice a few minutes or hours later. Submitting an application well ahead of the deadline provides time to correct the problem(s) that caused the rejection. **Important:** OJP urges each applicant to submit its application **at least 72 hours prior** to the application due date, to allow time to receive validation messages or rejection notifications from Grants.gov, and to correct in a timely fashion any problems that may have caused a rejection notification. Applications must be successfully submitted through Grants.gov by 11: 59 p.m. eastern time on February 28, 2017.

Click [here](#) for further details on DUNS numbers, SAM, and Grants.gov registration steps and timeframes.

Note: Application Versions

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

Experiencing Unforeseen Grants.gov Technical Issues

An applicant that experiences unforeseen Grants.gov technical issues beyond its control that prevent it from submitting its application by the deadline may 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 may e-mail the NIJ contact identified in the Contact Information section on the title page **within 24 hours after the application deadline** to request approval to submit its application after the deadline. The applicant's e-mail must describe the technical difficulties, and must include a timeline of the applicant's submission efforts, the complete grant application, the applicant's DUNS number, and any Grants.gov Help Desk or SAM tracking number(s).

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

The following conditions generally are insufficient to justify late submissions:

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

Notifications regarding known technical problems with Grants.gov, if any, are posted at the top of the OJP [Funding Resource Center](#) web page.

E. Application Review Information

Review Criteria

Depending on the number of applications received, applications may be categorized by scientific discipline into discrete groups for purposes of peer review and/or selection for award.

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 that exists in an identified forensic science field/discipline or area of criminal justice.

2. Demonstrated awareness of the current state of the art and technologies, both in practice and in past/current research, directed at the described problem.

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. The overall strategy, methodology, and analyses should be well-reasoned and appropriate to accomplish the specific aims of the project.
2. Feasibility of proposed project and the strength of supporting data. The proof-of-principle of the proposed technology or methodology should be established and supported by preliminary data presented in or referenced in the proposal. More innovative plans and/or plans with a higher potential for failure should be counterbalanced to manage the inherent risk; e.g., by firm theoretical basis, reasonable preliminary data (depending on the mechanism), the track record of the principal investigator and any co-principal investigator(s), and an outstanding scientific and management plan.
3. Detailed description and justification of the sample type and sample size to be tested and approaches for data analysis are thorough and appropriate to accomplish the specific aims of the project.
4. 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. If the goals of the project are achieved, how will scientific knowledge, technical capability, and/or forensic science practice in the criminal justice system be improved? What is the likelihood that the project will exert a sustained, powerful influence on the forensic science field(s) related to criminal justice?
- Potential for innovative solution to address (all or a significant part of) the stated criminal/juvenile justice problem. How will successful completion change the concepts, methods, technologies, treatments, or services that drive the forensic science field as it relates to criminal justice? How will a successful project address the identified criminal justice or forensic science problem and associated critical barriers to progress?

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.
4. Strength of the scientific environment (e.g., institutional support, equipment and other physical resources, or collaborative arrangements) in which the work will be done and its contribution to the probability of success.

Budget

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

1. Total cost of the project relative to the perceived benefit (cost effectiveness).
2. Appropriateness of the budget relative to the level of effort.
3. Use of existing resources to conserve costs.
4. Alignment of the proposed budget with proposed project activities.
5. 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.

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

Peer reviewers should 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 as well as practitioners in other, related fields, summary information from the planned scholarly products of the project.

Review Process

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

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

- The application must be submitted by an eligible type of applicant.
- The application must request funding within programmatic funding constraints (if applicable).
- The application must be responsive to the scope of the solicitation.
- The application must include all items designated as “critical elements.”

- The applicant must not be identified in SAM as excluded from receiving federal awards.

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

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

Pursuant to the Part 200 Uniform Requirements, before award decisions are made, OJP also reviews information related to the degree of risk posed by applicants. Among other things to help assess whether an applicant that has one or more prior federal awards has a satisfactory record with respect to performance, integrity, and business ethics, OJP checks whether the applicant is listed in SAM as excluded from receiving a federal award. In addition, if OJP anticipates that an award will exceed \$150,000 in federal funds, OJP also must review and consider any information about the applicant that appears in the non-public segment of the integrity and performance system accessible through SAM (currently, the Federal Awardee Performance and Integrity Information System; “FAPIIS”).

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

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

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

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, "new investigator" status, "innovative areas of research," and available funding when making awards.

NIJ recognizes the value of engaging persons from various cultures, heritages and backgrounds throughout its grant making process; and broadly defines diversity beyond the scope of race, ethnicity, and gender to include scientific discipline, geographic location, persons with disabilities, sexual orientation, and years of professional experience. We recognize that diversity in thought, perspective, and experience are all critical to informing and advancing the field of criminal justice.

F. Federal Award Administration Information

Federal Award Notices

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

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

Administrative, National Policy, and other Legal Requirements

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

Applicants should consult the "[Overview of Legal Requirements Generally Applicable to OJP Grants and Cooperative Agreements - FY 2017 Awards](#)", available in the [OJP Funding Resource Center](#). In addition, applicants should examine the following two legal documents, as each successful applicant must execute both documents before it may receive any award funds.

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

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

The web pages accessible through the “[Overview of Legal Requirements Generally Applicable to OJP Grants and Cooperative Agreements - FY 2017 Awards](#)” are intended to give applicants for OJP awards a general overview of important statutes, regulations, and award conditions that apply to many (or in some cases, all) OJP grants and cooperative agreements awarded in FY 2017. Individual OJP awards typically also will include additional award conditions. Those additional conditions may relate to the particular statute, program, or solicitation under which the award is made; to the substance of the funded application; to the recipient's performance under other federal awards; to the recipient's legal status (e.g., as a for-profit entity); or to other pertinent considerations.

As stated above, NIJ expects any award under this in the form of a grant. If appropriate, on rare occasions an award may be made as a cooperative agreement. A cooperative agreement will include a condition in the award document that sets out the “substantial federal involvement” in carrying out the award and program. Generally speaking, under cooperative agreements with OJP, responsibility for the day-to-day conduct of the funded project rests with the recipient. OJP, however, may have substantial involvement in matters such as coordination efforts and site selection, as well as review and approval of work plans, research designs, data collection instruments, and major project-generated materials. In addition, OJP often indicates in the award condition that it may redirect the project if necessary.

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

General Information About Post-Federal Award Reporting Requirements

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

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

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

Special reporting requirements may be required as appropriate.

As indicated earlier in this solicitation, NIJ expects scholarly products to result from any award under this solicitation. Please review the [Goals, Objectives, Deliverables, and Expected Scholarly Products](#) segment of the “Program-Specific Information” section of this solicitation, as well as the “Performance Measures” section.

Data on performance measures. In addition to required reports, each recipient of an award under this solicitation also must provide data that measure the results of the work done under the award. To demonstrate program progress and success, as well as to assist DOJ with fulfilling its responsibilities under the Government Performance and Results Act of 1993 (GPRA), Public Law 103-62, and the GPRA Modernization Act of 2010, Public Law 111-352, OJP will require any recipient, post award, to provide the data listed as “Data Recipient Provides” in the performance measures table in [Section A. Program Description](#), under “Performance Measures,” so that OJP can calculate values for this solicitation's performance measures.

G. Federal Awarding Agency Contact(s)

For questions directed to OJP, see NCJRS contact information on title page.

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

H. Other Information

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

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

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

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

Provide Feedback to OJP

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

IMPORTANT: This e-mail is for feedback and suggestions only. OJP does not send replies from this mailbox to messages it receives in this mailbox. Any prospective applicant that has specific questions on any program or technical aspect of the solicitation **must** use the appropriate telephone number or e-mail listed on the front of this solicitation document to obtain information. These contacts are provided to help ensure that prospective applicants can directly reach an individual who can address specific questions in a timely manner.

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

Application Checklist

Research and Development in Forensic Science for Criminal Justice Purposes

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 35)
- _____ Acquire or renew registration with SAM (see page 35)

To Register with Grants.gov:

- _____ Acquire AOR and Grants.gov username/password (see page 36)
- _____ Acquire AOR confirmation from the E-Biz POC (see page 36)

To Find Funding Opportunity:

- _____ Search for the funding opportunity on Grants.gov (see page 36)
- _____ Download Funding Opportunity and Application Package (see page 36)
- _____ Sign up for Grants.gov [email](#) notifications (optional) (see page 34)
- _____ Read [Important Notice: Applying for Grants in Grants.gov](#)
- _____ Read OJP policy and guidance on “conference” approval, planning, and reporting available at <http://ojp.gov/financialguide/DOJ/PostawardRequirements/chapter3.10a.htm> (see page 15)

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

- _____ (1) Application has been received
- _____ (2) Application has either been successfully validated or rejected with errors (see page 36)

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 37)

Overview of Post-Award Legal Requirements:

- _____ Review the "Overview of Legal Requirements Generally Applicable to OJP Grants and Cooperative Agreements – FY 2017 Awards" in the OJP Funding Resource Center.

Eligibility Requirement: see cover page

What an Applicant Should Do:

- _____ Application for Federal Assistance (SF-424) (see page 16)
- _____ Project Abstract (if applicable) (see page 17)
- _____ Program Narrative (critical element) (see page 17)
- _____ Appendices (see page 22)
 - _____ Bibliography/References
 - _____ Any tools/instruments, questionnaires, tables/charts/graphs, or maps pertaining to the proposed study that supplement those in the narrative
 - _____ Curriculum vitae or resumes of senior/key personnel
 - _____ Documentation of “new investigator” status, if applicable
 - _____ Proposed project timeline and expected milestones
 - _____ Progress Report for Renewal and Revision Applications

- _____ Progress Report Publication List
- _____ Multiple PI Leadership Plan
- _____ Budget Detail Worksheet (critical element) (see page 25)
- _____ Budget Narrative (critical element) (see page 26)
- _____ Indirect Cost Rate Agreement (if applicable) (see page 28)
- _____ Tribal Authorizing Resolution (if applicable) (see page 29)
- _____ Financial Management and System of Internal Controls Questionnaire (see page 29)
- _____ [Disclosure of Lobbying Activities \(SF-LLL\)](#) (see page 30)
- _____ Additional Attachments
 - _____ Applicant Disclosure of Pending Applications (see page 30)
 - _____ Research and Evaluation Independence and Integrity (see page 31)
 - _____ Disclosure of Process related to Executive Compensation (see page 33)
 - _____ CV's/Resumes (critical element) (see page 23)
- _____ Request and Justification for Employee Compensation Waiver (if applicable) (see page 14)
 - _____ Consortium/Contractual Arrangements
 - _____ Letters of Support
 - _____ Resource Sharing Plan
 - _____ Human Subjects Protection Paperwork
 - _____ Privacy Certificate
 - _____ List of any previous and current NIJ awards to applicant organization and investigator(s)
 - _____ List of other agencies, organizations, or funding sources to which this proposal has been submitted (if applicable)