



The [U.S. Department of Justice](#) (DOJ), [Office of Justice Programs](#) (OJP), [Bureau of Justice Statistics](#) (BJS) is seeking applications for the Federal Justice Statistics Analytic Resource Center (FJSARC), a project to conduct methodological research, statistical analysis, and report generation using data from the Federal Justice Statistics Program (FJSP). As the principal federal statistical agency in the Department, BJS is responsible for the collection, analysis, publication, and dissemination of statistical information on crime, criminal offenders, victims of crime, and the operations of criminal justice systems at all levels of government. This project furthers the Department's mission by working in partnership with the justice community to address the challenges inherent in using administrative data to accurately measure and report the federal response to crime and to provide innovative strategies and approaches for improving the quality of federal justice statistics.

Federal Justice Statistics Analytic Resource Center

Eligibility

Eligible applicants are limited to for-profit (commercial) organizations, nonprofit organizations (including tribal nonprofit or for-profit organizations), faith based and community organizations, institutions of higher learning (including tribal institutions of higher education). For-profit organizations must agree to forgo any profit or management fee).

BJS may elect to make awards for applications submitted under this solicitation in future fiscal years, dependent on the merit of the applications and on the availability of appropriations.

Deadline

Applicants must register with [Grants.gov](#) prior to submitting an application. (See "How to Apply," page 28.) All applications are due by 11:59 p.m. eastern time on Monday, July 8, 2013. (See "Deadlines: Registration and Application," page 4.)

Contact Information

For technical assistance with submitting an application, contact the Grants.gov Customer Support Hotline at 800-518-4726 or 606-545-5035, or via e-mail to support@grants.gov.

Note: The [Grants.gov](#) Support Hotline hours of operation are 24 hours a day, 7 days a week, except federal holidays.

For assistance with any other requirements of this solicitation, contact Mark Motivans, BJS Statistician, by telephone at 202-307-0765, or by e-mail at askbjs@usdoj.gov. Include "2013FJSARC" in the subject line.

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Contents

Overview	4
Deadlines: Registration and Application	4
Eligibility	4
Project-Specific Information	5
Performance Measures	14
Notice of Post-Award FFATA Reporting Requirement.....	15
What an Application Should Include	16
Information to Complete the Application for Federal Assistance (SF-424)	16
Abstract (if applicable)	16
Program Narrative	17
Budget Detail Worksheet and Budget Narrative	18
Indirect Cost Rate Agreement (if applicable)	19
Tribal Authorizing Resolution (if applicable).....	19
Additional Attachments (if applicable).....	20
Other Standard Forms.....	22
Selection Criteria.....	23
Review Process	24
Special Conditions Applied to Awards Under this Solicitation.....	25
Additional Requirements	26
How to Apply	28
Provide Feedback to OJP on This Solicitation.....	30
Application Checklist	31

Federal Justice Statistics Analytic Resource Center (CFDA #16.734)

Overview

The Bureau of Justice Statistics's (BJS) Federal Justice Statistics Program (FJSP) collects, standardizes, and publishes statistics about the federal response to crime and the operation of the federal criminal justice system. BJS seeks an agent to implement the Federal Justice Statistics Analytic Resource Center (FJSARC) project. This project is designed to provide scientific and technical support to BJS for methodological research, statistical analysis, and reporting of findings using data from the FJSP. The FJSP produces annual, cross-sectional data files (Standard Analysis Files, or SAFs), which represent the federal criminal case processing stages from arrest and prosecution through pretrial release, adjudication, sentencing, appeals, and corrections. This collection is also used as the basis to link data files and permit analysis of offender cohorts as they progress through the federal criminal case process.

The proposed project will identify and retain the support of substantive and methodological experts as affiliates to assist in project tasks. The two priority areas are 1) demonstrating how the federal data, especially the linked data, can be used to address pressing substantive questions; and 2) assessing the primary shortcomings of the FJSP data for federal criminal justice statistical reporting purposes, and proposing and implementing methodological solutions to address these issues.

The successful applicant will provide a well-organized staffing plan that will be responsive to BJS's changing priorities by adapting quickly to substantive shifts in tasks. The FJSARC will advise and educate BJS staff in methodologies to improve the rigor of measuring the federal response to crime, including identifying and quantifying the impact of gaps in the federal data and forwarding ways to address issues such as selection bias and imputation of missing data. The successful applicant will also employ advanced techniques to analyze longitudinal and cross-sectional data to improve an understanding of the federal criminal case process. BJS is authorized to issue this solicitation under 42 U.S.C. § 3732(c). The successful applicant will receive all relevant SAFs and Dyad Link File data and documentation files developed by the FJSP for project tasks.

Deadlines: Registration and Application

Applicants must register with Grants.gov in order to submit an application. OJP encourages applicants to **register several weeks before** the application submission deadline. In addition, OJP urges applicants to submit applications 72 hours prior to the application due date. The deadline to apply for funding under this announcement is 11:59 p.m. eastern time on July 8, 2013. See "How to Apply" on page 28 for details.

Eligibility

Refer to the title page for eligibility under this program.

Project-Specific Information

Background. Through the FJSARC project, BJS aims to undertake a complete analysis that will improve statistics reported under BJS's FJSP. The FJSP was initiated in 1982 and serves as the national clearinghouse of federal criminal case processing data. The FJSARC will help BJS fulfill its legislative authorization to "collect, analyze, and disseminate comprehensive federal justice transaction statistics ... and to provide technical assistance to and work jointly with other federal agencies to improve the availability and quality of federal justice data"—42 U.S.C. 3732 (c) (15).

Under the FJSP, data provided by six federal justice agencies are standardized, maintained, analyzed, and archived (currently under Award #2010-BJ-CX-K079).¹ The FJSP produces annual, cross-sectional data files (SAFs), which represent the federal criminal case processing stages from arrest and prosecution through pretrial release, adjudication, sentencing, appeals, and corrections. In addition, the FJSP uses a record linking algorithm to link case records across six base cohorts to permit analysis of offenders as they progress through the case process. Both cross-sectional and linked files are currently available from 1994 to 2010. Archived FJSP data are available at the National Archive of Criminal Justice Data (NACJD) at www.icpsr.umich.edu/icpsrweb/content/NACJD/guides/fjsp.html.

The FJSP is the only comprehensive source of federal criminal justice data that spans the case process from arrest to corrections. This framework will be studied by FJSARC project staff to employ advanced analytical methods that address substantive questions posed both by BJS and by FJSARC project staff and to identify shortcomings and propose methodological solutions. BJS has sought to maximize the utility of FJSP's unique justice system perspective by using the data to address issues of concern to DOJ and other executive, legislative, and judicial branch agencies. Recently funded projects by BJS include *Tribal Youth in the Federal Criminal Justice System* (final report available at www.ncjrs.gov/pdffiles1/bjs/grants/234549.pdf), *Federal White Collar Violations Statistical Series* (project in progress, solicitation available at www.bjs.gov/content/pub/pdf/fwcvss_sol.pdf), and *Recidivism of Offenders on Federal Community Supervision* (final report available at www.ncjrs.gov/pdffiles1/bjs/grants/241018.pdf).

Since its inception, BJS has taken steps to improve the rigor and scope of the FJSP statistical series. At the request of the Attorney General, BJS convened the Interagency Working Group on Federal Criminal Case Processing Statistics in 1995 to study, identify, and reconcile differences in official statistics describing the federal criminal justice system. The working group consisted of representatives from the federal criminal justice agencies participating in the FJSP. The group concluded that differences in official statistics were attributed to 1) the differing ways the agencies define defendants in key case processing events, 2) the periods covering the reported events, 3) the methods used to classify offenses and case types, and 4) the methods used to classify disposition and sentences imposed. The BJS report, *Reconciling Federal Criminal Case Processing Statistics*, is available on the BJS website at www.bjs.gov/.

¹ The six agencies include: The U.S. Marshals Service, Drug Enforcement Administration, Executive Office for U.S. Attorneys, Administrative Office of the U.S. Courts, Federal Bureau of Prisons, and United States Sentencing Commission. Standards are applied to each agency's data to increase comparability between agencies. These include a common unit of analysis (person-case), an equivalent time for reporting of events (fiscal year), and a common offense classification.

BJS incorporated the recommendations of the working group into an algorithm that standardizes each of the annual agency datasets by 1) applying, where possible, person-case as the primary unit of count (exceptions include at arrest where the unit of count is the individual suspect and at imprisonment where the unit of count is the inmate); 2) delineating fiscal year (October 1 through September 30) as the period for reported events; 3) applying a uniform offense classification by means of a master offense cross-walk; and 4) classifying disposition and sentences imposed. Where more than one offense is charged or adjudicated, the most serious offense at disposition and sentencing is used. Offense seriousness is based on maximum statutory imprisonment term, type of crime, and statutory maximum fine amount. The working group advised deferring to the disposition information that is most closely associated with an agency's core mission. For example, the modes of adjudication, verdict, type, and duration or amount of sentence imposed are used from the Administrative Office of the U.S. Courts despite the availability of similar information from the Executive Office for U.S. Attorneys' National LIONS database. Once the algorithm has been applied, these files are referred to as SAFs (see table 1). The cross-sectional SAFs comprise the building blocks of the FJSP and are used for record linking efforts.

Table 1: Standard Analysis Files (SAFs) in the FJSP		
Stage of federal criminal case process	Data source agency — Data system(s)	Description of data file contents
Arrest and booking Warrants initiated and cleared	U.S. Marshals Service - Prisoner Tracking System (PTS) - Justice Detainee Information System (JDIS) - Warrant Information Network (WIN)	Contains data on warrants initiated or cleared and suspects arrested by federal enforcement agencies for violations of federal law..
Investigation and prosecution	Executive Office for U.S. Attorneys - Central system file - National LIONS system	Contains information on the investigation and prosecution of suspects in criminal matters received and concluded, and criminal cases filed and cases terminated.
Pretrial release/detention	Administrative Office of the U.S. Courts (AOUSC): U.S. Office of Probation and Pretrial Services - Probation and Pretrial Services Automated Case Tracking System (PACTS)	Contains data on defendants interviewed, investigated, or supervised by pretrial services. The information covers defendants' pretrial hearings, detentions, and releases from the time they are interviewed through the disposition of their cases in district courts.
Cases filed and terminated in U.S. district court	Administrative Office of the U.S. Courts (AOUSC) - Criminal Master File	Contains information about criminal cases from time of filing to termination in U.S. district courts.
Defendants sentenced pursuant to the Sentencing Reform Act of 1984	United States Sentencing Commission (USSC) - Monitoring Data Base	Contains information on criminal defendants sentenced pursuant to the provisions of the Sentencing Reform Act of 1984.

Criminal appeals filed and terminated	Administrative Office of the U.S. Courts (AOUSC): U.S. Court of Appeals	Contains information on criminal appeals filed and terminated in U.S. Courts of Appeals.
Probation, parole, and supervised release	Administrative Office of the U.S. Courts (AOUSC): U.S. Office of Probation and Pretrial Services - Probation and Pretrial Services Automated Case Tracking System (PACTS)	Contains information about supervision provided by officers for persons placed on probation, parole, or supervised release.
Offenders entering and exiting prison	Bureau of Prisons (BOP) - SENTRY System	Contains information covering the time from when offenders enter prison until their release from the jurisdiction of the Bureau of Prisons.

The FJSP began efforts to link SAF records across stages of federal case processing in the late 1990s. Since no identifier collected by each agency automatically links records across agency cohorts, a set of record-matching criteria were developed to link records pertaining to a specific person-case. Once the link was made, personal identifiers were substituted with a sanitized identification number. In these early FJSP linking efforts, record matching yielded one large file that contained the sanitized identification numbers and the year of the SAF for all records in the FJSP. This file provided analysts with the records that matched (across stages) and a pointer to the set(s) of annual cross-sectional files that held relevant stage information for matched records. The analyst would then retrieve and combine individual SAFs prior to conducting an analysis.

More recent improvements have proceeded on two fronts. First, improved match rates have been achieved by taking advantage of the improved quality and completeness of identifiers provided by agencies. The revised methodology has yielded improved match rates by linking records between two adjacent agency cohort files at a time, with attention to maximizing the use of identifiers unique to each matched pair file (or dyad). Through the use of a series of dyad links, the analyst can link records from one end of the system to the other in either direction. This approach differs from the early method, which had sought to maximize links among all files at once (all agencies and all available years) using fewer identifiers common to all agencies.

The dyads permit record linking from two source agencies for adjacent stages of federal case processing by providing a cross-walk of the agency-specific key ID variables for the two agency data files in the pair. The agency-specific ID numbers link records from one agency's SAF to the next, enabling record linking across multiple stages of the case process (from arrest to prosecution, adjudication, sentencing, and corrections) sequentially, one dyad at a time. The publication, *Federal Justice Statistics Program Data Linking System*, provides methodological details of the Dyad Link File system design (available at www.ncjrs.gov/pdffiles1/bjs/grants/239536.pdf).

The second improvement involves increasing the usability of the linked files. A primary barrier to their use was that they were cumbersome to analyze due the large file size, the number of data files that were necessary to link to access variables, and the lack of flag variables necessary to

adjust for scope of coverage differences and case attrition. To address these concerns and improve usability of the dyad link files, the FJSP created the Dyad Link File System. This new system is comprised of a set of six linked base cohort files with variables of interest included within the linked files. A core capability of the Dyad Link File System is the ability to track cohorts forward (e.g., from arrest to subsequent processing stages) and backward (e.g., from admission to prison to earlier stages). Each base cohort for a specific year contains all records linking to the remaining five base cohorts. There are a set of 102 dyad link files (6 base cohorts x 17 years). The base cohorts include—

- suspects arrested and booked (U.S. Marshals Service)
- suspects in matters concluded (Executive Office for U.S. Attorneys)
- suspects in cases filed (Executive Office for U.S. Attorneys)
- defendants in cases terminated (Administrative Office of the U.S. Courts)
- defendants sentenced under the Sentencing Reform Act (U.S. Sentencing Commission)
- offenders admitted to federal prison (Federal Bureau of Prisons).

BJs's primary vehicles for disseminating statistics from the FJSP are annual or periodic bulletins that provide the latest statistics, special reports that address topical issues, and data briefs that focus on a specific set of findings. BJS uses the cross-sectional files to report on a snap-shot of defendants processed at a specific stage at a point in time and the cumulative total for a given period. Examples of BJS publications include *Federal Justice Statistics, 2009* (NCJ 234184, 2011), *Federal Justice Statistics, 2009 - Statistical Tables* (NCJ 233464, 2011), *Pretrial Release and Misconduct in Federal District Courts, 2008-2010* (NCJ 239243, 2012), and *Immigration Offenders in the Federal Justice System, 2010* (NCJ 238581, 2012).

The cross-sectional files are also incorporated into a BJS web query tool that permits users to interactively query the federal data and download the query results as a spreadsheet. This query tool (available at www.bjs.gov/fjsrc/) provides statistics by stage of the federal criminal case process, including law enforcement, prosecution or courts, and incarceration. Users can currently generate queries for up to three variables from 1998 to 2010. Users can also generate queries by title and section of the U.S. criminal code by processing stage from 1994 to 2010.

Goals, Objectives, and Deliverables

Goals

Using the FJSARC, BJS will oversee methodological improvements to the statistical series. These will include agency cohort-specific reliability assessments of the data, identification of gaps in the series, and improvements to minimize the adverse effects of selection bias, missing data, and more. This project is intended to complement and directly support the FJSP by achieving the following objectives:

- identify and retain substantive and methodological experts as affiliates to the program to assist in project tasks
- enhance the use of the FJSP by demonstrating new ways the federal data, especially the Dyad Link File System, can be analyzed
- undertake methodological research to identify and address shortcomings or limitations of the FJSP data series and propose methodological solutions

- produce reports on substantive topics using the variety of information resources found in the FJSP.

BJS expects that needs will evolve during the project period, and the content of specific tasks within the areas outlined by the objectives may be modified. The FJSARC must be organized as an entity that can respond to changing priorities and adapt quickly to substantive shifts in tasks. Applicants must demonstrate the ability to manage BJS's expanding and contracting needs, while simultaneously producing statistical reports.

To manage the project effectively, the recipient of funds will develop and submit to BJS for review and approval a short proposal for each requested or proposed task prior to the task's undertaking. Each proposal must state the goals, objectives, deliverables, time frames, staff allocations, and costs for each proposed task.

Objectives

The project's primary objectives are as follows:

Objective 1: Identify and retain affiliates who can provide substantive and methodological expertise needed to guide efforts on specific tasks.

The recipient will develop a plan to identify and retain affiliates who can provide the needed substantive, technical, and methodological assistance for specific tasks. BJS does not expect that an applicant will necessarily have on staff all of the required knowledge and skills to perform the work, and the project does not provide sufficient funds to hire the expertise full-time. Rather, BJS expects that the recipient of funds will be sufficiently knowledgeable and sufficiently integrated into the federal criminal justice and statistical methods communities to be able to draw on expertise as needed by establishing a network of affiliates that it can call on for a specific task.

Applicants must demonstrate the ability to obtain and retain subject matter expertise on topics specific to the federal criminal justice system. The use of affiliates who can provide expertise as needed is encouraged. Applicants must show that they can provide technical skills related to record linkage, analysis of administrative records, imputation, and estimation. In addition, they must show evidence of substantive knowledge of the federal criminal justice system, including an awareness of areas of current research attention in government publications, academic journals, and government-funded projects. Applicants must demonstrate a capacity to write statistical products of high quality. BJS expects that applicants can demonstrate coverage of the array of skills necessary through some combination of its own staff and use of affiliates.

Based on their knowledge of BJS, the goals and objectives of this solicitation, and an assessment of their organizational capacity, applicants should outline their plan to identify the types of experts that will be needed to complement their own staff to fill potential methodological or substantive gaps in their capacity. An applicant's plan should discuss how it will identify, retain, and use affiliates to address the scope of project's objectives. Since affiliates may be compensated, BJS expects that the plan will minimize costs to the project while maximizing expertise. Given the scope of work and time frames outlined in the deliverables section, BJS does not expect that more than two affiliates would be needed for a single project task and, for many tasks, the core staff and a single affiliate will suffice.

Objective 2: Undertake methodological research that supports BJS's efforts to assess the quality and reliability of federal criminal justice data for statistical purposes.

The FJSP is continuously exploring ways to expand the use of federal administrative agency records that it receives for statistical purposes. For example, the dyad link files are used by federal budget agencies to analyze data to identify and assess cost-effective strategies in federal crime enforcement. The dyad link files provide federal agencies, as well as a broader community of researchers, with greater analytical capacity to quantitatively identify and assess system efficiencies, workload issues, and resource allocations.

The recipient will develop a working knowledge of strengths and limitations of federal justice agency databases included in the Dyad Link File System.

The recipient of funds will be expected to undertake quality assessments of administrative records included in the FJSP during the course of the project. The scope of these efforts will be tied to the research questions that BJS intends to address with the data.

The quality assessment of an agency's data will focus on issues such as—

- The quality of the documentation about the administrative data, including legal or administrative framework giving rise to the data.
- Administrative issues, such as the definitions of population units; the types of reports the source agencies produce from the data; evaluation of the data collection; and maintenance procedures.
- The extent of population coverage in the administrative dataset and an assessment of coverage errors. For example, the U.S. Sentencing Commission data may omit cases due to nonresponse from districts or late postings of records.
- Reference periods and updates to the data systems, with particular focus on fields that may get overwritten with updates, and how it impacts the timing for obtaining extracts.
- Completeness and error in the data files. This should address errors related to measurement and missing data.
- The agency's policies and practices regarding data quality control (i.e., the extent of data-focused training and outreach; systematic auditing focused on the reliability of data input; and internal auditing focused on data handling procedures).
- Limitations associated with statutory or regulatory requirements, restrictions, or other structural factors that affect administrative record systems.

A project-specific assessment identifies a specific statistical use of the administrative data and assesses whether the data can be used to meet that need, such as providing a way to address missing data or generating a consistent and reliable statistical indicator. Such an assessment should, at a minimum—

- identify the statistical purpose or use to which the data are to be put
- assess coverage and unit of analysis issues
- determine completeness and error
- address missing data and imputation issues
- determine external validity criteria and assess reliability of estimates.

BJJ is also interested in the completeness and representativeness of federal data. Applicants should demonstrate knowledge of federal criminal justice agency data and outline their approach to address the issue of the completeness of the data. The recipient will develop ways to use the FJSP linked data files to improve the reporting of federal statistics. This may include how linked data files between two or more agencies can be compared for the purposes of assessing data quality. Since there is overlap in the type of information collected, linking cases across processing stages permits the opportunity to compare the consistency in which information is recorded across agency databases (e.g., demographic variables such as sex, race, ethnicity, citizenship, and date of birth). This may also include the use of the linked data files to demonstrate how information not collected by one agency may be taken from information collected by another agency when addressing a substantive research question. Finally, the work may include how the use of the linked data files can augment outcomes occurring at latter stages with information from earlier stages.

Objective 3: Enhance the utility of BJJ data through the production of reports on substantive issues

The objective of this task is to develop and disseminate high quality, timely, reliable, and relevant statistical reports from FJSP data. Central to this task is the establishment of a research agenda in federal criminal justice statistics. For this objective, the FJSSARC should plan to develop and deliver reports. Final versions of all reports will include tables, text, verified program code, documentation about created variables, and methodology for producing estimates.

The recipient of funds is expected to work collaboratively with BJJ staff in developing the report topics and producing reports. The topics for these reports will come from BJJ or project staff. After the idea is jointly developed, project staff will provide BJJ with a report proposal including 1) an abstract, 2) a detailed report outline, 3) a summary of the statistical and data problems that must be addressed and the proposed solution to these problems, 4) a staffing plan, and 5) the costs and time frame for producing the report. Once the proposal is approved, project staff will produce a draft report. BJJ will review and comment on the draft. When BJJ approves a final draft, it will be published by BJJ, and therefore must conform to BJJ publication standards. As stated earlier, BJJ does not expect that a single organization would necessarily have all of the staff to produce these reports. BJJ encourages using affiliates to help in production while also minimizing costs.

Applicants should describe their approach to developing a substantive and methodological research agenda that can be addressed through the planned FJSSARC reports. This section of the application will provide BJJ the opportunity to assess an applicant's substantive knowledge of BJJ FJSP statistics and the applicant's understanding of key and pressing research topics and policy issues that could be addressed with FJSP data.

Applicants should assume that they would use BJJ data made publicly available at NACJD.

Deliverables

The FJSSARC is designed as a 4-year project, during which the recipient of funds will meet the project objectives in a flexible and responsive manner. To accomplish that goal, the recipient of funds must demonstrate a capacity to manage resources effectively.

1. Kickoff and project management plan: Convene the kickoff meeting within the first month of the project period. Travel for project meetings is allowable but should be minimized. A draft of the initial project plan will be delivered to BJS within 3 weeks of the project kickoff meeting for review. The final version of this plan is due within 2 weeks of receiving BJS comments on the draft. Along with a project staffing and management plan, the plan should identify the time frames for accomplishing each of the initial tasks of the project identified by BJS at the kickoff meeting.

2. Affiliate plan: The recipient should provide a complete list of project affiliates who have agreed to work on the project if needed in the future. The list is due within 1 month of BJS approval of the initial project management plan.

3. Four substantive BJS reports (per funding year) and a limited number of briefing papers: BJS anticipates that the project will produce about four BJS-quality reports each year along with a small number of short briefing papers based on analysis of FJSP data in response to inquiries (or received by) BJS. As indicated in this solicitation, the priorities are subject to change given BJS's needs and interests.

Amount and Length of Awards

BJS anticipates that it will make up to one award for this project of up to \$1 million for a 4-year project period. All awards are subject to the availability of appropriated funds and any modifications or additional requirements that may be imposed by law. Funding will be made available under a cooperative agreement. BJS anticipates making a single award for this project. Pending available funding, BJS may make either a single award covering the four years of the project or an initial award for a 12-month period to cover activities associated with the first year of activities and with an option to continue the collection for the additional two years of activities conditional upon availability of funds and the quality of initial performance and products.

In preparing the application, applicants should assume the BJS will make one award of up to \$1,000,000 for a 48-month project period. The applicant should consider that project activities will begin on October 1, 2013 and continue for a 4-year period. The applicant should provide separate annual budgets for fiscal years 2014, 2015, 2016 and 2017 and one summary 4-year budget. All scheduled activities must be completed by September 30, 2017.

Budget Information

Limitation on Use of Award Funds for Employee Compensation; Waiver

With respect to any award of more than \$250,000 made under this solicitation, recipients may not use federal funds to pay total cash compensation (salary plus bonuses) to any employee of the award recipient at a rate that exceeds 110% of the maximum annual salary payable to a member of the Federal Government's Senior Executive Service (SES) at an agency with a Certified SES Performance Appraisal System for that year. The 2013 salary table for SES employees is available at www.opm.gov/policy-data-oversight/pay-leave/salaries-wages/2013/executive-senior-level/. Note: A recipient may compensate an employee at a higher rate, provided the amount in excess of this compensation limitation is paid with nonfederal

funds. (Any such additional compensation will not be considered matching funds where match requirements apply.)

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

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

Minimization of Conference Costs

OJP encourages applicants to review the OJP guidance on conference approval, planning, and reporting that is available on the OJP Web site at www.ojp.gov/funding/confcost.htm. This guidance sets out the current OJP policy, which requires all funding recipients that propose to hold or sponsor conferences (including meetings, trainings, and other similar events) to minimize costs, requires OJP review and prior written approval of most conference costs for cooperative agreement recipients (and certain costs for grant recipients), and generally prohibits the use of OJP funding to provide food and beverages at conferences. The guidance also sets upper limits on many conference costs, including facility space, audio/visual services, logistical planning services, programmatic planning services, and food and beverages (in the rare cases where food and beverage costs are permitted at all).

Prior review and approval of conference costs can take time (see the guidance for specific deadlines), and applicants should take this into account when submitting proposals. Applicants also should understand that conference cost limits may change and that they should check the guidance for updates before incurring such costs.

Note on food and beverages: OJP may make exceptions to the general prohibition on using OJP funding for food and beverages, but will do so only in rare cases where food and beverages are not otherwise available (e.g., in extremely remote areas); the size of the event and capacity of nearby food and beverage vendors would make it impractical to not provide food and beverages; or a special presentation at a conference requires a plenary address where conference participants have no other time to obtain food and beverages. Any such exception requires OJP's prior written approval. The restriction on food and beverages does not apply to water provided at no cost, but does apply to any and all other refreshments, regardless of the size or nature of the meeting. Additionally, this restriction does not affect direct payment of per diem amounts to individuals in a travel status under your organization's travel policy.

Costs Associated with Language Assistance (if applicable)

If an applicant proposes a program or activity that would deliver services or benefits to individuals, the costs of taking reasonable steps to provide meaningful access to those services

or benefits for individuals with limited English proficiency may be allowable. Reasonable steps to provide meaningful access to services or benefits may include interpretation or translation services where appropriate.

For additional information, see the "Civil Rights Compliance" section of the OJP "Other Requirements for OJP Applications" Web page at www.ojp.usdoj.gov/funding/other_requirements.htm.

Match Requirement

This solicitation does not require a match. However, if a successful application proposes a voluntary match amount, and OJP approves the budget, the total match amount incorporated into the approved budget becomes mandatory and subject to audit.

Performance Measures

To assist the Department with fulfilling its responsibilities under the Government Performance and Results Act of 1993 (GPRA), Public Law 103-62, and the GPRA Modernization Act of 2010, Public Law 111-352, applicants that receive funding under this solicitation must provide data that measure the results of their work done under this solicitation. OJP will require any award recipient, post award, to provide the data requested in the "Data Grantee Provides" column so that OJP can calculate values for the "Performance Measures" column. Performance measures for this solicitation are as follows:

Objective	Performance Measure(s)	Data Grantee Provides
Enhance the utility of BJS's FJSP data through the production of reports on substantive issues.	<p>Percent of deliverables that meet BJS expectations.</p> <p>Provide a communication plan that meets BJS's expectations.</p> <p>Number of meetings and/or conference calls conducted (by topic area).</p>	<p>Deliver four BJS reports that address substantive issues related to the FJSP, produced either in collaboration with BJS or independently, and statistical research papers published by BJS as methodological or technical reports stemming from the work of the FJSARC.</p> <p>Delivery of statistical reports using the federal Dyad Link File System.</p> <p>Research projects involving linked data.</p> <p>Communication at the outset of the project, including expectations and priorities, as well as updated communication on progress; and meetings or conference calls (by topic area).</p>

Undertake methodological research that supports BJS's efforts to assess the quality and reliability of federal criminal justice data for statistical purposes.	The number of new statistical methods or approaches used.	Research products using new statistical approaches in assessing the reliability of administrative and operational data, such as linking, in production of BJS reports; statistical products reflecting data quality assessments; and statistical products that, in final form, are error-free and fully documented by program code and methodology.
Identify and retain affiliates who can provide substantive and methodological expertise to guide efforts on specific tasks.	The number of partnerships established with affiliates to complete specialized tasks.	Research affiliates, relative to project need, assisting BJS and the FJSARC in producing statistical reports.

OJP does not require applicants to submit performance measures data with their applications. Instead, applicants should discuss in their application their proposed methods for collecting data for performance measures. Refer to the section “What an Application Should Include” on page 16 for additional information.

Note on Project Evaluations

Applicants that propose to use funds awarded through this solicitation to conduct project evaluations should be aware that certain project evaluations (such as systematic investigations designed to develop or contribute to generalizable knowledge) may constitute “research” for purposes of applicable DOJ human subjects protection regulations. However, project evaluations that are intended only to generate internal improvements to a program or service, or are conducted only to meet OJP’s performance measure data reporting requirements likely do not constitute “research.” Applicants should provide sufficient information for OJP to determine whether the particular project they propose would either intentionally or unintentionally collect or use information in such a way that it meets the DOJ regulatory definition of research.

Research, for the purposes of human subjects protections for OJP-funded programs, is defined as, “a systematic investigation, including research development, testing, and evaluation, designed to develop or contribute to generalizable knowledge” 28 C.F.R. § 46.102(d). For additional information on determining whether a proposed activity would constitute research, see the decision tree to assist applicants on the “Research and the Protection of Human Subjects” section of the OJP “Other Requirements for OJP Applications” Web page (www.ojp.usdoj.gov/funding/other_requirements.htm). Applicants whose proposals may involve a research or statistical component also should review the “Confidentiality” section on that Web page.

Notice of Post-Award FFATA Reporting Requirement

Applicants should anticipate that OJP will require all recipients (other than individuals) of awards of \$25,000 or more under this solicitation, consistent with the Federal Funding Accountability and Transparency Act of 2006 (FFATA), to report award information on any first-tier subawards

totaling \$25,000 or more, and, in certain cases, to report information on the names and total compensation of the five most highly compensated executives of the recipient and first-tier subrecipients. Each applicant entity must ensure that it has the necessary processes and systems in place to comply with the reporting requirements should it receive funding. Reports regarding subawards will be made through the FFATA Subaward Reporting System (FSRS), found at www.fsrs.gov.

Please note also that applicants should anticipate that no subaward of an award made under this solicitation may be made to a subrecipient (other than an individual) unless the potential subrecipient acquires and provides a Data Universal Numbering System (DUNS) number.

What an Application Should Include

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

Moreover, applicants should anticipate that applications that are determined to be nonresponsive to the scope of the solicitation, or that do not include the application elements that BJS has designated to be critical, will neither proceed to peer review nor receive further consideration. Under this solicitation, BJS has designated the following application elements as critical: Program Narrative, Budget Detail Worksheet, and Budget Narrative and resumes/curriculum vitae of key personnel. Applicants may combine the Budget Narrative and the Budget Detail Worksheet in one document. However, if an applicant submits only one document, it must contain **both** narrative and detail information.

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

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

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

2. Abstract (Optional)

Applications should include a high-quality "Project Abstract" that summarizes the proposed project in 400 words or less. Project abstracts should be—

- written for a general public audience.
- submitted as a separate attachment with <Project Abstract> as part of its file name.

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

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

All project abstracts should follow the detailed template available at www.ojp.usdoj.gov/funding/Project_Abstract_Template.pdf.

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

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

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

3. Program Narrative

This should describe the manner in which the applicant will address the goals and objectives and meet the deliverables for the project, as well as address the evaluation criteria. The narrative should present a clear understanding of BJS, its mission, the FJSP, and the strengths and limitations of the FJSP collections and reports. The narrative should articulate the applicant's proposed research agenda for the FJSARC, and it should also demonstrate the applicant's capabilities to complete the tasks in a timely manner. The applicant's discussion of capabilities should address the following points:

- Substantive expertise about the federal criminal justice system
- Knowledge of the coverage and gaps in BJS's portfolio of products
- Demonstrated capacity to conduct methodological research on administrative records
- Demonstrated capacity to produce BJS quality statistical reports.

The program narrative must not exceed 30 pages, using 12 point font and 1-inch margins all around. These limitations apply to tables and figures included within the narrative.

If the program narrative fails to comply with these length-related restrictions, BJS may consider such noncompliance in peer review and in final award decisions.

The following sections should be included as part of the program narrative.

- a. Statement of the Problem
 - i) Applicants should demonstrate their knowledge of BJS and its FJSP, its mission, and its statistical coverage of the federal criminal justice system.
 - ii) Applicants should demonstrate their knowledge of important issues in criminal justice that are currently not covered by BJS products but that could be addressed with BJS's existing FJSP data.
 - iii) Applicants should describe their understanding of BJS's FJSP collections, their purpose and goals, and the achievements that BJS had made with these collections.
- b. Project Design and Implementation
 - i) Applicants should describe how they will flexibly and adaptively manage the goals and objectives of the project to meet BJS's priorities.
 - ii) Applicants should describe how they will manage the need to obtain resources in a cost-effective manner.
 - iii) Applicants should describe how they will meet the evolving information needs of BJS.
- c. Capabilities and Competencies
 - i) Applicants should describe their capacity to provide the substantive, analytic, and methodological research services necessary to meet the objectives of the FJSARC.
 - ii) Applicants should describe how they intend to supplement their own capacities in cost-effective ways with high-quality affiliates.
 - iii) Applicants should show how their performance on issues directly related to the FJSARC's goals and objectives demonstrates their capability to address the goals and objectives of this project. This may include past research reports, past projects (with references), and current research projects.
- d. Plan for Collecting the Data Required for this Solicitation's Performance Measures

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

4. Budget Detail Worksheet and Budget Narrative

a. Budget Detail Worksheet

A sample Budget Detail Worksheet can be found at www.ojp.gov/funding/forms/budget_detail.pdf. Applicants that submit their budget in a different format should include the budget categories listed in the sample budget worksheet.

For questions pertaining to budget and examples of allowable and unallowable costs, see the OJP Financial Guide at www.ojp.usdoj.gov/financialguide/index.htm.

b. Budget Narrative

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

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

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

5. Indirect Cost Rate Agreement (if applicable)

Indirect costs are allowed only if the applicant has a federally approved indirect cost rate. (This requirement does not apply to units of local government.) Attach a copy of the federally approved indirect cost rate agreement to the application. Applicants that do not have an approved rate may request one through their cognizant federal agency, which will review all documentation and approve a rate for the applicant organization, or, if the applicant's accounting system permits, costs may be allocated in the direct cost categories. If DOJ is the cognizant federal agency, obtain information needed to submit an indirect cost rate proposal at www.ojp.usdoj.gov/funding/pdfs/indirect_costs.pdf.

6. Tribal Authorizing Resolution (if applicable)

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

Applicants that are unable to submit with the application a fully-executed (i.e., signed) copy of appropriate legal documentation, as described above, consistent with the

applicable tribe's governance structure, should, at minimum, submit an unsigned, draft version of such legal documentation as part of its application (except in cases where, with respect to a tribal consortium applicant, consortium bylaws allow action without the support of all consortium member tribes). If selected for funding, BJS will make use of and access to funds contingent on receipt of the fully-executed legal documentation.

7. Additional Attachments (if applicable)

a. Key staff information

This should include an annual staff loading chart, by task, showing the role and number of hours committed by proposed staff; identification of proposed key personnel (including identified and unidentified affiliates) and their qualifications for the significant functions in the project, along with concise descriptions of the duties each will perform; and identification by name of all key personnel with decision-making authority. Resumes/curricula vitae of key project personnel must not exceed four pages each.

b. Privacy certificate

The Privacy Certificate is a funding recipient's certification of compliance with federal regulations requiring confidentiality of a private person's identifiable information that is collected, analyzed, or otherwise used in connection with an OJP-funded research or statistical activity. The funding recipient's Privacy Certificate also includes a description of policies and procedures to be followed to protect identifiable data. A model certificate is located at www.bjs.gov/content/pub/pdf/bjsmpc.pdf.

c. Human subjects protection certification of compliance

BJS requires the funding recipient to submit proper documentation to determine that the research project meets the federal requirements for human subjects protections set forth in 28 CFR Part 46. A model certificate, describing the necessary information to be provided by the funding recipient, can be accessed at www.bjs.gov/content/hscr.cfm.

d. Applicant disclosure of pending applications.

Applicants are to disclose whether they have pending applications for federally funded assistance that include requests for funding to support the same project being proposed under this solicitation and will cover the identical cost items outlined in the budget narrative and worksheet in the application under this solicitation. The disclosure should include both direct applications for federal funding (e.g., applications to federal agencies) and indirect applications for such funding (e.g., applications to State agencies that will be subawarding federal funds).

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

Applicants that have pending applications as described above are to provide the following information about pending applications submitted within the last 12 months:

- the Federal or State funding agency
- the solicitation name/project name
- the point of contact information at the applicable funding agency

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

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

e. Research and Evaluation Independence and Integrity

If a proposal involves research or evaluation, regardless of the proposal’s rating under the selection criteria, in order to receive funds, the applicant’s proposal must demonstrate research/evaluation independence, including appropriate safeguards to ensure research/evaluation objectivity and integrity.

For purposes of this solicitation, research and evaluation independence and integrity pertains to ensuring that the design, conduct, or reporting of research/ evaluation funded by BJS grants, cooperative agreements, or contracts will not be biased by any personal or financial conflict of interest on the part of the investigators responsible for the research/evaluation or on the part of the applicant organization. Conflicts can be either actual or apparent. Examples of potential investigator (or other personal) conflict situations may include where an investigator would be in a position to evaluate a spouse’s work product (actual conflict), or where an investigator would be in a position to evaluate the work of a former colleague (apparent conflict). With regard to potential organizational conflicts of interest, as one example, generally an organization could not be given a grant to evaluate a project if that organization had itself provided substantial

prior technical assistance to that project, as the organization in such an instance would appear to be evaluating the effectiveness of its own prior work. The key is whether a reasonable person understanding all of the facts would be able to have confidence that the results of any research/evaluation project are objective and reliable. Any outside personal or financial interest that casts doubt on that objectivity and reliability is a problem.

In the appendix dealing with research and evaluation independence and integrity, the applicant should explain the process and procedures that the applicant has put in place to identify and eliminate (or, at the very least, mitigate) potential personal or financial conflicts of interest on the part of its staff, consultants, and/or subrecipients. It should also identify any potential organizational conflicts of interest on the part of the applicant with regard to the proposed research/evaluation. If the applicant reasonably believes that no potential personal or organizational conflicts of interest exist, then the applicant should provide a brief narrative explanation of how and why it reached that conclusion.

Where potential personal or organizational conflicts of interest exist, in the appendix, the applicant should identify the safeguards the applicant has or will put in place to eliminate, mitigate, explain, or otherwise address those conflicts of interest.

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

8. Other Standard Forms

Additional forms that OJP may require in connection with an award are available on OJP's funding page at www.ojp.usdoj.gov/funding/forms.htm. For successful applicants, receipt of funds may be contingent upon submission of all necessary forms. Note in particular the following forms:

- a. [Standard Assurances](#)*
Applicants must read, certify, and submit this form in GMS prior to the receipt of any award funds.
- b. [Certifications Regarding Lobbying; Debarment, Suspension and Other Responsibility Matters; and Drug-Free Workplace Requirements](#)*
Applicants must read, certify, and submit in GMS prior to the receipt of any award funds.
- c. [Accounting System and Financial Capability Questionnaire](#) Any applicant (other than an individual) that is a non-governmental entity and that has not received any award from OJP within the past 3 years, must download, complete, and submit this form.

*These OJP Standard Assurances and Certifications are forms applicants accept in GMS. They are not additional forms to be uploaded at the time of application submission.

Selection Criteria

Applications will be assessed according to the following criteria:

1. Statement of the Problem (20%)

- Demonstrated understanding of BJS, its mission, its statistical collections, and their utility for research on criminal justice system issues.
- Capacity to articulate a substantive research agenda for BJS's FJSP that addresses gaps in BJS statistical reports that should be addressed through the product lines described in this solicitation.
- Depth of understanding of BJS's FJSP collections, their capabilities, and potential uses.
- Understanding of how the project goals will assist BJS in addressing stakeholders' statistical information needs.

2. Project Design and Implementation (20%)

- Understanding the fluid structure and content of the project tasks.
- Clear articulation of a management structure that is responsive to the demands of a BJS Analytic Resource Center.
- The extent to which the relationship between the proposed research agenda outlined in the application comports with the organization of project resources to achieve the research goals.
- Range and quality of the components of the proposed research agenda.
- Innovation in methods proposed to support the research tasks outlined in the proposed research agenda.

3. Capabilities and Competencies (40%)

- Depth of understanding of, and experience in, using BJS data and administrative records for statistical research.
- Demonstrated capacity to manage large data files in a secure environment to achieve research objectives in a timely manner.
- Demonstrated capacity and experience to deliver high-quality research reports targeted to the appropriate audience in a timely manner.
- Capacities to attract, retain, and manage a cadre of research affiliates and ensure that they can produce high-quality research products in a timely manner.
- Demonstrated capacity to cover the substantive, methodological, analytic, and technical issues described in the project.
- Demonstrated capacity to produce data products for the end-user (e.g., consumers of BJS reports) and document all work done to complete project tasks.
- Demonstrated past performance on issues directly related to the FJSARC's goals and objectives, such as research reports, past projects (with references), and current research projects.

4. Plan for Collecting the Data Required for this Solicitation's Performance Measures (5%)

- The efficiency of the data collection activities required to demonstrate the projects' performance in a low-cost manner and as part of the organization of the project.

5. Budget: complete, cost effective, and allowable (e.g., reasonable, allocable, and necessary for project activities (15%))

- Applicant provides 4 annual budgets and one summary 4-year budget. Applicant provides an annual staff loading chart, by task, showing the role and number of hours committed by proposed staff (including identified and non-identified affiliates).
- The extent to which staff resources allocated in the budget are appropriate for the project tasks and the evolving demands of a BJS Analytic Resource Center.
- Appropriateness of budgeted items for achieving project goals.
- Budget narratives should generally demonstrate how applicants will maximize cost effectiveness of grant expenditures. Budget narratives should demonstrate cost effectiveness in relation to potential alternatives and the goals of the project. Generally speaking, a reasonable cost is a cost that, in its nature or amount, does not exceed that which would be incurred by a prudent person under the circumstances prevailing at the time the decision was made to incur the costs.

Review Process

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

Peer reviewers will review the applications submitted under this solicitation that meet basic minimum requirements. The Bureau of Justice Statistics may use either internal peer reviewers, external peer reviewers, or a combination, to review the applications. An external peer reviewer is an expert in the subject matter of a given solicitation who is NOT a current DOJ employee. An internal reviewer is a current DOJ employee who is well-versed or has expertise in the subject matter of this solicitation. A peer review panel will evaluate, score, and rate applications that meet basic minimum requirements. Peer reviewers' ratings and any resulting recommendations are advisory only. In addition to peer review ratings, considerations for award recommendations and decisions may include, but are not limited to, underserved populations, geographic diversity, strategic priorities, past performance, and available funding.

The Office of the Chief Financial Officer (OCFO), in consultation with Bureau of Justice Statistics, reviews applications for potential discretionary awards to evaluate the fiscal integrity and financial capability of applicants, examines proposed costs to determine if the Budget Detail Worksheet and Budget Narrative accurately explain project costs, and determines whether costs are reasonable, necessary, and allowable under applicable federal cost principles and agency regulations.

All final award decisions will be made by the Director of the Bureau of Justice Statistics, who may consider factors including, but not limited to, underserved populations, geographic diversity, strategic priorities, past performance, and available funding when making awards.

Special Conditions Applied to Awards Under this Solicitation

The award of federal funds under this BJS solicitation will be through a Cooperative Agreement. In accordance with the Federal Grant and Cooperative Agreements Act of 1977 (31 U.S.C. § 6305), if the purpose of the funded activity is to support a public purpose rather than for direct benefit or use by the federal government, a grant or a cooperative agreement can be used to administer the funds. A cooperative agreement is distinguished from a grant by the level of federal participation or involvement in carrying out project activities. Specifically, Title 31, section 6305 of the U.S. Code states, “An executive agency must use a cooperative agreement as the legal instrument, reflecting a relationship between the United States Government and . . . other recipient when . . . substantial involvement is expected between the executive agency and the . . . recipient when carrying out the activity contemplated in the agreement.”

For the purpose of this solicitation, “substantial involvement” by BJS means that BJS will provide substantial guidance, input, and approval of the approach through which deliverables are accomplished. It also means that throughout the performance period, BJS will specify project deliverables that the award recipient agrees to by accepting the award. The award document will incorporate several special conditions that ensure the specific parameters of this cooperative relationship. The goals of the substantial involvement of BJS are to (1) ensure that final deliverables are of acceptable quality as to justify the use of federal funds, (2) accurately represent the project’s findings, and (3) ensure that all federal regulations governing the collection and dissemination of statistical information are met.

All tasks carried out through the use of project funds will be assessed by BJS, as needed, to ensure that they meet federal regulations concerning confidentiality, personal identifying information, human research subjects, and the release of proprietary information, as well as to ensure that they meet general data quality standards for substance and presentation. As part of the assessment, BJS will continuously monitor the project to ensure that all activities performed under project tasks contribute to developing previously agreed on deliverables within the award’s budget. BJS reserves the right to stop funding the project and to restrict the release of the information or findings should regulations or standards not be met. However, BJS will not impede the completion of deliverables within the project period unless project tasks or deliverables fail to meet general data quality standards or federal regulations as described above.

All methodological, statistical, procedural, and technological work conducted by the award recipient using award funds will remain the property of BJS until BJS determines that the information can be made publicly available. Therefore, BJS must approve any release of this proprietary information by the award recipient. BJS retains the right to the first release of all work funded by the project. This includes specific knowledge related to the project that was developed through the course of generating the deliverables, which the award recipient was funded to produce.

Any additional work using project funds, including attendance or presentations at conferences and the publication of journal articles or other materials, that constitutes a change in the scope of the project requires BJS approval in the same way that any other changes to the performance period, key project staff, or budget require prior approval and a Grant Adjustment Notification. Since the information and materials generated through the project constitute proprietary information, any release of this information using outside funding sources without sufficient justification and specific approval by BJS would jeopardize the relationship between BJS and the award recipient and potentially result in an inability to work together to accomplish remaining project goals. BJS is generally supportive of public dissemination efforts to the extent that BJS has prior knowledge and approval of the release of information by the award recipient and is able to ensure that this release contributes to the success of the project or enhances public knowledge regarding the topic without violating confidentiality restrictions or other federal regulations

Among others, the following special conditions will be attached to an award under this solicitation:

1. **Exclusive Rights to Data.** BJS retains all rights to exclusive use of the data until BJS releases the public use dataset, which will be available to the public via the Internet and at the National Criminal Justice Data Archives at the University of Michigan. The recipient must not release or disclose any data collected through this cooperative agreement without prior written approval of BJS or until the dataset has been released to the public. This includes, but is not limited to, presentations at professional conferences and meetings, press releases, or grant applications. Unauthorized release of the data by the recipient or its associates may result in the immediate commencement of termination or suspension proceedings in accordance with 28 CFR Part 18.
2. **Exclusive Rights to Methodological Information.** Within certain limitations, BJS may grant the recipient exclusive use of any methodological findings derived from the project funded through this cooperative agreement. Only with prior written approval by BJS may the recipient publicly disclose methodological information or experiential findings derived from the project prior to the public release of the dataset. Any such disclosures must be public in nature and contribute meaningfully to the development or advancement of social science research. Subject to the prior written approval of BJS, allowable public disclosure may include, but are not limited to, presentations at professional conferences and meetings, articles appearing in widely distributed publications, Internet postings, or similar outlets that constitute a broad public release of the methodological information. Unauthorized release of the methodological information by the recipient or its associates may result in the immediate commencement of termination or suspension proceedings in accordance with 28 CFR Part 18.
3. **Prior Approval of Products/Publications.** All materials and reports drafted or produced using funds under this award will be provided to BJS for its review and approval prior to initial publication.

Additional Requirements

Applicants selected for awards must agree to comply with additional legal requirements on acceptance of an award. OJP encourages applicants to review the information pertaining to

these additional requirements prior to submitting an application. Additional information for each requirement can be found at www.ojp.usdoj.gov/funding/other_requirements.htm.

- Civil Rights Compliance
- Civil Rights Compliance Specific to State Administering Agencies
- Faith-Based and Other Community Organizations
- Confidentiality
- Research and the Protection of Human Subjects
- Anti-Lobbying Act
- Financial and Government Audit Requirements
- National Environmental Policy Act (NEPA)
- DOJ Information Technology Standards (if applicable)
- Single Point of Contact Review
- Non-Supplanting of State or Local Funds
- Criminal Penalty for False Statements
- Compliance with [Office of Justice Programs Financial Guide](#)
- Suspension or Termination of Funding
- Nonprofit Organizations
- For-profit Organizations
- Government Performance and Results Act (GPRA)
- Rights in Intellectual Property
- Federal Funding Accountability and Transparency Act of 2006 (FFATA)
- Awards in Excess of \$5,000,000 – Federal Taxes Certification Requirement
- Policy and Guidance for Conference Approval, Planning, and Reporting
- OJP Training Guiding Principles for Grantees and Subgrantees

How to Apply

Note: Grants.gov limits the use of specific characters in names of attachment files. Valid file names may include only the following characters: A-Z, a-z, 0-9, underscore (_), hyphen (-), space, and period. Grants.gov will forward the application to OJP's Grants Management System (GMS). GMS does not accept executable file types as application attachments. These disallowed file types include, but are not limited to, the following extensions: “.com,” “.bat,” “.exe,” “.vbs,” “.cfg,” “.dat,” “.db,” “.dbf,” “.dll,” “.ini,” “.log,” “.ora,” “.sys,” and “.zip.”

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

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

All applicants are required to complete the following steps:

1. **Acquire a Data Universal Numbering System (DUNS) number.** In general, the Office of Management and Budget requires that all applicants (other than individuals) for federal funds include a DUNS number in their applications for a new award or a supplement to an existing award. A DUNS number is a unique nine-digit sequence recognized as the universal standard for identifying and differentiating entities receiving federal funds. The identifier is used for tracking purposes and to validate address and point of contact information for federal assistance applicants, recipients, and subrecipients. The DUNS number will be used throughout the grant life cycle. Obtaining a DUNS number is a free, one-time activity. Call Dun and Bradstreet at 866-705-5711 to obtain a DUNS number or apply online at www.dnb.com. A DUNS number is usually received within 1-2 business days.
2. **Acquire registration with the System for Award Management (SAM). SAM replaces the Central Contractor Registration (CCR) database** as the repository for standard information about federal financial assistance applicants, recipients, and subrecipients. OJP requires all applicants (other than individuals) for federal financial assistance to maintain current registrations in the SAM database. Applicants must be registered in SAM to successfully register in Grants.gov. (Previously, organizations that had submitted applications via Grants.gov were registered with CCR, as it was a requirement for Grants.gov registration. SAM registration replaces CCR as a pre-requisite for

Grants.gov registration.) Applicants must **update or renew their SAM registration annually** to maintain an active status.

Applicants that were previously registered in the CCR database must, at a minimum:

- Create a SAM account;
- Log in to SAM and migrate permissions to the SAM account (all the entity registrations and records should already have been migrated).

Applicants that were not previously registered in the CCR database must register in SAM prior to registering in Grants.gov. Information about SAM registration procedures can be accessed at www.sam.gov.

3. **Acquire an Authorized Organization Representative (AOR) and a Grants.gov username and password.** Complete the AOR profile on Grants.gov and create a username and password. The applicant organization's DUNS number must be used to complete this step. For more information about the registration process, go to www.grants.gov/applicants/get_registered.jsp.
4. **Acquire confirmation for the AOR from the E-Business Point of Contact (E-Biz POC).** The E-Biz POC at the applicant organization must log into Grants.gov to confirm the applicant organization's AOR. Note that an organization can have more than one AOR.
5. **Search for the funding opportunity on Grants.gov.** Use the following identifying information when searching for the funding opportunity on Grants.gov. The Catalog of Federal Domestic Assistance (CFDA) number for this solicitation is 16.734, titled "Special Domestic Assistance and Statistical Studies," and the funding opportunity number is BJS-2013-3661.
6. **Complete the Disclosure of Lobbying Activities.** All applicants must complete this information. Applicants that expend any funds for lobbying activities must provide the detailed information requested on the form, *Disclosure of Lobbying Activities* (SF-LLL). Applicants that do not expend any funds for lobbying activities should enter "N/A" in the required highlighted fields.
7. **Submit an application consistent with this solicitation by following the directions in Grants.gov.** Within 24–48 hours after submitting the electronic application, the applicant should receive an e-mail validation message from Grants.gov. The message will state whether the application has been received and validated, or rejected due to errors, with an explanation. **Important:** OJP urges applicants to submit applications **at least 72 hours prior** of the application due date to allow time to receive validation messages or rejection notifications from Grants.gov, and to correct in a timely fashion any problems that may have caused a rejection notification.

Note: Duplicate Applications

If an applicant submits multiple versions of an application, BJS will review the most recent version submitted.

Experiencing Unforeseen Grants.gov Technical Issues

Applicants that experience unforeseen Grants.gov technical issues beyond their control that prevent them from submitting their application by the deadline must e-mail the BJS contact identified in the Contact Information section on cover page **within 24 hours after the application deadline** and request approval to submit their application. The e-mail must describe the technical difficulties, and include a timeline of the applicant's submission efforts, the complete grant application, the applicant's DUNS number, and any Grants.gov Help Desk or SAM tracking number(s). **Note: BJS does not automatically approve requests.** After the program office reviews the submission and contacts the Grants.gov or SAM Help Desks to validate the reported technical issues, OJP will inform the applicant whether the request to submit a late application has been approved or denied. If the technical issues reported cannot be validated, OJP will reject the application as untimely.

The following conditions are not valid reasons to permit late submissions: (1) failure to register in sufficient time, (2) failure to follow Grants.gov instructions on how to register and apply as posted on its website, (3) failure to follow each instruction in the OJP solicitation, and (4) technical issues with the applicant's computer or information technology environment, including firewalls.

Notifications regarding known technical problems with Grants.gov, if any, are posted at the top of the OJP funding web page at www.ojp.usdoj.gov/funding/solicitations.htm.

Provide Feedback to OJP on This Solicitation

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

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

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

Application Checklist

Federal Justice Statistics Analytic Resource Center

This application checklist has been created to assist in developing an application.

Eligibility Requirement: Eligible applicants are limited to for-profit (commercial) organizations, nonprofit organizations (including tribal nonprofit or for-profit organizations), faith-based and community organizations, institutions of higher learning (including tribal institutions of higher education. For-profit organizations must agree to forgo any profit or management fee).

_____ The federal amount requested is within the allowable limit(s) of \$1,000,000.

What an Application Should Include:

_____ Application for Federal Assistance (SF-424) (see page 16)

_____ Abstract (see page 16)

_____ Program Narrative (see page 17)

_____ Line spacing of no less than 1.5 lines

_____ 12-point Arial font

_____ 1-inch margins

_____ Narrative is 30 pages or less

These limitations apply to tables and figures included within the Statement of the Problem and the Project Design and Implementation sections. The Capabilities and Competencies and Plan for Collecting Data Required for this Solicitation's Performance Measures do not fall within this 30-page limitation. Also excluded from the 30-page limitation are the cover page, a project abstract, and contents.

_____ Budget Detail Worksheet (see page 18)

_____ Budget Narrative (see page 19)

_____ Disclosure of Lobbying Activities (SF-LLL) (see page 29)

_____ Indirect Cost Rate Agreement (if applicable) (see page 19)

_____ Tribal Authorizing Resolution (if applicable) (see page 19)

_____ Additional Attachments (see page 20–22)

_____ Key staff information

_____ Privacy Certification

_____ Disclosure of pending applications

_____ Research and Evaluation Independence and Integrity

_____ Other Standard Forms as applicable (see page 22), including:

_____ Accounting System and Financial Capability Questionnaire (if applicable)