



Bureau of Justice Statistics

State-Level Statistical Analysis Centers and Information Network Program

*Program Application Guidelines
Fiscal Year 1996*



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U.S. Department of Justice
Bureau of Justice Statistics

Jan M. Chaiken, Ph.D.
Director

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Message from the Director

For almost a quarter of a century, the Bureau of Justice Statistics and its predecessor, the National Criminal Justice Information and Statistics Service, have supported the Statistical Analysis Center (SAC) program. We, and you, have been successful in establishing a SAC in almost every State. The output which has been produced, in the form of publications, special reports, technical assistance to other governmental and non-governmental organizations, and information for the general public, has been invaluable. Policy makers and decision makers alike have benefitted enormously from your efforts.

The SAC-1 program, first established in 1972 as the statistical analysis center component of the Comprehensive Data Systems (CDS) program, has been our basic funding mechanism. It helped establish SACs in the States and then provided basic support for salaries and fringe benefits, equipment necessary to achieve SAC objective and goals, some limited travel and training, and contractual support when needed. At various times BJS augmented the basic program with competitively chosen awards whereby a SAC identified a critical issue in the State and developed a strategy to address it. Many significant policy analyses resulted from these programs.

As we near the 25th anniversary of the SAC program, I believe it is appropriate to take note of its success and carefully consider what changes would enhance and strengthen it. One change this year is that we will be closely examining applications to determine the extent to which they adhere to the objectives of the SAC program. While most applications meet this standard already, in the past some appeared to be updates of previous applications without any real focus on current issues and activities. You will see that this Program Announcement indicates, under Selection Criteria, that awards may be made for less than

the full amount requested where the expenditures are not clearly related to SAC goals and objectives as stated at the beginning of the announcement. This and other changes from last year's announcement appear in bold face type in **Objectives, Support to Established SACs, Award Period, and Award Amount.**

Beginning October 1, 1996, the SAC program will enter a new phase in which awards will be more oriented to specific products and deliverables. Most SACs have by now demonstrated their continuing value in the State, and many of them have basic funding for salaries and project-related equipment provided by the State. We would like to highlight specifically the contribution made by BJS funds by having the SACs address a designated theme or group of issues each year. In this way BJS will be able to publicize the work being done on that year's topic, in a way that will be true in your own State as well as the others. We look forward to establishing a process for identifying topics for BJS funding which will be of interest to you and the State government and also be responsive to Federal priorities. The first announcement under the new program will be issued in September 1996. We intend to continue to make awards to each State having a current cooperative agreement that expires before the end of December 1996, applying the criteria described in this program announcement. A SAC applying for an award that expires between October 1, 1996, and December 31, 1996, can apply under this announcement or the one that will be issued in September.

I welcome any comments you might have, and I look forward to a mutually beneficial SAC program.

Jan M. Chaiken, Ph.D., Director
Bureau of Justice Statistics

Purpose

Since 1972, this program has provided partial support to State governments for the establishment and operation of State-level Statistical Analysis Centers (SACs) to collect, analyze, and report statistics on crime and justice to Federal, State, and local levels of government, and to share State-level information nationally. The information produced by SACs and their involvement in criminal justice projects are critical to State, local, and Federal criminal justice agencies and community organizations in their efforts to combat drugs and crime.

BJS also administers the criminal history improvement grants under the Brady Handgun Violence Prevention Act and the National Child Protection Act of 1993. Continuing efforts to evaluate or monitor progress in meeting legislative or program goals through statistical or other related means, and specific research studies relating to use of handguns are among the activities allowed as part of the National Criminal History Improvement Program (NCHIP), which implements the grant provisions of the Brady Handgun Violence Prevention Act and the National Child Protection Act of 1993. BJS encourages recipients of NCHIP funds to avail themselves of the expertise of the SACs in connection with the development of studies and evaluation of the program; it is BJS's expectation that individual SACs will make known their interest in the NCHIP program with the agency that has been designated by the State's Governor to receive these funds. BJS's goal is to maintain and enhance each states' capacity to address criminal justice issues through the entire mix of grant funding administered by BJS.

Background

In the United States, most criminal justice activities take place at State and local levels of

government. The systematic collection and analysis of data on these activities enable BJS to comply with its charter to publish and disseminate statistical information on crime and the operation of justice systems, giving emphasis to State and local justice system needs. State and local governments use the data for policy analysis, planning, and conducting their justice system operations and evaluations.

BJS is specifically authorized by statute (42 U.S.C. 3732) to provide assistance in the development of State and local government justice information systems, and directed to give primary emphasis to the problems of State and local justice systems (42 U.S.C. 3731). BJS works in cooperation with the States through a network of SACs. These Centers were established with support from BJS and its predecessor agency, the National Criminal Justice Information and Statistics Service (NCJISS). Currently, there are SACs in 47 States, the District of Columbia, Puerto Rico, and the Northern Mariana Islands.

Goals

- Enhance the capabilities of the States to collect, analyze, and interpret data on justice issues relevant to the States and the Nation;
- Make maximum use of State statistical organizations and State-level data by BJS;
- Provide a mechanism which supports the collection and sharing of vital justice system data among the States and between the States and the Federal Government; and
- Better serve the information needs of the States and Federal Government and provide a core body of knowledge about the administration of criminal justice in each State.

Objectives

Provide support to the SACs to:

- **Identify issues that are at the forefront or on the leading edge between criminal justice policy/decision makers and statistical support agencies.**
- Produce statistical reports on crime, criminal offenders, and the justice system;
- Coordinate State-level technical assistance to State and local criminal justice agencies and courts in statistics and related areas;
- Develop improved justice statistical and information systems in the State;
- Establish a research and statistics data file of basic measures and performance indicators for the State to allow interchange of data and information among other States and with BJS; and
- Support BJS data gathering efforts in individual States including statistics needed for all national data series and in support of NCHIP.

Program strategy

The SAC program is designed to provide financial support which will supplement State funding of the SAC and will support SAC activities of both State and national benefit, as well as provide technical and financial assistance for related research and data collection projects. SACs are strongly encouraged to produce and provide to BJS written products reflecting analytical efforts undertaken as a part of this program.

BJS guidelines for the NCHIP grant program recommend that the State agency applying for these funds consult the SAC in conjunction with the development of projects to support

the monitoring of State compliance with legislative or programmatic goals of the program. BJS encourages SACs to support such NCHIP activities; in addition, SACs should explore funding opportunities associated with monies coming into their State under other provisions of the Violent Crime Control and Law Enforcement Act of 1994.

To ensure that the SAC national program efficiently meets its objectives, recipients of BJS funds must agree to assist in any evaluation efforts associated with this program. Such evaluation activities should not result in any significant or unreasonable costs or burdens to the SACs that would interfere with the performance of the cooperative agreement.

Support to established SACs

All awards will be made as cooperative agreements and will indicate the substantial involvement that BJS will have with each award. Activities in this program include:

- (1) Establishing and maintaining contacts with State criminal justice agencies, the courts, and local governments and their criminal justice agencies;
- (2) Collecting, analyzing, and publishing criminal justice data, including activities related to the analysis or evaluation of State efforts under the NCHIP;
- (3) Assisting criminal justice agencies in defining their needs for specific statistical and other information for the planning, implementation, and evaluation of criminal justice programs;
- (4) Providing technical assistance in the collection, interpretation, utilization, and sharing of statistical information;
- (5) Maintaining contact with BJS to ensure the efficient development and sharing of

information with BJS, other States, and various users;

(6) Informing BJS of the State's needs relative to statistical data;

(7) Providing data to BJS for national compilations;

(8) Conducting research for projects identified by BJS or by the applicant in consultation with BJS, usually about a topic of current or emerging national concern; and

(9) Pursuant to BJS request, providing information and automated data to the Justice Research and Statistics Association (JRSA) or other designated recipients.

Travel funds for this program should be used primarily for such activities within the State as data collection, providing technical assistance and training, liaison with other criminal justice agencies, and conducting statistical analysis. Travel to attend the annual Bureau of Justice Statistics (BJS)/Justice Research and Statistics Association (JRSA) national conference is limited to one person each year, unless BJS specifically authorizes additional conference travel.

Because of the limited funds available for each State, the use of program funds for indirect costs is discouraged. All grant funds should be used to achieve specific program objectives.

Eligibility requirements

The SAC must be authorized by State legislation or executive order. The SAC must be a nonpartisan professional organization which serves all branches of the criminal justice system and all levels of government in the State as well as the general public. Objectivity, independence, and visibility are important considerations in determining its placement in the

State government. It is desirable that the SAC not be part of an agency that has line responsibilities in criminal justice programs; if the SAC is located in such an agency, special provisions must be made to ensure the SAC's broad mission, objectivity, independence, and visibility. These provisions must be documented in each application for funding. Examples of such provisions are letters of agreement from agencies that deal with other aspects of criminal justice in the State, or a SAC advisory board that includes policy-level officials of such agencies. The SAC must inform BJS of any substantive changes in these provisions, such as changes in the advisory board's structure or revisions in the scope of letters of agreement.

Applications for SAC funding must contain an explanation of the placement of the SAC within the State organization structure, including the SAC's relationship to the Governor's Office and to other relevant State agencies. Relationships with other key organizations or individuals also should be included.

The SAC must be staffed by professionals skilled in the statistical treatment of data for policy analyses and familiar with the factors, issues, and processes involved in crime and the criminal justice system. Each application must identify the SAC director and other key personnel and must provide brief summaries of their qualifications. However, a duplicate qualification summary need not be provided if it was submitted as part of an earlier application. In the case of vacant positions, job descriptions must be provided. If the SAC directorship becomes vacant after an award is made, the recipient agency must notify BJS, and submit the position description and required qualifications to be used in recruiting a replacement. When a replacement is designated, a resume of the individual's qualifications must be submitted to BJS for approval. State Statistical Analysis Centers are the only

entities eligible to apply for funds under this SAC assistance program. General applicants must meet the requirements for a SAC as specified in these Guidelines. The Catalog of Federal Domestic Assistance (CFDA) number for the SAC program is 16.550 (Criminal Justice Statistics Development).

It is permissible for some or all of the work to be performed under the SAC's overall direction by other persons or organizations, such as other State agencies, universities, nonprofit research firms, and private consultants. If work will be performed outside of the SAC and the identity of the persons or organization is known, the application must include the qualifications of those performing the work.

Selection criteria

In making decisions to award funds under this program, BJS will be the sole judge of whether the SAC meets program requirements and whether it is operating satisfactorily and conforms to all applicable Federal and State requirements. The amount of an award will not exceed \$50,000, and could be less depending upon BJS's overall budget and the extent to which the application addresses SAC objectives. Final authority on funding decisions is vested in the Director of BJS. Each application should contain a statement of the intended project's goals and objectives; the proposed strategy for achieving them, including anticipated products; and an evaluation of the project.

The criteria for review and selection include:

- (1) Organizational integrity and technical competence of the applicant.
- (2) Experience of applicant's personnel in similar work.
- 3) Technical soundness and completeness of the proposed approach.

(4) Appropriateness of the project schedule and budget.

(5) Past record of applicant's performance with previous awards in this program, including quality of work, completeness, and adherence to schedules.

(6) The extent to which the program narrative addresses specific objectives of the SAC program, and the dollar resources needed to achieve them.

Award period

Awards made under this announcement will be the last ones applying current Goals, Objectives and Selection Criteria. All awards will be made as a supplement to the existing cooperative agreement, and will extend the current award period by one calendar year. Applicants wishing to apply under this announcement must have a current cooperative agreement which is scheduled to expire before or on December 31, 1996. If you choose, you may apply under the BJS guidelines for awards in Fiscal Year 1997 (to be issued in September 1996) or under this announcement, but not under both.

No-cost extensions may be granted by BJS for good cause (for example, under-spending due to an unavoidable staff vacancy). Extensions should be requested in writing at least 30 days in advance of the award's scheduled expiration date; requests that are received later may not be approved. BJS will not approve any extension of more than 1 year beyond the original expiration date of the award.

Award amount

The annual basic funding level for the support of established SACs will not exceed \$50,000 **under this announcement, and could be less depending upon the degree to which the**

applicant meets SAC program objectives.

Each award is intended to supplement State financial support of the SAC.

All awards will be made as supplements to an existing cooperative agreement.

The total amount to be awarded under this program is estimated to be \$2,200,000.

Due date

Applications should be submitted to BJS at least 90 days before the requested starting date for the first award to a SAC or for continuation funding. For funding in FY 1996, applications should be received by BJS no later than June 30, 1996. If the application is received after June 30th, the award may be deferred until the next fiscal year, beginning in October.

Contact

For further information, contact:

Paul White
Program Manager
(202) 307-0771

Application and administrative requirements

Application content

All applicants must submit:

- Standard Form 424, Application for Federal Assistance
- Standard Form 424A, Budget Information
- OJP Form 4000/3 (Rev. 1-93), Program Narrative and Assurances
- OJP Form 4061/6 Certifications
- OJP Form 7120/1 (Rev. 1-93), Accounting System and Financial Capability
- Questionnaire (to be submitted by applicants who have not previously received Federal funds).

Copies of these forms are provided in the appendix of this application package.

Applicants are requested to submit an original and two copies of the application and certifications to the following address:

**Application Coordinator
Bureau of Justice Statistics
633 Indiana Avenue, NW
Washington, DC 20531
Phone: (202) 616-3500**

Standard Form 424 (SF-424). The SF-424, a one page sheet with 18 items, serves as a cover sheet for the entire application. This form is required for every application for Federal assistance. No application can be accepted without a completed, signed original SF-424. Directions to complete each item are included on the back of the form.

Standard Form 424A (SF-424A). All applications must include SF-424A, Budget Information. Applicants should ensure that all appropriate columns and rows balance.

Directions to complete this form are found on page 3 of SF-424A.

Detailed budget. Applicants must provide a detailed justification for all costs, including the basis for computation of these costs. For example, the detailed budget would include the salaries of staff involved in the project and the portion of those salaries to be paid from the award; fringe benefits paid to each staff person; travel costs related to the project; equipment to be purchased with the award funds; and supplies required to complete the project.

Budget narrative. The budget narrative closely follows the content of the detailed budget. The narrative should relate the items budgeted to project activities and allowable cost categories and should provide a justification and explanation for the budgeted items including the criteria and data used to arrive at the estimates for each budget category. Please note applications that include noncompetitive contracts for the provision of specific services must contain a sole source justification for any procurement in excess of \$25,000.

Program narrative. All applications must include a program narrative which fully describes the expected design and implementation of the proposed program. In developing the narrative, refer to the program design (permitted core and noncore activities) as described in the program announcement. OJP Form 4000/3 (Rev. 1-93) provides additional detailed instructions for preparing the program narrative.

The narrative should include a timeline of activities indicating, for each proposed activity, the projected duration of the activity, expected completion date, and any products expected. The application should include an explanation of the placement of the applicant agency within the State organization structure; a

description of the roles and responsibilities of key organizational and/or functional components involved in project activities; and a list of key personnel responsible for managing and implementing the major elements of the program.

Assurances. OJP Form 4000/3 (Rev 1-93) must be included in the application submission. If submitting this form separate from the SF-424, the applicant must sign and date the form to certify compliance with the Federal statutes, regulations, and requirements as cited.

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

Applicants should refer to the regulations cited in OJP Form, 4061/6 (Rev 3-91) to determine the certification to which they are required to attest. A copy of OJP Form 4061/6 is provided in the appendices of this application package. 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 U.S. Department of Justice determines to award the covered transaction, grant, or cooperative agreement.

Financial and administrative requirements

Discretionary grants are governed by the provisions of OMB Circulars applicable to financial assistance. The circulars, with addi-

tional information and guidance, are contained in the "Financial and Administrative Guide for Grants," Office of Justice Programs, Guideline Manual, M7100, available from the Office of Justice Programs. This guideline manual, provided upon request, is intended to assist grantees in the administration of funds and includes information on allowable costs, methods of payment, audit requirements, accounting systems, and financial records.

Civil rights obligations

All applicants for Federal financial assistance must sign Certified Assurances that they are in compliance with the Federal laws and regulations which prohibit discrimination in any program or activity that receives such Federal funds. Section 809(c), Omnibus Crime Control & Safe Streets Act of 1968, 42 U.S.C. 3789d, provides that:

No person in any State shall on the ground of race, color, religion, national origin, sex [or disability]* be excluded from participation in, be denied the benefits of, or be subjected to discrimination under, or denied employment in connection with any program or activity funded in whole or in part with funds made available under this title.

*Section 504 of the Rehabilitation Act of 1973, and Title II of the Americans With Disabilities Act prohibit identical discrimination on the basis of disability.

The applicant agency must discuss how it will ensure nondiscriminatory practices as they relate to the following:

- (1) Delivery of Services or Benefits — to ensure that individuals will not be denied access to services or benefits under the program or activity on the basis of race, color, religion, national origin, gender, age, or disability;

(2) Employment Practices — to ensure that its personnel in the program or activity are selected for employment without regard to race, color, religion, national origin, gender, age, or disability; and

(3) Program Participation — to ensure members of any planning, steering, or advisory board, which is an integral part of the program or activity, are not excluded from participation on the basis of race, color, religion, national origin, gender, age, or disability; and to encourage the selection of such members who are reflective of the diversity in the community to be served.

Audit requirement

In October 1984, Congress passed the Single Audit Act of 1984. On April 12, 1985, the Office of Management and Budget issued Circular A-128, "Audits of State and Local Governments" which establishes regulations to implement the Act. OMB Circular A-128, "Audits of State and Local Governments," outlines the requirements for organizational audits which apply to BJS grantees.

Institutions of higher education, hospitals, and other nonprofit organizations are responsible for providing an audit of their activities not less than every 2 years. The required audits are to be on an organization-wide basis rather than on a grant-by-grant basis.

Disclosure of Federal participation

Section 8136 of the Department of Defense Appropriations Act (Stevens Amendment), enacted in October 1988, requires that, "when issuing statements, press releases for proposals, bid solicitations, and other documents describing projects or programs funded in whole or in part with Federal money, all grantees receiving Federal funds, including but not limited to State and local governments, shall clearly state (1) the percentage

of the total cost of the program or project which will be financed with Federal money, and (2) the dollar amount of Federal funds for the project or program."

Intergovernmental review of Federal programs

Federal Executive Order 12372, "Intergovernmental Review of Federal Programs," allows States to establish a process for reviewing Federal programs in the State, to choose which programs they wish to review, to conduct such reviews, and to make their views known to the funding Federal agency through a State "single point of contact."

If the State has established a "single point of contact," and if the State has selected this program to be included in its review process, the applicant must send a copy of its letter or application to the State "single point of contact" at the same time that it is submitted to BJS. The letter or application submitted to BJS must indicate that this has been done. The State must complete its review within 60 days. The review period will begin on the date that the letter or application is officially received by BJS. If BJS does not receive comments from the State's "single point of contact" by the end of the review period, this will be interpreted as a "no comment" response.

If the State has not established a "single point of contact," or if it has not selected the BJS statistics development or criminal history improvement programs in its review process, this must be stated in the letter or application.

Application forms