



FY17 OJJDP Research Award Orientation

October 25, 2017

Innovation and Research Division

Research Unit



INTRODUCTIONS



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Agenda

- Introductions
- Overview of OJJDP & Research Unit
- Research Grant Policies & Special Conditions
- Managing & Modifying Grant Awards
- Monitoring
- Contacts
- Q & A



OVERVIEW OF OJJDP & RESEARCH UNIT

The Office of Juvenile Justice and Delinquency Prevention (OJJDP) envisions a nation where our children are healthy, educated, and free from crime and violence. If they come into contact with the juvenile justice system, the contact should be both just and beneficial to them.

The Juvenile Justice and Delinquency Prevention (JJDP) Act of 1974, as amended (Pub. L. No. 93-415, 42 U.S.C. § 5661) authorizes the Administrator of OJJDP to conduct research or evaluation, and undertake statistical analyses on a wide range of juvenile justice matters. OJJDP also provides funding to states and localities to carry out research, evaluation, and statistical analyses.

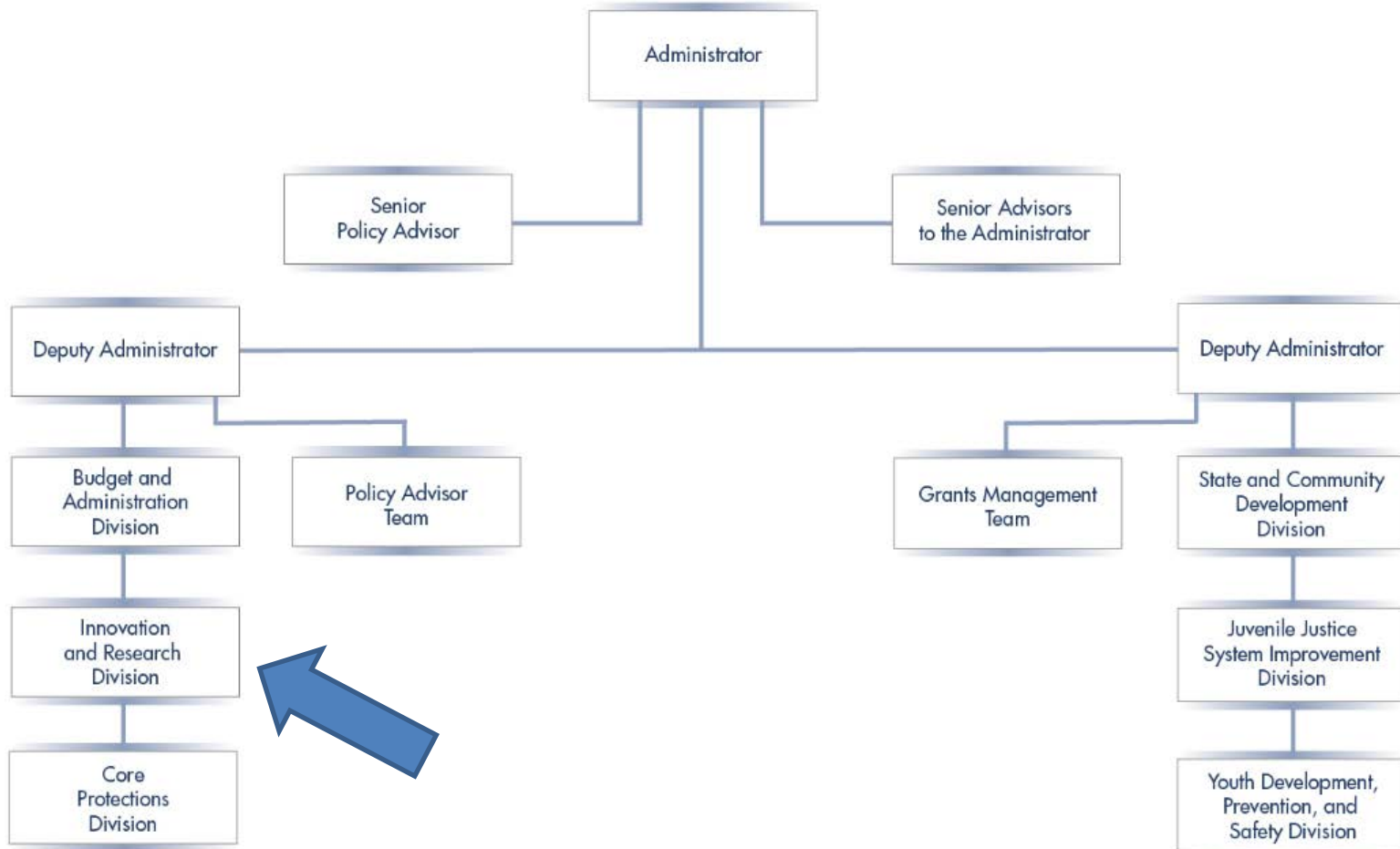


GOALS FOR OJJDP RESEARCH

- Produce research that is scientifically rigorous, timely, and promises maximum impact to the juvenile justice field.
- Ensure that OJJDP's research is aligned with agency priorities.
- Integrate knowledge and information about research and evaluation across OJJDP.
- Partner with other research offices and organizations, within DOJ, across Federal government, and with private partners.
- Disseminate juvenile justice research findings widely using the latest tools and resources to increase accessibility.

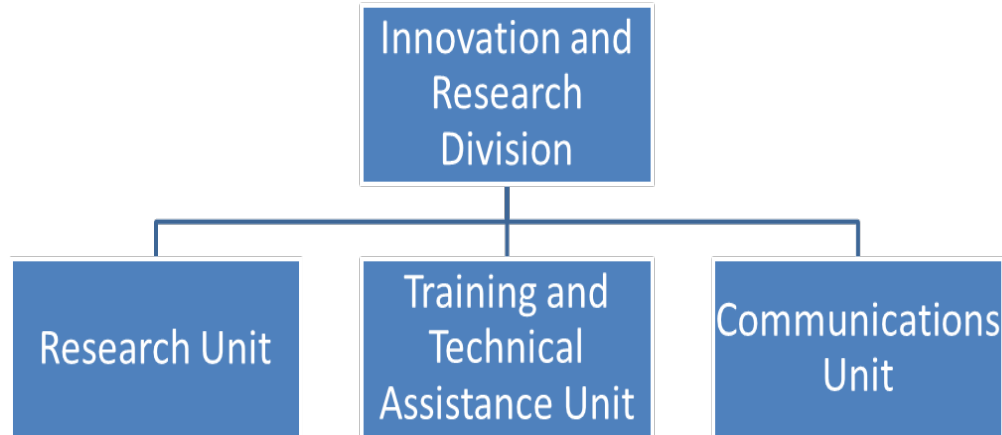


Office of Juvenile Justice and Delinquency Prevention Organizational Chart





Innovation and Research Division



Innovation and Research Division

Associate Administrator: Catherine Doyle

Deputy Associate Administrator: Brecht Donoghue

Research Unit

Social Science Analysts: Benjamin Adams & Barbara Tatem Kelley

Grants Management Specialist: Keith Towery

Research Coordinator: Jennifer Tyson



Research Team Approach to Grant Awards

Grant Management Specialist

- Award Documents
- Grant Requirements
- Grant Adjustment Notices
- Grant Reports
- Site Visits & Monitoring

Social Science Analyst

- Goals and Objectives
- Project & Research Plans
- Methodological Questions
- Technical Reports
- Dissemination

Kick-off Meetings & Communication



Office of Juvenile Justice and Delinquency Prevention
Working for Youth Justice and Safety



www.ojjdp.gov/research

U.S. Department of Justice
Office of Justice Programs

OJJDP Office of Juvenile Justice and Delinquency Prevention
Working for Youth Justice and Safety



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OJJDP Research and Statistics

The **Juvenile Justice and Delinquency Prevention Act** authorizes the OJJDP Administrator to conduct research and evaluations and undertake statistical analyses on a wide range of juvenile justice matters. These activities are central to OJJDP's mission to prevent and respond to juvenile delinquency and victimization.

Research provides systematic and objective information about the risk factors that contribute to youth's involvement in the juvenile justice system and the protective factors that protect youth against system involvement. Research also helps us understand adolescent behaviors and system responses, including the interventions most likely to reduce youth involvement with the system and promote positive outcomes.

OJJDP uses this information to prioritize issues, guide the development of policies and programs, and inform training and technical assistance. OJJDP also uses the latest tools and resources to disseminate juvenile justice data, statistics, and research findings and make these findings more accessible and applicable to local needs and issues.

Looking for what works?

See the [Model Programs Guide](#)



▶ Evidence-based Programs
▶ Literature Reviews
▶ Topical Summaries
▶ and more!

Powered by **CrimeSOLUTIONS**.gov

Looking for statistics?

Access OJJDP's [Statistical Briefing Book](#).

Learn more about juvenile crime and victimization and about youth involved in the juvenile justice system.





Grants Management & Award Overview

- Application
- Post Award/Grant Management
 - Award Materials & Special Conditions
- Close Outs
- Financial Guide & Training:

<http://ojp.gov/financialguide/DOJ/index.htm>



What Can I Do With the Money?

- Reasonable, Allocable, & Allowable (Unallowable and Disallowable Costs)
- Prior Written Approval
 - Conferences
 - Grant Adjustment Notices (Examples & Categories)
- Budget Categories:
 - Personnel & Fringe
 - Supplies
 - Equipment
 - Travel - Your organization policy & OJJDP
 - Contracts/Consultants
 - Other



OJJDP RESEARCH AWARD POLICIES & SPECIAL CONDITIONS



Standard Special Conditions

- Conditional Budget Clearance.
- Indirect Cost Agreement (IDC) aka F&A.
- FFATA Reporting Subawards and Executive Compensation.
- Reports: Quarterly Financial Reports and Semi-annual Progress Reports.
- Limit on Use of Grant Funds for Grantees' Employees' Salaries - 110% of maximum Senior Executive Service (Awards over \$250k, generally).
- Key Personnel Clause.
- Financial management training:
<https://ojpfgm.webfirst.com/login/index.php>



Research Ethics & Integrity

Special Conditions

- Human Subjects & Privacy Protections
- Research Integrity & Independence



Why are Federal Human Subjects' Protections Important?

- Tuskegee Experiment - conducted between 1932 and 1972 by the U.S. Public Health Service studying the progression of untreated syphilis in African-American men in Alabama under the pretext of receiving free health care from the U.S. government.
- Led to the 1979 Belmont Report and the establishment of the Office for Human Research Protection at HHS.
- Also led to federal laws and regulations requiring Institutional Review Boards for the protection of human subjects. See: <http://www.hhs.gov/ohrp/regulations-and-policy/regulations/common-rule/#>



Privacy and Human Subjects (Withholding) Special Condition

The recipient will be permitted to obligate, draw down, or expend up to [\$XX,XXX] in funds upon award to engage in activities that do not constitute research involving human subjects or the collection of information identifiable to a private person. The recipient will not be permitted to obligate, expend or draw down any part of the remainder of awarded funds for any research or statistical activity or project involving the collection, use, analysis, transfer, or disclosure of information identifiable to a private person until:



Privacy and Human Subjects (Withholding) Special Condition

- 1) the recipient has submitted full and complete documentation to demonstrate that it will conduct or perform research involving human subjects in accordance with an approved Federal-wide assurance issued by HHS;
- 2) the research has been determined, by an appropriate IRB to be an exempt research activity, or has been reviewed and approved by an appropriate IRB in accordance with the requirements of 28 CFR Part 46;



Privacy and Human Subjects (Withholding) Special Condition

- 3) the recipient has submitted a properly executed Privacy Certificate in accordance with the requirements of 28 CFR Part 22;
- 4) an OJP Human Subjects Protection Officer has reviewed the documentation submitted and has authorized, in writing, removal of this special condition; and
- 5) a Grant Adjustment Notice has been issued removing this special condition.



Privacy and Human Subjects Initial Release Remaining Funds to be Withheld

Award Amount	Initial Release
More than \$600,000	\$20,000
\$100,000–\$600,000	\$15,000
Under \$100,000	\$10,000



Privacy Certificate - Required Documentation

- A completed privacy certificate must include a description of the grantee's policies and procedures to protect the confidentiality of identifiable data (demonstrating compliance with 28 C.F.R. Part 22).
- The privacy certificate must include the signature and names of the (1) principal investigator/co-investigator (if applicable), and (2) authorized institutional representative.
- If the study is not collecting or using personally identifiable information, grantees should state this explicitly using the following statement: "No data identifiable to a private person will be collected," and complete the form using the terms N/A or Not Applicable including a brief description of why the particular item is not applicable.



Human Subjects - Required Documentation

- Completed OJP Human Subjects Form (fillable PDF) and attach the IRB-reviewed and approved or exempted protocol; **OR**
- A letter, on institutional letterhead, signed by the IRB chairman that:
 - Includes the FWA number
 - Includes the IRB review determination
 - References 28 C.F.R. Part 46 (in addition to or instead of 45 C.F.R. Part 46)
 - Addresses the relevant items from the form
 - Includes as an attachment the IRB-reviewed and approved or exempted protocol, including all consent forms
 - Renewal or expiration date of the IRB determination
- Renewals and amendments can be uploaded with progress reports.



Federal Confidentiality Consent Considerations

- The Department of Justice Confidentiality Statute (42 USC 3789g) states that identifiable information collected can only be used for research and statistical purposes, and no other purpose without the participant's consent.
- Research subjects must give their consent to participate and be told:
 - the information they provide will be used for research and statistical purposes only (there is a potential exception for reports of harm/abuse, noted on the following slide);
 - compliance with the request for information is voluntary and can be terminated at any time;
 - study risks and benefits;
 - how the data will be securely maintained; and
 - how data will be archived at NACJD and disposed of post-study.



Federal Confidentiality Consent Considerations

- Confidentiality can be broken for reports of future criminal conduct (28 CFR Part 22.20).
- Confidentiality can be broken for harm to self/others and abuse **only if** the subjects assent/consent to (1) participate in the research **and** (2) allow the principal investigator to report if abuse is alleged or suspected.
- All DOJ awardees collecting personally identifiable information must provide a Privacy Certificate and ensure study participants are notified.
 - If IRB exempts project from review, OJJDP still needs to review assent/consent forms and scripts, and the grantee must provide a Privacy Certificate.
 - If IRB grants a waiver of signed informed assent/consent, OJJDP still needs to review assent/consent forms and scripts, and the grantee must provide a Privacy Certificate.



Research and Evaluation Independence and Integrity (Withholding) Special Condition

The recipient may not obligate, expend, or draw down any award funds until: (1) it has provided to the grant manager for this OJP award information regarding research and evaluation independence and integrity in accordance with the detailed instructions in the program solicitation [...]



Research and Evaluation Independence and Integrity - Required Documentation

- Statement specifically addressing the steps the applicant has put in place to identify and eliminate (or, at the very least, mitigate):
 - Potential personal conflicts of interest on the part of its staff, consultants, and subrecipients.
 - Potential financial conflicts of interest on the part of its staff, consultants, and subrecipients.
 - Potential organizational conflicts of interest on the part of the applicant with regard to the proposed research/evaluation.
- If potential conflicts do not exist in any of these areas, please directly state that in relation to all of these areas. And provide more details in the brief narrative explaining how and why that conclusion was reached for each of these areas for this specific proposal.



Dissemination & Data Special Conditions

- Dissemination:
 - Press Releases
 - Printing & Publications
 - Copyright
- Data:
 - Data Rights
 - Data Release
 - Data Archiving
- Final Technical Reports



Press Releases

- The recipient shall transmit to OJJDP copies of all official award-related press releases at least five (5) working days prior to public release.
- Advance notification permits time for coordination of release of information by OJJDP where appropriate and to respond to press or public inquiries.



OJJDP Definition of Publications

- Any planned written, visual or sound materials substantively based on the project, formally prepared by the award recipient for dissemination to the public.



Printing and Publications

- The recipient shall submit to OJJDP a copy of all interim and final reports and proposed publications resulting from this award, for review and comment prior to publishing.



Required Statement on all Publications Produced with Grant Funds

“This project was supported by Grant #___ awarded by the Office of Juvenile Justice and Delinquency Prevention, Office of Justice Programs, U.S. Department of Justice.

The opinions, findings, and conclusions or recommendations expressed in this publication/program/exhibition are those of the author(s) and do not necessarily reflect those of the Department of Justice.”



OJJDP's Dissemination Support

- Notify OJP and DOJ leadership of upcoming publications.
- Notify the juvenile justice field via JUVJUST listserv, providing link to full article/chapter/report/tool.
- Publish OJJDP bulletins, fact sheets, Web content, data snapshots.
- Integrate research findings into TTA and demonstration program models.
- Provide public access to research products at www.ncjrs.gov.



Copyright

- OJP reserves a royalty-free, non-exclusive, and irrevocable license to reproduce, publish, or otherwise use for Federal purposes: (1) any work subject to copyright developed under an award or subaward; and (2) any rights of copyright to which a recipient or subrecipient purchases ownership with Federal support.



Data Special Conditions

- Data Rights
- Data Release
- Data Archiving



Data Rights

- OJP has the right to (1) obtain, reproduce, publish, or otherwise use the data first produced under an award or subaward; and (2) authorize other to receive, reproduce, publish, or otherwise use such data for Federal purposes.



Data Release

- The recipient will make no guarantee, without prior OJJDP approval, that the data collected, acquired or produced as part of this project will not be transferred or released.
- Such a guarantee would preclude OJJDP from archiving and making available OJJDP-funded data at NACJD.



Data Archiving Requirement

- The grantee agrees to deliver a public-use dataset containing all data collected under this project to the National Archive of Criminal Justice Data (NACJD) unless notified in writing by OJJDP that they are exempt from this requirement.
- Include a statement about archiving at NACJD in your privacy certificate.



Data Archiving Plan and Purpose

- A data archiving plan, with specific schedule, tasks and milestones, will be due to OJJDP within 6 months of the grant period start date.
- Data is not only archived for safekeeping but also made accessible for secondary analysis.



Final Technical Report and Plain Language Summary

- Includes Technical Report and Plain Language Summary
- Final technical report sample outline
- Plain Language Summary Template.



MANAGING AND MODIFYING AWARDS

GMS, GANs, Templates, and Forms



Guides, Templates and Forms

- Federal Government
 - Code for Federal Regulation
- DOJ
 - 2015 Financial Guide
- OJP
 - Detailed Budget Worksheet
- OJJDP (I&R)
 - Progress Report Template
 - Site Visit Document Checklist
 - General Grant Adjustment Notice (GAN) Guidance
 - Letterhead and signatures
 - No Cost Extension/Project Period Extension Template – **Generally one, 12 month extension.**



Grant Monitoring

- Requirements per CFR
- Progress and Financial Reporting
- What is a...
 - Desk Review
 - Enhanced Programmatic Desk Review
 - Site Visit
- Subrecipient Monitoring Plan



Closeout steps

- **60 days prior to end date:** email draft final technical report and plain language summary.
- **30 days prior to end date:** data to NACJD.
- **At end date:** grant can no longer incur or obligate expenses.
- **30 days after end date:** Upload the final progress report, final technical report, plain language summary, final IRB approvals, associated documentation, and the final privacy certificate in GMS.
- **90 days after end date:** financial status report; programmatic requirements checklist; closeout package in GMS.
- **After the project is closed:** continue to protect the confidentiality and notify OJJDP of publications about the research.



Other Offices You May Work With...

- OCFO, Office of Chief Financial Officer
 - Service.Account17dd38@ojp.usdoj.gov
- GMS Helpdesk
 - GMS.HelpDesk@ojp.usdoj.gov



Questions?

www.ojjdp.gov/Research