



---

# National Institute of Justice

## G u i d e l i n e s

### **Guidelines for Submitting Proposals for National Institute of Justice-Sponsored Research**

# Guidelines for Submitting Proposals for National Institute of Justice-Sponsored Research

## Application Information

Please see “Requirements for Proposal Writers” below for general application and eligibility requirements and selection criteria. Proposals not conforming to these application procedures will not be considered. Proposals requesting less than \$50,000 will be considered Small Grants across all goals and subjects. Further information can be downloaded from the Justice Information Center Web site: <http://www.ncjrs.org>, or the National Institute of Justice Web site: <http://www.ojp.usdoj.gov/nij>.

The author(s) of the proposal should be clearly identified. Proposals that are incorrectly collated, incomplete, or handwritten will be judged as submitted or, at NIJ’s discretion, will be returned without a deadline extension. No additions to the original submission are allowed. Proposals exceeding the page limit will not be read. The Institute suggests that applicants make certain that they address the questions, issues, and requirements set forth below when preparing an application.

**Address.** Ten (10) copies of **fully executed proposals** should be sent to:

[Name of Solicitation]  
National Institute of Justice  
810 Seventh Street N.W.  
Washington, DC 20531  
[Overnight courier ZIP code: 20001]

**Deadlines.** Consult solicitation for deadlines. Extensions of deadlines will not be permitted. Proposals must be complete; additions at a later date will not be accepted.

**Information and contacts.** If you wish to obtain further information about topic(s) covered here, gain access to background literature, inquire about the status of an application, or learn about other matters, please see “Information and Contacts” below. To obtain required application forms, see “Application Forms” below.

**Certifications regarding lobbying; debarment, suspension, and other responsibility matters; and drug-free workplace requirements.** Applicants should

read and sign this certification form. Signing this form commits the applicant to compliance with the certification requirements under 28 CFR Part 69, “New Restrictions on Lobbying,” and 28 CFR Part 67, “Government-Wide Debarment and Suspension (Nonprocurement) and Government-Wide Requirements for Drug-Free Workplace (Grants).” The certification will be treated as a material representation of fact upon which reliance will be placed by the U.S. Department of Justice in making awards.

## Requirements for Proposal Writers

Over the past 5 years, Institute staff have reviewed thousands of grant applications. On the basis of those reviews and inquiries from applicants, the Institute offers the following recommendations to help potential applicants present workable, understandable proposals.

### 1. What technical materials are required to be included in the application?

- An abstract of the full proposal, not to exceed 400 words. When read separately from the rest of the application, the abstract will serve as a succinct and accurate description of the proposed work. The abstract will concisely describe the research goals and objectives, research design, and methods for achieving the goals and objectives. Summaries of past accomplishments are to be avoided, and proprietary/confidential information is not to be included. Abstract headers are to be: “Project Goals and Objectives” and “Proposed Research Design and Methodology.”
- A program narrative, which is the technical portion of the proposal. It should include a clear, concise statement of the problem, goals, and objectives of the project and related questions to be explored. A discussion of the relationship of the proposed work to the existing research literature is expected.
- A list of key personnel, as well as key positions that have yet to be filled.
- A statement of the project’s anticipated contribution to criminal justice policy and practice. It is important that applicants briefly cite those particular issues and concerns of present-day criminal justice policy that stimulate

the proposed line of inquiry and suggest what their own investigations would contribute to current knowledge.

- A detailed statement of the proposed research or study design and analytical methodologies. The proposed data sources, data collection strategies, variables and issues to be examined, and procedures of analysis to be employed should be delineated carefully and completely. When appropriate, experimental designs are encouraged because of their potential relevance to policymaking and the strength of the evidence they can produce.
- A Privacy Certificate. (See “Confidentiality of Information and Human Subjects Protection” below.)
- Catalog of Federal Domestic Assistance number. On line 10 of the SF 424, fill in one of the following numbers, as appropriate:

<b>CFDA #</b>	<b>Type of Award</b>
16.560	Justice Research, Development, and Evaluation Project Grants
16.561	NIJ Visiting Fellowships
16.562	Criminal Justice Research and Development Graduate Research Fellowships
16.563	Corrections and Law Enforcement Family Support
16.564	NIJ Forensic DNA Lab Improvement Program
16.565	NIJ Anti-Terrorism Technology Development Program
16.566	NIJ W.E.B. DuBois Post-Doctoral Fellowship Program

The CFDA Web site is <http://aspe.os.dhhs.gov/cfda>

- A Geographic Area Affected Worksheet. NIJ requires that applicants disclose all geographic locations that will be affected by their proposed project. The “Geographic Area Affected Worksheet” has been developed to help clarify the requirements of SF-424 (Question 12). All applicants must complete and submit the worksheet with their proposal package. It is included with the application forms. If more room is needed, photocopy and attach an additional worksheet.

- The organization and management plan to conduct the study. A list of major milestones of events, activities, and products and a timetable for completion that indicates the time commitments to individual project tasks should be included. All grant activities, including writing of the final report, should be completed within the duration of the award period.
- A plan to disseminate the results of the research, evaluation, technology, or demonstration beyond the jurisdictions and individuals directly affected by the project. The plan should identify the specific methods that will be used to inform the field about the project such as the publication of journal articles or the distribution of key materials. Expectations regarding products are discussed more fully in the following section, “Requirements for Award Recipients.” Applicants must concisely describe the interim and final products and address each product’s purpose, audience, and usefulness to the field. This discussion should identify the principal criminal justice constituency or type of agency for which each product is intended and describe how the constituent group or agency would be expected to use the product or report. In addition, a schedule of delivery dates of all products should be delineated.
- The key personnel’s curriculum vitae should summarize education, research experience, and bibliographic information related to the proposed work.
- A detailed statement identifying all machine-readable and non-machine-readable databases that will be developed as part of the proposed project. This statement should also identify any anticipated problems associated with the archiving of this data.
- Past performance. In an appendix to the proposal, applicants must list their prior and current funded grants with NIJ, the status of each of these grants, and, where appropriate, the products that resulted (final report, specific NIJ publications, other publications, etc.).

**2. What is the page order?** The requisite page order is given below. Omission of sections can result in rejection of the application:

- Standard Form (SF) 424, Application for Federal Assistance.
- Geographic Area Affected Worksheet.
- Assurances.

- Certifications Regarding Lobbying; Debarment, Suspension, and Other Responsibility Matters; and Drug-Free Workplace Requirements.
- Disclosure of Lobbying Activities.
- Budget Detail Worksheet.
- Budget Narrative.
- Negotiated indirect rate agreement, if appropriate.
- Names and affiliations of all key persons from applicant and subcontractor(s), advisers, consultants, and Advisory Board members. Include the name of the Principal Investigator, title, organizational affiliation (if any), department (if institution of higher education), address, and phone and fax numbers.
- Proposal abstract.
- Table of contents.
- Program narrative or technical proposal.
- Privacy Certificate.
- Form 310 (Protection of Human Subjects Assurance Identification/Certification/Declaration).
- Environmental Assessment (if required).
- References.
- Resumes of key personnel.
- Appendixes, if any (e.g., letters of cooperation from collaborating organizations, list of previous NIJ awards and products).

**3. Is there a page limit? (a) Grants of \$50,000 or more:** The Institute has established a limit of 30 double-spaced pages (in font size no smaller than 12 point) for all normal grant applications. This page limit applies only to the program narrative section of the proposal (described in item 1 above) and does not include references, budget narrative, curriculum vitae, or necessary appendixes (the latter include, for example, letters of cooperation from collaborating organizations and a list of previous NIJ awards and products). Applicants may include additional substantive material in a technical appendix but should be advised that reviewers have the option of not reading material exceeding the page limit.

**(b) Applications for small grants (less than \$50,000):**

The program narrative section is limited to 15 double-spaced pages (in font size no smaller than 12 point). Proposals failing to conform to these page and font limitations will not be accepted.

**4. What are the specific costs involved?** The budget application should be presented clearly. Major budget categories such as personnel, benefits, travel, supplies, equipment, and indirect costs should be identified separately. The components of “other” or “miscellaneous” items should be specified in the application budget narrative and should not include set-asides for undefined contingencies. Grant funds may be used to purchase or lease equipment essential to accomplishing the objectives of the project. The budget narrative must list such equipment and explain why the equipment is necessary. Funds may not be used for operating programs, augmenting program staff time, writing texts or handbooks, training, or writing proposals.

**5. How much detail should be included in the budget narrative?** The budget narrative should list all planned expenditures and detail the salaries, materials, and cost assumptions used to estimate project costs for the full period of the proposed project. Budget Detail Worksheets are one of the application forms, and a sample worksheet is available. The narrative and cost estimates should be presented under the following standard budget categories: personnel, fringe benefits, travel, equipment, supplies, contracts, other, and indirect costs. For multiyear projects, applicants must include the full amount of NIJ funding for the entire life of the project. This amount should be reflected in item 15g on SF 424. When appropriate, grant applications should include justification for use of consultants and a full explanation of daily rates for any consultants proposed. To avoid common shortcomings of application budget narratives, include the following information:

- Personnel estimates that accurately provide the amount of time to be spent by personnel involved with the project and the total associated costs, including current salaries for the designated personnel (e.g., Project Director, 50 percent of 1 year’s annual salary of \$50,000 = \$25,000). If salary costs are computed using an hourly or daily rate, the annual salary and number of hours or days in a work year should be shown.
- Estimates for supplies and expenses supported by a complete description of the supplies to be used, nature and extent of printing to be done, anticipated telephone

charges, and other common expenditures, with the basis for computing the estimates included (e.g., 100 reports x 75 pages each x \$0.05/page = \$375.00). Supply and expense estimates offered simply as “based on experience” are not sufficient.

**6. What travel regulations apply to the budget estimates?** Transportation costs and per diem rates must comply with the policies of the applicant organization, and a copy of the applicant’s travel policy should be submitted as an appendix to the application. If the applicant does not have a travel policy established in writing, then travel rates must be consistent with those established by the Federal Government. The budget narrative should state which regulations are in force for the project and should include the estimated fare, the number of persons traveling, the number of trips to be taken, and the length of stay. The estimated costs of travel, lodging, ground transportation, and other subsistence should be listed separately. When combined, the subtotals for these categories should equal the estimate listed on the budget form.

**7. To what extent may indirect costs be included in the budget estimates?** It is the policy of the Institute that all costs should be budgeted directly; however, if an applicant has an indirect cost rate that has been approved by a Federal agency within the past 2 years, an indirect cost recovery estimate may be included in the budget. A copy of the approved rate agreement should be submitted as an appendix to the application. If an applicant does not have an approved rate agreement, the applicant should contact the Office of the Comptroller, Office of Justice Programs, at 202–307–0623 to obtain information about preparing an indirect cost rate proposal.

**8. What, if any, matching funds are required?** Units of State and local governments (not including publicly supported institutions of higher education) are encouraged to contribute a match (cash, noncash, or both) of requested funds. Other applicants also are encouraged to seek matching contributions from other Federal agencies or private foundations to assist in meeting the costs of the project.

**9. Should other funding sources be listed?**

**Coordination of funding sources.** Applicants are expected to identify all other Federal, local, or private sources of support, including other NIJ programs, to which this or a closely related proposal has been or will be submitted. This information permits NIJ to consider the joint

funding potential, limits the possibility of inadvertent duplicate funding, and promotes coordination of Federal funding of related efforts. Applicants must state how these other pending and/or active awards will be coordinated with the funding sought with this application.

For each related Federal effort, the applicant should include the program/project title, the name of the Federal grantor agency, the Federal award amount, and a very brief description of the purpose. “Related efforts” is defined for these purposes as for:

- The same purpose (i.e., the proposed award would supplement, expand, complement, or continue activities funded with other Federal grants).
- Another phase or component of the same program/project.

Applicants may submit more than one proposal to NIJ, but the same proposal cannot be submitted in more than one program area.

**10. What does the review process entail?** After all applications for a competition are received, NIJ will convene a series of peer review panels of researchers and criminal justice professionals. When appropriate, NIJ will assign proposals to peer panels that it deems most suitable. Panel members read each proposal and meet to assess the technical merits and policy relevance of the proposed research. Panel assessments of the proposals, together with assessments by NIJ staff, are submitted to the Director, who has sole and final authority over approval and awards. The review normally takes 60 to 90 days, depending on the number of applications received. Each applicant receives written comments from the peer review panel concerning the strengths and weaknesses of the proposal. These comments may include suggestions for how a revised or subsequent application to NIJ might be improved.

**11. What are the criteria for an award?**

**Quality and technical merit**

- Soundness of methodology or of analytic or technical approach.
- Innovation and creativity.
- Feasibility of proposed project; awareness of pitfalls.
- Awareness of existing research and related applications.

**Impact of the project**

- Understanding the importance of the project.
- Potential for significant advancement in crime prevention, law enforcement, courts, corrections, or other practice or policy area.
- Potential for advancement of scientific understanding of problem area.
- Relevance to practice, including development and demonstration in application domains (if applicable).
- Affordable end products (if applicable).

**Capabilities, demonstrated productivity, and experience of applicants**

- Qualifications and experiences of personnel as related to proposed project.
- Responsiveness to the goals of the solicitation.
- Demonstrated ability to manage proposed effort.
- Adequacy of proposed resources to undertake effort.

**Budget considerations**

- Total cost relative to perceived benefit.
- Appropriate budgets and level of effort.
- Use of existing resources to conserve costs.
- Cost-effectiveness of program or product for application in the criminal justice system (if applicable).

**12. Who is eligible to apply?** NIJ awards grants to, or enters into cooperative agreements with, educational institutions, nonprofit organizations, public agencies, individuals, and profitmaking organizations that are willing to waive their fees. Where appropriate, special eligibility criteria are indicated in the separate solicitations.

**13. Does NIJ accept resubmission of proposals?**

The Institute will accept resubmission of a previously submitted proposal. The applicant should indicate for Question 8, SF 424, that the application is a revision. The applicant should include this information in the abstract. Finally, the applicant should prepare a one-page response to the earlier panel review (to follow the abstract), including (1) the title, submission date, and NIJ-assigned application number of the previous proposal, and (2) a brief summary of responses to the review and/or revisions to the proposal.

**14. Prohibition on supplanting funds.** Federal funds must be used to supplement existing funds and not replace those funds which have been appropriated for the same purpose. Potential supplanting will be the subject of application review, as well as preaward review, post-award monitoring, and audit. If there is a potential presence of supplanting, the applicant or grantee will be required to supply documentation demonstrating that the reduction in non-Federal resources occurred for reasons other than the receipt or expected receipt of Federal funds.

**NIJ Policy Regarding Unsolicited Proposals**

It is NIJ's policy to submit all unsolicited proposals to peer review. NIJ's peer review process takes place in periodic cycles; unsolicited proposals received will be included in the next appropriate review cycle.

**Requirements for Award Recipients**

**Confidentiality of Information and Human Subjects Protection**

Research that examines individual traits and experiences plays a vital part in expanding our knowledge about criminal behavior. It is essential, however, that researchers protect human subjects from the risk of harm or embarrassment and proceed with their willing and informed consent.

The Department of Justice (DOJ) regulations at 28 Code of Federal Regulations (CFR) Part 22 require recipients of NIJ research funds to protect personally identifiable information that is collected from all research participants. When personally identifiable information is collected for research or statistical purposes, the regulations at 28 CFR Part 22 provide that this information is immune from legal process and may not, without the written consent of the person to whom the information pertains, be admitted as evidence or used for any purpose in any action, suit, or other judicial, legislative, or administrative proceeding. The purpose of these regulations is, in part, (1) to protect the privacy of individuals by requiring that any information identifiable to a private person that is obtained for research or statistical purposes may be used and/or revealed only for the purpose for which it was acquired and (2) to protect the integrity of research findings by minimizing subjects' concerns over the subsequent uses of personally identifiable information.

The DOJ regulations at 28 CFR Part 22 require applicants for NIJ funding to outline their plans for the protection of private information about individuals as part of their proposal. All applicants, regardless of whether they intend to collect data identifiable to individual subjects, are required to submit a Privacy Certificate as part of their application for funding. The necessary assurances and safeguards are detailed in 28 CFR Part 22 (§22.23 Privacy Certification). The Privacy Certificate must either (1) assert that no information identifiable to a private person is being collected, or must (2) fully describe the procedures used to ensure data confidentiality, the procedures to ensure the security of the data, the procedures for notifying research subjects and providing informed consent, and the procedures for the final disposition of the data. For complete details on developing procedures to protect private identifiable information and drafting a Privacy Certificate, please consult the regulations at 28 CFR Part 22. Applicants should also consult the “Privacy Certificate Guidelines” and the sample format for a Privacy Certificate, both of which are included in the application forms packet. The regulations at 28 CFR Part 22 can be found at <http://www.access.gpo.gov/nara/cfr/index.html>.

In addition to the regulations in Part 22, DOJ has adopted policies on the protection of human subjects that are the same as those established by the Department of Health and Human Services in 45 CFR Part 46, Subpart A, also known as the “Common Rule.” The DOJ regulations are set forth in 28 CFR Part 46. In general, 28 CFR Part 46 requires that all research involving human subjects conducted or supported by a Federal department or agency be reviewed and approved by an Institutional Review Board (IRB) before Federal funds are expended for that research. However, many NIJ-supported research activities may be covered by one of the exemptions in 28 CFR §46.101(b) and, therefore, may not require review by an IRB. Nevertheless, all decisions as to whether IRB review is required must be made on an applicant-by-applicant basis by each applicant for funding and by NIJ during the process of application review. *If IRB approval is required for this project*, a copy of the IRB’s approval as well as supporting documentation concerning the IRB’s institutional affiliation, its policies and procedures, and necessary assurances must be submitted to NIJ prior to the initiation of any research activities that are not exempt from the provisions of 28 CFR Part 46. *If IRB approval is not required for this project*, because the research either is determined to be exempt or does not involve human subjects, applicants

must provide to NIJ appropriate documentation to support the claim of exemption or the lack of human subject involvement.

Applicants for NIJ funding should review 28 CFR Part 46 and particularly 28 CFR §46.101 to determine their individual project requirements and then complete Form 310, *Protection of Human Subjects Identification/Certification/Declaration (Common Federal Rule)*, which should be submitted with the application for funding. Form 310 is included with the application forms packet. The regulations at 28 CFR Part 46 can be found at <http://www.access.gpo.gov/nara/cfr/index.html>.

Researchers should be aware that all site personnel, contractors, and subcontractors must be advised of DOJ’s requirements regarding the confidentiality of research and statistical information and the protection of human subjects and must agree, in writing, to comply with all the statutes, regulations, and procedures to safeguard privacy and protect human subjects involved in research.

### Compliance With the National Environmental Policy Act

All recipients of Federal funds are required to assist the sponsoring Federal agency in complying with the National Environmental Policy Act (NEPA) as well as other related Federal environmental impact analysis requirements.

In submitting an application for funding, applicants understand and agree that the assistance they must provide may include submitting specific environmental information about the proposal and its location, if applicable; drafting a required environmental assessment (EA) for the proposed activities; consulting with Federal, State, and local agencies that have jurisdiction over or special expertise in the potential environmental impacts of the proposed activities; cooperating with NIJ to modify proposed activities in order to avoid or reduce any identified, potential adverse environmental impacts; and, if determined necessary by NIJ, assisting in scheduling and holding any public meetings on an EA or providing public notice of the availability of an EA for public review.

If the EA concludes that the proposal may have a significant impact on the quality of the human environment, the applicant will be asked to assist NIJ in developing an environmental impact statement. The Department of Justice’s as well as NIJ’s procedures for implementing NEPA can be found at Part 61 of Title 28 of the Code of

Federal Regulations (CFR). The CFR is on the Web at <http://www.access.gpo.gov/nara/cfr/cfr-table-search.html> (Click on “Retrieve CFR Sections by Citation” and enter Title 28, Part 61, Section 4).

Applicants should also understand that the scope of any required environmental impact analysis is not limited to the activities funded solely by NIJ but includes the applicant’s related activities as well as those of third parties, such as other local, State, or Federal agencies.

### Required Products

Each project is expected to generate tangible products of maximum benefit to criminal justice professionals, researchers, and policymakers. In particular, NIJ strongly encourages documents that provide information of practical utility to law enforcement officials, prosecutors, judges, corrections officers, victims service providers, and Federal, State, county, and local elected officials.

The recipient shall provide all products specified in the proposal. In addition, the recipient will provide:

- A summary of approximately 2,500 words (in hard copy and on diskette) highlighting the research findings and the policy issues those findings will inform. The material should be written in a style that will be accessible to policy officials and practitioners and suitable for possible publication as an NIJ *Research in Brief*.
- A full technical report (in hard copy and on diskette), including a discussion of the research question, review of the literature, description of project methodology, detailed review of project findings, and conclusions and policy recommendations. (See *Guide to Writing Reports for NIJ: Policy, Requirements, and Procedures*.)
- Clean copies of all automated datasets developed during the research and full documentation prepared in accordance with the instructions in the NIJ publication *Depositing Data With the Data Resources Program of the National Institute of Justice: A Handbook*.
- A brief project summary (in hard copy and on diskette), on request, for NIJ use in preparing annual reports to the President and Congress.

Additional products such as case studies and interim reports (e.g., articles, manuals, or training materials) may be specified in the proposal or negotiated at the time of the award.

### Public Release of Automated Datasets

NIJ is committed to ensuring the public availability of research data and, to this end, established its Data Resources Program in 1984. All NIJ award recipients who collect data are required to submit a machine-readable copy of the data and appropriate documentation to NIJ prior to the conclusion of the project. The data and materials are reviewed for completeness. NIJ staff then create machine-readable datasets, prepare users’ guides, and distribute data and documentation to other researchers in the field. A variety of formats are acceptable; however, the data and materials must conform with requirements detailed in *Depositing Data With the Data Resources Program of the National Institute of Justice: A Handbook*. A copy of this handbook is sent to each project director at the time of the award.

### Standards of Performance by Recipients

NIJ expects individuals and institutions receiving its support to work diligently and professionally toward completing a high-quality research or study product. Besides this general expectation, the Institute imposes specific requirements to ensure that proper financial and administrative controls are applied to the project. Financial and general reporting requirements are detailed in *OJP’s Financial Guide*, published in April 1996 by the Office of Justice Programs. This guidance manual is sent to recipient institutions with the award documents. Project directors and recipient financial administrators should pay particular attention to the regulations in this document.

### Financial and Related Requirements

**Audit requirement.** Audits of institutions of higher education and other nonprofit institutions must comply with the organizational audit requirements of OMB Circular A-133, which states that recipients who expend \$300,000 or more of Federal funds during their fiscal year are required to submit an organizationwide financial and compliance audit report to their cognizant Federal agency within 13 months after the close of each fiscal year during the term of the award.

State and local units of governments must comply with the organizational audit requirements of OMB Circular A-128, which states that recipients who receive more than \$25,000 of Federal funds during their fiscal year are required to submit an audit report to their cognizant Federal agency. Recipients who receive less than \$25,000 of Federal funds are exempt from the audit requirements.

**Suspension or termination of funding.** The National Institute of Justice may suspend, in whole or in part, terminate funding for, or impose another sanction on a recipient for the following reasons:

- Failure to comply substantially with the requirements or statutory objectives of the relevant legislation (e.g., the Omnibus Crime Control and Safe Streets Act of 1968, as amended), program guidelines issued thereunder, or other provisions of Federal law.
- Failure to make satisfactory progress toward the goals or strategies set forth in this application.
- Failure to adhere to the requirements in the agreement, standard conditions, or special conditions.
- Proposing or implementing substantial plan changes to the extent that, if originally submitted, the application would not have been selected for funding.
- Failure to submit reports.
- Filing a false certification in this application or other report or document.

Before imposing sanctions, the National Institute of Justice will provide reasonable notice to the recipient of its intent to impose sanctions and will attempt to resolve the problem informally. Hearing and appeal procedures will follow those in Department of Justice regulations found in 28 CFR Part 18.

## Reporting Requirements

**Progress reports.** Recipients of funding are required to submit an initial progress report and semiannual progress reports. The progress reports describe activities during the reporting period and the status or accomplishment of objectives as set forth in the approved application for funding.

Progress reports must be submitted within 30 days after the end of the reporting periods, which are June 30 and December 31, for the life of the award. The awarding agency may opt, by special condition to the award, to combine the first report into the subsequent reporting period. For example, if the begin date of the award is June 1, the awarding agency may opt to receive the first report 30 days after the December 31 reporting period.

A final report—which provides a summary of progress toward achieving the goals and objectives of the award,

significant results, and any products developed under the award—is due 120 days after the end date of the award. Report forms will be provided to the recipient by the awarding agency.

**Financial status reports.** Financial status reports (SF 269A) are due quarterly on the 45th day following the end of each calendar quarter. A report must be submitted every quarter the award is active. The final report is due 120 days after the end date of the award. The Office of the Comptroller, Office of Justice Programs, will provide a copy of this form in the initial award package.

Future awards and fund drawdowns may be withheld if the progress and financial status reports are delinquent.

## Program Monitoring

Award recipients and Principal Investigators assume certain responsibilities as part of their participation in Government-sponsored research and evaluation. NIJ's monitoring activities are intended to help grantees meet these responsibilities. They are based on good communication and open dialogue, with collegiality and mutual respect. Some of the elements of this dialogue are:

- Communication with NIJ in the early stages of the grant as the elements of the proposal's design and methodology are developed and put into operation.
- Timely communication with NIJ regarding any developments that might affect the project's compliance with the schedules, milestones, and products set forth in the proposal. (See statement on "Timeliness" below.)
- Communication with other NIJ grantees conducting related research projects. An annual "cluster conference" should be anticipated and should be budgeted for by applicants at a cost of \$1,000 for each year of the grant.
- Providing NIJ, on request, with brief descriptions of the project in interim stages at such time as the Institute may need this information to meet its reporting requirements to Congress. NIJ will give as much advance notification of these requests as possible but will expect a timely response from grantees when requests are made. NIJ is prepared to receive such communication through electronic media.
- Providing NIJ with copies of presentations made at conferences, meetings, and elsewhere, based in whole or in part on the work of the project.

- Providing NIJ with prepublication copies of articles based on the project that appear in professional journals or the media, either during the life of the grant or after.
- Other reporting requirements (financial reports, progress reports, final reports, and other grant products) are spelled out above.

### Timeliness

Grantees are expected to complete award products within the timeframes that have been agreed upon by NIJ and the grantee. The Institute recognizes that there are legitimate reasons for project extensions. However, NIJ does not consider the assumption of additional research projects that impinge upon previous time commitments as legitimate reasons for delay. Projects with unreasonable delays can be terminated administratively. In this situation, any funds remaining are withdrawn. Future applications from either the project director or the recipient institution are subject to strict scrutiny and may be denied support based on past failure to meet minimum standards.

### Publications

The Institute encourages grantees to prepare their work for NIJ publication. In cases where grantees disseminate their findings through a variety of media, such as professional journals, books, and conferences, copies of such publications should be sent to the Program Manager as they become available, even if they appear well after a project's expiration. NIJ imposes no restriction on such publications other than the following acknowledgment and disclaimer:

This research was supported by grant number \_\_\_\_\_ from the National Institute of Justice. Points of view are those of the author(s) and do not necessarily represent the position of the U.S. Department of Justice.

### Application Forms

All application forms and solicitations are available electronically from the Justice Information Center at <http://www.ncjrs.org/fedgrant.htm#nij>, or the NIJ Web site at <http://www.ojp.usdoj.gov/nij/funding.htm>, or in paper form by mail from the U.S. Department of Justice (DOJ) Response Center at 800-421-6770 (in the Washington, D.C., area at 202-307-1480).

### Information and Contacts

For (a) general information about NIJ programs and funding opportunities, (b) requests for reprints of articles, background research literature, final reports, or funded grants on related topics, or (c) names of researchers working on specific topics, contact the National Criminal Justice Reference Service at 800-851-3420 or at <http://www.ncjrs.org>, or visit the NIJ Web site at <http://www.ojp.usdoj.gov/nij>.

For assistance with questions of a general administrative or substantive research nature, please contact the DOJ Response Center at 800-421-6770 (in the Washington, D.C., area at 202-307-1480). If staff cannot answer your question, they will put you in touch with the appropriate NIJ staff member.

If your question concerns the processing of an application (receipt of proposal, status of peer review, status of funding decisions, etc.), please contact one of the following NIJ staff:

- Science- and technology-related research proposals: Audrey Blankenship at 202-616-3675.
- General research: Louise Loften at 202-307-2965.

### Application Checkoff List

The required materials must be submitted in addition to the technical proposals. Applications must contain the following completed forms and related information to qualify for consideration:

- SF 424, Application for Federal Assistance.
- Geographic Area Affected Worksheet.
- Assurances.
- Certifications Regarding Lobbying; Debarment, Suspension and Other Responsibility Matters; and Drug-Free Workplace Requirements.
- Disclosure of Lobbying Activities.
- Budget Detail Worksheet.
- Budget Narrative.
- Negotiated indirect rate agreement, if appropriate.
- Names and affiliations of all key persons from applicant

and subcontractor(s), advisers, consultants, and Advisory Board members. Include the name of the Principal Investigator, title, organizational affiliation (if any), department (if institution of higher education), address, and phone and fax numbers.

- Proposal abstract.
- Table of contents.
- Program narrative or technical proposal.
- Privacy Certificate.
- Form 310 (Protection of Human Subjects Assurance Identification/Certification/Declaration).
- Environmental Assessment (if required).
- References.
- Resumes of key personnel.
- Appendixes, if any (e.g., letters of cooperation from collaborating organizations, list of previous NIJ awards and products).

# *Application Forms*

# APPLICATION FOR FEDERAL ASSISTANCE

<b>1. TYPE OF SUBMISSION:</b> <i>Application</i> <input type="checkbox"/> Construction <input type="checkbox"/> Non-Construction	<i>Preapplication</i> <input type="checkbox"/> Construction <input type="checkbox"/> Non-Construction	<b>2. DATE SUBMITTED</b>	Applicant Identifier
		<b>3. DATE RECEIVED BY STATE</b>	State Application Identifier
		<b>4. DATE RECEIVED BY FEDERAL AGENCY</b>	Federal Identifier

**5. APPLICANT INFORMATION**

Legal Name:	Organizational Unit:
Address (give city, county, state, and zip code):	Name and telephone number of the person to be contacted on matters involving this application (give area code)

<b>6. EMPLOYER IDENTIFICATION NUMBER (EIN):</b> <div style="border: 1px solid black; display: inline-block; width: 100px; height: 20px; margin-bottom: 5px;"></div> - <div style="border: 1px solid black; display: inline-block; width: 100px; height: 20px; margin-bottom: 5px;"></div>	<b>7. TYPE OF APPLICANT:</b> (enter appropriate letter in box) <input type="checkbox"/>
--	---

<b>8. TYPE OF APPLICATION:</b> <input type="checkbox"/> New <input type="checkbox"/> Continuation <input type="checkbox"/> Revision  If Revision, enter appropriate letter(s) in box(es): <input type="checkbox"/> <input type="checkbox"/> A. Increase Award    B. Decrease Award    C. Increase Duration D. Decrease Duration    Other (specify): _____	A. State B. County C. Municipal D. Township E. Interstate F. Intermunicipal G. Special District  H. Independent School Dist. I. State Controlled Institution of Higher Learning J. Private University K. Indian Tribe L. Individual M. Profit Organization N. Other (Specify): _____
<b>9. NAME OF FEDERAL AGENCY:</b>	

<b>10. CATALOG OF FEDERAL DOMESTIC ASSISTANCE NUMBER:</b>	<b>11. DESCRIPTIVE TITLE OF APPLICANT'S PROJECT:</b>
TITLE:	

<b>12. AREAS AFFECTED BY PROJECT (cities, counties, states, etc.):</b>	
--	--

<b>13. PROPOSED PROJECT:</b> Start Date      Ending Date	<b>14. CONGRESSIONAL DISTRICTS OF:</b> a. Applicant      b. Project
---	--

<b>15. ESTIMATED FUNDING:</b>	<b>16. IS APPLICATION SUBJECT TO REVIEW BY STATE EXECUTIVE ORDER 12372 PROCESS?</b>																					
<table style="width:100%; border-collapse: collapse;"> <tr> <td style="width:15%;">a. Federal</td> <td style="width:10%;">\$</td> <td style="width:10%; text-align: right;">.00</td> </tr> <tr> <td>b. Applicant</td> <td>\$</td> <td style="text-align: right;">.00</td> </tr> <tr> <td>c. State</td> <td>\$</td> <td style="text-align: right;">.00</td> </tr> <tr> <td>d. Local</td> <td>\$</td> <td style="text-align: right;">.00</td> </tr> <tr> <td>e. Other</td> <td>\$</td> <td style="text-align: right;">.00</td> </tr> <tr> <td>f. Program Income</td> <td>\$</td> <td style="text-align: right;">.00</td> </tr> <tr> <td>g. TOTAL</td> <td>\$</td> <td style="text-align: right;">.00</td> </tr> </table>	a. Federal	\$	.00	b. Applicant	\$	.00	c. State	\$	.00	d. Local	\$	.00	e. Other	\$	.00	f. Program Income	\$	.00	g. TOTAL	\$	.00	a. YES. THIS PREAPPLICATION/APPLICATION WAS MADE AVAILABLE TO THE STATE EXECUTIVE ORDER 12372 PROCESS FOR REVIEW ON:  DATE _____  b. NO. <input type="checkbox"/> PROGRAM IS NOT COVERED BY E.O. 12372 <input type="checkbox"/> OR PROGRAM HAS NOT BEEN SELECTED BY STATE FOR REVIEW
a. Federal	\$	.00																				
b. Applicant	\$	.00																				
c. State	\$	.00																				
d. Local	\$	.00																				
e. Other	\$	.00																				
f. Program Income	\$	.00																				
g. TOTAL	\$	.00																				
<b>17. IS THE APPLICANT DELINQUENT ON ANY FEDERAL DEBT?</b>  <input type="checkbox"/> Yes    If "Yes," attach an explanation. <input type="checkbox"/> No																						

18. TO THE BEST OF MY KNOWLEDGE AND BELIEF, ALL DATA IN THIS APPLICATION/PREAPPLICATION ARE TRUE AND CORRECT, THE DOCUMENT HAS BEEN DULY AUTHORIZED BY THE GOVERNING BODY OF THE APPLICANT AND THE APPLICANT WILL COMPLY WITH THE ATTACHED ASSURANCES IF THE ASSISTANCE IS AWARDED

a. Typed Name of Authorized Representative	b. Title	c. Telephone number
d. Signature of Authorized Representative	e. Date Signed	

## Instructions for Completion of the Application for Federal Assistance (SF 424)

The Application for Federal Assistance is a standard form used by most Federal agencies. This form contains 18 different items, which are to be completed before submission. All applications should include a completed and signed SF 424.

Item	Instructions
1	<b>Type of Submission:</b> If this proposal is not for construction or building purposes, check “Non-Construction”.
2	<b>Date Submitted:</b> Indicate the date you sent the application to OJP. The “Application Identifier” is the number assigned by your jurisdiction, if any. If your jurisdiction does not assign an identifier number, leave this space blank.
3	<b>Date Received by State:</b> Leave blank. This block is completed by the State single point of contact, if applicable.
4	<b>Date Received by Federal Agency:</b> This item will be completed by OJP.
5	<b>Applicant Information:</b> The “Legal Name” is the unit of government of the parent organization. For example, the primary or parent organization of a law enforcement agency is the name of the city or township. Thus the city or township should be entered into the Legal Name box and the name of the law enforcement agency would be entered into the Organizational Unit box. Designate one person as the contact, and include their telephone number.
6	<b>Employer Identification Number:</b> Each employer receives an employer identification number from the Internal Revenue Service. Generally, this number can be easily obtained from your agency’s accountant or comptroller.
7	<b>Type of Applicant:</b> Enter the appropriate letter in this space. If the applicant is representing a consortium of agencies, specify by checking Block N and entering “consortium”.
8	<b>Type of Application:</b> Check either “new” or “continuation”. Check new if this will be your first award for this purpose described in the application, even if the applicant has received prior awards for other purposes. Check “continuation”, if the project will continue activities of a project, that was begun under a prior award.
9	<b>Name of Federal Agency:</b> Type in the name of the awarding agency, such as “Bureau of Justice Assistance”.
10	<b>Catalog of Federal Domestic Assistance Number:</b> This would be contained in the program announcement. An example would be 16.560.
11	<b>Descriptive Title of Applicants Project:</b> Type in the: (1) title of the program as it appears in the solicitation or announcement; (2) name of the cognizant Federal agency, ex. U. S. Department of Education; and (3) applicant’s fiscal year, i.e. twelve month audit period, ex: 10/1/95 - 9/30/96.
12	<b>Areas Affected by Project:</b> Identify the geographic area(s) of the project. Indicate “Statewide” or “National”, if applicable.
13	<b>Proposed Project Dates:</b> Fill in the proposed begin and end dates of the project.
14	<b>Congressional Districts:</b> Fill in the Congressional Districts in which the project will be located as well as the Congressional District(s) the project will serve. Indicate “Statewide” or “National”, if applicable.
15	<b>Estimated Funding:</b> In line “a,” enter the Federal funds requested, not to exceed the dollar amount allocated in the program announcement. Indicate any other resources that will available to the project and the source of those funds on lines “b-f,” as appropriate.
16	<b>State Executive Order 12372:</b> Some states require you to submit your application to a State “Single Point of Contact” (SPOC) to coordinate applications for Federal funds. If your State requires a copy of your application, indicate the date submitted. If a copy is not required, indicate the reason. (Refer to the “Administrative Requirements” section of the program announcement, for more information.) The SPOC is not responsible for forwarding your application.
17	<b>Delinquent Federal Debt:</b> This question applies to the applicant organization. Categories of debt include delinquent audit allowances, loans, and taxes.
18	<b>Authorized Representative:</b> Type the name of the person legally authorized to enter into agreements on behalf of your agency. This signature on the original application must be signed in blue ink and/or stamped as “original” to help identify the original.

### Geographic Area Affected Worksheet (SF-424-Question 12)

<b>Grantee location(s) (i.e., office location of principal investigators or contractors):</b>	
Agency name:	State: Place (city or county): Zip code:
Agency name:	State: Place (city or county): Zip code:
Agency name:	State: Place (city or county): Zip code:
<b>Sites affected (i.e., locations where the program was implemented, evaluation was performed, or research data collected):</b>	
How affected: <input type="checkbox"/> Program implemented <input type="checkbox"/> Evaluation research <input type="checkbox"/> Nonevaluation research <input type="checkbox"/> Other _____	State:  Place <sup>1</sup> (city or county)  Zip code(s) <sup>2</sup> :
How affected: <input type="checkbox"/> Program implemented <input type="checkbox"/> Evaluation research <input type="checkbox"/> Nonevaluation research <input type="checkbox"/> Other _____	State:  Place (city or county):  Zip code(s):
How affected: <input type="checkbox"/> Program implemented <input type="checkbox"/> Evaluation research <input type="checkbox"/> Nonevaluation research <input type="checkbox"/> Other _____	State:  Place (city or county):  Zip code(s):

Note: If more room is required, photocopy and attach additional worksheets.

NIJ 02/00/file:gaaw

<sup>1</sup> *Place* information is required unless the entire State is affected.

<sup>2</sup> *Zip code* information is required unless the entire county or city is affected.

## ASSURANCES

The Applicant hereby assures and certifies compliance with all Federal statutes, regulations, policies, guidelines and requirements, including OMB Circulars No. A-21, A-110, A-122, A-128, A-87; E.O. 12372 and Uniform Administrative Requirements for Grants and Cooperative Agreements—28 CFR, Part 66, Common Rule, that govern the application, acceptance and use of Federal funds for this federally-assisted project. Also the Applicant assures and certifies that:

1. It possesses legal authority to apply for the grant; that a resolution, motion or similar action has been duly adopted or passed as an official act of the applicant's governing body, authorizing the filing of the application, including all understandings and assurances contained therein, and directing and authorizing the person identified as the official representative of the applicant to act in connection with the application and to provide such additional information as may be required.
2. It will comply with requirements of the provisions of the Uniform Relocation Assistance and Real Property Acquisitions Act of 1970 P.L. 91-646) which provides for fair and equitable treatment of persons displaced as a result of Federal and federally-assisted programs.
3. It will comply with provisions of Federal law which limit certain political activities of employees of a State or local unit of government whose principal employment is in connection with an activity financed in whole or in part by Federal grants. (5 USC 1501, et seq.)
4. It will comply with the minimum wage and maximum hours provisions of the Federal Fair Labor Standards Act if applicable.
5. It will establish safeguards to prohibit employees from using their positions for a purpose that is or give the appearance of being motivated by a desire for private gain for themselves or others, particularly those with whom they have family, business, or other ties.
6. It will give the sponsoring agency or the Comptroller General, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the grant.
7. It will comply with all requirements imposed by the Federal Sponsoring agency concerning special requirements of law, program requirements, and other administrative requirements.
8. It will insure that the facilities under its ownership, lease or supervision which shall be utilized in the accomplishment of the project are not listed in the Environmental protection Agency's (EPA-list of Violating Facilities and that it will notify the Federal grantor agency of the receipt of any communication from the Director of the EPA Office of Federal Activities indicating that a facility to be used in the project is under consideration for listing by the EPA.
9. It will comply with the flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973, Public Law 93-234, 87 Stat. 975, approved December 31, 1976. Section 102(a) requires, on and after March 2, 1975, the purchase of flood insurance in communities where such insurance is available as a condition for the receipt of any Federal financial assistance for construction or acquisition purposes for use in any area that had been identified by the Secretary of the Department of Housing and Urban Development as an area having special flood hazards. The phrase "Federal financial assistance" includes any form of loan, grant, guaranty, insurance payment, rebate, subsidy, disaster assistance loan or grant, or any other form of direct or indirect Federal assistance.
10. It will assist the Federal grantor agency in its compliance with Section 106 of the National Historic Preservation Act of 1966 as amended (16 USC 470), Executive Order 11593, and the Archeological and Historical Preservation Act of 1966 (16 USC 569a-1 et seq.) by (a) consulting with the State Historic Preservation Officer on the conduct of investigations, as necessary, to identify properties listed in or eligible for inclusion in the National Register of Historic Places that are subject to adverse effects (see 36 CFR Part 800.8) by the activity, and notifying the Federal grantor agency of the existence of any such properties, and by (b) complying with all requirements established by the Federal grantor agency to avoid or mitigate adverse effects upon such properties.
11. It will comply, and assure the compliance of all its subgrantees and contractors, with the applicable provisions of Title I of the Omnibus Crime Control and Safe Streets Act of 1968, as amended, the Juvenile Justice and Delinquency Prevention Act, or the Victims of Crime Act, as appropriate; the provisions of the current edition of the Office of Justice Programs Financial and Administrative Guide for Grants, M7100.1; and all other applicable Federal laws, orders, circulars, or regulations.
12. It will comply with the provisions of 28 CFR applicable to grants and cooperative agreements including Part 18, Administrative Review Procedure; Part 20, Criminal Justice Information Systems; Part 22, Confidentiality of Identifiable Research and Statistical Information; Part 23, Criminal Intelligence Systems Operating Policies; Part 30, Intergovernmental Review of Department of Justice Programs and Activities; Part 42, Nondiscrimination/Equal Employment Opportunity Policies and Procedures; Part 61, Procedures for Implementing the National Environmental Policy Act; Part 63, Floodplain Management and Wetland Protection Procedures; and Federal laws or regulations applicable to Federal Assistance Programs.
13. It will comply, and all its contractors will comply, with the nondiscrimination requirements of the Omnibus Crime Control and Safe Streets Act of 1968, as amended, 42 USC 3789(d), or Victims of Crime Act (as appropriate); Title VI of the Civil Rights Act of 1964, as amended; Section 504 of the Rehabilitation Act of 1973, as amended; Subtitle A, Title II of the Americans With Disabilities Act (ADA) (1990); Title IX of the Education Amendments of 1972; the Age Discrimination Act of 1975; Department of Justice Non-Discrimination Regulations, 28 CFR Part 42, Subparts C, D, E, and G; and Department of Justice regulations on disability discrimination, 28 CFR Part 35 and Part 39.
14. In the event a Federal or State court or Federal or State administrative agency makes a finding of discrimination after a due process hearing on the grounds of race, color, religion, national origin, sex, or disability against a recipient of funds, the recipient will forward a copy of the finding to the Office for Civil Rights, Office of Justice Programs.
15. It will provide an Equal Employment Opportunity Program if required to maintain one, where the application is for \$500,000 or more.
16. It will comply with the provisions of the Coastal Barrier Resources Act (P.L. 97-348) dated October 19, 1982 (16 USC 3501 et seq.) which prohibits the expenditure of most new Federal funds within the units of the Coastal Barrier Resources System.

Signature

Date



## CERTIFICATIONS REGARDING LOBBYING; DEBARMENT, SUSPENSION AND OTHER RESPONSIBILITY MATTERS; AND DRUG-FREE WORKPLACE REQUIREMENTS

Applicants should refer to the regulations cited below to determine the certification to which they are required to attest. Applicants should also review the instructions for certification included in the regulations before completing this form. Signature of this form provides for compliance with certification requirements under 28 CFR Part 69, "New Restrictions on Lobbying" and 28 CFR Part 67, "Government-wide Debarment and Suspension (Nonprocurement) and Government-wide Requirements for Drug-Free Workplace (Grants)." The certifications shall be treated as a material representation of fact upon which reliance will be placed when the Department of Justice determines to award the covered transaction, grant, or cooperative agreement.

### 1. LOBBYING

As required by Section 1352, Title 31 of the U.S. Code, and implemented at 28 CFR Part 69, for persons entering into a grant or cooperative agreement over \$100,000, as defined at 28 CFR Part 69, the applicant certifies that:

(a) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the making of any Federal grant, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal grant or cooperative agreement;

(b) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal grant or cooperative agreement, the undersigned shall complete and submit Standard Form - LLL, "Disclosure of Lobbying Activities," in accordance with its instructions;

(c) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subgrants, contracts under grants and cooperative agreements, and subcontracts) and that all sub-recipients shall certify and disclose accordingly.

### 2. DEBARMENT, SUSPENSION, AND OTHER RESPONSIBILITY MATTERS (DIRECT RECIPIENT)

As required by Executive Order 12549, Debarment and Suspension, and implemented at 28 CFR Part 67, for prospective participants in primary covered transactions, as defined at 28 CFR Part 67, Section 67.510—

A. The applicant certifies that it and its principals:

(a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, sentenced to a denial of Federal benefits by a State or Federal court, or voluntarily excluded from covered transactions by any Federal department or agency;

(b) Have not within a three-year period preceding this application been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a

public (Federal, State, or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;

(c) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State, or local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and

(d) Have not within a three-year period preceding this application had one or more public transactions (Federal, State, or local) terminated for cause or default; and

B. Where the applicant is unable to certify to any of the statements in this certification, he or she shall attach an explanation to this application.

### 3. DRUG-FREE WORKPLACE (GRANTEES OTHER THAN INDIVIDUALS)

As required by the Drug-Free Workplace Act of 1988, and implemented at 28 CFR Part 67, Subpart F, for grantees, as defined at 28 CFR Part 67 Sections 67.615 and 67.620—

A. The applicant certifies that it will or will continue to provide a drug-free workplace by:

(a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;

(b) Establishing an on-going drug-free awareness program to inform employees about—

(1) The dangers of drug abuse in the workplace;

(2) The grantee's policy of maintaining a drug-free workplace;

(3) Any available drug counseling, rehabilitation, and employee assistance programs; and

(4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;

(c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);

(d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will—

(1) Abide by the terms of the statement; and

(2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;

(e) Notifying the agency, in writing, within 10 calendar days after receiving notice under subparagraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to: Department of Justice, Office of Justice Programs, ATTN: Control Desk, 633 Indiana Avenue, N.W., Washington, D.C. 20531. Notice shall include the identification number(s) of each affected grant;

(f) Taking one of the following actions, within 30 calendar days of receiving notice under subparagraph (d)(2), with respect to any employee who is so convicted—

(1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or

(2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;

(g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e), and (f).

B. The grantee may insert in the space provided below the site(s) for the performance of work done in connection with the specific grant:

Place of Performance (Street address, city, county, state, zip code)

---

---

---

Check  if there are workplaces on file that are not identified here.

Section 67, 630 of the regulations provides that a grantee that is a State may elect to make one certification in each Federal fiscal year. A copy of which should be included with each application for Department of Justice funding. States and State agencies may elect to use OJP Form 4061/7.

Check  if the State has elected to complete OJP Form 4061/7.

**DRUG-FREE WORKPLACE  
(GRANTEES WHO ARE INDIVIDUALS)**

As required by the Drug-Free Workplace Act of 1988, and implemented at 28 CFR Part 67, Subpart F, for grantees, as defined at 28 CFR Part 67; Sections 67.615 and 67.620—

A. As a condition of the grant, I certify that I will not engage in the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance in conducting any activity with the grant; and

B. If convicted of a criminal drug offense resulting from a violation occurring during the conduct of any grant activity, I will report the conviction, in writing, within 10 calendar days of the conviction, to: Department of Justice, Office of Justice Programs, ATTN: Control Desk, 633 Indiana Avenue, N.W., Washington, D.C. 20531.

As the duly authorized representative of the applicant, I hereby certify that the applicant will comply with the above certifications.

1. Grantee Name and Address:

2. Application Number and/or Project Name

3. Grantee IRS/Vendor Number

4. Typed Name and Title of Authorized Representative

5. Signature

6. Date

---

# Disclosure of Lobbying Activities

Approved by OMB 0348-0046

Complete this form to disclose lobbying activities pursuant to 31 U.S.C. 1352  
(See reverse side for Instructions.)

**Public Reporting Burden** for this collection of information is estimated to average 30 minutes per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0046), Washington, D.C. 20503.

<b>1. Type of Federal Action:</b> <input type="checkbox"/> a. contract <input type="checkbox"/> b. grant <input type="checkbox"/> c. cooperative agreement <input type="checkbox"/> d. loan <input type="checkbox"/> e. loan guarantee <input type="checkbox"/> f. loan insurance	<b>2. Status of Federal Action:</b> <input type="checkbox"/> a. bid/offer/application <input type="checkbox"/> b. initial award <input type="checkbox"/> c. post-award	<b>3. Report Type:</b> <input type="checkbox"/> a. initial filing <input type="checkbox"/> b. material change <b>For Material Change Only:</b> year _____ quarter _____ date of last report _____
---	---	--

<b>4. Name and Address of Reporting Entity:</b> <input type="checkbox"/> Prime <input type="checkbox"/> Subawardee      Tier _____, if known:  Congressional District, if known: _____	<b>5. If Reporting Entity in No. 4 is Subawardee, enter Name and Address of Prime:</b>   Congressional District, if known: _____
---	---

<b>6. Federal Department/Agency:</b>   	<b>7. Federal Program Name/Description:</b>   CFDA Number, if applicable: _____
--	--

<b>8. Federal Action Number, if known:</b> _____	<b>9. Award Amount, if known:</b> \$ _____
--	---

<b>10a. Name and Address of Lobbying Registrant</b> (if individual, last name, first name, MI): _____	<b>b. Individuals Performing Services</b> (including address if different from No. 10a.) (last name, first name, MI): _____
--	--

<b>11. Information requested through this form is authorized by Sec.319, Pub. L. 101-121, 103 Stat. 750, as amended by sec. 10; Pub. L. 104-65, Stat. 700 (31 U.S.C. 1352). This disclosure of lobbying activities is a material representation of fact upon which reliance was placed by the above when this transaction was made or entered into. This disclosure is required pursuant to 31 U.S.C. 1352. This information will be reported to the Congress semiannually and will be available for public inspection. Any person who fails to file the required disclosure shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.</b>	<b>Signature:</b> _____  <b>Print Name:</b> _____  <b>Title:</b> _____  <b>Telephone No.:</b> _____ <b>Date:</b> _____
---	--

---

## Instructions for Completion of SF-LLL, Disclosure of Lobbying Activities

This disclosure form shall be completed by the reporting entity, whether subawardee or prime Federal recipient, at the initiation or receipt of a covered Federal action, or a material change to a previous filing, pursuant to title 31 U.S.C. section 1352. The filing of a form is required for each payment or agreement to make payment to any lobbying entity for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or any employee of a Member of Congress in connection with a covered Federal action. Complete all items that apply for both the initial filing and material change report. Refer to the implementing guidance published by the Office of Management and Budget for additional information.

1. Identify the type of covered Federal action for which lobbying activity is and/or has been secured to influence the outcome of a covered Federal action.
2. Identify the status of the covered Federal action.
3. Identify the appropriate classification of this report. If this is a followup report caused by a material change to the information previously reported, enter the year and quarter in which the change occurred. Enter the date of the last previously submitted report by this reporting entity for this covered Federal action.
4. Enter the full name, address, city, state and zip code of the reporting entity. Include Congressional District, if known. Check the appropriate classification of the reporting entity that designates if it is, or expects to be, a prime or subaward recipient. Identify the tier of the subawardee, e.g., the first subawardee of the prime is the 1st tier. Subawards include but are not limited to subcontracts, subgrants and contract awards under grants.
5. If the organization filing the report in item 4 checks "Subawardee", then enter the full name, address, city, state and zip code of the prime Federal recipient, include Congressional District, if known.
6. Enter the name of the Federal agency making the award or loan commitment. Include at least one organizational level below agency name, if known. For example, Department of Transportation, United States Coast Guard.
7. Enter the Federal program name or description for the covered Federal action (item 1). If known, enter the full Catalog of Federal Domestic Assistance (CFDA) number for grants, cooperative agreements, loans, and loan commitments.
8. Enter the most appropriate Federal identifying number available for the Federal action identified in item 1 (e.g., Request for Proposal (RFP) number; Invitation for Bid (IFB) number; grant announcement number; the contract, grant, or loan award number; the application proposal control number assigned by the Federal agency). Include prefixes, e.g., "RFP-DE-90-001."
9. For a covered Federal action where there has been an award or loan commitment by the Federal agency, enter the Federal amount of the award/loan commitment for the prime entity identified in item 4 or 5.
10. (a) Enter the full name, address, city, state and zip code of the registrant under the Lobbying Disclosure Act of 1995 engaged by the reporting entity identified in item 4 to influence the covered Federal action.  
(b) Enter the full names of the individual(s) performing services, and include full address if different from 10 (a). Enter Last Name, First Name, and Middle Initial (MI).
11. The certifying official shall sign and date the form, print his/her name, title, and telephone number.

# Budget Detail Worksheet

**Purpose:** The Budget Detail Worksheet may be used as a guide to assist you in the preparation of the budget and budget narrative. You may submit the budget and budget narrative using this form or in the format of your choice (plain sheets, your own form, or a variation of this form). However, all required information (including the budget narrative) must be provided. Any category of expense not applicable to your budget may be deleted.

**A. Personnel** - List each position by title and name of employee, if available. Show the annual salary rate and the percentage of time to be devoted to the project. Compensation paid for employees engaged in grant activities must be consistent with that paid for similar work within the applicant organization.

Name/Position	Computation	Cost
		<b>TOTAL</b> _____

**B. Fringe Benefits** - Fringe benefits should be based on actual known costs or an established formula. Fringe benefits are for the personnel listed in budget category (A) and only for the percentage of time devoted to the project. Fringe benefits on overtime hours are limited to FICA, Workman's Compensation, and Unemployment Compensation.

Name/Position	Computation	Cost
		<b>TOTAL</b> _____
		<b>Total Personnel &amp; Fringe Benefits</b> _____

**C. Travel** - Itemize travel expenses of project personnel by purpose (e.g., staff to training, field interviews, advisory group meeting, etc.). Show the basis of computation (e.g., six people to 3-day training at \$X airfare, \$X lodging, \$X subsistence). In training projects, travel and meals for trainees should be listed separately. Show the number of trainees and the unit costs involved. Identify the location of travel, if known. Indicate source of Travel Policies applied, Applicant or Federal Travel Regulations.

Purpose of Travel	Location	Item	Computation	Cost
-------------------	----------	------	-------------	------

**TOTAL** \_\_\_\_\_

**D. Equipment** - List non-expendable items that are to be purchased. Non-expendable equipment is tangible property having a useful life of more than two years and an acquisition cost of \$5,000 or more per unit. (Note: Organization's own capitalization policy may be used for items costing less than \$5,000). Expendable items should be included either in the "supplies" category or in the "Other" category. Applicants should analyze the cost benefits of purchasing versus leasing equipment, especially high cost items and those subject to rapid technical advances. Rented or leased equipment costs should be listed in the "Contractual" category. Explain how the equipment is necessary for the success of the project. Attach a narrative describing the procurement method to be used.

Item	Computation	Cost
------	-------------	------

**TOTAL** \_\_\_\_\_

**E. Supplies** - List items by type (office supplies, postage, training materials, copying paper, and expendable equipment items costing less than \$5,000, such as books, hand held tape recorders) and show the basis for computation. (Note: Organization's own capitalization policy may be used for items costing less than \$5,000). Generally, supplies include any materials that are expendable or consumed during the course of the project.

Supply Items	Computation	Cost
		<b>TOTAL</b> _____

**F. Construction** - As a rule, construction costs are not allowable. In some cases, minor repairs or renovations may be allowable. Check with the program office before budgeting funds in this category.

Purpose	Description of Work	Cost
		<b>TOTAL</b> _____

**G. Consultants/Contracts** - Indicate whether applicant's formal, written Procurement Policy or the Federal Acquisition Regulations are followed.

**Consultant Fees:** For each consultant enter the name, if known, service to be provided, hourly or daily fee (8-hour day), and estimated time on the project. Consultant fees in excess of \$450 per day require additional justification and prior approval from OJP.

Name of Consultant	Service Provided	Computation	Cost
--------------------	------------------	-------------	------

*Subtotal* \_\_\_\_\_

**Consultant Expenses:** List all expenses to be paid from the grant to the individual consultants in addition to their fees (i.e., travel, meals, lodging, etc.)

Item	Location	Computation	Cost
------	----------	-------------	------

*Subtotal* \_\_\_\_\_

**Contracts:** Provide a description of the product or service to be procured by contract and an estimate of the cost. Applicants are encouraged to promote free and open competition in awarding contracts. A separate justification must be provided for sole source contracts in excess of \$100,000.

Item	Cost
------	------

*Subtotal* \_\_\_\_\_

**TOTAL** \_\_\_\_\_

**H. Other Costs** - List items (e.g., rent, reproduction, telephone, janitorial or security services, and investigative or confidential funds) by major type and the basis of the computation. For example, provide the square footage and the cost per square foot for rent, or provide a monthly rental cost and how many months to rent.

Description	Computation	Cost
		<b>TOTAL</b> _____

**I. Indirect Costs** - Indirect costs are allowed only if the applicant has a Federally approved indirect cost rate. A copy of the rate approval, (a fully executed, negotiated agreement), must be attached. If the applicant does not have an approved rate, one can be requested by contacting the applicant's 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 costs categories.

Description	Computation	Cost
		<b>TOTAL</b> _____

**Budget Summary**- When you have completed the budget worksheet, transfer the totals for each category to the spaces below. Compute the total direct costs and the total project costs. Indicate the amount of Federal requested and the amount of non-Federal funds that will support the project.

<b>Budget Category</b>	<b>Amount</b>
<b>A. Personnel</b>	_____
<b>B. Fringe Benefits</b>	_____
<b>C. Travel</b>	_____
<b>D. Equipment</b>	_____
<b>E. Supplies</b>	_____
<b>F. Construction</b>	_____
<b>G. Consultants/Contracts</b>	_____
<b>H. Other</b>	_____
<b>Total Direct Costs</b>	_____
<b>I. Indirect Costs</b>	
<b>TOTAL PROJECT COSTS</b>	_____
<b>Federal Request</b>	_____
<b>Non-Federal Amount</b>	_____

## INSTRUCTIONS

### PROGRAM NARRATIVE

Prepare the program narrative statement in accordance with the following instructions for all new grant programs. Requests for continuation or refunding and changes on an approved project should respond to item 5b only. Requests for supplemental assistance should respond to question 5c only.

#### 1. OBJECTIVES AND NEED FOR THIS ASSISTANCE.

Pinpoint any relevant physical, economic, social, financial, institutional, or other problems requiring a solution. Demonstrate the need for assistance and state the principal and subordinate objectives of the project. Supporting documentation or other testimonies from concerned interests other than the applicant may be used. Any relevant data based on planning studies should be included or footnoted.

#### 2. RESULTS OR BENEFITS EXPECTED.

Identify results and benefits to be derived. For example, when applying for a grant to establish a neighborhood health center, provide a description of who will occupy the facility, how the facility will be used, and how the facility will benefit the general public.

#### 3. APPROACH.

- a. Outline a plan of action pertaining to the scope and detail of how the proposed work will be accomplished for each grant program, function, or activity provided in the budget. Cite factors which might accelerate or decelerate the work and your reason for taking this approach as opposed to others. Describe any unusual features of the project such as design or technological innovations, reductions in cost or time, or extraordinary social and community involvement.
- b. Provide for each grant program, function, or activity quantitative monthly or quarterly projections of the accomplishments to be achieved in such terms as the number of jobs created, the number of people served, and the number of patients treated. When accomplishments cannot be quantified by activity or function, list item in chronological order to show the schedule of accomplishments and their target dates.

- c. Identify the kinds of data to be collected and maintained and discuss the criteria to be used to evaluate the results and successes of the project. Explain the methodology that will be used to determine if the needs identified and discussed are being met and if the results and benefits identified in item 2 are being achieved.
- d. List organizations, cooperators, consultants, or other key individuals who will work on the project along with a short description of the nature of their effort or contribution.

#### 4. GEOGRAPHIC LOCATION.

Give a precise location of the project or area to be served by the proposed project. Maps or other graphic aids may be attached.

#### 5. IF APPLICABLE, PROVIDE THE FOLLOWING INFORMATION:

- a. For research or demonstration assistance requests, present a biographical sketch of the program director with the following information: name, address, phone number, background, and other qualifying experience for the project. Also, list the name, training, and background for other key personnel engaged in the project.
- b. Discuss accomplishments to date and list in chronological order a schedule of accomplishments, progress, or milestones anticipated with the new funding request. If there have been significant changes in the project objectives, location approach, or time delays, explain and justify. For other requests for changes or amendments, explain the reason for the change(s). If the scope or objectives have changed or an extension of time is necessary, explain the circumstances and justify. If the total budget items have changed more than the prescribed limits contained in the Uniform Administrative Requirements for Grants and Cooperative Agreements - 28 CFR, part 66, Common Rule (or Attachment J to OMB Circular A-110, as applicable), explain and justify the change and its effect on the project.
- c. For supplemental assistance requests, explain the reason for the request and justify the need for additional funding.



**U.S. Department of Justice**

Office of Justice Programs

*National Institute of Justice*

---

*Washington, D.C. 20531*

**PRIVACY CERTIFICATE AND CONFIDENTIALITY REQUIREMENTS OF NIJ FUNDING**

Dear Applicant:

As you know, much of the research conducted by the National Institute of Justice (NIJ) involves collecting data on individuals through direct observation, interview or survey, case records, crime reports, and other administrative records. These activities raise a number of ethical and legal concerns about harm or embarrassment to individuals that must be addressed before the research may be conducted. NIJ and recipients of NIJ funding are subject to the statutory and regulatory confidentiality requirements of 42 USC §3789g and 28 CFR Part 22. Both 42 USC §3789g and 28 CFR Part 22 provide that research and statistical information identifiable to a private person is immune from legal process and may only used or revealed for research purposes.

The regulations at 28 CFR Part 22 require all applicants for NIJ support to submit a Privacy Certificate as a condition of approval of a grant application or contract proposal that contains a research or statistical component under which personally identifiable information will be collected. The Privacy Certificate is the applicant's assurance that he/she understands his/her responsibilities to protect the confidentiality of research and statistical information and has developed specific procedures to ensure that this information is only used or revealed in accordance with the requirements of 42 USC §3789g and 28 CFR Part 22.

NIJ, as a matter of policy, requires that Privacy Certificates be submitted as part of all applications regardless of whether the project involves the collection of identified data. In cases where no personally identifiable information will be collected, the Privacy Certificate should contain a statement to this effect.

In order to assist you in preparing your Privacy Certificate, we have enclosed a sample format. You may use this or any other format that includes all the points addressed by 28 CFR Part 22.

## Privacy Certificate Guidelines

The regulations at 28 CFR §22.23 require that a Privacy Certificate be submitted to NIJ as part of any application for a project in which information identifiable to a private person will be collected for research or statistical purposes. However, NIJ, as a matter of policy, requires that Privacy Certificates be submitted as part of ALL grant applications regardless of whether the project involves the collection of identified data. In cases where no personally identifiable information will be collected, the Privacy Certificate should contain a statement to this effect.

The following summarizes the requirements of 28 CFR §22.23 and should be used as a guide to completing the Privacy Certificate.

1. The Privacy Certificate must fully describe the following:
  - Procedures to ensure data confidentiality;
  - Procedures to ensure the physical and administrative security of data;
  - Procedures for subject notification or justification for waiver; and
  - Procedures for final disposition of data.
2. The Privacy Certificate must also include the name and title of:
  - the person with primary responsibility for ensuring compliance with the regulations;
  - the person authorized to approve transfers of data; and
  - the person authorized to determine final disposition procedures for the data collected and developed by the project.
3. The Privacy Certificate must contain assurances by the applicant that:
  - A) Data identified to a specific individual will not be used or revealed unless it is research or statistical information that is being used for research and statistical purposes.
  - B) Identified data will be used or revealed only on a need-to-know basis to:
    - i. Officers, employees and subcontractors of the recipient of assistance;
    - ii. Persons and organizations receiving transfers of information for research and statistical purposes only if an information transfer agreement is entered into in which the recipient is bound to use the information only for research and statistical purposes and to take adequate administrative and physical precautions to ensure the confidentiality of the information.

C) Employees with access to data on a need-to-know basis will be advised in writing of the confidentiality requirements and must agree in writing to abide by these requirements.

D) Subcontractors requiring access to identified data will only do so according to an information transfer agreement which states that the confidentiality of the data must be maintained and that the information may only be used for research or statistical purposes;

E) Private persons from whom identified data are obtained or collected will be advised either orally or in writing that the data will only be used for research and statistical purposes and that compliance with requests for information is not mandatory. That is, participation in the research is voluntary and may be withdrawn at any time. **If the notification requirement is to be waived, an explanation must be contained within or attached to the Privacy Certificate;**

F) Adequate precautions will be taken to ensure the administrative and physical security of the identified data.

G) A log indicating that identified data have been transferred to persons other than those in NIJ or other OJP bureaus, created under the Omnibus Crime Control Act or its amendments, or to grantee, contractor, or subcontractor staff will be maintained and will indicate whether the data has been returned or if there is an alternative agreement for the future maintenance of such data.

H) Project plans will be designed to preserve the anonymity of persons to whom the information relates, including where appropriate, name-stripping, coding of data, or other similar procedures.

I) Project findings and reports prepared for dissemination will not contain information which can reasonably be expected to be identifiable to a private person.

J) Upon completion of the project, the security of research or statistical information will be protected by either:

i. the complete physical destruction of all copies of the materials or the identified portions of the materials after a three year required recipient retention period or as soon as authorized by law; or

ii. the removal of identifiers from the data and separate maintenance of a name-code index in a secure location.

**If you choose to keep a name-code index, you must maintain procedures to secure such an index.**

## PRIVACY CERTIFICATE

(Sample Format)

Grantee<sup>1</sup>, \_\_\_\_\_, certifies that data *identifiable to a private person*<sup>2</sup> will not be used or revealed, except as authorized in 28 CFR Part 22, Sections 22.21 & 22.22.

Grantee certifies that access to the data will be limited to those employees having a need for such data and that such employees shall be advised of and agree in writing to comply with the regulations in 28 CFR Part 22.

Grantee certifies that all contractors, subcontractors, and consultants requiring access to identifiable data will agree, through conditions in their subcontract or consultant agreement, to comply with the requirements of 28 CFR §22.24, regarding information transfer agreements. Grantee also certifies that NIJ will be provided with copies of any and all transfer agreements before they are executed as well as the name and title of the individual(s) with the authority to transfer data.

Grantee certifies that, if applicable, a log will be maintained indicating that (1) identifiable data have been transferred to persons other than employees of NIJ, BJA, BJS, OJJDP, OVC, OJP, or grantee/contractor/subcontractor staff; and (2) such data have been returned or that alternative arrangements have been agreed upon for future maintenance of such data, in accordance with 28 CFR §22.23(b)(6).

Grantee certifies that any private person from whom identifiable information is collected or obtained shall be notified, in accordance with 28 CFR §22.27, that such data will only be used or revealed for research or statistical purposes and that compliance with the request for information is not mandatory and participation in the project maybe terminated at any time. In addition, grantee certifies that where findings in a project cannot, by virtue of sample size or uniqueness of subject, be expected to totally conceal the identity of an individual, such individual shall be so advised.

Grantee certifies that project plans will be designed to preserve the confidentiality of private persons to whom information relates, including where appropriate, name-stripping, coding of data, or other similar procedures.

---

<sup>1</sup> Please include the name of the Principal Investigator(s) for this project as well as the name of the person representing the institution receiving the grant funds.

<sup>2</sup> *Information identifiable to a private person* is defined in 28 CFR §22.2(e) as “information which either--(1) Is labeled by name or other personal identifiers, or (2) Can, by virtue of sample size or other factors, be reasonably interpreted as referring to a particular person.”

Grantee certifies that copies of all questionnaires that have already been designed for use in the project are attached to this Privacy Certificate. Grantee also certifies that any questionnaires developed during the project period will be provided to NIJ at the end of the project.

Grantee certifies that project findings and reports prepared for dissemination will not contain information which can reasonably be expected to be identifiable to a private person, except as authorized by 28 CFR §22.22.

Grantee certifies that adequate precautions will be taken to ensure administrative and physical security of identifiable data and to preserve the confidentiality of the personally identifiable information.

Grantee certifies that all project personnel, including subcontractors, have been advised of and have agreed, in writing, to comply with all procedures to protect privacy and the confidentiality of personally identifiable information.

*To comply with the regulations in 28 CFR Part 22, the following safeguards are incorporated into the grant application.*

**Brief Description of Project:**

**Procedures to notify subjects, as required by 28 CFR §22.23(b)(4) or, if notification is to be waived, pursuant to 28 CFR §22.27(c), please provide a justification:**

**Procedures developed to preserve the confidentiality of personally identifiable information, as required by 28 CFR §22.23(b)(7):**

**Justification for the collection and/or maintenance of any data in identifiable form, if applicable:**

**Procedures for data storage, as required by 28 CFR §22.23(b)(5):**

**Description of any institutional limitations or restrictions on the transfer of data in identifiable form, if applicable:**

**Name and title of individual with the authority to transfer data:**

**Procedures to insure the physical and administrative security of data, as required by 28 CFR §22.25(b), including, if applicable, a description of those procedures used to secure a name index :**

**Procedures for the final disposition of data, as required by 28 CFR §22.25:**

**Name and title of individual authorized to determine the final disposition of data:**

**Access to data is restricted to the following individuals, as required by 28 CFR §22.23(b)(2):**

Principal Investigator (s) \_\_\_\_\_

\_\_\_\_\_

Project Staff \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Contractors, Subcontractors, and/or consultants \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Grantee certifies that the procedures described above are correct and shall be carried out.

Grantee certifies that the project will be conducted in accordance with all the requirements of the Omnibus Crime Control and Safe Streets Act of 1968 as amended and the regulations contained in 28 CFR Part 22.

Grantee certifies that NIJ shall be notified of any material change in any of the information provided in this Privacy Certificate.

Signature (s): \_\_\_\_\_ (Principal Investigator)  
\_\_\_\_\_ (Principal Investigator)  
\_\_\_\_\_ (Institutional Representative)

Date: \_\_\_\_\_

**Protection of Human Subjects  
 Assurance Identification/Certification/Declaration  
 (Common Federal Rule)**

**Policy:** Research Activities involving human subjects may not be conducted or supported by the Departments or Agencies adopting the Common Rule (56 CFR28003, June 18, 1991) unless the activities are exempt from or approved in accordance with the common rule. See Section 101(b) of the common rule for exceptions. Institutions submitting applications or proposals for support must submit certification or appropriate Institutional Review Board (IRB) review and approval to the Department or Agency in accordance with the common rule.

Institutions with an assurance of compliance that covers the research to be conducted on file with the Department or Agency, or the Department of Health and Human Services (HHS) should submit certification of IRB review and approval with each application or proposal unless otherwise advised by the Department or Agency. Institutions which do not have such an assurance must submit an assurance and certification of IRB review and approval within 30 days of a written request from the Department or Agency.

<b>1. Request Type</b> <input type="checkbox"/> Original <input type="checkbox"/> Follow-up <input type="checkbox"/> Exemption	<b>2. Type of Mechanism</b> <input type="checkbox"/> Grant <input type="checkbox"/> Contract <input type="checkbox"/> Cooperative Agreement <input type="checkbox"/> Fellowship <input type="checkbox"/> Other: _____	<b>3. Name of Federal Department or Agency and, if known, Application or Proposal Identification No.</b>
---	--	--

<b>4. Title of Application or Activity</b>	<b>5. Name of Principal Investigator, Program Director, Fellow, or Other</b>
--	--

**6. Assurance Status of this Project (Respond to one of the following):**

This Assurance on file with the Department of Health and Human Services, covers this activity:  
 Assurance identification no. M—\_\_\_\_\_ IRB identification no.

This Assurance, on file with (agency/dept) \_\_\_\_\_, covers this activity.  
 Assurance identification no. M—\_\_\_\_\_ IRB identification no.

No Assurance has been filed for this project. This institution declares it will provide an Assurance and Certification of IRB review and approval upon request.

Exemption Status: Human Subjects are involved, but this activity qualifies for exemption under Section 101(b), paragraph \_\_\_\_\_.

**7. Certification of IRB Review (Respond to one of the following if you have an Assurance on file)**

This activity has been reviewed and approved by the IRB in accordance with the common rule and any other governing regulations or subparts on (date) \_\_\_\_\_ by: \_\_\_\_\_ Full IRB Review OR \_\_\_\_\_ Expedited Review

This activity contains multiple projects, some of which have not been reviewed. The IRB has granted approval on condition that all projects covered by the common rule will be reviewed and approved before they are initiated and that appropriate further certification will be submitted.

<b>8. Comments</b>	
<b>9. The Official signing below certifies that the information provided above is correct and that, as required, future reviews will be performed and certification will be provided.</b>	<b>10. Name and Address of Institution</b>
<b>11. Phone No. (with area code)</b>	<b>12. Fax No. (with area code)</b>
<b>13. Name of Official</b>	<b>14. Title</b>
<b>15. Signature</b>	<b>16. Date</b>