U.S. Department of Justice
Office of Justice Programs
Office of Juvenile Justice and Delinquency Prevention

The U.S. Department of Justice (DOJ), Office of Justice Programs (OJP), Office of Juvenile Justice and Delinquency Prevention (OJJDP) is seeking applications under its Fiscal Year (FY) 2015 Design Study of Dual System Youth (i.e., youth who are involved in both the juvenile justice and child welfare systems). This program furthers the Department's mission by supporting the development of a research design and methodology to collect data and generate statistical information on the prevalence of dual system youth and the intersection of the juvenile justice and child welfare systems.

OJJDP FY 2015 Design Study of Dual System Youth

Eligibility

In general, OJJDP 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 or for-profit organizations), institutions of higher education (including tribal institutions of higher education), and certain qualified individuals. For-profit organizations must agree to forgo any profit or management fee. Foreign governments, foreign organizations, and foreign institutions of higher education are not eligible to apply.

OJJDP welcomes applications that involve two or more entities; however, one eligible entity must be the applicant and the other(s) must be proposed as subrecipient(s). The applicant must be the entity with primary responsibility for conducting and leading the project. If successful, the applicant will monitor and manage any subrecipients or, as applicable, administer any procurement subcontracts that the applicant might make under the award.

OJJDP will consider only one application per lead applicant; however, subrecipients may be part of multiple proposals. (Applicants should also review and consider the "Duplicate Applications" note under How To Apply in Section D. Application and Submission Information.)

OJJDP may elect to make awards for applications submitted under this solicitation in future fiscal years, dependent on the merit of the applications and on the availability of appropriations. For additional eligibility information, see Section C. Eligibility Information.

Deadline

Applicants must register with Grants.gov prior to submitting an application. All applications are due to be submitted and in receipt of a successful validation message in Grants.gov by 11:59 p.m. eastern time on May 26, 2015.

All applicants are encouraged 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 e-mail to support@grants.gov. Hotline hours of operation are 24 hours a day, 7 days a week, except federal holidays.

Applicants that experience unforeseen Grants.gov technical issues beyond their control that prevent them from submitting their application by the deadline must e-mail the OJJDP contact identified below **within 24 hours after the application deadline** and request approval to submit their application. Additional information on reporting technical issues is found under "Experiencing Unforeseen Grants.gov Technical Issues" in the How To Apply section.

For assistance with any other requirements of this solicitation, contact the Response Center by telephone at 800-851-3420, by e-mail at responsecenter@ncjrs.gov, or by web chat at https://webcontact.ncjrs.gov/ncjchat/chat.jsp. Answers to frequently asked questions that may assist applicants are posted at www.ojjdp.gov/grants/solicitations/FY2015/FAQ/DualSystemStudyFAQ.pdf.

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Contents

OJJDP FY 2015 Design Study
of Dual System Youth
(CFDA #16.818)

A. Program Description

Overview

The Juvenile Justice Delinquency Prevention Act (JJDP Act) of 2002 directs OJJDP to pursue research that enhances the field's understanding of "juveniles who, prior to placement in the Juvenile Justice system, were under the care or custody of the State Child Welfare system, and juveniles who are unable to return to their family after completing their disposition in the Juvenile Justice system and who remain wards of the State." The intent is to generate information on the prevalence and incidence of youth fitting these criteria (i.e., dual system youth) and strategies to improve coordination between the juvenile justice and child welfare systems and improve outcomes for these youth.

OJJDP is seeking applications for funding under its Fiscal Year (FY) 2015 Design Study of Dual System Youth. This design study (and related case studies) will identify effective and efficient strategies to measure the prevalence of dual system youth; identify the status of coordination and data sharing between the juvenile and criminal justice and child welfare systems (including expanding beyond delinquency or dependency court involvement to potentially include youth contact with law enforcement [e.g., arrests] and child protection agencies [e.g., child welfare cases]); and identify avenues for improved coordination and data sharing across systems.

Authorizing legislation: This program is authorized under paragraph (11) under the State and Local Law Enforcement Assistance heading in the Department of Justice Appropriations Act, 2015, Pub. L. No. 113-235, 128 Stat. 2130, 2193.

Program-Specific Information

The JJDP Act of 2002 emphasizes the development of knowledge regarding the relationship between the child welfare and juvenile justice systems. The premise is that child welfare-involved youth are at a heightened risk of entry to the juvenile justice system due to their relatively high rates of trauma, abuse, neglect, and lack of resources. Additionally, this population may be at particularly high risk of harm when entering the justice system—they are especially vulnerable—and their custody status upon departure from juvenile residential placement may impact their later reinvolvement in the juvenile or criminal justice systems.

In 2003, OJJDP conducted a nationally representative study of youth in residential placement that found that 9 percent of respondents placed in residential facilities received care from a foster parent at some point prior to commitment and a little more than 6 percent were in the care of a foster parent immediately prior to detention. Little is known about the extent to which youth in foster care come into contact with the juvenile justice system via arrest and the prevalence of youth leaving juvenile residential facilities who do not return home but are instead placed in foster care. This information has profound implications for

how the child welfare and juvenile justice systems coordinate assessment, court involvement and/or diversion, treatment, services, and reentry/aftercare.

More recently, OJJDP funded the National Center for Juvenile Justice to investigate the status of data sharing between juvenile delinquency court and youth dependency court data systems in the United States. This work will help build a more comprehensive understanding of state data collectors, data systems, and data architecture underlying these child-serving systems. OJJDP recognizes that focusing on court involvement captures only a small segment of the youth population that interacts with these systems.

Consequently, OJJDP is pursuing a design study that will focus on various pathways into and intersections between the Justice and Child Welfare systems (e.g., juvenile court, family or dependency court, probation/parole, etc.). Entry into, and departure from, the juvenile justice system is an understudied and critical aspect of overlap between the child welfare and juvenile justice systems, and understanding the earliest points of intersection between these systems should suggest ways to prevent both youths' deeper penetration into the justice system and the cycling of youth in and out of dependency and delinquency courts' jurisdiction. The design study should also examine the intersection of race, ethnicity, gender, class, and sexual orientation of youth who are involved with both the justice and child welfare systems. This investigation will help OJJDP develop an understanding of the timing of encounters with each system; compare youth who come into contact with these systems with similarly situated youth who do not come into contact with the justice and child welfare systems; and understand system-level processes that guide the experience and outcomes of youth once they come into contact with these systems.

OJJDP expects that building knowledge of these intersections will require both individual-level analyses of youth data and aggregate-level research on systems within and/or across jurisdictions. This will likely also require matching administrative records and obtaining aggregate-level information that describes systems as a whole (e.g., staffing levels, budgets, data architecture or sharing, and policies). Insights are likely to come both from analysis of structured administrative data and case studies of systems or interviews with administrators of juvenile justice and child welfare systems.

Goals, Objectives, Deliverables, and Expected Scholarly Products

This project will develop a robust research design and sampling and data analysis plan to integrate the collection of administrative data from both the juvenile justice and child welfare systems. This plan will be informed by qualitative case study data and policy level information that focuses on the many points of intersection between the juvenile justice and child welfare systems to answer the following questions:

- how often juvenile justice involvement precedes child welfare placement.

- how often child welfare-involved youth come into contact with the juvenile and criminal justice systems.

- how well these systems coordinate (share data and coordinate activities, such as case management, assessment, court involvement, services/treatment, etc.).

- what systematic changes should occur to create better coordination and services for these youth.

Importantly, the goal of this project is to identify persuasive, meaningful, and consistent definitions of juvenile justice and child welfare involvement. OJJDP has an interest in identifying the earliest point (i.e., arrest) of youth contact with the justice system to prevent further or more serious involvement. Consequently, OJJDP expects that a focus on arrests and out-of-home/foster placement are central to understanding early intersections and may offer the most effective and efficient locus for research to help prevent future delinquency and increase wellbeing of these children. However, OJJDP also expects that information on juvenile justice adjudications of delinquency and commitment to out-of-home placement may offer a valuable avenue for system coordination around treatment and services. Applicants should propose preliminary definitions of these two types of involvement in the context of system improvement, research potential and data accessibility, and improving outcomes for youth.

More specifically, OJJDP is seeking applications to design, develop, and (potentially) engage in data collection procedures to accomplish the following goals:

1. Identify how often juvenile justice involvement precedes or coincides with child welfare placement and how often children in child welfare later come into contact with the juvenile justice or criminal justice systems. Applicants should also set forth a plan to partition prevalence by important demographic characteristics (e.g., what is the prevalence for girls?).

2. Identify the characteristics of children/youth in the child welfare system that are associated with involvement in both juvenile or criminal justice systems. For example, do children in the child welfare system with certain demographic characteristics, victimization histories, or specific case plans have higher rates of arrest and/or placement and detention?

3. Identify the race, ethnicity, class, gender, and sexual orientation of children who are involved with both the juvenile justice and child welfare systems.

4. Identify which system-level features of the child welfare system are associated with justice system involvement. For example, do higher rates of funding per child, more staff per child, use of needs-assessment tools, or other policies and practices correspond with lower rates of arrest among children involved with the child welfare system?

5. Produce case studies of data sharing and effective coordination between justice and child welfare systems. This will include obtaining qualitative data describing jurisdictions in which juvenile justice and child welfare systems are modeling successful approaches to system integration and service coordination; highlighting challenges and barriers to identifying and providing services for dual system youth; and documenting the extent to which existing administrative data/performance metrics within these jurisdictions suggests improved youth outcomes and reduced recidivism or system-involvement. Applicants should demonstrate that their methodology for obtaining this information meets the standards and practices of the scientific and federal research communities.

6. Cost includes estimates of the costs of design options and insight into the benefits and challenges of alternate strategies.

Applicants for funding under this announcement should provide a synopsis of their background in the field that documents their expertise with the issues, demonstrates that their institution has the infrastructure to complete a large scale and cross jurisdictional research project, and describes the administrative capabilities to undertake a project of this scope.

Objectives/deliverables. Proposals should describe the products that the grantee will produce from the project. The successful applicant will submit relevant reports and deliverables to OJJDP that will be a part of their progress reporting or special reports and include the following:

- description of efficient and effective strategies for collecting reliable and valid counts of the number of youth who come into contact with the juvenile justice system prior to child welfare involvement and the number of youth in child welfare who come into contact with the juvenile justice system.

- assessment and evaluation of the availability and quality of data at national and/or state-level(s); if necessary, identify subgroups (e.g., counties, large cities) that may be studied systematically; test strategies for providing reliable estimates; assess the influence of missing data on estimates.

- identify key constructs, variables and the recommended measurement instruments that will capture the necessary information.

- cost estimate for proposed study(ies) and component parts of potential research plans.

- develop efficient and effective strategies for collecting reliable and valid administrative data on the type and timing of child welfare encounters/actions (e.g., being removed from the home) and juvenile justice events/actions (e.g., arrest). That is, develop strategies to obtain and integrate data and describe the counts of cases but also describe youth in terms of race, class, gender, sexual orientation, geography, and timing/type of encounters with each system.

- describe and evaluate the challenges associated with collecting information on child welfare-involved youth (e.g., foster care), their criminal histories (juvenile and adult), child welfare administrative data, child welfare case file reviews, cross jurisdictional differences in child welfare systems, and comparison statistics for similarly situated youth within foster care who do not come into contact with the juvenile justice or criminal justice systems. This should include categorizing and defining variables that should be collected and standardized across juvenile justice and child welfare systems.

- recommend research designs to obtain information about (1) the prevalence of dual system youth, (2) the collection and processing of administrative child welfare data and justice data for a cross jurisdictional sample of dual system youth, and (3) multiple case studies that provide examples of system integration and service coordination; highlight challenges and barriers to identifying and providing services for dual system youth; and document the extent to which existing administrative data/performance metrics within these jurisdictions suggests improved youth outcomes and reduced recidivism or system-involvement (e.g., arrest or arrest rates).

In addition to required data sets, a draft and final summary overview of research results, interim and final progress and financial reports,[1] OJJDP 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.

Project Management, Sample Design, Rationale, and Data Collection Methodology

Task 1: Project management

a. **Project timeline.** Within 3 weeks of budget approval from OJJDP, the recipient will meet with OJJDP to discuss the proposed tasks. The recipient will then develop a detailed timetable outlining the dates of completion of each task, the date of delivery of each deliverable and status report, and the dates of scheduled meetings.

b. **Meetings.** The applicant will meet with specific organizations to inform project planning, development, and management. These meetings include, but are not limited to:

   1) Kick-off meeting with OJJDP to discuss plans and schedule activities for the project period.
   2) Conference calls to discuss project progress and status conducted every month.
   3) OJJDP-scheduled stakeholder meetings, as directed; these partners include other federal agencies (e.g., Administration for Children and Families), academics, and state and local organizations. Recipients should be prepared to assist OJJDP and participate in meetings on this project.
   4) Working group meeting(s).
   5) Wrap-up meeting to present project results, findings, and recommendations to OJJDP and other federal partners.

c. **Status reports:** The applicant will:

   1) Provide monthly written reports that update the status on areas such as tasks and expenditures.
   2) During data collection, provide weekly reports on the status of sample collection and para-data, such as number of interviews conducted (if applicable).

Task 1 deliverable. A written timeline for the entire project (all tasks) with the design and testing tasks more fully specified.

Task 2: Methodological development

The funding recipient will work with OJJDP to develop cost-effective, statistically efficient sampling designs and data collection strategies to use in studying juvenile justice involvement patterns among dual system youth. In developing these sample designs and data collection strategies, the recipient will consult with a working group of experts and

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

collaborate with OJJDP to identify data sources and strategies to accomplish the goals outlined above.

a. **Working group.** The recipient will convene an expert working group to discuss views about the locus of the study, the challenges associated with measuring key constructs and integrating data systems from child welfare and juvenile justice systems, and strategies to address these challenges. The working group will hold at least two meetings either in person or via conference call/web prior to the submission of the final research design.

b. **Data collection methodology.** The funding recipient will design data collection procedures for obtaining the prevalence of dual system youth (e.g., a 1-day count, over a calendar year, or other reasonable metrics). This also includes identifying a methodology to measure and analyze the count, type, and timing of juvenile justice and child welfare contacts. The recipient will also identify a strategy to obtain comparison information and thus determine the ways in which juvenile justice histories are similar and different from similarly situated youth in the child welfare system who do not become involved with the juvenile or criminal justice systems.

In addition, the recipient will identify what data are obtainable within administrative records systems (e.g., transactional data systems, data warehouses) that can be linked between juvenile justice and child welfare systems to better understand dual system youth. The recipient will also identify what information is obtainable with respect to case-file data and how this information could further illuminate processes by which case management or system-level policies facilitate success or failure of child welfare (i.e., arrests of child welfare-involved youth). Similarly, the applicant should offer advice on the costs and benefits of pursuing these different types of data. For example, case file data may be marginally valuable above and beyond administrative records but also represent extraordinary increases in costs and regulatory challenges.

Finally, the recipient will identify case studies of examples of data sharing, system integration, and service coordination. By providing rich descriptions of strategies that have led to system reform and integration, the recipient will both inform future research (e.g., generate potential hypotheses to test) and communicate meaningful information on substantive issues facing policymakers in the near term. This may require review of official documents (e.g., annual reports) and interviews with system leadership.

c. **Research plan.** The recipient will produce a detailed research plan outlining multiple options for accomplishing the goals of this future research agenda. That is, the recipient will (1) provide estimates of prevalence of dual system youth, (2) describe integration or cooperation between systems, and (3) identify avenues for improving system cooperation. If a proposed strategy to obtain statistical data at the national level is not possible, the recipient should identify and describe systematic data collection at a subnational but meaningful unit (e.g., all major cities). At the least, this should involve a plan to sample at least five jurisdictions that vary in key aspects of the population they serve (e.g., urban/rural; minority density; economic resources). The detailed research plan will describe data that can be accessed, linked, and analyzed (e.g., administrative data), budget needs, and timeline for completion of research.

Task 2 deliverables. (1) A written report detailing data availability, analytic strategy, research design and plan(s), timing, and cost-estimates for implementing the plan(s) and

(2) a written report highlighting case studies in jurisdictions that offer examples of system integration and service coordination, illustrate challenges and barriers to identifying and providing services for dual system youth, and document the extent to which existing administrative data/performance metrics within these jurisdictions may suggest improved youth outcomes and reduced recidivism or system-involvement (i.e., arrest or arrest rates). OJJDP, at its own discretion, may require the recipient to (3) produce up to two OJJDP bulletins detailing the key findings from the study. At least one will focus on the child welfare system explicitly.

Task 3: Documents for the Office of Management and Budget (OMB) Paperwork Reduction Act project approval

The recipient will prepare and provide to OJJDP draft materials for OMB clearance for all data collection efforts undertaken as part of this proposed project. These include (if applicable to the research plan) the 30- and 60-day notices, form 83i, supporting statement, justification memorandum, and copies of all survey documents/instruments, including but not limited to the extraction of transactional data, collection of case file information, interviews with child welfare personnel, etc.

Task 3 deliverables. The recipient will provide a written report detailing available data and techniques to link them, FAQs for respondents, and documents for OMB project approval with the following capabilities, if applicable: data collection instruments, collection of paradata, performing selected data checks and edits, etc.

Task 4: Engage in research/data collection, as articulated in above three tasks (contingent on future funding)

Pending approval of the OJJDP Administrator, grantee performance, and availability of funds, OJJDP may ask the recipient to implement the research plan as described above. In the case of a supplemental award, the OJJDP Administrator or his/her designated staff will articulate new tasks, timelines, and other requirements.

Task 4 deliverables. The recipient will deliver a written report detailing the research design, data collection and analysis methodology, cost analysis, and policy implications of the research project. The recipient will also produce at least one OJJDP bulletin detailing the key findings from the study.

Task 5: Archive data (contingent on future funding)

The recipient will develop and document data processing and editing procedures for—

1) Data cleaning, skip pattern, consistency, and out-of-range checks.
2) Data conversion.
3) Nonresponse adjustment procedures.
4) Preliminary data file and codebook documentation.

The recipient will also develop the data edits, data conversion, nonresponse adjustment procedures, and data documentation for OJJDP review. Data edits and processing should follow closely the procedures that social scientists and other federal agencies commonly use.

Task 5 deliverables. The recipient will archive the final deidentified data set with the National Archive of Criminal Justice data.

Additional Resources

- Due to project delays, the OJJDP 2012 National Juvenile Court Data Archive "Dual System Youth Feasibility Study," CDFA #16.523 is not available. OJJDP anticipates receipt and release of the report in Fall 2015.

- MacArthur Foundation "Models for Change—Dual status youth" Juvenile Justice initiative.

B. Federal Award Information

Amount and Length of Awards

OJJDP will make one grant award for a 1-year project period. Applicants should submit a 1-year budget not to exceed $750,000, using the budget detail worksheet to accomplish tasks 1–3 above. Applicants should propose an award start date of October 1, 2015.

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 OJJDP strongly recommends that the applicant structure the application to clearly set out each phase, including specifically the narrative, expected scholarly products, timelines/milestones, and budget detail worksheet and budget narrative. (This is particularly the case if the applicant proposes a project that exceeds the cost limit or the 1-year project period for an individual award (or awards) under this solicitation.) Given limitations on the availability to OJJDP of funds for research, development, and evaluation awards, this information will assist OJJDP in considering whether partial funding of proposals that would not receive full funding would be productive. (If OJJDP elects to fund only certain phases of a proposed project in FY 2015, the expected scholarly products from the partial-funding award may, in some cases, vary from those described above.)

OJJDP may provide incremental funding for an additional three years for a 48 month project period. Important considerations in decisions regarding supplemental funding include, among other factors, the availability of funding, strategic priorities, OJJDP's assessment of the quality of the management of the award (for example, timeliness and quality of progress reports), and OJJDP's assessment of 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[2]**.** OJJDP expects to make any award from this solicitation in the form of a grant.

Note: OJJDP will expect any recipient of an award under this solicitation to comply with Department of Justice regulations on confidentiality and human subjects' protection. See "Evidence, Research, and Evaluation Guidance and Requirements" under "Solicitation

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

Requirements" in the [OJP Funding Resource Center](#). Also, because the protection of human subjects is a critical issue for OJP and this project potentially will involve human subjects, applicants should explain the steps they will take to ensure that Internal Review Board review and approval is obtained before any OJP-funded research or data collection regarding human subjects commences.

Financial management and system of internal controls. If selected for funding, the award recipient must:

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

(b) Comply with federal statutes, regulations, and the terms and conditions of the federal awards.

(c) Evaluate and monitor the non-federal entity's compliance with statute, 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 non-federal entity considers sensitive consistent with applicable federal, state, and local laws regarding privacy and obligations of confidentiality.

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

Budget Information

OJJDP will not fund the following:

- proposals primarily to purchase equipment, materials, or supplies. (A budget may include these items if they are necessary to conduct research, development, demonstration, evaluation, or analysis.)

- proposals that are not responsive to this specific solicitation.

- pursuant to the [JJDP Act](#), grantees may not use OJJDP funds for any biomedical or behavior control experimentation on individuals or any research involving such experimentation.

Cost sharing or match requirement. This solicitation does not require a match. However, 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.

Preagreement cost approvals. OJP does not typically approve preagreement costs; an applicant must request and obtain the prior written approval of OJP for all such costs. If approved, pre-agreement costs could be paid from grant funds consistent with a grantee's approved budget, and under applicable cost standards. However, all such costs prior to award and prior to approval of the costs are incurred at the sole risk of an applicant. Generally, no applicant should incur project costs *before* submitting an application requesting federal funding for those costs. Should there be extenuating circumstances that appear to be appropriate for OJP's consideration as pre-agreement costs, the applicant should contact the point of contact listed on the title page of this announcement for details on the requirements for submitting a written request for approval. See the section on Costs Requiring Prior Approval in the [Financial Guide](), for more information.

Limitation on use of award funds for employee compensation; waiver. With respect to any award of more than $250,000 made under this solicitation, recipients may not use federal funds to pay total cash compensation (salary plus cash bonuses) to any employee of the award recipient at a rate that exceeds 110 percent of the maximum annual salary payable to a member of the Federal Government's Senior Executive Service (SES) at an agency with a Certified SES Performance Appraisal System for that year[3]. The 2015 salary table for SES employees is available at the Office of Personnel Management [website](). Note: A recipient may compensate an employee at a greater rate, provided the amount in excess of this compensation limitation is paid with non-federal funds. (Any such additional compensation will not be considered matching funds where match requirements apply.)

The OJJDP Administrator may exercise discretion to waive, on an individual basis, the limitation on compensation rates allowable under an award. An applicant requesting a waiver should include a detailed justification in the budget narrative of the application. Unless the applicant submits a waiver request and justification with the application, the applicant should anticipate that OJP will request the applicant to adjust and resubmit the budget.

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

Prior approval, planning, and reporting of conference/meeting/training costs. OJP strongly encourages applicants that propose to use award funds for any conference-, meeting-, or training-related activity to review carefully – before submitting an application – the OJP policy and guidance on "conference" approval, planning, and reporting available at **www.ojp.gov/funding/confcost.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 such costs for cooperative agreement recipients

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[3] 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.

and of some such costs for grant recipients; and (3) set cost limits, including a general prohibition of all food and beverage costs.

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

For additional information, see the "Civil Rights Compliance" section under "Solicitation Requirements" in the OJP Funding Resource Center.

C. Eligibility Information

Eligibility. For additional eligibility information, see the title page.

Cost Sharing or Match Requirement. For additional information on cost sharing and match requirement, see Section B. Federal Award Information.

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

D. Application and Submission Information

What an Application Should Include

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

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

   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 an important part of the application that introduces the proposed project. OJJDP uses the project abstract for a number of purposes, including assignment of the application to an appropriate review panel. If the application is funded, the project abstract typically will become public information and be used to describe the project.

   Applications should include a high-quality project abstract that summarizes the proposed project in 250-400 words. Project abstracts should be—

   - Written for a general public audience.

   - Submitted as a separate attachment with "Project Abstract" as part of its file name.

   - Single-spaced, using a standard 12-point font (Times New Roman) with 1-inch margins.

   The abstract should include a description of:

   - the purpose of the project, the problem to be investigated, and the anticipated relevance to juvenile justice policy, practice, and theory.

   - the study site(s) and target population, including number of subjects and other relevant attributes.

   - the research design and methodology, including the type of data, collection strategies, instruments, study sites, and other methods or procedures (see pages 5-11).

   - the techniques proposed for data analysis.

   - the expected deliverables, such as data sets, interim and final reports, and other dissemination plans (see pages 5-11).

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

Project abstracts should follow the detailed template (including the detailed instructions as to content) available [here](#).

Permission to share project abstract with the public. It is unlikely that OJJDP will be able to fund all promising applications submitted under this solicitation, but it may have the opportunity to share information with the public regarding promising but unfunded applications, for example, through a listing on a webpage available to the public. The intent of this public posting would be to allow other possible funders to become aware of such proposals.

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

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

3. **Program Narrative**

Applicants must submit a program narrative that presents a detailed description of the purpose, goals, objectives, strategies, design, and management of the proposed program. The program narrative should be double-spaced with 1-inch margins, not exceeding 30 pages of 8½ by 11 inches, and use a standard 12-point font, preferably Times New Roman. Pages should be numbered "1 of 30," etc. The tables, charts, pictures, etc., including all captions, legends, keys, subtext, etc., may be single-spaced and will count in the 30-page limit. Material required under the Budget and Budget Narrative and Additional Attachments sections will not count toward the program narrative page count. Applicants may provide bibliographical references as a separate attachment that will not count toward the 30-page program narrative limit. If the program narrative fails to comply with these length-related restrictions, OJJDP may consider such noncompliance in peer review and in final award decisions.

The program narrative should address the following selection criteria: (1) statement of the problem and research questions; (2) program design and implementation; (3) potential impact; and (4) capabilities/competencies. The applicant should clearly delineate the connections between and among each of these sections. For example, the project design section should clearly explain how the program's structure and activities will respond to the problem statement identified in the previous section (see pages 4-9).

Program Narrative Guidelines:

a. **Title page.** (not counted against the narrative page limit). This page should include the title of the project, submission date, funding opportunity number, and the name and complete contact information (that is, address, telephone number, and e-mail address) for both the applicant organization and the principal investigator.

b. **Table of contents and figures.** (not counted against the narrative page limit).

c. **Main body.** This section should describe the proposed project in depth. Applicants should include the following sections as part of the program narrative:

(1) **Statement of the problem and research questions.** Applicants should briefly describe the nature and scope of the problem that the program will address (i.e., research gaps in risk assessment). The applicant should use data to provide evidence of the need, demonstrate the size and scope of the need, and document the effects of the need on the target population and the larger community.

Applicants should discuss their research questions and how their proposed study addresses the gaps identified(see pages 4-5).

Applicants should describe the study site(s) and target population and provide a brief review of the relevant theories or research supporting the proposed approach. Applicants should describe any research or evaluation studies that relate to the need and contribute to the applicant's understanding of its causes and potential solutions. While OJJDP expects applicants to review the research literature for relevant studies, they should also explore whether unpublished local sources of research or evaluation data are available.

(2) **Project design and implementation.** Applicants should provide a detailed description of the research design and methods, addressing the items noted on pages 6-7 of this solicitation. This includes detailed explanations of:

- the sampling plan.
- the human subjects considerations.
- how the applicant will measure impact for the proposed research questions and why this is the best approach. Applicants should address recidivism/ reoffending and an analysis of the types of offenses, including violent offending, and may address other outcomes.
- how the applicant will examine implementation, including the key programmatic or systemic components, theoretical foundation, and implementation quality.
- the data sources, data collection tools, and data collection procedures.
- the statistical and data analyses anticipated.
- the anticipated limitations and barriers in the approach and project.
- estimated costs and time lines of different research plans

Performance Measures. OJJDP does not require applicants to submit performance measures data with their applications. Performance measures (see Performance Measures, page 19) are included as an alert that OJJDP will require successful applicants to submit specific data as part of their reporting requirements. For the application, applicants should indicate an understanding of these requirements and discuss how they will gather the required data should they receive funding.

OJJDP encourages award recipients to use information from existing program records to fulfill performance measures reporting requirements rather than initiating new data collection activities for this purpose.

Logic model. Applicants should include a logic model that graphically illustrates the theory of change that the evaluation will measure. Sample logic models are available at www.ojjdp.gov/grantees/pm/logic_models.html. Applicants should submit the logic model as a separate attachment, as stipulated in Additional Attachments, page 22.

Timeline. Applicants should submit a realistic timeline or milestone chart that indicates major tasks associated with the goals and objectives of the project, assigns responsibility for each, and plots completion of each task by month or quarter for the duration of the award, using "Year 1," "Month 1," "Quarter 1," etc., not calendar dates (see "Sample Project Timelines" here.) Applicants should submit the timeline as a separate attachment, as stipulated in Additional Attachments, page 22.

d. **Potential impact.** Applicants should describe the potential impact of the research and how it may inform or improve juvenile justice-related policy, practice, and theory in the United States. This includes a description of:

- how the proposed research will inform the juvenile justice and child welfare systems' coordination, policies, and practice.

- how applicants will complete the deliverables stated in the Goals, Objectives, and Deliverables section on pages 6-11.

- a plan for dissemination to broader audiences.

e. **Capabilities/competencies.** This section should describe the experience and capability of the applicant organization and any contractors or subgrantees that the applicant will use to implement and manage this effort and its associated federal funding, highlighting any previous experience implementing projects of similar scope, design, and magnitude. Applicants should address:

- experience and capacity to design and complete rigorous studies of similar scope and size.

- experience and capacity to evaluate the risk assessment and systems change, in particular.

- whether a research advisory board will be included in the development and review of the research methodology.

Applicants should also highlight their experience/capability/capacity to manage subawards, including details on their system for fiscal accountability. Management and staffing patterns should be clearly connected to the project design described in the previous section.

Applicants should describe the roles and responsibilities of project staff and explain the program's organizational structure and operations. Applicants should include a

copy of an organizational chart showing how the organization operates, including who manages the finances; how the organization manages subawards, if there are any; and the management of the project proposed for funding.

f. **Performance measures.** To assist the Department with fulfilling its responsibilities under the Government Performance and Results Act of 1993 (GPRA), Public Law 103-62, and the GPRA Modernization Act of 2010, Public Law 111–352, applicants that receive funding under this solicitation must provide data that measure the results of their work done under this solicitation. OJP will require any award recipient, post award, to provide the data requested in the "Data Grantee Provides" column so that OJP can calculate values for the "Performance Measures" column. (Submission of performance measures data is not required for the application.) Performance measures for this solicitation are as follows:

Objective	Performance Measure(s)	Data Grantee Provides
To generate design study.	Number of working group meetings held.	Number of working group meetings held.
	Number of interviews conducted.	Number of interviews conducted.
	Number of deliverables that meet expectations.	Number of deliverables that meet expectations (as outlined in the solicitation).

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

- bibliography/references.

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

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

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

- proposed project timeline and expected milestones.

- logic model.

- list of any previous and current OJJDP awards to applicant organization and investigator(s), including the OJJDP-assigned award numbers and a brief description of any scholarly products that resulted in whole or in part from work funded under the OJJDP award(s). (See "Goals, Objectives, Deliverables, and Expected Scholarly Products" under "Program-Specific Information," above, for definition of scholarly products.)

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

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

- data archiving plan. Applicants should include a brief (less than one-page statement–labeled "Data Archiving Plan"–documenting that they will comply with OJJDP data archiving requirements. Grantees are required to work collaboratively with OJJDP and/or its designee (e.g., National Archive of Criminal Justice Data) to determine the need for a data archiving plan to archive the research study data for public use, with a specific schedule, tasks, and milestones. Any required data archiving plan will be due to OJJDP within 120 days of the date on which a determination is made that such an archiving plan is required. See the Guide to Social Science Data Preparation and Archiving for information about what is included in a data archiving plan.

- letters of support/memoranda of understanding**.** If submitting an application with a subaward, as described under Eligibility, page 1, applicants should provide signed and dated letters of support or memoranda of understanding for all key partners that include the following:

  o expression of support for the program and a statement of willingness to participate and collaborate with it.

  o description of the partner's current role and responsibilities in the planning process and expected responsibilities when the program is operational.

  o estimate of the percent of time that the partner will devote to the planning and operation of the project.

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

   a. **Budget Detail Worksheet.** A sample Budget Detail Worksheet can be found here. Applicants that submit their budget in a different format should include the budget categories listed in the sample budget worksheet. (Work associated with satisfying

data archiving requirements should be reflected.) OJJDP expects applicants to provide a thorough narrative to each section of the Budget Detail Worksheet.

For questions pertaining to budget and examples of allowable and unallowable costs, see the Financial Guide.

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

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

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

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

d. **Preagreement cost approvals.** For information on preagreement costs approvals, see Section B. Federal Award Information.

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

Indirect costs are allowed only if the applicant has a current federally approved indirect cost rate. (This requirement does not apply to units of local government.) Attach a copy of the federally approved indirect cost rate agreement to the application. Applicants that do not have an approved rate may request one through their cognizant federal agency, which will review all documentation and approve a rate for the applicant organization, or, if the applicant's accounting system permits, costs may be allocated in the direct cost categories. For the definition of Cognizant Federal Agency, see the "Glossary of Terms" in the Financial Guide. For assistance with identifying your cognizant agency, contact the Customer Service Center at 1-800-458-0786 or at ask.ocfo@usdoj.gov. If DOJ is the cognizant federal agency, applicants may obtain information needed to submit an indirect cost rate proposal at www.ojp.gov/funding/Apply/Resources/IndirectCosts.pdf.

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

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

7. **Applicant Disclosure of High Risk Status**

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

- The federal agency that currently designated the applicant as high risk
- Date the applicant was designated high risk
- The high risk point of contact name, phone number, and email address, from that federal agency
- Reasons for the high risk status

OJP seeks this information to ensure appropriate federal oversight of any grant award. Unlike the Excluded Parties List, this high risk information does not disqualify any organization from receiving an OJP award. However, additional grant oversight may be included, if necessary, in award documentation.

8. **Additional Attachments**

a. **Applicant disclosure of pending applications[4].** Applicants are to disclose whether they have pending applications for federally funded grants or subgrants (including cooperative agreements) that include requests for funding to support the same project being proposed under this solicitation and will cover the identical cost items outlined in the budget narrative and worksheet in the application under this solicitation. The disclosure should include both direct applications for federal funding (e.g., applications to federal agencies) and indirect applications for such funding (e.g., applications to state agencies that will subaward federal funds).

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

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[4] 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.

duplication. Applicants that have pending applications as described above are to provide the following information about pending applications submitted within the last 12 months: the federal or state funding agency, the solicitation name/project name, and the point of contact information at the applicable funding agency.

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

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

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

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

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

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

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

position to evaluate a spouse's work product (actual conflict), or an investigator would be in a position to evaluate the work of a former or current colleague (potential apparent conflict). With regard to potential organizational conflicts of interest, as one example, generally an organization could not be given a grant to evaluate a project if that organization had itself provided substantial prior technical assistance to that specific project or a location implementing the project (whether funded by OJP or other sources), as the organization in such an instance would appear to be evaluating the effectiveness of its own prior work. The key is whether a reasonable person understanding all of the facts would be able to have confidence that the results of any research or evaluation project are objective and reliable. Any outside personal or financial interest that casts doubt on that objectivity and reliability of an evaluation or research product is a problem and must be disclosed.

ii. In addition, for purposes of this solicitation applicants must address the issue of possible mitigation of research integrity concerns by including, at a minimum, one of the following two items:

a. If an applicant reasonably believes that no potential personal or organizational conflicts of interest exist, then the applicant should provide a brief narrative explanation of how and why it reached that conclusion. Applicants MUST also include an explanation of the specific processes and procedures that the applicant will put in place to identify and eliminate (or, at the very least, mitigate) potential personal or financial conflicts of interest on the part of its staff, consultants, and/or sub-recipients for this particular project, should that be necessary during the grant period. Documentation that may be helpful in this regard could include organizational codes of ethics/conduct or policies regarding organizational, personal, and financial conflicts of interest.

OR

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

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

9. **Financial Management and System of Internal Controls Questionnaire**

In accordance with 2 CFR 200.205, federal agencies must have in place a framework to evaluate the risks that applicants pose before they receive an award. To facilitate part of this risk evaluation, **all** applicants (other than an individual) are to download, complete, and submit this form.

10. **Disclosure of Lobbying Activities**

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

How To Apply

Applicants must register in, and submit applications through Grants.gov, a "one-stop storefront" to find federal funding opportunities and apply for funding. Find complete instructions on how to register and submit an application at www.Grants.gov. Applicants that experience technical difficulties during this process should call the Grants.gov Customer Support Hotline at **800**-**518**-**4726** or **606–545–5035**, 24 hours a day, 7 days a week, except federal holidays. Registering with Grants.gov is a one-time process; however, **processing delays may occur, and it can take several weeks** for first-time registrants to receive confirmation and a user password. OJP encourages applicants to **register several weeks before** the application submission deadline. In addition, OJP urges applicants to submit applications 72 hours prior to the application due date to allow time to receive validation messages or rejection notifications from Grants.gov, and to correct in a timely fashion any problems that may have caused a rejection notification.

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

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

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

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

All applicants are required to complete the following steps:

OJP may not make a federal award to an applicant until the applicant has complied with all applicable DUNS and SAM requirements. If an applicant has not fully complied with the requirements by the time the federal awarding agency is ready to make a federal award, the federal awarding agency may determine that the applicant is not qualified to receive a federal award and use that determination as a basis for making a federal award to another applicant.

1. **Acquire a Data Universal Numbering System (DUNS) number.** In general, the Office of Management and Budget requires that all applicants (other than individuals) for federal funds include a DUNS number in their applications for a new award or a supplement to an existing award. A DUNS number is a unique nine-digit sequence recognized as the universal standard for identifying and differentiating entities receiving federal funds. The identifier is used for tracking purposes and to validate address and point of contact information for federal assistance applicants, recipients, and subrecipients. The DUNS number will be used throughout the grant life cycle. Obtaining a DUNS number is a free, one-time activity. Call Dun and Bradstreet at 866–705–5711 to obtain a DUNS number or apply online at www.dnb.com. A DUNS number is usually received within 1-2 business days.

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

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

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

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

4. **Acquire confirmation for the AOR from the E-Business Point of Contact (E-Biz POC).** The E-Biz POC at the applicant organization must log into Grants.gov to confirm

the applicant organization's AOR. Note that an organization can have more than one AOR.

5. **Search for the funding opportunity on Grants.gov.** Use the following identifying information when searching for the funding opportunity on Grants.gov. The Catalog of Federal Domestic Assistance number for this solicitation is 16.818, titled "Children Exposed to Violence"*"* and the funding opportunity number is OJJDP-2015-4126.

6. **Submit a valid application consistent with this solicitation by following the directions in Grants.gov.** Within 24–48 hours after submitting the electronic application, the applicant should receive two notifications from Grants.gov. The first will confirm the receipt of the application and the second will state whether the application has been successfully validated, or rejected due to errors, with an explanation. It is possible to first receive a message indicating that the application is received and then receive a rejection notice a few minutes or hours later. Submitting well ahead of the deadline provides time to correct the problem(s) that caused the rejection. **Important:** OJP urges applicants to submit applications **at least 72 hours prior** to the application due date to allow time to receive validation messages or rejection notifications from Grants.gov, and to correct in a timely fashion any problems that may have caused a rejection notification.

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

Note: Duplicate applications. If an applicant submits multiple versions of the same application, OJJDP will review only the most recent system-validated version submitted. See Note on File Names and File Types under How To Apply.

Experiencing Unforeseen Grants.gov Technical Issues

Applicants that experience unforeseen Grants.gov technical issues beyond their control that prevent them from submitting their application by the deadline must contact the Grants.gov Customer Support Hotline or the SAM Help Desk to report the technical issue and receive a tracking number. The applicant must e-mail the Response Center at responsecenter@ncjrs.gov **within 24 hours after the application deadline** and request approval to submit their application. The e-mail must describe the technical difficulties, and include a timeline of the applicant's submission efforts, the complete grant application, the applicant's DUNS number, and any Grants.gov Help Desk or SAM tracking number(s). **Note: OJJDP does not automatically approve requests.** After the program office reviews the submission, and contacts the Grants.gov or SAM Help Desks to validate the reported technical issues, OJP will inform the applicant whether the request to submit a late application has been approved or denied. If OJP determines that the applicant failed to follow all required procedures, which resulted in an untimely application submission, OJP will deny the applicant's request to submit their application.

The following conditions are generally insufficient to justify late submissions:

- Failure to register in SAM or Grants.gov in sufficient time
- Failure to follow Grants.gov instructions on how to register and apply as posted on its website
- Failure to follow each instruction in the OJP solicitation

- Technical issues with the applicant's computer or information technology environment, including firewalls

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

E. Application Review Information

Selection Criteria

Peer reviewers will evaluate applications that meet basic minimum requirements using the following review criteria:

1. **Statement of the Problem**–10 percent

   Applicants should address their understanding of the problem, their awareness of the state of current research, and its importance to address requirements, as outlined in the program description pages 4-11)

2. **Project Design and Implementation**–50 percent

   Applicants should address their quality and technical merit to address requirements, as outlined in the program description pages 4-6. This should include:

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

   - Feasibility of the proposed project.

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

3. **Potential Impact**–20 percent

   Applicants should describe the potential for significant scientific or technical advance(s) that will improve criminal/juvenile justice in the United States, including:

   - Potential for significantly improved understanding of the stated criminal/juvenile justice problem.

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

4. **Capabilities/Competencies**–20 percent

   Applicants should describe their organization and proposed project staff's capabilities, demonstrated productivity, and experience to address requirements as outlined in the Program Description pages 4-11. This should include:

- Qualifications and experience of proposed project staff (that is, the principal investigator, all coprincipal 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.

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

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

5. **Budget.** Peer reviewers will consider and may comment on the following additional items in the context of scientific and technical merit.

- Total cost of the project relative to the perceived benefit (cost effectiveness).

- Appropriateness of the budget relative to the level of effort.

- Use of existing resources to conserve costs.

- Proposed budget alignment with proposed project activities.

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

Review Process

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

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

- An eligible type of applicant must submit the application.
- Applications must request funding within funding limit for this solicitation (if applicable).
- Applications must be responsive to the scope of the solicitation.
- Applications must include all items designated as critical elements.
- Applicants will be checked against the General Services Administration's Excluded Parties List.

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

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

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

1. Financial stability and fiscal integrity.
2. Quality of management systems and ability to meet the management standards prescribed in the Financial Guide.
3. History of performance.
4. Reports and findings from audits.
5. The applicant's ability to effectively implement statutory, regulatory, or other requirements imposed on nonfederal entities.
6. Proposed costs to determine if the Budget Detail Worksheet and Budget Narrative accurately explain project costs and whether those costs are reasonable, necessary, and allowable under applicable federal cost principles and agency regulations

The OJJDP Administrator will make all final award decisions. Peer reviewers' ratings and any resulting recommendations are advisory only, although OJJDP will consider their views 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 OJJDP and OJP awards, research independence and integrity, strategic priorities, and available funding when making awards.

F. Federal Award Administration Information

Federal Award Notices

OJP award notification will be sent from GMS. Recipients will be required to login; accept any outstanding assurances and certifications on the award; designate a financial point of contact; and review, sign, and accept the award. The award acceptance process involves physical signature of the award document by the authorized representative and the scanning of the fully-executed award document to OJP.

Administrative, National Policy, and other Legal Requirements

If selected for funding, in addition to implementing the funded project consistent with the agency-approved project proposal and budget, the recipient must comply with award terms and conditions, and other legal requirements, that are included in the award, incorporated into the award by reference, or are otherwise applicable to the award. OJP strongly encourages prospective applicants to review the information pertaining to these requirements **prior** to submitting an application. To assist applicants and recipients in

accessing and reviewing this information, OJP has placed it on its [Solicitation Requirements](#) page of the [OJP Funding Resource Center](#).

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

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

- [Standard Assurances](#)

Upon grant approval, OJP electronically transmits (via GMS) the award document to the prospective award recipient. In addition to other award information, the award document contains award terms and conditions that specify national policy requirements[5] with which recipients of federal funding must comply; uniform administrative requirements, cost principles, and audit requirements; and program-specific terms and conditions required based on applicable program (statutory) authority or requirements set forth in OJP solicitations and program announcements. For example, certain efforts may call for special requirements, terms, or conditions relating to intellectual property, data/information-sharing or -access, or information security; or audit requirements, expenditures and milestones, or publications and/or press releases.

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

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

Human Subjects and Privacy Certificate

DOJ regulations (28 C.F.R. Part 46) protect the human subjects of federally funded research. Part 46 requires that an Institutional Review Board, in accordance with the regulations, review and approve most research involving human subjects that any federal department or agency conducts or supports before an award recipient may expend federal funds for that research. As a rule, persons who participate in federally funded research must provide their informed consent and must be permitted to terminate their participation at any time. Funding recipients, before they will be allowed to spend OJP funds on any research activity involving human subjects, must submit appropriate documentation to OJP showing compliance with 28 C.F.R. Part 46 requirements, as requested by OJP.

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

DOJ regulations (28 C.F.R. Part 22) require recipients of OJP funding to submit a Privacy Certificate as a condition of approval of any grant application or contract proposal that contains a research or statistical component under which "information identifiable to a private person" will be collected, analyzed, used, or disclosed. The funding recipient's Privacy Certificate includes a description of its policies and procedures to be followed to protect the confidentiality of identifiable data (28 C.F.R. § 22.23). The Department's regulations provide, among other matters, that: "Research or statistical information identifiable to a private person may be used only for research or statistical purposes (28 C.F.R. § 22.21)." Moreover, any private person from whom information identifiable to a private person is collected or obtained (either orally or by means of written questionnaire or other document) must be advised that the information will only be used or disclosed for research or statistical purposes and that compliance with the request for information is voluntary and may be terminated at any time (28 C.F.R. § 22.27).

Applicants selected for an award will be required to submit all appropriate IRB and privacy documents prior to spending OJP funds for research-related activities.

General Information About Post-Federal Award Reporting Requirements

Recipients must submit quarterly financial reports, semi-annual progress reports, final financial and progress reports, and, if applicable, an annual audit report in accordance with 2 CFR Part 200. Applicants must follow the nonbudgetary components of the Research Performance Progress Report (RPPR) template/format in their progress reports. General information on RPPRs may be found here. OJJDP may withhuld future awards and fund drawdowns if reports are delinquent.

OJP may require special reporting requirements depending on the statutory, legislative, or administrative requirements of the recipient or the program.

As indicated earlier in this solicitation, OJJDP expects scholarly products to result from any award under this solicitation. Review the Goals, Objectives, Deliverables, and Expected Scholarly Products segment of the "Program-Specific Information" section of this solicitation, and the "Performance Measures" section.

In addition to the expectation of scholarly products, OJJDP will require the successful applicant under this solicitation to submit the following deliverables regarding the work funded by the award:

Draft and final summary overview of the work conducted under the award. A final, detailed report documenting the project design, implementation, evaluation, and its findings. This publication should include an executive summary and be suitable for a non-technical audience, to be disseminated at OJJDP's discretion.

Required data sets and associated files and documentation. As discussed earlier, OJJDP requires recipients of an award under this solicitation to submit to NACJD all data sets that result in whole or in part from the work that OJJDP funds, along with associated files and any documentation to allow other future efforts to reproduce the project's findings and/or to extend the scientific value of the data set through secondary analysis. Recipients must submit all data sets and necessary documentation 90 days prior to the end of the project period. For more information, see the "Program Narrative" section of What an Application Should Include.

G. Federal Awarding Agency Contact(s)

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

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

H. Other Information

Provide Feedback to OJP

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

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

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

Application Checklist

OJJDP FY 2015 Design Study of Dual System Youth

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 26)
_____Acquire or renew registration with SAM (see page 26)
To Register with Grants.gov:
_____Acquire AOR and Grants.gov username/password (see page 26)
_____Acquire AOR confirmation from the E-Biz POC (see page 26)
To Find Funding Opportunity:
_____Search for the funding opportunity on Grants.gov (see page 27)
_____Download Funding Opportunity and Application Package
_____Sign up for Grants.gov email notifications (optional)   (see page 25)
_____Read **Important Notice: Applying for Grants in Grants.gov**
After application submission, receive Grants.gov email notifications that:
_____(1) application has been received
_____(2) application has either been validated or rejected (see page 27)
If no Grants.gov receipt, and validation or error notifications are received:
_____contact OJJDP regarding experiencing technical difficulties (see page 27)

General Requirements:

_____Review the Solicitation Requirements in the OJP Funding Resource Center.

Scope Requirement:

_____The federal amount requested is within the allowable limit(s) of $750,000.

Eligibility Requirement:

_____ 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 or for-profit organizations), institutions of higher education (including tribal institutions of higher education), and certain qualified individuals.

What an Application Should Include:

_____Application for Federal Assistance (SF-424)   (see page 15)
_____Project Abstract (see page 15)
_____Program Narrative (see page 16)
_____Appendices (see page 19)
_____Budget Detail Worksheet (see page 20)
_____Budget Narrative (see page 20)
          _____Employee Compensation Waiver request and justification (see page 13)

_____Read OJP policy and guidance on conference approval, planning, and reporting available [here](#) (see page 13)

_____Disclosure of Lobbying Activities (SF-LLL) (see page 25)

_____Indirect Cost Rate Agreement (if applicable)   (see page 21)

_____Tribal Authorizing Resolution (if applicable)   (see page 22)

_____Applicant Disclosure of High Risk Status (see page 22)

_____Additional Attachments (see page 22)

_____Applicant Disclosure of Pending Applications

_____Research and Evaluation Independence and Integrity

_____Financial Management and System of Internal Controls Questionnaire (see page 25)