

U.S. Department of Justice
Office of Justice Programs
Bureau of Justice Statistics



The [U.S. Department of Justice](#) (DOJ), [Office of Justice Programs](#) (OJP), [Bureau of Justice Statistics](#) (BJS) is seeking applications to obtain a collection agent through a cooperative agreement to administer the fourth National Inmate Survey (NIS-4), 2018-19, for a period of 48 months beginning October 2, 2017. As the primary source for criminal justice statistics in the United States, BJS is responsible for collecting, analyzing, publishing, and disseminating statistical information on crime, criminal offenders, victims of crime, and the operations of criminal justice systems at all levels of government. This program furthers the Department's mission by conducting data collection and meeting, for reference years 2018-19 the data analysis requirements of the Prison Rape Elimination Act of 2003 (P.L. 108-79). The project will provide data necessary for the annual statistical review and analysis of incidents and effects of prison rape. It will provide a list of adult correctional prison systems and facilities according to the prevalence of sexual victimization.

National Inmate Survey (NIS-4) 2018-19

Applications Due: July 26, 2017

Eligibility

Eligible applicants are national, regional, state, or local public and private entities, for-profit and nonprofit organizations (including tribal for-profit and nonprofit organizations), faith-based and community organizations, institutions of higher education (including tribal institutions of higher education), federally recognized Indian tribal governments as determined by the Secretary of the Interior, and units of local government that support initiatives to improve the functioning of the criminal justice system. For-profit organizations (as well as other recipients) must forgo any profit or management fee.

Foreign governments, foreign organizations, and foreign institutions of higher education are not eligible to apply.

BJS welcomes applications under which two or more entities would carry out the federal award; however, only one entity may be the applicant. Any other(s) must be proposed as subrecipient(s) ("subgrantees")¹. The applicant must be the entity that would have primary responsibility for carrying out the award, including administering the funding, managing the entire project, and appropriately managing and monitoring any subrecipients or, as applicable, for administering any procurement subcontract that would receive federal funds from the applicant under the award. Under this solicitation, only one application by any particular

¹For additional information on subawards, see "Budget and Associated Documentation" under [Section D. Application and Submission Information](#).

applicant entity will be considered. An entity may, however, be proposed as a subrecipient (“subgrantee”) in more than one application.

BJs may elect to fund applications submitted under this FY 2017 solicitation in future fiscal years, dependent on, among other considerations, the merit of the applications and on the availability of appropriations.

Deadline

Applicants must register with Grants.gov prior to submitting an application. All applications are due by 11:59 p.m. eastern time on July 26, 2017.

To be considered timely, an application must be submitted by the application deadline using Grants.gov, and the applicant must have received a validation message from Grants.gov that indicates successful and timely submission. OJP urges applicants to submit applications at least 72 hours prior to the application due date, in order to allow time for the applicant 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.

OJP encourages all applicants to read this [Important Notice: Applying for Grants in Grants.gov](#).

For additional information, see [How to Apply](#) in Section D. Application and Submission Information.

Contact Information

For technical assistance with submitting an application, contact the Grants.gov Customer Support Hotline at 800-518-4726 or 606-545-5035, or via email to support@grants.gov. The Grants.gov Support Hotline operates 24 hours a day, 7 days a week, except on federal holidays.

An applicant that experiences unforeseen Grants.gov technical issues beyond its control that prevent it from submitting its application by the deadline must email the BJS contact identified below **within 24 hours after the application deadline** in order to request approval to submit its application after the deadline. Additional information on reporting technical issues appears under “Experiencing Unforeseen Grants.gov Technical Issues” in the [How to Apply](#) section.

For assistance with any other requirements of this solicitation, contact Jessica Stroop, BJS Statistician, by telephone at 202-307-0765 or by email at AskBJS@usdoj.gov. Include “NIS-4” in the subject line.

Grants.gov number assigned to this solicitation: BJS-2017-12782

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National Inmate Survey (NIS-4) 2018-19

(CFDA # 16.739)

A. Program Description

Overview

On September 4, 2003, President George W. Bush signed the Prison Rape Elimination Act of 2003 (P.L. 108-79) (“PREA,” or “the Act”). The Act requires the Bureau of Justice Statistics (BJS) to “carry out, for each calendar year, a comprehensive statistical review and analysis of the incidence and effects of prison rape.” The Act further instructs BJS to collect survey data: “the Bureau shall...use surveys and other statistical studies of current and former inmates....” The law was passed in part to overcome a shortage of available research on the incidence and prevalence of sexual violence in correctional facilities.

To implement the Act, BJS developed the National Prison Rape Statistics Program, which includes four separate data collection efforts: the Survey of Sexual Victimization (SSV, formerly Survey of Sexual Violence), National Inmate Survey (NIS), National Survey of Youth in Custody (NSYC), and National Former Prisoner Survey (NFPS).

Each of these collections is independent and, while not directly comparable, they provide measures of the prevalence and characteristics of sexual assault in correctional facilities. The SSV collects information about incidents of sexual violence reported to and investigated by adult and juvenile correctional authorities and characteristics of substantiated incidents. The NIS collects allegations of sexual assault self-reported by adult and juvenile inmates in correctional facilities. The NSYC gathers self-reported sexual assault data from youth in juvenile correctional facilities. The NFPS measures allegations of sexual assault experienced during a person’s last incarceration, as reported by former inmates under community active supervision.

This award will provide funding through a cooperative agreement for a collection agent to administer the fourth round of the NIS (NIS-4). The NIS is an audio computer-assisted self-interview (ACASI) instrument administered to inmates in correctional facilities to measure the prevalence of sexual assault at the facility level. Project activities include drawing a national sample of federal and state-operated prison facilities and privately operated prison facilities that house inmates under federal or state jurisdiction; administering the survey to sampled inmates in these facilities; and conducting all data collection, analyses, and reporting activities.

BJS anticipates making one initial award for a 48-month period (October 1, 2017, to September 30, 2021).

Statutory Authority BJS is authorized to issue this solicitation under 42 U.S.C. § 3732(c) and 42 U.S.C. § 15603.

Program-Specific Information

The NIS gathers data on the prevalence and incidence of sexual assault in adult prison, as reported by inmates. The inmates use ACASI technology with a laptop touchscreen and an audio feed to maximize inmate confidentiality and minimize literacy issues. A short paper and pencil (PAPI) questionnaire is made available to inmates unable to complete the ACASI questionnaire.

The first NIS (NIS-1) was conducted in 2007; the second (NIS-2), in 2008-09; and the third (NIS-3), in 2011-12. The NIS-3 was conducted in 233 state and federal prisons, 358 local jails, and 15 special confinement facilities operated by Immigration and Customs Enforcement (ICE), the U.S. military, and correctional authorities in Indian country. A total of 92,449 inmates age 18 or older participated in NIS-3, including 38,251 prison inmates, 52,926 jail inmates, 573 ICE detainees, 539 inmates in military facilities, and 160 inmates in Indian country facilities. The survey was also administered to 527 youth ages 16 to 17 held in state prisons and 1,211 youth ages 16 to 17 in local jails. The first report from NIS-3 was *Sexual Victimization in Prisons and Jails Reported by Inmates, 2011–12* (NCJ 241399, BJS web, May 2013).

BJS published survey findings in December 2007 (NIS-1), August 2010 (NIS-2), and May 2013 (NIS-3). Findings from NIS-3 included the following:

- In 2011-12, an estimated 4.0% of state and federal prison inmates reported experiencing one or more incidents of sexual victimization by another inmate or facility staff in the past 12 months or since admission to the facility, if less than 12 months.
- Using the same methodology since 2007, the rate of sexual victimization among state and federal prison inmates was 4.5% in 2007 and 4.0% in 2011-12; but, the difference was not statistically significant.
- Among state and federal prison inmates, 2.0% (an estimated 29,300 prisoners) reported an incident of sexual victimization involving another inmate, 2.4% (34,100) reported an incident involving facility staff, and 0.4% (5,500) reported both an incident by another inmate and staff.
- Patterns of inmate-on-inmate sexual victimization in 2011-12 were consistent with patterns in past surveys. Rates reported by prison inmates were higher among females than males, higher among whites than blacks, and higher among inmates with a college degree than those who had not completed high school.
- Variations in staff sexual misconduct rates were also similar across surveys. Rates reported by inmates were higher among black inmates in prisons than white inmates in prison, and lower among inmates age 35 or older than inmates ages 20 to 24 in prison.
- Inmates with serious psychological distress reported high rates of inmate-on-inmate and staff sexual victimization in 2011-12.
- Inmates who reported their sexual orientation as gay, lesbian, bisexual, or other were among those with the highest rates of sexual victimization in 2011-12.

Each publication provided information on sampling of facilities, selection of inmates, weighting and nonresponse adjustments, and facility- and state-level estimation. The ACASI sexual

victimization surveys are available at <https://www.bjs.gov/index.cfm?ty=dcdetail&iid=278#Questionnaires>.

The data collected in NIS-1, NIS-2 and NIS-3 were used to develop national- and facility-level (for large facilities) estimates of sexual assault. Data from the surveys were included in three previous reports from the Attorney General, which were submitted to Congress, the Secretary of the U.S. Department of Health and Human Services, and the Department of Justice (DOJ) Review Panel on Prison Rape, as specified under the Act. The reports provided detailed results from the surveys, including facility rankings and summary findings. They identified facilities with the highest and lowest rates of sexual violence, which the Review Panel on Prison Rape used to solicit testimony from correctional administrators of these facilities.

During 2015, BJS issued three reports using NIS-3 data: *Veterans in Prison and Jail, 2011-12* (NCJ 249144, December 2015), *Disabilities Among Prison and Jail Inmates, 2011-12* (NCJ 249151, December 2015), and *Use of Restrictive Housing in U.S. Prisons and Jails, 2011-12* (NCJ 249209, October 2015). These reports addressed significant issues in corrections that otherwise could not have been addressed without the in-depth data collected PREA. Additional reports are projected for 2017, including reports on mental health problems of prison and jail inmates and pre-incarceration exposure to traumatic events among prison and jail inmates.

NIS-4 will build on the past surveys. During 2016, BJS undertook a comprehensive assessment to examine the substantive gaps in the NIS-3 sexual assault questionnaires, and BJS intends to obtain more details on specific incidents in the NIS-4. NIS-4 will include new measures with special emphasis on the nature and circumstances surrounding staff sexual misconduct and boundary violations, collusion among inmates and staff surrounding victimization, impact on victims, and other factors related to facility climate, institutional culture, and correctional leadership. In addition, BJS intends to improve the measurement of facility characteristics that may co-vary with sexual victimization.

This assessment also included a review of the NIS-3 survey protocol, sampling methodologies, and analytical products to develop an optimal design to provide reliable facility-level estimates for prison facilities. The NIS-4 will incorporate the recommendations from this critical assessment for achieving greater efficiency and cost savings for this round of data collection and to ensure that the survey will maximize data quality and minimize burden on sampled facilities. The sampling plan is attached to this solicitation.

Scope of Work

Task 1. Project management

The recipient of funds should manage the NIS-4 data collection in an efficient manner that fosters communications with the BJS project manager (PM) and staff, other project staff, and stakeholders.

Subtask 1.1. Post-award meeting and project schedule

Within 2 weeks of the award, the recipient's project director (PD) and key staff will attend a post-award meeting with the BJS PM and BJS key staff in Washington, D.C. The initial meeting should focus on a review of the overall project goals and tasks, and discuss areas of concern related to the proposed project scheduling plan, staffing plan, and other management requirements. This meeting will provide an opportunity for BJS staff to

share project experience and materials with the recipient. Within 2 weeks of the post-award meeting, the recipient should submit an updated version of the project schedule to BJS for review and comment. The BJS PM will review the schedule and provide comments. Subsequent revisions to the schedule will be done as needed and will be submitted to the BJS PM after the BJS PM and the recipient agree on the changes.

Applicants should develop a schedule for each task. The schedule should identify start dates for each task and subtask, and completion dates for all deliverables shown in the [table](#) under section D. Application and Submission Information. After the BJS PM has agreed to the timetable, all work is expected to be completed as scheduled unless the BJS PM is consulted and approves any changes.

Subtask 1.2 Project calls and meetings

The recipient of the funds will establish a routine method for updating the BJS PM and project staff on the status of the project, which will include at least one conference call every 2-3 weeks. The recipient will work with BJS to develop the agendas for these calls. The BJS PM and the recipient will establish other regular communication vehicles as needed.

Subtask 1.3 Quarterly reports

The recipient will submit to the BJS PM quarterly progress reports that include (1) all activities performed during the quarter, (2) problems encountered and proposed or enacted solutions, (3) plans for the upcoming quarter, (4) a brief discussion of the expenditure of funds and a statement that indicates the percentage of funds that have been expended and breakdown of total hours worked and expense for all team personnel, and (5) a statement as to whether the project will be completed according to the time frame specified in the schedule and within the budgeted amount.

Task 2. Survey management

Subtask 2.1 Develop self-report survey instruments

NIS-4 will consist of four questionnaires: (1) a survey of sexual victimization designed for inmates through an audio computer assisted self-interview mode (ACASI), (2) a PAPI for inmates unable to respond through ACASI, (3) an alternative survey designed for a 10% randomly selected sample of inmates in each selected facility, and (4) a facility survey administered concurrently to each sampled facility. The NIS-3 ACASI and PAPI instruments are available on the BJS website at <https://www.bjs.gov/index.cfm?ty=dcdetail&iid=278>.

BJS will deliver to the recipient draft versions of the NIS-4 sexual victimization and alternative survey questionnaires in English. The recipient will translate these questionnaires into Spanish. BJS will provide Spanish language questionnaires from NIS-3 and the recipient will provide translation for all new and revised items.

Separate cognitive tests will be conducted for both the English and Spanish language versions of the questionnaires, and revisions will be made as needed.

Subtask 2.2 Develop ACASI mode of survey administration

The recipient will adapt the cognitively tested questionnaires for ACASI administration. The final ACASI instruments will be created from nonproprietary software commonly available to government and industry, in compliance with the government's desire for portability in applications. BJS retains all rights to the source code used to produce the instruments. Authoring software must be capable of producing a hard-copy version of the ACASI interview instruments and associated audio files.

The recipient will provide the BJS PM with a draft English version of the ACASI instrument (installed on a field laptop) for evaluation before conducting a small-scale systems test. The recipient will also conduct a larger pilot test of the English and Spanish-language instruments in up to five facilities with up to 50 English and 50 Spanish-speaking respondents. The recipient will deliver a final version of each ACASI instrument to the BJS PM for evaluation and testing 3 months prior to the national field collection.

Subtask 2.3 Test ACASI survey instruments and case management protocols

The recipient will conduct a small-scale pilot test of the final ACASI instruments (in English and Spanish) and case management protocols. The pilot test will be conducted in up to four facilities with up to 100 completed interviews. The recipient will work with the BJS PM to recruit facilities and obtain Office of Management and Budget (OMB) clearance under BJS's generic clearance provisions. The recipient will be responsible for testing all aspects of the final collection and case management protocols, and will deliver a pilot test report to the BJS PM within 30 days of completing data collection.

Subtask 2.4 Update the PAPI instrument

The BJS PM will provide the recipient with updated PAPI survey forms. The forms will contain condensed items from the English and Spanish versions of the ACASI instrument and be specific for male and female respondents. BJS anticipates only minor changes from the NIS-3 instruments. The PAPI instruments will be administered to inmates who are unable to complete the survey in the ACASI mode.

Subtask 2.5 Test PAPI instrument and case management protocols

The recipient will conduct a small pilot test of the male and female versions of the updated PAPI instrument(s) in English and Spanish (if feasible) and case management protocols for 10+ respondents. The recipient will work with the BJS PM to identify and recruit facilities and obtain OMB clearance under BJS's generic clearance provisions. The recipient will be responsible for testing all aspects of the PAPI administration and protocols, and will deliver a summary report of the test to the BJS PM within 30 days of completing data collection.

Subtask 2.6 Develop and test online data collection forms—facility questionnaire

An additional component of NIS-4 is the collection of information about the facility and living units in sampled facilities. The survey collects data on facility staff, staff turnover,

staff testing and training, housing characteristics, crowding, inmate intake and screening, and other facility characteristics. BJS will provide the recipient with a draft paper form of the facility questionnaire. The recipient will conduct a review of the survey with no more than nine field experts and stakeholders. The recipient will work with the BJS PM to identify and recruit the field experts.

The recipient should expect to make only minor revisions to the form. The facility form will be a maximum of 30 items with multiple response options. The reporting burden is expected to be 45 minutes per response on average. The recipient will use the pilot-tested paper instrument, develop an online data collection instrument, and conduct a small-scale systems test prior to implementation. The recipient is expected to provide a final paper form, as a backup, should facilities select that reporting option. The recipient will provide the BJS PM and project staff with finalized instruments and access to the online collection protocol for final review and approval 3 months prior to national field collection.

Task 3. Sampling—Update sampling frame and execute sample design

BJS will provide the recipient with the sample design that addresses the key analytic goals of the NIS-4. The Act requires a 10% sample of prisons across the nation, with at least one prison in each state. Given the changes that have occurred since NIS-3, an analytical objective for NIS-4 will be to measure the impact of these changes. As such, the key analytic goals of NIS-4 will include (1) estimating the 2018 overall sexual victimization rates with similar precision to past NIS studies; (2) determining whether the sexual victimization rates have changed since prior NIS collections; (3) estimating the sexual victimization rates among female inmates with similar or better precision than past NIS studies; (4) estimating the 2018 sexual victimization rate among those with a serious psychological disorder with similar precision to past NIS studies; (5) estimating the 2018 sexual victimization rate among juveniles held in adult facilities with reasonable precision; and (6) enabling the estimation of sexual victimization rates by facility characteristics (e.g., facility size, staffing levels, and other characteristics) with reasonable precision.

A description of past designs is available at <https://www.bjs.gov/content/pub/pdf/svpjri1112.pdf>. As with past designs, the universe for the surveys consists of prison inmates residing in all state and federal adult confinement facilities, including all publicly operated and privately operated facilities under contract to state correctional authorities. The universe is restricted to confinement facilities: institutions in which fewer than 50% of the inmates were regularly permitted to leave, unaccompanied by staff, for work, study, or treatment. Such facilities included prisons, penitentiaries, prison hospitals, prison farms, boot camps, and centers for reception, classification, or alcohol and drug treatment. The NIS-3 excluded community-based facilities, such as halfway houses, group homes, and work release centers.

For purposes of expected workload, the recipient should expect a multistage stratified design, with 280 selected facilities at the first stage. The recipient will work collaboratively with the BJS PM and staff to finalize the sample design. The recipient will be responsible for drawing the sample based on initial specifications from the BJS PM. Attached to this solicitation is a memo that contains a more detailed description of the sample design (Attachment 1).

Prior to drawing the sample, the recipient will update the sampling frame, in collaboration with the BJS PM. BJS will provide an updated frame, based on the 2012 Census of State and Federal Adult Correctional Facilities. The frame will reflect updates to key fields for sampling based on DOC website reviews as of April 2017. The recipient will be required to contact each DOC to (1) determine the current location, gender housed, and population size of each confinement facility; (2) identify facilities which have a primary mental health confinement/treatment function; and (3) identify facilities that house 10 or more youth under age 18. The recipient and BJS will obtain OMB clearance under a generic clearance before DOC contacts are initiated.

Task 4. Institutional Review Board (IRB) approvals/OMB clearances/human subjects protocols

Subtask 4.1 Obtain IRB and other research board approvals

The recipient will obtain approval from an IRB for the NIS-4 instruments and survey, and for field management protocols. BJS will accept the recipient's IRB certification if all appropriate documentation is provided. In addition, the recipient must obtain approval from any additional IRBs or review panels that may be required in sampled states or facilities. The recipient will provide the BJS PM with copies of all IRB requirements, submissions, and final certifications.

Subtask 4.2 Submit OMB clearance packages and obtain approval

The recipient will prepare a draft of all OMB clearance packages necessary to complete NIS-4 activities. The recipient and the BJS PM will collaborate in finalizing each package. BJS will submit the package. Together, the recipient and the BJS PM will respond to all OMB passback questions and assist with public comments. OMB clearance is required prior to conducting any data collection activities, including contacting states and sampled facilities to notify them of selection, gaining cooperation, and coordinating the visits. BJS anticipates at least three rounds of OMB approval:

- The first OMB clearance will be submitted under BJS's generic clearance provisions. It is required prior to (1) any further frame development and (2) any cognitive test or systems test of the PAPI and ACASI instruments. A determination will be made at a later date to submit separate or a combined clearance for the testing activities in English and Spanish.
- The second will also be submitted under BJS's generic clearance provisions. It is required prior to any pilot test of the ACASI or facility instruments.
- The third will be a full clearance. The recipient will submit a draft of the clearance package to the BJS PM at least 1 month before submitting the final clearance package to OMB.

The final OMB clearance package will be submitted at least 6 months prior to the initial contact with the sampled jurisdictions and facilities. The NIS-4 instruments, survey management and field protocols, sample design, and survey administration plan will be finalized before submitting the clearance package to OMB.

Task 5. Recruitment and training prior to data collection

Subtask 5.1 Recruit field staff

The recipient will ensure and certify that every new or returning field representative (FR) has completed and passed a full criminal background check, including a search of state and federal criminal records. A new background investigation will be conducted as needed for all FRs entering the selected facilities. In addition to normal background clearance procedures, selected facilities may have specific clearance requirements for entry and contact with prisoners. Upon request, the recipient will update the background checks or provide information on field staff to facility authorities or state agencies responsible for the operation of facilities to meet specific entry requirements. The recipient must ensure that transfer of such information to facility authorities is secure.

The recipient will have sufficient field staff who are fluent in both English and Spanish to administer the survey in Spanish when needed. The recipient will have a sufficient number of staff to complete the data collection on time. Before fielding the survey, the recipient will provide a staffing plan for review and approval.

Subtask 5.2 Develop training materials and train staff

The recipient will develop and deliver to the BJS PM all training materials for the data collection staff. These materials include instructor manuals, trainee workbooks, exercises, slides, and other materials needed before field training starts, including additional materials developed during data collection to address issues experienced in the field. The BJS PM and other BJS staff will be included in at least one training session prior to the start of data collection.

The recipient will ensure that all staff assigned to the project successfully complete the training program specified in the training plans, have nondisclosure agreements in place, comply with all facility regulations, and pass any required background checks. In addition, the recipient will ensure that staff receive additional training for new methods or procedures instituted in response to experiences in the field after data collection has started.

Subtask 5.3 Develop a facility recruitment manual

The recipient will develop a state and facility recruitment manual that addresses all state requirements for study implementation. The manual will be completed and delivered to BJS before state and facility recruitment activities begin. At a minimum, the manual should provide instructions for—

- identifying state and facility liaisons
- identifying IRB requirements and other state and facility research requirements
- identifying external counseling resources (i.e., ensuring that both internal and external counseling will be available to anyone who participates in the survey)
- determining logistical procedures such as required security clearance; special requirements for entry into the facility; and any restrictions on schedule, space, or staffing
- determining procedures for obtaining prisoner rosters and specifying data elements and procedures for transferring information from the rosters,

depending on the nature of consent required. The recipient will maintain a state recruitment tracking system that allows the state recruitment progress to be recorded and updated. This system will include a record of all contact between project staff and the state liaison or facility contacts. It will be made available to the BJS PM upon request.

Task 6. Fielding the survey

Subtask 6.1 Develop a survey administration plan

The recipient will develop a detailed survey administration plan and deliver it to the BJS PM for review and approval prior to data collection. The plan should describe procedures the recipient will develop and implement to field the NIS-4 and complete data collection on time. It should address procedures that will minimize field costs and achieve a response rate of at least 60% for all inmates, which matches the rate achieved in NIS-3; however, response rates for inmates housed within mental health facilities or juveniles residing in adult facilities may be slightly lower.

Subtask 6.2 Maintain real-time tracking systems

The recipient will maintain an electronic system to allow creation of summary reports on the status of the collection, including facility response rates, comparison of the overall response rates with the targeted responses, and reasons for facility nonparticipation (e.g., facility closed, out of scope, refusal to participate, or other reason) and individual nonresponse disposition codes (e.g., lack of consent, staff refusal for inmate, inmate refusal, language problem, or another reason). The recipient will deliver this type of information to the BJS PM every 2 weeks during the collection period.

Subtask 6.3 Collect administrative data

The recipient will develop a detailed plan for conducting the facility survey and deliver it to the BJS PM for review and approval prior to data collection. The plan should describe procedures the recipient will develop and implement to field the NIS-4 facility survey and complete data collection on time. It should address procedures that will minimize field costs and achieve a nearly 100% response rate.

Task 7. Post-survey adjustments and analytic files

Subtask 7.1 Data processing for NIS-4, ACASI collection

The recipient will process and verify the data according to BJS standards, which includes implementing BJS-approved coding, editing, and verification procedures. These processing activities will be performed during data collection and analysis and will be completed by the time the recipient delivers the analytic files to BJS.

Subtask 7.2 Data processing for NIS-4, facility collection

The recipient will review data records for completeness and for any problems (e.g., inappropriate skips, out-of-range values, or input errors) that may have occurred when the survey was conducted. The recipient will identify problems and take appropriate

corrective actions. The recipient will deliver to the BJS PM a status report on data editing, including a description of how many errors were resolved during this phase. The recipient will maintain the records and results of the data editing and corrective actions for the BJS PM. These records will be delivered upon request. The status report on data editing will be provided within 3 months after data collection ends. It will include summary statistics on the number of problems detected and the procedures used to take corrective actions. A plan for data edit checks will be submitted to the BJS PM for review and comment. It should include specifications for the coding of open-ended items and "other specifies."

Subtask 7.3 Unit and item nonresponse assessment and response plan

The recipient, in close collaboration with the BJS PM, will conduct an analysis in conjunction with the unit nonresponse analyses and make recommendations to BJS about imputation strategies. BJS will approve the final data imputation strategies. When data are imputed, the imputed data and appropriate imputation flag variables will be included in all data files delivered to the BJS PM. The approach will include a proposal for evaluating the effect of imputation on estimates from the data. The recipient will deliver a description of the approach to the BJS PM soon after data collection begins to obtain agreement on an approach before data collection ends. Results from the analyses will be delivered to BJS soon after data collection ends; they will be discussed in detail in the methodology report (subtask 9.1) and summarized in the data file user's guide (subtask 8.4).

Subtask 7.4 Assess reliability and validity of inmate self-reports

The recipient, in close collaboration with the BJS PM, will develop and implement a plan for assessing the reliability and validity of the inmate self-reports. In prior iterations of the NIS, interviews were assessed for extreme or internally inconsistent response patterns. Interviews with response patterns considered unreliable were excluded from the calculations. For the NIS-4, BJS expects to introduce additional checks, including assessment of time stamps, in-depth review of response patterns, and use of respondent and field representative debriefing items. Applicants should describe their approach to assessing reliability and validity of self-report victimization and discuss additional measures that could be introduced into either the NIS-4 instrumentation or protocol to enhance reliability and validity.

Subtask 7.5 Facility- and national-level weights

The recipient will develop and submit a weighting plan to the BJS PM for review and comment no later than 60 days after data collection begins. A draft of this weighting plan should be submitted once the sampling design is complete.

The plan will discuss what the weights will represent, procedures for how they will be developed, and how they will be evaluated. The recipient will develop weights for adult and juvenile data collected as necessary to provide facility- and national-level estimates. The weights will be integrated into all data files that are delivered to the BJS PM. The weights will incorporate nonresponse adjustments and rely on administrative records from the facility survey and information from sampled facility rosters, when available.

Once data collection begins, the weighting plans may be revised in close collaboration with the BJS PM.

The weighting schemes at the facility level will follow the weighting schemes used in the NIS-3 as closely as possible. Weighting schemes at the national level will reflect each facility's initial probability of selection and then adjust for variations in eligibility and nonresponse. (More information on the NIS-3 weighting is available at <https://www.bjs.gov/content/pub/pdf/svpjri1112.pdf>.)

The recipient will work collaboratively with the BJS PM to finalize the weighting plan before data collection ends. Descriptions of the weights will be discussed in detail in the methodology report and will be included in the data file user's manuals.

Subtask 7.6 Standard error calculations and adjustment factors

The recipient will prepare a plan for measuring sampling errors and submit it to the BJS PM for review and comment soon after data collection begins. The recipient will describe in detail methods for calculating standard errors from small samples and estimates close to 0%, as is the case with facility-level estimates in the NIS-4. The analytic data files delivered to the BJS PM (subtask 8.2) and the restricted public use archive data files delivered to the BJS PM (subtask 8.4) will contain data elements necessary to support the calculation of direct variance estimation for complex survey designs. These calculations will be capable of being performed by commonly used statistical software packages such as SUDAAN, SAS, SPSS, Stata, and R.

The recipient will collaborate with the BJS PM to finalize the standard error plan within 3 months after data collection ends. The recipient will describe in detail the methods used to generate variances in the methodology report and the data file user's manuals. This will allow users to apply the data elements and associated software to calculate the variances, and provide an example of the methods and use of the available software.

Task 8. Data files and documentation

Subtask 8.1 Produce constructed variables and documentation

The analytic data files will also include calculated variables. BJS expects that this file will contain response to all of the items on the ACASI core survey, the PAPI surveys, and ACASI addendum. Key measures include characteristics of reported sexual victimization, circumstances surrounding the victimization, and perpetrator characteristics. It will also contain demographic variables such as age, race, Hispanic origin, sexual orientation, gender identity, educational attainment, current offense, time in the facility, history of past sexual assaults, time in restrictive housing, mental health and emotional problems, and disabilities.

Subtask 8.2 Produce analytical files for BJS internal use

Within 6 months after data collection ends, the recipient will deliver to the BJS PM a copy of all analytic data files, supporting documentation, and all code and data necessary to replicate the creation of the derived variables, weights and standard error adjustments in accordance with BJS specifications and requested formats. These data

files will be used to prepare data for release in BJS statistical tables and special reports. The data files will include both reported and imputed data, imputation flag variables, sample weights, and data elements necessary for direct variance estimation.

Subtask 8.3 Develop and implement a data disclosure analysis plan

The recipient will identify and implement methods to limit the risk of disclosure of personally identifiable information for all NIS-4 archived data files, including files designated for public use and restricted use only. After data collection ends, the recipient will submit plans to the BJS PM for review and comment for carrying out the disclosure analyses.

The recipient will undertake a disclosure review for each data collection (i.e., core sexual victimization, supplemental survey, and facility/housing unit survey) and each derived file. To assist with this effort, the recipient will convene an internal panel of experts to assess risks and propose appropriate actions to minimize them. The plan will identify variables that may identify a respondent in the NIS-4 survey and NIS-4 addendum and propose methods to mitigate the disclosure risk through actions such as data swapping, data suppression, and data combination. The case characteristics between the public-use and restricted-use data files must agree so that analysts using both types of files generate consistent results. This is particularly important in relation to data swapping.

The recipient will consider how the public-use file would be affected by changes made to the restricted-use file. The recipient will work collaboratively with the BJS PM to finalize the disclosure analysis plan within 90 days after data collection ends. Once the BJS PM agrees to the plan, the recipient will conduct the analyses and submit the results to the BJS PM. The results will present the disclosure risk before and after data have been changed. After the BJS PM agrees to the solutions to protect against data disclosure, the recipient will incorporate the data changes from the disclosure analyses into the archived data files.

Subtask 8.4 Produce restricted-use and public-use data files and documentation

The recipient will create and submit to BJS electronic files of the NIS-4 data and documentation, including codebooks, for archiving at the National Archive of Criminal Justice Data (NACJD). All of the archive data files will be created from the analytic data files delivered to the BJS PM. If BJS makes any modifications to the analytic data files while analyzing the data for the purposes of producing BJS products, BJS will deliver to the recipient a copy of the final version of the data that was used to produce the products, and that version of the analytic data file will be used to create the archive data files. All files will contain all data adjustments for nonresponse, base weights and national weights, sampling information needed to generate standard errors, and calculated variables for analysis.

The recipient will archive eight data files:

- The first and second files will be provided to NACJD within 60 days after the release of the first BJS special report. The adult file and the juvenile file, which will be restricted files for Enclave access only, will provide the final data from the core sexual victimization survey.

- The third file will be provided to NACJD within 90 days after the release of the first BJS special report. This file, which will be an unrestricted public-use file, will provide the final data from the facility survey.
- The fourth file (adult) and fifth file (juvenile) will contain all data from the core sexual victimization survey and the facility survey, and calculated facility-level data derived from the core survey. These files, which will be restricted files for Enclave access only, will be provided to NACJD within 90 days after the release of the first BJS special report.
- The sixth file will contain data from the NIS-4 addendum, a supplemental survey based on a 10% random sample of inmates. This file, which will be an unrestricted public-use file, will be provided to NACJD within 120 days of the release of the first BJS special report.
- The seventh file will contain data items on adults and juveniles common to the core NIS-4 (90%) and the NIS-4 addendum (10%). This file, which will be an unrestricted public-use file, will be provided to NACJD within 120 days of the release of the first BJS special report.
- The eighth file will contain data items on facility-level and individual-level correlates of sexual victimization. This file, which will be a restricted file for Enclave access only, will provide the concatenated data from the core and facility surveys.

All of the archived data files will be accompanied by a user's manual that provides sufficient detail to allow analysts to properly use the data files. The manual will include, but not be limited to, the following:

- a section describing the sample design
- a section describing the data collection procedures
- a section that reports the facility and inmate response rates by characteristics and describes the nonresponse rates for facilities and inmates by type of nonresponse and characteristics
- a description of the how the data file is organized
- a description of the data editing procedures
- a section that reports on the results of the unit and item nonresponse analyses and discusses imputation methods
- a section that provides a general overview and instructions for testing statistical significance of differences
- a description of the weights available on the file and how to use them (i.e., which types of weight would be appropriate for specific analyses)
- a description of the method(s) that could be used to generate standard errors, including instructions and illustrations to help users calculate variances based on the different methods
- frequencies for at least 200 key variables, including imputed and calculated variables
- programming code to create all calculated variables
- the questionnaire.

NACJD staff will be responsible for formatting the data files for archiving. The recipient will provide additional data or documentation as needed, based on NACJD staff review of the materials submitted for archiving the data.

Task 9. Production of statistical products and analytic support

Subtask 9.1 Produce methodology reports

The recipient will prepare a methodology report that provides a detailed description of (1) sample design and outcomes; (2) data collection procedures and outcomes; (3) first- and second-stage response rates and the variation of response rates by characteristics; (4) editing and coding procedures; (5) assessment of reliability and validity; (6) nonresponse bias assessment, including types of nonresponse at the first and second stage of selection and the variation by characteristics; impact of unit and item nonresponse; methods of imputation and data quality; and other results from the nonresponse bias analysis; (7) weighting schemes for facility-, state-, and national-level estimation; (8) methods that may be used to generate standard errors, including appropriate code for calculations using SUDAAN, WestVars, and SPSS, SAS, and R; and (9) documentation of constructed variables used in the analyses. A draft report will be delivered to the BJS PM for review and comment within 6 months after the data collection ends. A final report will be delivered prior to the completion of the first BJS special report.

Subtask 9.2 Produce one BJS special report

The recipient will work closely with the BJS PM and staff to prepare one BJS special report. The report, *Sexual Victimization in Prisons Reported by Inmates, 2018-19*, will contain tables similar to those in the previously published reports. The recipient will ensure that measures are comparable. The report will contain facility- and national-level estimates for the purposes of ranking facilities. The report will also examine any observed changes in victimization rates, by type of incident, and explore factors that may account for these changes. Separate estimates will be generated for adults and juveniles sampled. Additional tables may be included to incorporate other measures and covariates of victimization. Recipients will be responsible to produce the tables and verify them in compliance with BJS verification standards.

Draft tables for this report will be provided on a flow basis. However, all draft tables will be submitted within 4 months after data collection ends. For the report, recipients will also be responsible to review draft text and final text provided by BJS staff.

Subtask 9.3 Produce a data file that may be used to assess facility-level and individual-level correlates of sexual victimization

Working closely with the BJS PM and staff, the recipient will examine the facility's impact on sexual victimization in addition to individual-level predictors and identify key variables from both questionnaires to construct a separate concatenated data file. The purpose of this data file will be to include any key, imputed, derived and calculated variables from both questionnaires into one file along with the appropriate programming code and documentation. BJS may use this file to further assess the facility-level correlates of inmate sexual victimization and identify significant individual characteristics that may be predictive independent of the facility-level covariates.

Subtask 9.4 Analytic support

BJS may ask the recipient to conduct a short turnaround, basic descriptive analysis of NIS-4 data. These analyses will typically involve generating special tabulations, including providing a profile of facilities identified as “high rate” and tabulations as needed to respond to inquiries about data published in the BJS reports. On a per request basis, this work generally will require no more than 8 hours. The recipient will expect to respond to a maximum of 10 special requests.

Task 10. Delivery of all project materials

All data and source code generated by this project belong to BJS. BJS retains all rights to exclusive use of the data until BJS releases the public-use data file, which will be available at the NACJD at www.icpsr.umich.edu/icpsrweb/NACJD/. The recipient will not release or disclose any data collected through this cooperative agreement without BJS’s prior written approval. This includes, but is not limited to, presentations at professional conferences and meetings, press releases, and 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.

The recipient will implement procedures to ensure that all data are maintained securely and that all data security procedures comply with 28 CFR Part 22. At BJS’s request, the agent will provide a copy of the data security procedures and copies of forms signed by staff indicating their compliance with 28 CFR Part 22. Applicants should demonstrate the capacity to meet this requirement.

Goals, Objectives, and Deliverables

The goal of this solicitation is to identify a data collection agent to implement the NIS-4. Under a cooperative agreement, the activities and deliverables specified in this solicitation are designed to meet PREA requirements. Specifically, the Act requires BJS to conduct surveys of current residents in adult correctional facilities to determine the incidence and prevalence of sexual victimization at the facility level. The surveys are to be used to develop facility- and national-level estimates of sexual assault by type.

As specified under the Act, the surveys must identify facilities with the highest and lowest rates of sexual violence. The Review Panel on Prison Rape will use this information to solicit testimony from correctional administrators of these facilities. In meeting these goals, the recipient is required to address 14 objectives that correspond to the tasks and subtasks enumerated in the Scope of Work. The objectives of this project are to—

1. adapt the sexual victimization instruments and alternative survey instrument for an ACASI mode of collection
2. develop and test an online data collection mode for the facility survey
3. conduct pilot tests and systems tests of ACASI and online facility surveys, as needed
4. update the sample frame and implement the sample design for the sexual victimization surveys
5. obtain OMB clearances and IRB and other research board approvals prior to data collection
6. develop all appropriate protocols for obtaining consent from parents/legal guardians or other legal authorities; protocols for internal and external counseling, as needed, for inmates participating in the surveys

7. provide data collection services for the ACASI and facility surveys
8. develop methods and statistical models for assessing the reliability and validity of self-reported sexual assaults by inmates
9. develop methods for nonresponse adjustment
10. develop facility- and national-level weights
11. produce analytical files for BJS internal use
12. develop and implement a disclosure analysis plan
13. produce restricted-use and public-use data files and documentation
14. produce statistical products, methodological reports, and two BJS special reports.

In meeting these objectives, the recipient will produce the following deliverables:

- project schedule
- quarterly progress reports
- draft and final versions of ACASI instruments on a laptop
- draft and final versions of the PAPI instrument
- online data collection form and paper form for facility questionnaire
- updated sample design based on most recent census data, and list of selected facilities
- copies of all IRB and other research board submissions and final certifications
- draft OMB clearance under the BJS generic clearance for cognitive testing
- draft OMB clearance under the BJS generic clearance for pilot testing
- draft OMB clearance under a full clearance for full field collection
- all staff training materials in draft and final forms
- certification of state background clearances for all field staff
- state and facility recruitment manuals
- records of all contacts between project staff and state/facility liaisons, in electronic form, upon request
- final administration plan for the ACASI sexual victimization survey, 10% addendum, and facility survey
- summary reports, every 2 weeks, from the real-time tracking system during the data collection period
- draft and final plans for data editing and imputation
- draft and final plans for nonresponse adjustment and weighting
- analytical data files and supporting documentation for BJS internal use
- data disclosure analysis plan and certification, upon completion
- five data files for submission to NACJD, with study documentation and user's manual
- methodology reports for ACASI surveys and facility survey
- one BJS special report including tables and methodological support
- a data file of individual-level and facility-level correlates of sexual victimization
- analytic support, as requested following release of the special report, until the end of the cooperative agreement
- interim and final progress and financial reports (see [Section B. Federal Award Information](#) for additional information).

The Goals, Objectives, and Deliverables are directly related to the performance measures set out in the [table](#) in Section D. Application and Submission Information, under "Program Narrative."

B. Federal Award Information

BJJ expects that it will make one award for an estimated total of \$6 million for a 48-month performance period, beginning October 2, 2017.

BJJ may, in certain cases, provide additional funding in future years to awards made under this solicitation, through supplemental awards. In making decisions regarding supplemental awards, OJP will consider, among other factors, the availability of appropriations, OJP's strategic priorities, and OJP's assessment of both the management of the award (for example, timeliness and quality of progress reports), and the progress of the work funded under the award.

All awards are subject to the availability of appropriated funds, and to any modifications or additional requirements that may be imposed by law.

Type of Award

BJJ expects that any award under this solicitation will be made in the form of a cooperative agreement, which is a type of award that provides for OJP to have substantial involvement in carrying out award activities. See [Administrative, National Policy, and Other Legal Requirements](#), under [Section F. Federal Award Administration Information](#), for a brief discussion of what may constitute substantial federal involvement.

Financial Management and System of Internal Controls

Award recipients and subrecipients (including recipients or subrecipients that are pass-through entities²) must, as described in the Part 200 Uniform Requirements³ as set out at 2 C.F.R. 200.303:

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

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

(c) Evaluate and monitor [the recipient's (and any subrecipient's)] compliance with statutes, regulations, and the terms and conditions of federal awards.

²For purposes of this solicitation, the phrase "pass-through entity" includes any recipient or subrecipient that provides a subaward ("subgrant") to a subrecipient ("subgrantee") to carry out part of the funded award or program.

³The "Part 200 Uniform Requirements" means the DOJ regulation at 2 C.F.R. Part 2800, which adopts (with certain modifications) the provisions of 2 C.F.R. Part 200.

(d) Take prompt action when instances of noncompliance are identified including noncompliance identified in audit findings.

(e) Take reasonable measures to safeguard protected personally identifiable information and other information the federal awarding agency or pass-through entity designates as sensitive or [the recipient (or any subrecipient)] considers sensitive consistent with applicable federal, state, local, and tribal laws regarding privacy and obligations of confidentiality.

To help ensure that applicants understand applicable administrative requirements and cost principles, OJP encourages prospective applicants to enroll, at no charge, in the DOJ Grants Financial Management Online Training, available [here](#).

Information System Security and Privacy Requirements

BJS award recipients and subrecipients must obtain written approval from BJS prior to releasing or disclosing any data collected on behalf of BJS for purposes including, but not limited to, presentations at professional conferences and meetings, press releases, and/or grant applications. Furthermore, all approved use of these data must adhere to the [BJS Data Protection Guidelines](#), which summarize the many federal statutes, regulations, and other authorities that govern BJS data and data collected and maintained under BJS's authority.

Award recipients and subrecipients that are involved in any stage of the statistical analysis process (including, but not limited to, the collection, receipt, handling, maintenance, transfer, processing, storage, and dissemination of data under the direction of BJS must have the appropriate administrative and technical safeguards in place to ensure that the physical security of identifiable information and information systems are adequately secured and are protected against unauthorized disclosure. Applicants should specify in the Privacy Certificate (see [Additional Attachments](#) in Section D. Application and Submission Information) the specific systems and controls in place to protect all identifiable data collected and maintained under the authority of BJS.

Specifically, recipients and subrecipients are required to:

- Follow the [DOJ IT Security Rules of Behavior for General Users](#), which pertain to the use, security, and acceptable level of risk for DOJ systems and applications;
- Assess and secure information systems in accordance with the [Federal Information Security Modernization Act](#) (FISMA) (Pub. L. No. 107-347), which appears as Title III of the [E-Government Act of 2002](#) (Pub. L. No. 107-347);
- Adhere to [National Institute of Standards and Technology](#) (NIST) guidelines to categorize the sensitivity of all data collected or maintained on behalf of BJS;
- Once the system has been categorized, secure data in accordance with the Risk Management Framework specified in [NIST SP 800-37 rev. 1](#);
- Employ adequate controls to ensure data are not comingled with any other dataset or product without the express written consent of BJS

Upon award, BJS will require recipient and subrecipient project staff with access to identifiable information, including IT personnel, to sign a nondisclosure form that signifies an understanding of the terms of access and agreement to comply with all applicable laws, regulations, and policies that govern BJS data. Additionally, recipients and subrecipients shall provide BJS with written certification (annually) that all staff resources who have access to the FISMA defined

information systems that are used to collect, receive, handle, maintain, transfer, process, store, or disseminate data files, reports, or working papers in support of the project have completed Computer Security Awareness Training.

Applicants are advised that OJP and/or BJS may audit the FISMA-defined information systems that are used during the performance period to assess compliance with federal laws and regulations related to data management and security.

To ensure that applicants understand the applicable information system security and privacy requirements, BJS encourages prospective applicants to review the relevant provisions of the [BJS Data Protection Guidelines](#), which summarize the many federal statutes, regulations, and other authorities that govern BJS data and data collected and maintained under BJS's authority.

Budget Information

Cost Sharing or Match Requirement

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

Pre-Agreement Costs (also known as Pre-award Costs)

Pre-agreement costs are costs incurred by the applicant prior to the start date of the period of performance of the federal award.

OJP does **not** typically approve pre-agreement costs; an applicant must request and obtain the prior written approval of OJP for all such costs. All such costs incurred prior to award and prior to approval of the costs are incurred at the sole risk of the applicant. (Generally, no applicant should incur project costs *before* submitting an application requesting federal funding for those costs.) Should there be extenuating circumstances that make it appropriate for OJP to consider approving pre-agreement costs, the applicant may contact the point of contact listed on the title page of this solicitation for the requirements concerning written requests for approval. If approved in advance by OJP, award funds may be used for pre-agreement costs, consistent with the recipient's approved budget and applicable cost principles. See the section on Costs Requiring Prior Approval in the [DOJ Grants Financial Guide](#) for more information.

Limitation on Use of Award Funds for Employee Compensation; Waiver

With respect to any award of more than \$250,000 made under this solicitation, a recipient may not use federal funds to pay total cash compensation (salary plus cash bonuses) to any employee of the 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.⁴ The 2017 salary table for SES employees is available at the Office of Personnel Management [website](#). Note: A recipient may compensate an employee at a greater rate, provided the amount in excess of this compensation limitation is paid with non-federal funds. (Non-federal funds used for any such additional compensation will not be considered matching funds, where match requirements apply.) If only a portion of an employee's time is charged to an OJP award, the maximum allowable compensation is equal to the percentage of time worked times the maximum salary limitation.

⁴OJP does not apply this limitation on the use of award funds to the nonprofit organizations listed in Appendix VIII to 2 C.F.R. Part 200.

The Director of BJS may exercise discretion to waive, on an individual basis, this limitation on compensation rates allowable under an award. An applicant that requests a waiver should include a detailed justification in the budget narrative of its application. An applicant that does not submit a waiver request and justification with its application should anticipate that OJP will require the applicant to adjust and resubmit the budget.

The justification should address—in the context of the work the individual would do under the award—the particular qualifications and expertise of the individual, the uniqueness of a service the individual will provide, the individual’s specific knowledge of the proposed program or project, and a statement that explains whether and how the individual’s salary under the award would be commensurate with the regular and customary rate for an individual with his/her qualifications and expertise, and for the work he/she would do under the award.

Prior Approval, Planning, and Reporting of Conference/Meeting/Training Costs

OJP strongly encourages every applicant that proposes to use award funds for any conference-, meeting-, or training-related activity (or similar event) to review carefully—before submitting an application—the OJP and DOJ policy and guidance on approval, planning, and reporting of such events, available at

<https://www.ojp.gov/financialguide/DOJ/PostawardRequirements/chapter3.10a.htm>. OJP policy and guidance (1) encourage minimization of conference, meeting, and training costs; (2) require prior written approval (which may affect project timelines) of most conference, meeting, and training costs for cooperative agreement recipients, as well as some conference, meeting, and training costs for grant recipients; and (3) set cost limits, which include a general prohibition of all food and beverage costs.

Costs Associated with Language Assistance (if applicable)

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

For additional information, see the “Civil Rights Compliance” section under “[Overview of Legal Requirements Generally Applicable to OJP Grants and Cooperative Agreements - FY 2017 Awards](#)” in the [OJP Funding Resource Center](#).

C. Eligibility Information

For eligibility information, see the title page.

For information on cost sharing or match requirements, see [Section B. Federal Award Information](#).

D. Application and Submission Information

What an Application Should Include

This section describes in detail what an application should include. An applicant should anticipate that if it fails to submit an application that contains all of the specified elements, it may negatively affect the review of its application; and, should a decision be made to make an

award, it may result in the inclusion of award conditions that preclude the recipient from accessing or using award funds until the recipient satisfies the conditions and OJP makes the funds available.

Moreover, an applicant should anticipate that an application that OJP determines is nonresponsive to the scope of the solicitation, or that OJP determines does not include the application elements that BJS has designated to be critical, will neither proceed to peer review, nor receive further consideration. For this solicitation, BJS has designated the following application elements as critical: Program Narrative, Budget Detail Worksheet, Budget Narrative, and résumés/curriculum vitae of key personnel. For purposes of this solicitation, “key personnel” means principal investigator and any co-principal investigators. An applicant may combine the Budget Narrative and the Budget Detail Worksheet in one document. However, if an applicant submits only one budget document, it must contain **both** narrative and detail information. Please review the “Note on File Names and File Types” under [How to Apply](#) (below) to be sure applications are submitted in permitted formats.

OJP strongly recommends that applicants use appropriately descriptive file names (e.g., “Program Narrative,” “Budget Detail Worksheet and Budget Narrative,” “Timelines,” “Memoranda of Understanding,” “Résumés”) for all attachments. Also, OJP recommends that applicants include résumés 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 the OJP Grants Management System (GMS) take information from the applicant’s profile to populate the fields on this form. When selecting “type of applicant,” if the applicant is a for-profit entity, select “For-Profit Organization” or “Small Business” (as applicable).

To avoid processing delays, an applicant must include an accurate legal name on its SF-424. Current OJP award recipients, when completing the field for “Legal Name” should use the same legal name that appears on the prior year award document which is also the legal name stored in OJP’s financial system. On the SF-424, enter the Legal Name in box 5 and Employer Identification Number (EIN) in box 6 exactly as it appears on the prior year award document. An applicant with current, active awards must ensure that its GMS profile is current. If the profile is not current, the applicant should submit a Grant Adjustment Notice updating the information on its GMS profile prior to applying under this solicitation.

A new applicant entity should enter the Official Legal Name and address of the applicant entity in box 5 and the EIN in box 6 of the SF-424. An applicant must attach official legal documents to its application (e.g., articles of incorporation, 501(c)(3), etc.) to confirm the legal name, address, and EIN entered into the SF-424.

Intergovernmental Review: This solicitation (“funding opportunity”) **is not** subject to [Executive Order 12372](#). (In completing the SF-424, an applicant is to answer question 19 by selecting the response that the “Program is not covered by E.O. 12372.”)

2. Project Abstract

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 (such as 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 ojp.gov/funding/Apply/Resources/ProjectAbstractTemplate.pdf.

Permission to Share Project Abstract with the Public: It is unlikely that OJP will be able to fund all applications submitted under this solicitation, but it may have the opportunity to share information with the public regarding 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 applications.

In the project abstract template, each applicant is asked to indicate whether it gives OJP permission to share the applicant's project abstract (including contact information for individuals) with the public. Granting (or failing to grant) this permission will not affect OJP's funding decisions. Moreover, if the application is not funded, providing permission will not ensure that OJP will share the abstract information, nor will it assure funding from any other source.

Note: OJP may choose not to list a project that otherwise would have been included in a listing of 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

The program narrative section of the application should not exceed 40 double-spaced pages in 2-point font with 1-inch margins. If included in the main body of the program narrative, tables, charts, figures, and other illustrations count toward the 40-page limit for the narrative section. The project abstract, table of contents, appendices, and government forms do not count toward the 40-page limit.

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:⁵

⁵ For information on subawards (including the details on proposed subawards that should be included in the application), see "Budget and Associated Documentation" under [Section D. Application and Submission Information](#).

- a. Statement of the Problem
- b. Project Design and Implementation
- c. Capabilities and Competencies

Within these sections, the narrative should address—

- project goals and objectives
- review of relevant literature, including the PREA legislation and past NIS reports published by BJS
- management plan and organization
- data management plan.

All BJS-funded research requires the development of a data management plan that guides data management activities throughout the agreement and ensures the timely release of the project's data and derived products after the project or task is completed. Applicants must include a preliminary (4-page limit) data management plan that explains how data products will be developed, documented, formatted, and delivered to BJS in a manner that ensures optimal utility. The recipient will coordinate with the BJS PM and an identified BJS data steward to develop a comprehensive data management plan that will be periodically reviewed and enhanced as the project progresses.

The data management plan for this project is expected to address the following, at a minimum:

- roles, rights, and responsibilities of all project participants
- expected data (as detailed in the tasks and deliverables) and metadata
- data formats, organization, and dissemination approach
- data retention and release timelines
- data security, confidentiality protection, and other policy requirements
- data archiving and preservation of access.

At project completion, all data and complete metadata descriptions must be provided to the BJS PM and BJS data steward. As detailed among the tasks and deliverables, BJS requires the recipient of an award under this solicitation to submit to the NACJD (through the BJS PM) all datasets that result in whole or in part from the work funded by BJS. These submissions must include all associated files and any documentation necessary to allow others to reproduce the project's findings and extend the scientific value of the datasets through secondary analyses. In addition to the delivery of specific datasets and documentation detailed in the tasks and deliverables, all remaining datasets and necessary documentation are to be submitted 60 days before the project period ends.

For more information, see the "Program Narrative" section of "What an Application Should Include." For information that BJS has previously agreed not to make publicly available for a period of time or that is undergoing review or may never be released due to data disclosure determinations, data will be placed in a secure area until the period of exclusivity or review has expired.

The application should include a statement certifying the applicant's understanding of and agreement to adhere to BJS's Data Management and Data Security Requirements.

d. Plan for Collecting the Data Required for this Solicitation’s Performance Measures

OJP will require each successful applicant to submit specific performance measures data as part of its reporting under the award (see [“General Information about Post-Federal Award Reporting Requirements”](#) in Section F. Federal Award Administration Information). The performance measures correlate to the goals, objectives, and deliverables identified under “Goals, Objectives, and Deliverables” in [Section A. Program Description](#).

The application should describe the applicant's plan for collection of all of the performance measures data listed in the table below under “Data Recipient Provides,” should it receive funding.

Objective	Performance Measures	Data Recipient Provides
<p>Conduct survey management activities.</p>	<p>Provides effective management as measured by whether significant interim project milestones achieved, final deadlines were met, and costs remained within approved limits.</p> <p>Number of deliverables completed on time.</p> <p>Number of deliverables that meet expectations.</p>	<p>A detailed project schedule.</p> <p>Quarterly progress reports.</p> <p>Provide documentation (approval from all appropriate Institutional Review Boards and the Office of Management and Budget) that research has regulatory clearances to engage human subjects and conduct data collection</p> <p>Provide documentation that all appropriate protocols have been developed and tailored to facility/state requirements, and staff training to ensure implementation.</p>
<p>Develop ACASI instruments for inmate self-reports and online/paper collection form for facility survey.</p>	<p>Develops instruments that are efficient, enhance participation, and minimize measurement error.</p>	<p>An ACASI application that averages 30 minutes in length.</p> <p>Instruments with fully functioning audio/text synchronization.</p> <p>An online collection form that allows respondents to pause and submit, minimizes item nonresponse, and provides help screens as needed.</p>

Objective	Performance Measures	Data Recipient Provides
<p>Field the NIS-4 sexual victimization and addendum surveys and companion facility survey.</p>	<p>Provide data that are comprehensive and accurate.</p> <p>Achieve a 70% response rate for the NIS-4 sexual victimization file.</p> <p>Achieve a 100% response rate for the NIS-4 facility survey.</p> <p>Achieve a 95% item response rate for NIS-4 collections.</p>	<p>An NIS-4 sexual victimization file and addendum file that yield a minimum unit response rate of 70%.</p> <p>An NIS-4 facility survey that yields a 100% response rate from facilities participating in the NIS-4 sexual victimization survey.</p> <p>Data elements in all NIS-4 collections that meet a minimum item response rate of 95% or higher.</p>
<p>Deliver analytical data files and supporting documentation.</p>	<p>Percentage of deliverables that meet expectations.</p> <p>Percentage of deliverables completed on time.</p>	<p>Number of deliverables, as outlined in the deliverables section, that meet BJS's expectations for completeness, quality, and precision.</p> <p>Number of deliverables, as outlined in the deliverables section, completed on time.</p> <p>Completes the NIS-4 data collection within a target period of 18 months and all post-survey adjustments, calculated variables, and documentation for the sexual victimization survey within 3 months following data collection.</p>

Objective	Performance Measures	Data Recipient Provides
Deliver other statistical products and analytical reports.	<p>Percentage of deliverables that meet expectations.</p> <p>Percentage of deliverables completed on time.</p>	<p>Number and percent of tables in one special report that meet BJS's expectations for content, accuracy, and precision (without major revision).</p> <p>Completes draft tables of first report within 4 months of end of data collection and release of first report as coauthors within 2 months after finalizing tables.</p> <p>Analytical support for all statistical products and use of data files through end of the 50-month project.</p>
Deliver data and documentation to the National Archive of Criminal Justice Data (NACJD).	<p>Percentage of deliverables that meet expectations.</p> <p>Percentage of deliverables completed on time.</p>	<p>Data disclosure analysis plans and implementation are completed on time and fully address disclosure risks.</p> <p>All documentation to NACJD that is fully compliant with archival standards, complete, and requires minimal corrections upon submission.</p>

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.

- e. Appendices (not counted against the program narrative page limitation) include—
- bibliography/references
 - any tools/instruments, questionnaires, tables/charts/graphs, or maps pertaining to the proposed project that are supplemental to such items included in the main body of the narrative
 - curriculum vitae or resumes of the principal investigator and all co-principal investigators. In addition, curriculum vitae, resumes, or biographical sketches of all other individuals (regardless of “investigator” status) who will be significantly involved in substantive aspects of the proposal (including, for example, individuals such as statisticians, survey methodologists, or analysts serving as consultants to conduct the proposed data collection and analyses).

Note on Project Evaluations

An applicant that proposes to use award funds 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.” Each applicant should provide sufficient information for OJP to determine whether the particular project it proposes would either intentionally or unintentionally collect and/or use information in such a way that it meets the DOJ definition of research that appears at 28 C.F.R. Part 46 (“Protection of Human Subjects”).

Research, for purposes of human subjects protection 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 for purposes of human subjects protection, applicants should consult the decision tree in the “Research and the protection of human subjects” section of the [“Requirements related to Research”](#) web page [Overview of Legal Requirements Generally Applicable to OJP Grants and Cooperative Agreements - FY 2017 Awards](#), available through the [OJP Funding Resource Center](#). Every prospective applicant whose application may propose a research or statistical component also should review the “Data Privacy and Confidentiality Requirements” section on that web page.

4. Budget and Associated Documentation

a. Budget Detail Worksheet

A sample Budget Detail Worksheet can be found at www.ojp.gov/funding/Apply/Resources/BudgetDetailWorksheet.pdf. An applicant that submits its budget in a different format should use the budget categories listed in the sample budget worksheet. The Budget Detail Worksheet should break out costs by year.

For questions pertaining to budget and examples of allowable and unallowable costs, see the [DOJ Grants Financial Guide](#).

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).

An applicant should demonstrate in its budget narrative how it will maximize cost effectiveness of award 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 budget narrative should be mathematically sound and correspond clearly 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 those costs are necessary 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 describe costs by year.

c. Information on Proposed Subawards (if any), as well as on Proposed Procurement Contracts (if any)

Applicants for OJP awards typically may propose to make "subawards." Applicants also may propose to enter into procurement "contracts" under the award.

Whether—for purposes of federal grants administrative requirements—a particular agreement between a recipient and a third party will be considered a "subaward" or instead considered a procurement "contract" under the award is determined by federal rules and applicable OJP guidance. It is an important distinction, in part because the federal administrative rules and requirements that apply to "subawards" and to procurement "contracts" under awards differ markedly.

In general, the central question is the relationship between what the third-party will do under its agreement with the recipient and what the recipient has committed (to OJP) to do under its award to further a public purpose (e.g., services the recipient will provide, products it will develop or modify, research or evaluation it will conduct). If a third party will provide some of the services the recipient has committed (to OJP) to provide, will develop or modify all or part of a product the recipient has committed (to OJP) to develop or modify, or will conduct part of the research or evaluation the recipient has committed (to OJP) to conduct, OJP will consider the agreement with the third party a subaward for purposes of federal grants administrative requirements.

This will be true **even if** the recipient, for internal or other non-federal purposes, labels or treats its agreement as a procurement, a contract, or a procurement contract. Neither the title nor the structure of an agreement determines whether the agreement—for purposes of federal grants administrative requirements—is a "subaward" or is instead a procurement "contract" under an award.

Additional guidance on the circumstances under which (for purposes of federal grants administrative requirements) an agreement constitutes a subaward as opposed to a procurement contract under an award, is available (along with other resources) on the [OJP Part 200 Uniform Requirements](#) web page.

1. Information on proposed subawards

A recipient of an OJP award may not make subawards ("subgrants") unless the recipient has specific federal authorization to do so. Unless an applicable statute or DOJ regulation specifically authorizes (or requires) subawards, a recipient must have authorization from OJP before it may make a subaward.

A particular subaward may be authorized by OJP because the recipient included a sufficiently detailed description and justification of the proposed subaward in the application as approved by OJP. If, however, a particular subaward is not authorized by federal statute or regulation, and is not sufficiently described and justified in the application as approved by OJP, the recipient will be required, post-award, to request and obtain written authorization from OJP before it may make the subaward.

If an applicant proposes to make one or more subawards to carry out the federal award and program, the applicant should—(1) identify (if known) the proposed subrecipient(s), (2) describe in detail what each subrecipient will do to carry out the federal award and federal program, and (3) provide a justification for the subaward(s), with details on pertinent matters such as special qualifications and areas of expertise. Pertinent information on subawards should appear not only in the Program Narrative, but also in the Budget Detail Worksheet and budget narrative.

2. Information on proposed procurement contracts (with specific justification for proposed noncompetitive contracts over \$150,000)

Unlike a recipient contemplating a subaward, a recipient of an OJP award generally does not need specific prior federal authorization to enter into an agreement that—for purposes of federal grants administrative requirements—is considered a procurement contract, **provided that** (1) the recipient uses its own documented procurement procedures and (2) those procedures conform to applicable federal law, including the Procurement Standards of the (DOJ) Part 200 Uniform Requirements (as set out at 2 C.F.R. 200.317 - 200.326). The Budget Detail Worksheet and budget narrative should identify proposed procurement contracts. (As discussed above, subawards must be identified and described separately from procurement contracts.)

The Procurement Standards in the Part 200 Uniform Requirements, however, reflect a general expectation that agreements that (for purposes of federal grants administrative requirements) constitute procurement “contracts” under awards will be entered into on the basis of full and open competition. If a proposed procurement contract would exceed the simplified acquisition threshold—currently, \$150,000—a recipient of an OJP award may not proceed without competition unless and until the recipient receives specific advance authorization from OJP to use a non-competitive approach for the procurement.

An applicant that (at the time of its application) intends—without competition—to enter into a procurement “contract” that would exceed \$150,000 should include a detailed justification that explains to OJP why, in the particular circumstances, it is appropriate to proceed without competition. Various considerations that may be pertinent to the justification are outlined in the [DOJ Grants Financial Guide](#).

d. Pre-Agreement Costs

For information on pre-agreement costs, see [Section B. Federal Award Information](#).

5. Indirect Cost Rate Agreement (if applicable)

Indirect costs may be charged to an award only if:

- (a) The recipient has a current (that is, unexpired), federally approved indirect cost rate; or
- (b) The recipient is eligible to use, and elects to use, the “de minimis” indirect cost rate described in the Part 200 Uniform Requirements, as set out at 2 C.F.R. 200.414(f).

An applicant with a current (that is, unexpired) federally approved indirect cost rate is to attach a copy of the indirect cost rate agreement to the application. An applicant that does not have a current federally approved rate may request one through its cognizant federal agency, which will review all documentation and approve a rate for the applicant entity, or, if the applicant’s accounting system permits, applicants may propose to allocate costs in the direct cost categories.

For assistance with identifying the appropriate cognizant federal agency for indirect costs, please contact the OCFO Customer Service Center at 800-458-0786 or at ask.ocfo@usdoj.gov. If DOJ is the cognizant federal agency, applicants may obtain information needed to submit an indirect cost rate proposal at <https://www.ojp.gov/funding/Apply/Resources/IndirectCosts.pdf>.

Certain OJP recipients have the option of electing to use the “de minimis” indirect cost rate. An applicant that is eligible to use the “de minimis” rate that wishes to use the “de minimis” rate should attach written documentation to the application that advises OJP of both—(1) the applicant’s eligibility to use the “de minimis” rate, and (2) its election to do so. If an eligible applicant elects the “de minimis” rate, costs must be consistently charged as either indirect or direct costs, but may not be double charged or inconsistently charged as both. The “de minimis” rate may no longer be used once an approved federally negotiated indirect cost rate is in place. (No entity that ever has had a federally approved negotiated indirect cost rate is eligible to use the “de minimis” rate.)

6. Financial Management and System of Internal Controls Questionnaire (including applicant disclosure of high-risk status)

Every applicant (other than an individual applying in his/her personal capacity) is to download, complete, and submit the [OJP Financial Management and System of Internal Controls Questionnaire](#), as part of its application.

Among other things, the form requires each applicant to disclose whether it currently is designated “high risk” by a federal grant-making agency outside of DOJ. For purposes of this disclosure, high risk includes any status under which a federal awarding agency provides additional oversight due to the applicant’s past performance, or other programmatic or financial concerns with the applicant. If an applicant is designated high risk by another federal awarding agency, the applicant must provide the following information:

- The federal awarding agency that currently designates the applicant high risk
- The date the applicant was designated high risk

- The high-risk point of contact at that federal awarding agency (name, phone number, and email address)
- The reasons for the high-risk status, as set out by the federal awarding agency

OJP seeks this information to help ensure appropriate federal oversight of OJP awards. An applicant that is considered “high risk” by another federal awarding agency is not automatically disqualified from receiving an OJP award. OJP may, however, consider the information in award decisions, and may impose additional OJP oversight of any award under this solicitation (including through the conditions that accompany the award document).

7. Disclosure of Lobbying Activities

Each applicant must complete and submit this information. An applicant that expends any funds for lobbying activities is to provide all of the information requested on the form [Disclosure of Lobbying Activities \(SF-LLL\)](#). An applicant that does not expend any funds for lobbying activities is to enter “N/A” in the text boxes for item 10 (“a. Name and Address of Lobbying Registrant” and “b. Individuals Performing Services”).

8. Additional Attachments

The following required documents should be submitted online as a single file attachment or as separate attachments:

a. A privacy certificate and human subjects protection certification of compliance must be completed for each project proposed in an application.

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

- **Human Subjects Protection Certification of Compliance.** BJS requires the funding recipient to submit proper documentation to be used 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, is located at www.bjs.gov/content/hscr.cfm.

b. Applicant Disclosure of Pending Applications

Each applicant is to disclose whether it has (or is proposed as a subrecipient under) any pending applications for federally funded grants or cooperative agreements that (1) include requests for funding to support the same project being proposed in the application under this solicitation, and (2) would cover any identical cost items outlined in the budget submitted to OJP as part of the application under this solicitation. The applicant is to disclose applications made directly to federal awarding agencies, and also applications for subawards of federal funds (e.g., applications to State agencies that will subaward (“subgrant”) 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.

Each applicant that has one or more pending applications as described above is 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 federal or State funding agency

Federal or State Funding Agency	Solicitation Name/Project Name	Name/Phone/Email for Point of Contact at Federal or State Funding Agency
DOJ/Office of Community Oriented Policing Services (COPS)	COPS Hiring Program	Jane Doe, 202/000-0000; jane.doe@usdoj.gov
Health and Human Services/ 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

Each applicant should include the table as a separate attachment to its application. The file should be named "Disclosure of Pending Applications." The applicant Legal Name on the application must match the entity named on the disclosure of pending applications statement.

Any applicant that does not have any pending applications as described above is to submit, as a separate attachment, a statement to this effect: "[Applicant Name on SF-424] does not have (and is not proposed as a subrecipient under) any pending applications submitted within the last 12 months for federally funded grants or cooperative agreements (or for subawards under federal grants or cooperative agreements) that request funding to support the same project being proposed in this application to OJP and that would cover any identical cost items outlined in the budget submitted as part of in this application."

c. Research and Evaluation Independence and Integrity

If an application proposes research (including research and development) and/or evaluation, the applicant must demonstrate research/evaluation independence and integrity, including appropriate safeguards, before it may receive award funds. The applicant must demonstrate independence and integrity regarding both this proposed research and/or evaluation, and any current or prior related projects.

Each application should include an attachment that addresses **both** i. and ii. below.

- i. For purposes of this solicitation, each applicant is to document research and evaluation independence and integrity by including one of the following two items:
 - a. A specific assurance that the applicant has reviewed its application to identify any actual or potential apparent conflicts of interest (including through review of pertinent information on the principal investigator, any co-principal investigators, and any subrecipients), and that the applicant has identified no such conflicts of interest—whether personal or financial or organizational (including on the part of the applicant entity or on the part of staff, investigators, or subrecipients)—that could affect the independence or integrity of the research, including the design, conduct, and reporting of the research.

OR

- b. A specific description of actual or potential apparent conflicts of interest that the applicant has identified—including through review of pertinent information on the principal investigator, any co-principal investigators, and any subrecipients—that could affect the independence or integrity of the research, including the design, conduct, or reporting of the research. These conflicts may be personal (e.g., on the part of investigators or other staff), financial, or organizational (related to the applicant or any subrecipient entity). Some examples of potential investigator (or other personal) conflict situations are those in which an investigator would be in a position to evaluate a spouse's work product (actual conflict), or an investigator would be in a position to evaluate the work of a former or current colleague (potential apparent conflict). With regard to potential organizational conflicts of interest, as one example, generally an organization would not be given an award to evaluate a project, if that organization had itself provided substantial prior technical assistance to that specific project or a location implementing the project (whether funded by OJP or other sources), because the organization in such an instance might appear to be evaluating the effectiveness of its own prior work. The key is whether a reasonable person understanding all of the facts would be able to have confidence that the results of any research or evaluation project are objective and reliable. Any outside personal or financial interest that casts doubt on that objectivity and reliability of an evaluation or research product is a problem and must be disclosed.
- ii. In addition, for purposes of this solicitation, each applicant is to address possible mitigation of research integrity concerns by including, at a minimum, one of the following two items:
 - a. If an applicant reasonably believes that no actual or potential apparent conflicts of interest (personal, financial, or organizational) exist, then the applicant should provide a brief narrative explanation of how and why it reached that conclusion. The applicant also is to include an explanation of the specific processes and procedures that the applicant has in place, or will put in place, to identify and prevent (or, at the very least, mitigate) any such

conflicts of interest pertinent to the funded project during the period of performance. Documentation that may be helpful in this regard may include organizational codes of ethics/conduct and policies regarding organizational, personal, and financial conflicts of interest. There is no guarantee that the plan, if any, will be accepted as proposed.

OR

- b. If the applicant has identified actual or potential apparent conflicts of interest (personal, financial, or organizational) that could affect the independence and integrity of the research, including the design, conduct, or reporting of the research, the applicant must provide a specific and robust mitigation plan to address each of those conflicts. At a minimum, the applicant is expected to explain the specific processes and procedures that the applicant has in place, or will put in place, to identify and eliminate (or, at the very least, mitigate) any such conflicts of interest pertinent to the funded project during the period of performance. Documentation that may be helpful in this regard may include organizational codes of ethics/conduct and policies regarding organizational, personal, and financial conflicts of interest. There is no guarantee that the plan, if any, will be accepted as proposed.

OJP will assess research and evaluation independence and integrity based on considerations such as the adequacy of the applicant's efforts to identify factors that could affect the objectivity or integrity of the proposed staff and/or the applicant entity (and any subrecipients) 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.

d. Disclosure of Process Related to Executive Compensation

An applicant that is a nonprofit organization may be required to make certain disclosures relating to the processes it uses to determine the compensation of its officers, directors, trustees, and key employees.

Under certain circumstances, a nonprofit organization that provides unreasonably high compensation to certain persons may subject both the organization's managers and those who receive the compensation to additional federal taxes. A rebuttable presumption of the reasonableness of a nonprofit organization's compensation arrangements, however, may be available if the nonprofit organization satisfied certain rules set out in Internal Revenue Service regulations with regard to its compensation decisions.

Each applicant nonprofit organization must state at the time of its application (in the "OJP Financial Management and System of Internal Controls Questionnaire" mentioned earlier) whether or not the applicant entity believes (or asserts) that it currently satisfies the requirements of 26 C.F.R. 53.4958-6 (which relate to establishing or invoking a rebuttable presumption of reasonableness of compensation of certain individuals and entities).

A nonprofit organization that states in the questionnaire that it believes (or asserts) that it has satisfied the requirements of 26 C.F.R. 53.4958-6 must then disclose, in an attachment to its application (to be titled "Disclosure of Process related to Executive Compensation"), the process used by the applicant nonprofit organization to determine the compensation of its officers, directors, trustees, and key employees (together, "covered persons").

At a minimum, the disclosure must describe in pertinent detail: (1) the composition of the body that reviews and approves compensation arrangements for covered persons; (2) the methods and practices used by the applicant nonprofit organization to ensure that no individual with a conflict of interest participates as a member of the body that reviews and approves a compensation arrangement for a covered person; (3) the appropriate data as to comparability of compensation that is obtained in advance and relied upon by the body that reviews and approves compensation arrangements for covered persons; and (4) the written or electronic records that the applicant organization maintains as concurrent documentation of the decisions with respect to compensation of covered persons made by the body that reviews and approves such compensation arrangements, including records of deliberations and of the basis for decisions.

For purposes of the required disclosure, the following terms and phrases have the meanings set out by the Internal Revenue Service for use in connection with 26 C.F.R. 53.4958-6: officers, directors, trustees, key employees, compensation, conflict of interest, appropriate data as to comparability, adequate documentation, and concurrent documentation.

Applicant nonprofit organizations should note that following receipt of an appropriate request, OJP may be authorized or required by law to make information submitted to satisfy this requirement available for public inspection. Also, a recipient may be required to make a prompt supplemental disclosure after the award in certain circumstances (e.g., changes in the way the organization determines compensation).

How to Apply

Applicants must register in, and submit applications through Grants.gov, a primary source to find federal funding opportunities and apply for funding. Find complete instructions on how to register and submit an application at [Grants.gov](https://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**, which operates 24 hours a day, 7 days a week, except on 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 of registration and a user password. OJP encourages applicants to **register several weeks before** the application submission deadline. In addition, OJP urges applicants to submit applications at least 72 hours prior to the application due date, in order to allow time for the applicant 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.

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

Browser Information: Grants.gov was built to be compatible with Internet Explorer. For technical assistance with Google Chrome, or another browser, contact Grants.gov Customer Support.

Note on Attachments: Grants.gov has two categories of files for attachments: “mandatory” and “optional.” OJP receives all files attached in both categories. Please ensure that all required documents are attached in either Grants.gov category.

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

Characters	Special Characters		
Upper case (A – Z)	Parenthesis ()	Curly braces { }	Square brackets []
Lower case (a – z)	Ampersand (&)	Tilde (~)	Exclamation point (!)
Underscore (_)	Comma (,)	Semicolon (;)	Apostrophe (‘)
Hyphen (-)	At sign (@)	Number sign (#)	Dollar sign (\$)
Space	Percent sign (%)	Plus sign (+)	Equal sign (=)
Period (.)	Applicants must use the “&” format in place of the ampersand (&) when using XML format for documents.		

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

All applicants are required to complete the following steps:

Every applicant entity must comply with all applicable System for Award Management (SAM) and unique entity identifier (currently, a Data Universal Numbering System [DUNS] number) requirements. If an applicant entity has not fully complied with applicable SAM and unique identifier requirements by the time OJP makes award decisions, OJP may determine that the applicant is not qualified to receive an award and may use that determination as a basis for making the award to a different applicant.

An individual who wishes to apply in his/her personal capacity should search Grants.gov for funding opportunities for which individuals are eligible to apply. Use the Funding Opportunity Number (FON) to register. (An applicant applying as an individual must comply with all applicable Grants.gov individual registration requirements.)

Complete the registration form at <https://apply07.grants.gov/apply/IndCPRegister> to create a username and password for Grants.gov. (An applicant applying as an individual should complete all steps except 1, 2 and 4.)

1. **Acquire a unique entity identifier (currently, a DUNS number).** In general, the Office of Management and Budget requires every applicant for a federal award (other than an individual) to include a "unique entity identifier" in each application, including an application for a supplemental award. Currently, a DUNS number is the required unique entity identifier.

A DUNS number is a unique nine-digit identification number provided by the commercial company Dun and Bradstreet. This unique entity identifier is used for tracking purposes, and to validate address and point of contact information for applicants, recipients, and subrecipients. It will be used throughout the life cycle of an OJP award. 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 SAM.** SAM is the repository for certain standard information about federal financial assistance applicants, recipients, and subrecipients. All applicants for OJP awards (other than individuals) must maintain current registrations in the SAM database. An applicant must be registered in SAM to successfully register in Grants.gov. Each applicant must **update or renew its SAM registration at least annually** to maintain an active status. SAM registration and renewal can take as long as 10 business days to complete.

An application cannot be successfully submitted in Grants.gov until Grants.gov receives the SAM registration information. Once the SAM registration/renewal is complete, **the information transfer from SAM to Grants.gov can take as long as 48 hours.** OJP recommends that the applicant register or renew registration with SAM as early as possible.

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

3. **Acquire an Authorized Organization Representative (AOR) and a Grants.gov username and password.** Complete the AOR profile on Grants.gov and create a username and password. An applicant entity's "unique entity identifier" (DUNS number) must be used to complete this step. For more information about the registration process for organizations and other entities, go to <https://apply07.grants.gov/apply/OrcRegister>. Individuals registering with Grants.gov should go to <https://www.grants.gov/web/grants/applicants/individual-registration.html>.
4. **Acquire confirmation for the AOR from the E-Business Point of Contact (E-Biz POC).** The E-Biz POC at the applicant organization must log into Grants.gov to confirm the applicant organization's AOR. The E-Biz POC will need the Marketing Partner Identification Number (MPIN) password obtained when registering with SAM to complete this step. 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 16.739 titled "National Prison Rape Statistics Program" and the funding opportunity number is BJS-2017-12782.
6. **Submit a valid application consistent with this solicitation by following the directions in Grants.gov.** Within 24–48 hours after submitting the electronic application, the applicant should receive two notifications from Grants.gov. The first will confirm the receipt of the

application. The second will state whether the application has been validated and successfully submitted, or whether it has been rejected due to errors, with an explanation. It is possible to first receive a message indicating that the application is received, and then receive a rejection notice a few minutes or hours later. Submitting an application well ahead of the deadline provides time to correct the problem(s) that caused the rejection. **Important:** OJP urges each applicant to submit its application **at least 72 hours prior** to the application due date, to allow time to receive validation messages or rejection notifications from Grants.gov, and to correct in a timely fashion any problems that may have caused a rejection notification. Applications must be successfully submitted through Grants.gov by 11:59 p.m. eastern time on July 26, 2017.

Click [here](#) for further details on DUNS numbers, SAM, and Grants.gov registration steps and timeframes.

Note: Application Versions

If an applicant submits multiple versions of the same application, OJP will review only the most recent system-validated version submitted.

Experiencing Unforeseen Grants.gov Technical Issues

An applicant that experiences unforeseen Grants.gov technical issues beyond its control that prevent it from submitting its application by the deadline must contact the Grants.gov [Customer Support Hotline](#) or the [SAM Help Desk](#) (Federal Service Desk) to report the technical issue and receive a tracking number. The applicant must email the BJS contact identified in the Contact Information section on the title page **within 24 hours after the application deadline** to request approval to submit its application after the deadline. The applicant's email must describe the technical difficulties, and must 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: OJP does not automatically approve requests to submit a late application. After OJP reviews the applicant's request, and contacts the Grants.gov or SAM Help Desks to verify the reported technical issues, OJP will inform the applicant whether the request to submit a late application has been approved or denied. If OJP determines that the untimely application submission was due to the applicant's failure to follow all required procedures, OJP will deny the applicant's request to submit its application.

The following conditions generally are insufficient to justify late submissions:

- Failure to register in SAM or Grants.gov in sufficient time (SAM registration and renewal can take as long as 10 business days to complete. The information transfer from SAM to Grants.gov can take up to 48 hours.)
- Failure to follow Grants.gov instructions on how to register and apply as posted on its website
- Failure to follow each instruction in the OJP solicitation
- Technical issues with the applicant's computer or information technology environment, such as issues with firewalls or browser incompatibility.

Notifications regarding known technical problems with Grants.gov, if any, are posted at the top of the OJP [Funding Resource Center](#) webpage.

E. Application Review Information

Review Criteria

Applications that meet basic minimum requirements will be evaluated by peer reviewers using the following review criteria.

1. Statement of the Problem (20%)
 - a. Understanding the goals and purposes of BJS's PREA-related surveys and how the NIS-4 will assist BJS in meeting congressional mandates.
 - b. Understanding the substantive issues that the NIS-4 will address and how the NIS-4 builds on past NIS collections.
 - c. Understanding the challenges associated with interviewing inmates.
 - d. Understanding the challenges in managing a complex data collection program with multiple interrelated surveys, from planning through dissemination of findings and survey data.
2. Project Design and Implementation (30%)
 - a. Recognition of the project tasks and deliverables, and development of a set of plans and contingency plans to enhance the probability of successfully completing all aspects of the project.
 - b. Awareness of potential pitfalls of the proposed tasks and challenges underlying the related deliverables, and the feasibility of proposed actions to minimize or mitigate them.
 - c. Strength of plans to address nonresponse bias, missing data, weighting strategies, and standard error provisions for facility-, state-, and national-level estimation.
 - d. Understanding of the array of estimates and different issues to be addressed in analytical reports.
3. Capabilities and Competencies (30%)
 - a. Demonstrated experience and success in conducting surveys of inmates held in custodial facilities and in doing so, achieving high response rates, obtaining high-quality data, and collecting and maintaining data confidentiality.
 - b. Demonstrated experience and success in conducting an ACASI mode of data collection and demonstrated ability to develop efficient case management systems.
 - c. Demonstrated experience and success in conducting an online mode of data collection in combination with a paper questionnaire for collecting administrative data from facilities to ensure high participation rates and low item nonresponse.
 - d. Demonstrated experience and success in working with IRBs, research review committees, and OMB to conduct data collections from human subjects.
 - e. Demonstrated experience and success in developing and implementing a data disclosure plan to ensure confidentiality of sensitive data collected under this project.

4. Plan for Collecting the Data Required for this Solicitation's Performance Measures (5%)
 - a. Extent to which data collection plans for the performance measures are built into the project design and applicant's survey management systems.
 - b. Efficiency of the performance measure data collection plan.
5. Budget (15%): complete, cost effective, and allowable (e.g., reasonable, allocable, and necessary for project activities). Budget narratives should demonstrate generally 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.⁶
 - a. Extent to which staff resources allocated in the budget are appropriate for the project objectives, tasks, and deliverables.
 - b. Demonstrated fiscal, management, staff, and organizational capacity to provide sound project management and to ensure completion of deliverables according to project timeline.
 - c. 3. Use of existing resources to conserve costs.

Review Process

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

Peer reviewers will review the applications submitted under this solicitation that meet basic minimum requirements. For purposes of assessing whether an application meets basic minimum requirements and should proceed to further consideration, OJP screens applications for compliance with those requirements. Although specific requirements may vary, the following are common requirements applicable to all solicitations for funding under OJP programs:

- The application must be submitted by an eligible type of applicant
- The application must request funding within programmatic funding constraints (if applicable)
- The application must be responsive to the scope of the solicitation
- The application must include all items designated as "critical elements"
- The applicant must not be identified in SAM as excluded from receiving federal awards

For a list of the critical elements for this solicitation, see "What an Application Should Include" under [Section D. Application and Submission Information](#).

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

⁶Generally 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.

recommendations are advisory only, although reviewer views are considered carefully. Other important considerations for OJP include underserved populations, geographic diversity, strategic priorities, and available funding, as well as the extent to which the budget detail worksheet and budget narrative accurately explain project costs that are reasonable, necessary, and otherwise allowable under federal law and applicable federal cost principles.

Pursuant to the Part 200 Uniform Requirements, before award decisions are made, OJP also reviews information related to the degree of risk posed by applicants. Among other things to help assess whether an applicant that has one or more prior federal awards has a satisfactory record with respect to performance, integrity, and business ethics, OJP checks whether the applicant is listed in SAM as excluded from receiving a federal award. If OJP anticipates that an award will exceed \$150,000 in federal funds, OJP also must review and consider any information about the applicant that appears in the non-public segment of the integrity and performance system accessible through SAM (currently, the Federal Awardee Performance and Integrity Information System; "FAPIIS").

Important note on FAPIIS: An applicant, at its option, may review and comment on any information about itself that currently appears in FAPIIS and was entered by a federal awarding agency. OJP will consider any such comments by the applicant, in addition to the other information in FAPIIS, in its assessment of the risk posed by applicants.

The evaluation of risks goes beyond information in SAM, however. OJP itself has in place a framework for evaluating risks posed by applicants for competitive awards. OJP takes into account information pertinent to matters such as—

1. Applicant financial stability and fiscal integrity
2. Quality of the management systems of the applicant, and the applicant's ability to meet prescribed management standards, including those outlined in the DOJ Grants Financial Guide
3. Applicant's history of performance under OJP and other DOJ awards (including compliance with reporting requirements and award conditions), as well as awards from other federal agencies
4. Reports and findings from audits of the applicant, including audits under the Part 200 Uniform Requirements
5. Applicant's ability to comply with statutory and regulatory requirements, and to effectively implement other award requirements.

Absent explicit statutory authorization or written delegation of authority to the contrary, all final award decisions will be made by the Assistant Attorney General, who may take into account not only peer review ratings and BJS recommendations, but also other factors as indicated in this section.

F. Federal Award Administration Information

Federal Award Notices

Award notifications will be made by September 30, 2017. OJP sends award notifications by email through GMS to the individuals listed in the application as the point of contact and the authorizing official (E-Biz POC and AOR). The email notification includes detailed instructions on how to access and view the award documents, and steps to take in GMS to start the award

acceptance process. GMS automatically issues the notifications at 9:00 p.m. eastern time on the award date.

For each successful applicant, an individual with the necessary authority to bind the applicant will be required to log in; execute a set of legal certifications and a set of legal assurances; designate a financial point of contact; thoroughly review the award, including all award conditions; and sign and accept the award. The award acceptance process requires physical signature of the award document by the authorized representative and the scanning of the fully executed award document to OJP.

Administrative, National Policy, and Other Legal Requirements

If selected for funding, in addition to implementing the funded project consistent with the OJP-approved application, the recipient must comply with all award conditions, as well as all applicable requirements of federal statutes, regulations, and executive orders (including applicable requirements referred to in the assurances and certifications executed in connection with award acceptance). OJP strongly encourages prospective applicants to review information on post-award legal requirements and common OJP award conditions **prior** to submitting an application.

Applicants should consult the “[Overview of Legal Requirements Generally Applicable to OJP Grants and Cooperative Agreements - FY 2017 Awards](#),” available in the [OJP Funding Resource Center](#). In addition, applicants should examine the following two legal documents, as each successful applicant must execute both documents before it may receive any award funds.

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

Applicants may view these documents in the Apply section of the [OJP Funding Resource Center](#).

The web pages accessible through the “[Overview of Legal Requirements Generally Applicable to OJP Grants and Cooperative Agreements - FY 2017 Awards](#)” are intended to give applicants for OJP awards a general overview of important statutes, regulations, and award conditions that apply to many (or in some cases, all) OJP grants and cooperative agreements awarded in FY 2017. Individual OJP awards typically also will include additional award conditions. Those additional conditions may relate to the particular statute or program, or solicitation under which the award is made; to the substance of the funded application; to the recipient's performance under other federal awards; to the recipient's legal status (e.g., as a for-profit entity); or to other pertinent considerations.

As stated above, BJS expects that any award under this solicitation to be a cooperative agreement. A cooperative agreement will include a condition in the award document that sets out the “substantial federal involvement” in carrying out the award and program. Generally speaking, under cooperative agreements with OJP, responsibility for the day-to-day conduct of the funded project rests with the recipient. OJP, however, may have substantial involvement in matters such as coordination efforts and site selection, as well as review and approval of work plans, research designs, data collection instruments, and major project-generated materials. In addition, OJP often indicates in the award condition that it may redirect the project if necessary.

In addition to a condition that sets out the “substantial federal involvement” in the award, cooperative agreements awarded by OJP include a condition that requires specific reporting in connection with conferences, meetings, retreats, seminars, symposia, training activities, or similar events funded under the award.

1. The project will be funded as a cooperative agreement. The basis for using a cooperative agreement is BJS’s substantial involvement in providing information, guidance, and direction relative to special data collections and the development of statistical studies. BJS will exercise general approval over the entire project.
2. The award recipient will agree that no funds provided may be used to author or prepare reports, journal articles, speeches or studies, or other publications without the prior written approval of BJS, regardless of whether the data used in the publications or other releases are publicly available.
3. BJS will retain all rights to exclusive use of the data until BJS releases the public use dataset or restricted-use (Enclave only) dataset, which will be available at the NACJD. The award recipient will not be able to release or disclose any data collected through this cooperative agreement without prior written BJS approval. This includes, but is not limited to, presentations at professional conferences and meetings, press releases, and grant applications. BJS-protected data include all data collected by BJS for which BJS has not made a public release of the data.
4. The award recipient will retain nonexclusive use of any methodological findings derived by the recipient from the project subject to the following condition: Only with the prior review and written comment by BJS, which includes mutual agreement on the representation of BJS’s methodologies, may the recipient publicly disclose its or BJS’s methodologies derived from the project prior to release of the dataset. Such review and comment period shall not exceed 45 days prior to receipt of the proposed publication. Any such disclosure of the recipient’s or BJS’s methodologies must be public in nature and contribute meaningfully to the development and/or advancement of social science research. Public disclosure may include, but is not limited to, presentations at professional conferences and meetings, articles appearing in widely distributed publications, and Internet postings or similar outlets that constitute a broad public release of the methodological information.

General Information about Post-Federal Award Reporting Requirements

In addition to the deliverables described in [Section A. Program Description](#), any recipient of an award under this solicitation will be required to submit the following reports and data.

Required reports. Recipients typically must submit quarterly financial reports, annual progress reports, final financial and progress reports, and, if applicable, an annual audit report in accordance with the Part 200 Uniform Requirements or specific award conditions. Future awards and fund drawdowns may be withheld if reports are delinquent. (In appropriate cases, OJP may require additional reports.)

Awards that exceed \$500,000 will include an additional condition that, under specific circumstances, will require the recipient to report (to FAPIIS) information on civil, criminal, and administrative proceedings connected with (or connected to the performance of) either the OJP award or any other grant, cooperative agreement, or procurement contract from the federal government. Additional information on this reporting requirement appears in the text of the award condition posted on the OJP website at <https://ojp.gov/funding/FAPIIS.htm>.

Data on performance measures. In addition to required reports, an award recipient also must provide data that measure the results of the work done under the award. To demonstrate program progress and success, as well as to assist DOJ in 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, OJP will require any recipient, post award, to provide the data listed as "Data Recipient Provides" in the performance measures [table](#) in Section D. Application and Submission Information, under "Program Narrative," so that OJP can calculate values for this solicitation's performance measures.

G. Federal Awarding Agency Contact(s)

For OJP contact(s), see the title page.

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

H. Other Information

Freedom of Information Act and Privacy Act (5 U.S.C. 552 and 5 U.S.C. 552a)

All applications submitted to OJP (including all attachments to applications) are subject to the federal Freedom of Information Act (FOIA) and to the Privacy Act. By law, DOJ may withhold information that is responsive to a request pursuant to FOIA if DOJ determines that the responsive information either is protected under the Privacy Act or falls within the scope of one of nine statutory exemptions under FOIA. DOJ cannot agree in advance of a request pursuant to FOIA not to release some or all portions of an application.

In its review of records that are responsive to a FOIA request, OJP will withhold information in those records that plainly falls within the scope of the Privacy Act or one of the statutory exemptions under FOIA. (Some examples include certain types of information in budgets, and names and contact information for project staff other than certain key personnel.) In appropriate circumstances, OJP will request the views of the applicant/recipient that submitted a responsive document.

For example, if OJP receives a request pursuant to FOIA for an application submitted by a nonprofit or for-profit organization or an institution of higher education, or for an application that involves research, OJP typically will contact the applicant/recipient that submitted the application and ask it to identify—quite precisely—any particular information in the application that applicant/recipient believes falls under a FOIA exemption, the specific exemption it believes applies, and why. After considering the submission by the applicant/recipient, OJP makes an independent assessment regarding withholding information. OJP generally follows a similar process for requests pursuant to FOIA for applications that may contain law enforcement-sensitive information.

Provide Feedback to OJP

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

IMPORTANT: This email is for feedback and suggestions only. OJP does **not** reply from this mailbox to messages it receives in this mailbox. Any prospective applicant that has specific questions on any program or technical aspect of the solicitation **must** use the appropriate

telephone number or email listed on the front of this document to obtain information. These contacts are provided to help ensure that prospective applicants can directly reach an individual who can address 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@lmsolas.com. (Do not send your résumé to the OJP Solicitation Feedback email account.) **Note:** Neither you nor anyone else from your organization or entity can be a peer reviewer in a competition in which you or your organization/entity has submitted an application.

Application Checklist

National Inmate Survey (NIS-4) 2018-19

This application checklist has been created as an aid in developing an application.

What an Applicant Should Do:

Prior to Registering in Grants.gov:

- Acquire a DUNS Number (see page 40)
- Acquire or renew registration with SAM (see page 40)

To Register with Grants.gov:

- Acquire AOR and Grants.gov username/password (see page 40)
- Acquire AOR confirmation from the E-Biz POC (see page 40)

To Find Funding Opportunity:

- Search for the Funding Opportunity on Grants.gov (see page 40)
- Download Funding Opportunity and Application Package (see page 40)
- Sign up for Grants.gov email [notifications](#) (optional) (see page 38)
- Read [Important Notice: Applying for Grants in Grants.gov](#)
- Read OJP policy and guidance on conference approval, planning, and reporting available at [ojp.gov/financialguide/DOJ/PostawardRequirements/chapter3.10a.htm](#) (see page 23)

After Application Submission, Receive Grants.gov Email Notifications That—

- (1) application has been received
- (2) application has either been successfully validated or rejected with errors (see page 40)

If No Grants.gov Receipt, and Validation or Error Notifications are Received:

- contact BJS regarding experiencing technical difficulties (see page 41)

Overview of Post-Award Legal Requirements:

- Review the "[Overview of Legal Requirements Generally Applicable to OJP Grants and Cooperative Agreements - FY 2017 Awards](#)" in the OJP Funding Resource Center.

Scope Requirement:

- The federal amount requested is within the allowable limit(s) of \$6,000,000

Eligibility Requirement: See cover page

What an Application Should Include:

- Application for Federal Assistance (SF-424) (see page 24)
- Project Abstract (see page 25)
- Program Narrative (see page 25)
- Budget Detail Worksheet (see page 30)
- Budget Narrative (see page 30)
- Indirect Cost Rate Agreement (if applicable) (see page 33)

_____	Financial Management and System of Internal Controls Questionnaire	(see page 33)
_____	Disclosure of Lobbying Activities (SF-LLL)	(see page 34)
_____	Additional Attachments	
_____	Applicant Disclosure of Pending Applications	(see page 34)
_____	Research and Evaluation Independence and Integrity	(see page (35))
_____	Disclosure of Process related to Executive Compensation	(see page 37)
_____	Request and Justification for Employee Compensation; Waiver (if applicable)	(see page 22)