



---

## Annual Surveys of Probation and Parole (ASPP), Reference Years (RY) 2020-2024

### FY 2020 Competitive Grant Solicitation

CFDA #16.734

Grants.gov Solicitation Number: BJS-2020-17612

Solicitation Release Date: February 14, 2020

Application Deadline: 11:59 p.m. eastern time on April 21, 2020

---

The [U.S. Department of Justice](#) (DOJ), [Office of Justice Programs](#) (OJP), [Bureau of Justice Statistics](#) (BJS) is seeking applications for the collection, analysis, and dissemination activities of one of its largest data collections on community corrections, the Annual Surveys of Probation and Parole. This program, conducted under the auspices of BJS's Corrections Statistics Program, furthers the Department's mission by working in partnership with the justice community to identify the most pressing challenges confronting the justice system and to provide state-of-the-art knowledge and information to support innovative strategies and approaches for dealing with these challenges.

This solicitation incorporates the [OJP Grant Application Resource Guide](#) by reference. The OJP Grant Application Resource Guide provides guidance to applicants for the preparation and submission to OJP of applications for funding. If this solicitation expressly modifies any provision in the OJP Grant Application Resource Guide, the applicant is to follow the guidelines in this solicitation as to that provision.

#### **Eligibility** (Who may apply):

The following entities are eligible to apply:

- 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)
- Units of local government that support initiatives to improve the functioning of the criminal justice system
- Federally recognized Indian tribal governments

All recipients and subrecipients (including any for-profit organization) must forgo any profit or management fee.

### **Contact information**

For technical assistance with submitting an application, contact the Grants.gov Customer Support Hotline at 800-518-4726, 606-545-5035, at <https://www.grants.gov/web/grants/support.html>, or at [support@grants.gov](mailto: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 BJS **within 24 hours after the application deadline** 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 (Grants.gov)” section in the [OJP Grant Application Resource Guide](#).

For assistance with any other requirements of this solicitation, contact BJS at 202-307-0765, or by email at [AskBJS@usdoj.gov](mailto:AskBJS@usdoj.gov). Include “ASPP” in the subject line.

### **Deadline details**

Applicants must register with Grants.gov at <https://www.grants.gov/web/grants/register.html> prior to submitting an application. All applications are due by 11:59 p.m. eastern time on April 21, 2020.

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 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.

An applicant must use the **Add Attachment** button to attach a file to its application. Do not click the paperclip icon to attach files. This action will not attach the files to the application. After adding an attachment, select the **View Attachment** button to confirm you attached the correct file. To remove the file, select the **Delete Attachment** button.

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

For additional information, see the “How to Apply (Grants.gov)” section in the [OJP Grant Application Resource Guide](#).

## Contents

A. Program Description .....	5
Overview .....	5
Program-Specific Information .....	5
Goals, Objectives, Deliverables, and Expected Research Products .....	9
Information Regarding Potential Evaluation of Programs and Activities .....	16
B. Federal Award Information.....	16
Type of Award .....	17
Financial Management and System of Internal Controls .....	17
Budget Information .....	18
Cost Sharing or Matching Requirement .....	18
Pre-agreement Costs (also known as Pre-award Costs) .....	18
Limitation on Use of Award Funds for Employee Compensation; Waiver.....	18
Prior Approval, Planning, and Reporting of Conference/Meeting/Training Costs .....	18
Costs Associated with Language Assistance (if applicable).....	18
C. Eligibility Information.....	18
D. Application and Submission Information.....	18
What an Application Should Include .....	18
How to Apply (Grants.gov).....	21
E. Application Review Information .....	21
Review Criteria .....	21
Review Process.....	23
F. Federal Award Administration Information.....	23
Federal Award Notices .....	23
Administrative, National Policy, and Other Legal Requirements .....	23
Information Technology (IT) Security Clauses .....	24
General Information about Post-Federal Award Reporting Requirements.....	24
G. Federal Awarding Agency Contact(s) .....	24
H. Other Information .....	24
Freedom of Information Act and Privacy Act (5 U.S.C. 552 and 5 U.S.C. 552a) .....	24
Provide Feedback to OJP.....	24
Application Checklist .....	27

# Annual Surveys of Probation and Parole (ASPP), RY 2020–2024

## CFDA # 16.734

### A. Program Description

#### Overview

The Bureau of Justice Statistics (BJS) seeks an applicant to conduct the collection, analysis, and dissemination activities for the Annual Surveys of Probation and Parole (ASPP) for the reference years 2020 through 2024.

The ASPP are two separate data collections, independently referred to as the Annual Probation Survey and Annual Parole Survey. Since 1980, the ASPP have collected aggregate data on the number of persons supervised on probation or parole (i.e., post-custody community supervision), together referred to as the community supervision population. The ASPP obtain aggregated data from administrative records maintained by state probation and/or parole agencies; local agencies (municipal, county, or court); and the federal system. The ASPP are core BJS data collections and are the only national data collections that describe the size, change, movements, outcomes, and characteristics of the community supervision populations at the national, federal, and state levels. Together with data from the National Prisoner Statistics (NPS) Program, which collects counts of persons incarcerated in federal and state prisons, and the Annual Survey of Jails (ASJ), which collects counts of persons held in local jails, ASPP data are used to estimate the total number of persons supervised by the adult correctional systems in the United States. Collectively, these data collections are also critical for tracking the level and change in the correctional populations over time and enhancing the understanding of the flow of offenders through and eventually out of the criminal justice system.

Because of the needs for and uses of the ASPP data, it is imperative that these data are reliable, of high quality, and are representative of the entire targeted population. Therefore, through this award, BJS intends to enhance these aspects of the ASPP.

**Authorizing Legislation:** Under 34 U.S.C. § 10132, BJS is authorized to “make grants to, or enter into cooperative agreements or contracts with public agencies, institutions of higher education, private organizations, or private individuals” for purposes of collecting and analyzing criminal justice statistics.

#### Program-Specific Information

The ASPP collection is BJS’s most comprehensive source of information about persons under community supervision, which accounts for the largest segment of the adult correctional population in the United States. At yearend 2018, almost 4.4 million adults were under community supervision in the United States, including 3.5 million probationers and 878,000 parolees. About 7 in 10 persons under correctional supervision in the United States lived in the community in 2018, compared to 3 in 10 who were incarcerated in prison or jail. The ASPP collection fills a valuable role by measuring the number of persons under community supervision each year, the change in this number and factors associated with the change (such as movements onto and off community supervision), the characteristics of this population, and outcomes of supervision. Despite the fact that these surveys measure the vast majority of the

U.S. correctional population, the ASPP—and the Annual Probation Survey in particular—are the most complex and difficult of BJS’s annual correctional surveys for a number of reasons.

First, these surveys collect information from both large and small agencies, which are located at various levels and branches of government and have highly diverse data record systems and resources. The goal of the ASPP is to accurately report on the number of individuals who are involved with the correctional supervision in the community. One challenge facing the collection is determining the quality of data when some respondents report the population as a count of supervised individuals and others report the number of cases probation or parole officers handle. Since a person can be on probation or parole for multiple crimes, the ratio of cases to individual is often not 1:1. BJS plans to start identifying a possible adjustment to surveys with reported cases to try to more accurately measure the number of individuals who have any involvement in community corrections.

In addition, the aforementioned issue of collecting data from various levels and branches of government leads to a diverse population of probationers. BJS continuously seeks to improve the Annual Probation Survey in response to different populations. The data available for felony probationers is different than the data for those probationers being supervised for misdemeanor offenses. Measuring and aggregating the two populations can be a challenge of its own. Starting in 2015, BJS has attempted to identify a national frame of misdemeanor probation supervising agencies. The misdemeanor probation population is often supervised at a more localized level of government and may not have the same reporting capabilities as felon supervising agencies. In moving forward with changes to the Annual Probation Survey, BJS hopes to address some of these reporting differences.

Another issue in making these surveys difficult to field is the highly variable nature of supervising agencies for probation. Responsibility for these agencies can range from courts to local and state governments, and sometimes changes on an annual basis. Because parole is typically a state function (i.e., administered at the state level), population data on adult parole supervision are obtained by the Annual Parole Survey from a central state reporter for all states. BJS sent the 2018 Annual Parole Survey to 52 respondents— 50 central state reporters, the District of Columbia, and the federal system. BJS collects data on persons under community supervision in the federal system through its Federal Justice Statistics Program (FJSP), which obtains its data annually from the Office of Probation and Pretrial Services, Administrative Office of the United States Courts. BJS sends the FJSP data collection agent the surveys and coordinates data submission, therefore the recipient of funds will not be responsible to collecting federal community corrections data.

The Annual Probation Survey has a mixture of respondents that vary by state, and the number of respondents in a state is not always consistent with the level of government at which probation is administered. BJS collects data from state-level respondents in an effort to reduce burden whenever possible. BJS uses the term “central reporter” for respondents who are in a state-level agency and correspond to one of the following:

- are supervising agencies responsible for all felony and misdemeanor probation supervision in the state (consequently they report the state’s total probation population to BJS through the Annual Probation Survey).
- are supervising agencies responsible for a portion of probation supervision in the state and report that population to BJS through the Annual Probation Survey.

- are not supervising agencies but are located in a state-level agency that collects data from locally operated probation agencies.

In a few states, in addition to the central reporter, BJS also obtains data directly from local probation agencies to ensure that the collection accounts for the state's entire probation population, including both felons and misdemeanants. In response to burden and the inability of some local probation agencies to report all of the data in the Annual Probation Survey, BJS created a shorter version of the survey instrument (known as the "short form"). As a result of the frame expansion efforts, BJS plans to redesign and refocus the two versions of the Annual Probation Survey for those agencies supervising felons or misdemeanor only populations. In 2018, BJS requested data from 454 respondents—40 central state agencies and the District of Columbia; 416 separate state, county, or court agencies; and the federal system. Georgia and Pennsylvania are both included as central reporters, but each provides data from two departments. Among the 416 separate state, county, or court agencies, 160 received the short form.

In addition to difficulties in the collection of data, the ASPP data have been subject to data quality issues, including limitations of data comparability across years, unit and item nonresponse, and undetected changes in the reporting of information. One such problem stems from differences that have been observed in the reported January 1 population of the current data cycle compared to the reported December 31 population of the previous year's data cycle (e.g., the 1-day discrepancy between December 31, 2018, and January 1, 2019). These discrepancies are due in part to changes in reporting methods within jurisdictions. These changes in reporting methods, include changes in software or programs that track probationers and parolees, a change in the person responding to the ASPP request, jurisdictions failing to report or over reporting particular types of offenders from one year to the next, and switching between reporting cases or individuals. For some jurisdictions, the differences occur simply because the information systems are updated or remodeled in the months after the original data are submitted to BJS.

Similar to many other surveys, the ASPP experience nonresponse both at the unit and item levels. BJS has implemented imputation methods for items on the surveys that BJS has deemed critical (beginning year population, total entries to supervision, total exits from supervision, and yearend population counts), but has not yet developed imputation methods for other missing variables.

Another problem lies in the discrepancies between years in the detailed data that respondents provide. For example, in a given year a respondent may report counts by exit type but is unable to report by type of exit in following years. Data quality checks are imperative to identify and correct these issues as they arise during the data collection cycle.

Addressing these data quality issues and developing imputation methods is important for producing reliable and high-quality data that can be used for trend analyses. Imputation methods that can be applied to the data for the current collection year and previous years, and that produce high-quality and reliable ASPP data, need to be continually evaluated and updated or modified as new information or issues are discovered. This will be an important responsibility of the data collection agent for the ASPP over the next five years.

BJS has been working toward improving the Annual Probation Survey for the last few years to better serve the needs for data and to reassess the availability of data by respondents. Over the past five years, BJS has been able to cognitively test several questions and definitions of terms.



For the collection of the 2020 populations in early January 2021, BJS anticipates pilot-testing an experimental probation survey for a portion of respondents, while the others would still receive the standard forms. Pending BJS approval, work will be required for data collection RY 2020 for survey outreach and follow-up of the pilot-tested instrument, in addition to the standard probation instrument. BJS plans to use the results of the pilot test to consider improvements to the Annual Probation Survey. If changes are made, BJS would need to submit a change request with OMB for the RY 2021 collection.

Although BJS has collected data through the ASPP to describe the populations under community supervision, data that describe the organization and operations of probation agencies had not been collected in more than 20 years; this type of data has not been collected from parole agencies in more than 13 years. To address this information gap among probation agencies, in 2011 BJS began work on the Census of Adult Probation Supervising Agencies (CAPSA), and the data collection was fielded in the summer of 2014. Data from CAPSA was used to fill information gaps about the organization, structure, and function of probation agencies, and also assessed the extent of potential coverage error and improve the frame of the Annual Probation Survey. Because CAPSA focuses on agencies that supervise felons, additional work was done in 2018 and 2019 under the Annual Probation Survey to identify agencies that supervise misdemeanor-only probationers. This work attempts to achieve maximum coverage in the Annual Probation Survey of all persons supervised in the community, enhance the overall reliability of ASPP statistics and be used to develop additional data collections for filling important information gaps identified by the community corrections field.

In addition, the enhanced roster could serve as the universe from which to draw a sample of probation and parole agencies for conducting additional studies. In discussions with the community corrections field, BJS has learned that there are gaps in information important for understanding and improving the efficiency and effectiveness of agency operations, and for minimizing the risk of recidivism while enhancing public safety. Research and development work is needed to develop an implementation plan for future community corrections surveys. These additional surveys need to be analyzed in conjunction with the ASPP population data so that contextual information can be used to better understand changes in the ASPP population, such as how population changes and outcomes of supervision are related to the operations and practices of probation and parole agencies. This plan needs to consider the burden on agencies and the capacity for agencies to provide data beyond the standard annual surveys.

Copies of data collection instruments for the 1999 to 2018 ASPP can be found at <https://www.bjs.gov/index.cfm?ty=dcdetail&iid=271>.

Data from the ASPP collection have been published in an annual series of bulletins with the name “Probation and Parole in the United States, [year]” (<https://www.bjs.gov/index.cfm?ty=pbse&sid=42>). See the Methodology section of *Probation and Parole in the United States, 2016*, for additional information on the respondent universe for the surveys (<https://www.bjs.gov/content/pub/pdf/ppus16.pdf>).

ASPP data from 1994–2016 have been archived for public use at the National Archive of Criminal Justice Data (NACJD; <http://www.icpsr.umich.edu/icpsrweb/content/NACJD/guides/asp.html>). In addition, 1994–2016 ASPP data populate the probation and parole portions of the Corrections Statistical Analysis Tool on the BJS website ([www.bjs.gov/parole/](http://www.bjs.gov/parole/); [www.bjs.gov/probation/](http://www.bjs.gov/probation/)).

Information related to the Census of Adult Probation Supervising Agencies, 2014, can be found at <https://www.bjs.gov/content/capsa.cfm>.

BJS anticipates making one award to cover the data collection, processing, and analysis activities for five reference years of ASPP data, 2020–2024. It is likely that the initial award will cover RY 2020-2022, with supplementary funds awarded for RY 2023 and 2024 based on satisfactory performance by the data collection agent. The project will begin October 1, 2020, and end September 30, 2025. Table 1 shows the relationship between the ASPP project year and the reference year. Each project year will run for 12 months, beginning October 1 and ending on September 30 of the following year.

**Table 1. Project years and reference years of annual ASPP collection**

Project year	Reference year
1. Oct. 1, 2020 – Sept. 30, 2021	2020
2. Oct. 1, 2021 – Sept. 30, 2022	2021
3. Oct. 1, 2022 – Sept. 30, 2023	2022
4. Oct. 1, 2023 – Sept. 30, 2024	2023
5. Oct. 1, 2024 – Sept. 30, 2025	2024

The general schedule for the ASPP is as follows:

- November 4 – Data collection agent sends pre-notification of survey launch to respondents
- January 6 – Data collection agent sends survey launch letter
- January to April – Data collection period
- January to April – Data collection agent notify respondents of impending due dates, nonresponse follow-up, and thank-you letters
- February to May 15– Data cleaning, editing, verification, and final callbacks
- June 15 – Data collection agent delivers analytic data files
- July 15 – Data collection agent delivers core state-level statistical tables
- August 30 – Data collection agent delivers final updated respondent and state-level data files, notes, and other documentation for archiving and the BJS web tool.

A more complete description of the ASPP collection is available in the documentation archived at the NACJD (<http://www.icpsr.umich.edu/NACJD/>). The NACJD provides individual-year, state-level files.

### **Goals, Objectives, Deliverables, and Expected Research Products**

During this 5-year project, the recipient of funds will complete ASPP data collection activities and analytic work annually, improve data quality and produce high-quality data on the community supervision populations, enhance the ASPP frame, and make significant progress in the development of strategies for implementing additional community corrections data collections related to the organization, practices, and policies of probation and parole agencies.

Applicants should address how they would meet the following goals and objectives:

1. *Ensure a timely launch of the data collection.* Review ASPP materials provided by BJS, including respondents' contact information, data collection forms, datasets, data file specifications, data quality management procedures, and other related materials. The data collection agent will be responsible for reviewing and organizing these materials to determine how to use them in ongoing activities associated with annual data collections.



2. *Develop, test, and implement a web-based data-collection tool that minimizes burden in data submission.* The tool should—
  - a. Implement a user-friendly interface for the survey that is based on proven methods for enhancing responses and reducing burden.
  - b. Provide respondents with a web-based format for reporting data that is based on state-of-the-art approaches to web collection of establishment survey data.
  - c. Build in server-based error-checking mechanisms that minimize the need for follow-up contact on critical items and that simplify data submission.
  - d. Ensure that upon completing data entry, users can obtain a PDF version of the completed survey form that reflects their data as entered.
  - e. Be an integral component of a possible data management system that provides for the storage and maintenance of longitudinal data (including notes) and preparation of standard and ad hoc statistical tables.
  - f. Have the capacity to export all data elements, including agency identification numbers, respondents' names and contact information, and all substantive data variables directly into a variety of data formats (e.g., pre-formatted data dumps, SAS datasets, SPSS system files, Excel, XML).
  - g. Be written using nonproprietary software and entirely implemented on a website that can be readily transferred to BJS or its designated data collection agent. It is important that the software selected and programming style used to develop the web collection tool allow for easy and rapid modification without the need for extensive testing to ensure reliability. The data collection tool must be able to readily adapt to changes in one or more of the data collection instruments. These include common changes such as the addition, deletion, or rearrangement of items; the insertion, deletion, and modification of notes to users that are closely associated with particular items; and the display of data from the previous year. The website should include all necessary software needed to implement the web-based data collection tool.
3. *Develop and implement efficient data collection mechanisms.* The current survey format for ASPP does not take advantage of information system capacities to share data using various formats, such as XLM or other exchange models. BJS is committed to adopting these methods (where appropriate) to reduce the burden on respondents and to facilitate the sharing of information among agencies. The data collection agent should also be ready to accept emailed, faxed, or posted versions of the data submission.
4. *Develop, test, and implement a survey management system that will maintain the ASPP data and meta-data, and provide ongoing, real-time status of the current year's collection.*
  - a. Real-time tracking systems that allow for efficient allocation of follow-up efforts, imputation for missing data, and assessments of data quality.
  - b. Within the database, include current information about response modes, initial and final submission dates, follow-up response contacts, and other specific information that can be used to reduce the burden on respondents. Information should be accessible to the BJS project manager at all times without requesting it from the agent.
  - c. As survey responses are received, complete the review, assessment, data entry, and edit check for each survey within 2 weeks of receiving the response. This should include a report that highlights major changes in responses to survey items that can be used during callbacks to document the reasons for changes in reporting. Within that period, address survey response issues such as clarifying

discrepancies in responses, correcting data entry errors, and addressing item nonresponse. Use the database to provide BJS with data quality information, such as item nonresponse and other information to be determined in conjunction with the BJS project manager. Maintain electronic copies of notes from survey respondents that address issues related to their data submission.

- d. Provide a real-time platform for BJS to generate and store ad hoc statistical tables and methodological notes using the full database.
  - e. Via appropriate means (e.g., web-based downloads, FTP), provide BJS with ongoing ability to download Excel data files containing survey responses and notes.
  - f. At the end of the collection, provide BJS with a final, analytic version of the dataset that includes reported and imputed data. Imputed or estimated items should be flagged and so denoted, and complete documentation of missing values should be provided.
5. *Ensure accurate respondent information and enhance the ASPP frame.*
- a. Maintain an accurate and up-to-date contact list of the survey respondents by verifying and continually updating respondents' names, titles, addresses, and contact information, including telephone and fax numbers and email addresses.
  - b. Continually update the ASPP frame by documenting new, closed, and merged agencies. Develop a frame tracking system that will allow BJS to monitor these changes.
  - c. Use existing information on probation agencies and perform additional work to identify probation agencies that supervise misdemeanants only, and produce a roster of all adult supervising agencies.
  - d. Perform outreach related to the frame expansion efforts from 2017-2020. BJS expects to mostly complete the work on frame expansion by 2020, but may need additional work to complete the frame expansion outreach and adding agencies to the final frame.
6. *Improve the timeliness of submitting and delivering the ASPP data to BJS.* Minimize the lag time between the ASPP reference year and the release of data from the ASPP without compromising data quality.
- a. Prepare correspondence that will inform respondents about the launch of the ASPP collection and encourage them to provide data by expressing the importance of these data. Correspondence should start prior to launching the data collection and continue through data collection closeout.
  - b. Develop and implement strategies for data retrieval to maximize a timely and complete response while minimizing respondent burden. Provide follow-up as needed for respondents who need assistance, clarification, or encouragement to complete the survey. Develop and implement strategies for follow-up based on knowledge of response patterns, respondent behavior, and respondent preferences for follow-up while minimizing the burden on respondents associated with completing the data collection. Use cost-effective methods for follow-up contact.
7. *Enhance the quality and reliability of the ASPP data.* Balancing timeliness and the need for high-quality and reliable data is critical to the ASPP. Applicants should describe their approaches and recommendations for enhancing quality and reliability, including:
- a. Develop and implement strategies to minimize both unit and item nonresponse, with the objective of obtaining 100% participation by identified agencies, reducing

burden on respondents, decreasing item nonresponse, and reducing the time to complete the collection.

- b. Implement quality control methods to ensure internal consistencies in the data submitted. Such methods could include, but are not limited to—
    - i. Monitor notes provided by respondents suggesting that the current data may not be consistent with previously provided data.
    - ii. Create a program(s) to help identify large discrepancies in data by item from year to year and for 1-day differences between yearend and beginning-year population counts.
    - iii. Develop and implement reliable estimation/adjustment methods if data cannot be obtained or reconciled through data retrieval. Estimation/adjustment methods for missing data should include but not be limited to four critical items on both the probation and parole surveys: beginning-year population, total number of entries, total number of exits, and yearend population. BJS is interested in various approaches to imputation that explore methods for adjustments using internal and/or external sources. These methods will be applied to data from both the current year and previous years, and will be reevaluated annually.
8. *Prepare ASPP data files for delivery to BJS on an annual basis.* Per BJS specifications, the data collection and analysis agent will prepare annual state and respondent-level data files and all accompanying documentation, including—
- a. Respondent-level dataset, one each for probation and parole, including only original submitted data with any revisions made by respondents during the follow-up period, which may include revisions for previous years.
  - b. Respondent-level dataset, one each for probation and parole, including all original and estimated data (and flagged as such) using approved imputation methods.
  - c. State-level dataset, one each for probation and parole, including only original submitted data with any revisions made by respondents during the follow-up period as well as revisions for previous years.
  - d. State-level dataset, one each for probation and parole, including all original and estimated data (and flagged as such) using approved imputation methods.
  - e. State-level dataset, one each for probation and parole, to be used for archiving purposes.
  - f. State-level dataset, one each for probation and parole, to be used for updating the BJS webtools.
  - g. Comprehensive codebooks, one each for probation and parole, listing the data variables, variable labels, value labels, and missing value codes for 1994 through the most recent reference year. In addition, include frequencies, value ranges, means and medians, and rate of missing data for each variable.
  - h. A blank electronic version of each data collection instrument for the most recent reference year that is 508-compliant.
  - i. Manual, electronic, or other data collection protocols for the most recent reference year.
  - j. Respondent-level jurisdiction notes for the most recent reference year, one each for probation and parole, summarizing the respondents' notes, changes in reporting, and any other relevant information for users.
  - k. State-level jurisdiction notes for the most recent reference year, one each for probation and parole, summarizing the respondents' notes, changes in reporting, and any other relevant information for users.

- I. Based on BJS and NACJD staff review of the materials submitted for archiving the ASPP data, the data collection agent may need to provide additional datasets or documentation. Release or use of the data (including presentations and publications) prior to the release of the public use dataset is not allowed without BJS's written permission.
9. *Analyze data differences due to frame expansion.* Frame expansion work is expected to be complete by 2021, and BJS would like to be able to compare the effects on the data from the expanded frame. This includes being able to see trends in the data including or excluding the agencies added during this effort. BJS may choose to publish data including and excluding the added agencies to provide a comparable year-to-year population count and percent change.
10. *Deliver a core set of state-level tables.* See *Probation and Parole in the United States, 2016* (<https://www.bjs.gov/content/pub/pdf/ppus16.pdf>) for the set of appendix tables to be produced. See *Probation and Parole in the United States, 2010* (<https://www.bjs.gov/index.cfm?ty=pbdetail&iid=2239>) for additional statistical tables to be included as well. Use replicable and flexible methods for generating the tables. Ensure that all tables meet BJS data quality guidelines.
11. *Continually strive to improve the data collection process.* Review and assess the ASPP collection activities and provide BJS a summary of this review annually. The review should also propose enhancements to the ASPP collection that address all aspects of the collection, including but not limited to the design of the survey content; methods to be used for administration, data collection, nonresponse adjustment, and for engaging stakeholder participation; and statistical reports to be developed from the collections.
12. *Conduct research and development for future community corrections data collections.* Propose strategies for the implementation of additional data collections or supplements with the goal of linking agency characteristics to the probation and parole populations and outcomes. Build on work already conducted by BJS related to topics such as community corrections staffing, the use of evidence-based practices, community corrections officer safety, as well as suggest other areas of research to add to community corrections knowledge.
13. *Continue exploration of updating the Annual Probation Survey.* Pending BJS approval and building on the work already done from 2015-2019, the recipient of funds may be called upon to make improvements to the questionnaires. The majority of this work will likely be in the collection of the Annual Probation Survey pilot test data for the RY 2020 collection. This will include obtaining input on the experimental survey from those participating in the pilot test. Some respondents will participate in the pilot test of the experimental probation instruments, while others will receive the standard instrument. Pre-notification and follow-up will vary for the pilot test, and additional work will be necessary during the RY 2020 collection to ensure response rates and data quality of the traditional Annual Probation Survey are not negatively impacted. The data collection agent will be asked to provide input on the proposed design of these forms and implement any changes resulting from findings of the pilot tested instrument while preserving the core set of data elements collected. These data elements will allow BJS to continue to report key statistics on the probation and parole populations that meet BJS's mission, are important to the community corrections field, and align with other BJS data collections that measure similar concepts.

14. *Add to the body of literature on community corrections.* Propose ideas for, and assist in preparing BJS reports based on the ASPP and other community corrections data collected under this solicitation. The BJS project manager will review all proposed topics; if a topic is selected, the report will be a collaborative effort between BJS staff and the data collection agent when possible.
- a. Propose new ideas for the annual probation and parole report and help write the report, including but not limited to the methodology section and the parole and probation explanatory notes.
  - b. Propose ideas for up to two technical reports on newly developed methodologies aimed at improving the overall design of the ASPP and the quality of the ASPP data, and/or statistical techniques that enhance the reliability of the data by correcting for a known data problem(s).
  - c. Propose ideas for up to two reports using published ASPP data and potentially other published BJS community corrections data or external data sources.

15. *Obtain OMB clearance for administration of the ASPP collection.*
- a. Assist BJS in the preparation of the OMB clearance package for the ASPP. Work will include background research on how external community corrections practitioners and researchers use the ASPP, analysis of ASPP data to produce tables necessary for inclusion in the OMB package, and documentation of changes proposed to the instrument.
  - b. Assist BJS with an OMB modification or clearance applications to the ASPP approved collection for implementing the redesigned questionnaires after a pilot test is complete or other exploratory tasks needing OMB permissions.
  - c. Assist BJS with an OMB modification for clearance application to the ASPP approved collection for re-implementing the agency-level questions from 2015 that assess coverage of populations within each state. Including these questions every 3-4 years will help continually assess coverage and identify supervising agencies within states. Explore making this change for RY 2021 collection.

Applicants can review the current clearance for the ASPP collection at <https://www.reginfo.gov/public/do/PRAOMBHistory?ombControlNumber=1121-0064>

16. *Undertake ad hoc data analysis of the ASPP as requested by BJS.* BJS may request additional analyses of the ASPP data to better understand patterns of nonresponse and correlations of data elements within the surveys that could be used to improve data quality. The data collection and analysis agent should expect to conduct three of these short-turnaround (an average of 2 days) analyses per year.
17. *Foster strong working relationships with data providers and community corrections stakeholders.*
- a. Maintain strong working relationships with ASPP data providers and implement procedures that foster information sharing among providers. BJS expects the data collection and analysis agent to engage respondents at appropriate venues to discuss data collection issues and usability, and to use these forums to enhance participation in the collection.
  - b. Participate with BJS in major conferences or meetings of a major association of probation and parole or corrections professionals to present on issues related to ASPP. Propose topics and roles that the applicant's staff will play during these events.



18. *Maintain good communication with the BJS program manager.* This should include participating in weekly telephone meetings to discuss progress and issues with project activities, convening annual kick-off meetings at BJS, providing monthly written progress reports and monthly expenditures, that include a cost to complete financial worksheet, by task to the BJS program manager, and meeting all OJP reporting deadlines.

Deliverables for year 1 of the project include—

1. web-based survey
2. survey management system
3. correspondence with respondents
4. finalized frame of included probation agencies
5. report on findings from the Annual Probation Survey pilot test including recommendations for moving forward with a possible implementation in RY2021.
6. data retrieval protocol
7. estimation model for unit and item nonresponse
8. core state-level tables
9. analyst- and archive-ready data files and documentation.
10. available data comparisons of the expanded frame to the 2018 frame

Deliverables for years 2 through 5 will be determined after the solicitation is awarded and will rely on completion of those tasks expected in year 1.

BJS seeks an applicant that encompasses a team of experts in which the survey director has a primary role and the methodologist or statistician and programmers are involved with project work from the beginning. These individuals should work together to successfully implement the ASPP data collection, improve data quality and imputation methods, improve data management, and enhance the utility of data collected. The applicant must demonstrate a strong commitment to the project goals and possess knowledge and understanding of:

- survey methodology to develop and implement procedures to expand community corrections data collections that meet project goals, streamline ASPP collection and processing efforts, identify and overcome challenges related to surveying community corrections agencies, propose ideas for methodological reports, and assist in the development of those reports
- statistics to enhance the reliability of the estimates produced, develop sampling designs to produce national and subnational estimates for future collection efforts, propose methods for imputing unit and item non-response, propose ideas for technical reports, and assist in the development of those reports
- community corrections to enhance the utility of the data produced, including identifying additional information gaps or emerging issues that need to be addressed, and to propose ideas for additional statistical products using community corrections data collected as well as external data sources, and assist in the development of the reports.

The team will be expected to work collaboratively with BJS in setting priorities to better achieve the project goals.

Entities submitting proposals in response to this solicitation should describe the approaches and methods they would adopt to work with BJS in meeting these goals. BJS welcomes innovative ideas and recommendations for developmental work to improve the overall design of the ASPP and achieve the additional goals of expanding our community corrections statistics. Entities



should also integrate the description of these activities into their discussion of the proposed efforts to address the objectives for this project.

In addition to required datasets, a draft and final summary overview of research results, and interim and final progress and financial reports,<sup>1</sup> BJS may expect research products to result from an award under this solicitation, taking the form of one or more published, peer-reviewed, scientific journal articles, and/or (if appropriate) law review journal articles, book chapter(s) or book(s) in the academic press, technological prototypes, or similar scientific products.

### **Information Regarding Potential Evaluation of Programs and Activities**

Applicants should note the Office of Justice Programs (OJP) may conduct or support an evaluation of the programs and activities funded under this solicitation. For additional information, see the OJP Grant Application Resource Guide section, entitled, “Information Regarding Potential Evaluation of Programs and Activities.”

## **B. Federal Award Information**

Maximum number of awards BJS expects to make	One
Estimated maximum dollar amount for each award (months)	\$1.75 million (for the initial 36 months)
Total amount anticipated to be awarded under solicitation (months)	\$2.75 million (for the full 60 months)
Period of Performance start date	October 1, 2020
Period of Performance duration	60 months

**Please note that applicants should submit separate annual budgets for each fiscal year from 2021 through 2025 (RY’s 2020-2024) and one summary budget for the entire project period.**

BJS may, in certain cases, provide additional funding in future years to awards made under this solicitation, through continuation awards. OJP will consider, among other factors, OJP’s strategic priorities, a recipient’s overall management of the award, and progress of award-funded work, when making continuation-award decisions.

Under this solicitation, only one application by any particular 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 2020 solicitation in future fiscal years, dependent on, among other considerations, the merit of the applications and on the availability of appropriations.

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

---

<sup>1</sup> See “Federal Award Administration” (“General Information About Post-Federal Award Reporting Requirements”) section of this solicitation, below, for additional information.

## Type of Award

BJS expects to make awards under this solicitation as cooperative agreements, which provide for BJS to have substantial involvement in carrying out award activities. See the “Administrative, National Policy, and Other Legal Requirements” section of the [OJP Grant Application Resource Guide](#) for additional information.

## Financial Management and System of Internal Controls

Award recipients and subrecipients (including recipients or subrecipients that are pass-through entities) must, as described in the Part 200 Uniform Requirements<sup>2</sup> as set out at 2 C.F.R. 200.303, comply with standards for financial and program management. See [OJP Grant Application Resource Guide](#) for additional information.

## Information System Security and Privacy Requirements

Award recipients and subrecipients that collect, receive, handle, maintain, transfer, process, store, or disseminate personally identifiable information (PII) (e.g., names, Social Security numbers, last-known addresses, or FBI, state, or Department of Correction (DOC) ID numbers) under BJS’s authority in conjunction with the funded activities must maintain the appropriate administrative, physical, and technical safeguards to ensure that information systems are adequately secured and protected against unauthorized disclosure, in accordance with applicable federal laws, regulations, and other authorities.

Specifically, BJS award recipients and subrecipients are required to, as applicable—

- Follow the [DOJ Cybersecurity and Privacy 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 System Modernization Act](#) (FISMA) (P.L. No. 107-347), which appears as Title III of the E-Government Act of 2002 (P.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 data set or product without the express written consent of BJS.
- Reduce the volume of PII collected, used, or retained to the minimum necessary.
- Limit access to identifiable data to only those individuals who must have such access.
- Limit use of identifiable data to only the purposes for which it was approved.
- Notify BJS, within one hour of discovery, of all security incidents that impact a FISMA-defined information system used to support award activities.
- Log all computer-readable data extracts from databases holding sensitive information and ensure that each extract including sensitive data has been erased within 90 days or that its use is still required.
- Ensure all contracts involving the processing and storage of PII comply with DOJ policies on remote access and security incident reporting.
- Complete data security and confidentiality trainings.
- Employ formal sanctions for anyone failing to comply with DOJ policy and procedures, in accordance with applicable laws and regulations.

---

<sup>2</sup> The “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.

Applicants are advised that OJP may audit the FISMA-defined information systems that are used by award recipients 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 federal statutes, regulations, and other authorities that govern data collected and maintained under BJS's authority. The guidelines are available at [https://www.bjs.gov/content/pub/pdf/BJS\\_Data\\_Protection\\_Guidelines.pdf](https://www.bjs.gov/content/pub/pdf/BJS_Data_Protection_Guidelines.pdf).

## **Budget Information**

### **Cost Sharing or Matching Requirement**

This solicitation does not require a match.

Please see the [OJP Grant Application Resource Guide](#) for information on the following:

[Pre-agreement Costs \(also known as Pre-award Costs\)](#)  
[Limitation on Use of Award Funds for Employee Compensation; Waiver](#)  
[Prior Approval, Planning, and Reporting of Conference/Meeting/Training Costs](#)  
[Costs Associated with Language Assistance \(if applicable\)](#)

## **C. Eligibility Information**

For eligibility information, see the title page.

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

## **D. Application and Submission Information**

### **What an Application Should Include**

The following application elements MUST be included in the application submission for an application to meet the basic minimum requirements (BMR) to advance to peer review and receive consideration for funding: Program Narrative, Budget Detail Worksheet and Budget Narrative, and résumés/curriculum vitae of key personnel.

See the "Application Elements and Formatting Instructions" section of the [OJP Grant Application Resource Guide](#) for information on what happens to an application that does not contain all the specified elements, or that is nonresponsive to the scope of the solicitation.

#### **1. Application for Federal Assistance (Standard Form (SF)-424)**

The SF-424 is a required standard form used as a cover sheet for submission of pre-applications, applications, and related information. See the [OJP Grant Application Resource Guide](#) for additional information on completing 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

Include a project abstract that summarizes the proposed project in 400 or fewer words. Project abstracts should be—

- Written for a general public audience.
- Submitted as a separate attachment with “Project Abstract” as part of its file name.
- Single-spaced, using a standard 12-point Times New Roman font with 1-inch margins.

## 3. Program Narrative

The program narrative should describe how the applicant will address the project’s goals and objectives and meet the deliverables. The program narrative should also address the selection criteria; present a clear understanding of BJS, its mission, and the SJIC; and demonstrate the applicant’s capabilities to complete the tasks in a timely manner.

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

- a. Statement of the Problem/Description of the Issue.
- b. Project Design and Implementation.
- c. Capabilities and Competencies.
- d. Plan for Collecting the Data Required for this Solicitation’s Performance Measures.

The first two sections of the program narrative should not exceed 25 pages using a minimum of 1.5 line spacing, 12-point font (Times New Roman), and 1-inch margins. These limitations apply to tables and figures included in sections a. and b. If the program narrative fails to comply with these length-related restrictions, BJS may negatively consider such noncompliance in peer review and in final award decisions.

OJP will require each successful applicant to submit regular performance data that demonstrate the results of the work carried out under the award. The performance data directly relate to the goals, objectives, and deliverables identified under “Goals, Objectives, and Deliverables” in [Section A. Program Description](#).

Applicants should visit OJP’s performance measurement page at [www.ojp.gov/performance](http://www.ojp.gov/performance) for an overview of performance measurement activities at OJP. Performance measures for this solicitation are listed in Appendix A: Performance Measures Table.

Please note that applicants are **not** required to submit performance data with the application. Performance measures information is included as an alert that successful applicants will be required to submit performance data as part of the reporting requirements under an award.

### Note on Project Evaluations

An applicant that proposes to use award funds through this solicitation to conduct project evaluations should follow the guidance under Note on Project Evaluations in the [OJP Grant Application Resource Guide](#).

Please see the [OJP Grant Application Resource Guide](#) for information on the following:

4. [Budget Information and Associated Documentation](#) in the “Budget Preparation and Submission Information” section.
5. [Indirect Cost Rate Agreement](#)
6. [Tribal Authorizing Resolution](#) (if applicable)
7. [Financial Management and System of Internal Controls Questionnaire \(including applicant disclosure of high-risk status\)](#)
8. [Disclosure of Lobbying Activities](#)
9. [Applicant Disclosure of Pending Applications](#)
10. [Applicant Disclosure and Justification – DOJ High Risk Grantees<sup>3</sup>](#) (if applicable)
11. [Research and Evaluation Independence and Integrity](#)
12. [Disclosure of Process Related to Executive Compensation](#)
13. **Additional attachments**

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 information. Applicants must specify in the Privacy Certificate the specific controls used to safeguard directly identifiable information against unauthorized disclosure. All project staff, including information technology personnel, subcontractors, and/or consultants, with access to identifiable data collected in conjunction with the BJS-funded activities are required to sign a Privacy Certificate to affirm their understanding of an agreement to comply with the terms of access and privacy requirements. Award recipients are responsible for maintaining an updated list of individuals with access to identifiable information and for ensuring that new staff who gain access to such information during the project period sign a Privacy Certificate. A model certificate is located at [www.bjs.gov/content/pub/pdf/bjsmpc.pdf](http://www.bjs.gov/content/pub/pdf/bjsmpc.pdf).

---

<sup>3</sup> A “DOJ High Risk Grantee” is a recipient that has received a DOJ High Risk designation based on a documented history of unsatisfactory performance, financial instability, management system or other internal control deficiencies, or noncompliance with award terms and conditions on prior awards, or that is otherwise not responsible.

- **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](http://www.bjs.gov/content/hscr.cfm).

## How to Apply (Grants.gov)

Applicants must register in and submit applications through [Grants.gov](http://Grants.gov), a primary source to find federal funding opportunities and apply for funding. Find information on how to apply in response to this solicitation in the [OJP Grant Application Resource Guide](#).

### Registration and Submission Steps

Applicants will need the following identifying information when searching for the funding opportunity on Grants.gov:

- CFDA # 16.734, Special Data Collections and Statistical Studies.
- BJS-2020-17612.

For information on each registration and submission step, see the [OJP Grant Application Resource Guide](#).

## 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/Description of the Issue (15%)**—Applicants must demonstrate a clear understanding of the project and the ASPP program goals of (a) improving the timeliness of data, (b) enhancing the reliability of data, (c) fostering strong working relationships with and among data providers, (d) improving responsiveness to stakeholder needs, and (e) developing and implementing efficient data collection mechanisms. Applications should demonstrate—
  - Awareness of the state of current research.
  - Knowledge of issues facing community corrections supervising agencies, and challenges smaller probation agencies face in gathering and reporting data.
  - Knowledge of methods for improving timely survey response.
  - Understanding of how the ASPP contributes to the community corrections field and the criminal justice system.
2. **Project Design and Implementation (35%)**—Applicants must demonstrate that they can design and implement a high-quality project. Applications should demonstrate—
  - Soundness of the methods and analytic and technical approach to addressing the stated aim(s) of the proposed project.
  - Feasibility of the proposed project.
  - Awareness of potential pitfalls of the proposed project design and feasibility of the proposed actions to minimize and/or mitigate them.
  - A plan for efficiently and cost-effectively administering surveys to probation and parole agencies that collect and process data.



- An understanding of the challenges facing community corrections respondents in providing data to meet BJS standards and an approach that recognizes and addresses these challenges.
  - Sound proposed procedures for carrying out the project tasks and meeting the project deliverable time frames. This includes a commitment to identifying, communicating, and addressing potential problems before they become an issue; and a plan for up-to-date tracking and reporting of data collection progress.
- 3. Capabilities and Competencies (30%)**—Applicants must demonstrate that they have the appropriate corporate and staff capabilities and experience to conduct the work outlined in the project tasks. Applicants should demonstrate—
- A demonstrated ability of the applicant organization to manage the effort.
  - The qualifications, demonstrated ability, and experience of the proposed staff who will manage the project and of those who will have day-to-day data collection responsibilities in the use of accepted survey research methods in the following areas: (a) questionnaire design; (b) collection of data from probation and parole agencies; (c) cleaning and verifying data and providing files that exhibit a high degree of accuracy; (d) conducting independent analysis of data; and (e) producing datasets and documentation that require a high degree of attention to detail.
  - The qualifications, demonstrated ability, and experience of the information technology staff and the capacity of the computing environment for developing a real-time tracking system (electronic database) and preparing datasets for statistical analysis.
  - An adequate management plan for the project, including sufficient delineation of project tasks and how project resources will be used.
  - Adequate management oversight and quality control procedures.
  - Successful past performance of the proposed project team in addressing the key objectives for the project.
  - Demonstrated knowledge of the criminal justice system.
- 4. Plan for Collecting the Data Required for this Solicitation’s Performance Measures (5%)**—Proposes efficient data collection activities required to demonstrate the project’s performance in a low-cost manner and as part of the project organization.
- 5. Budget (15%)**—Applicants must demonstrate awareness of methods for using budgetary resources efficiently and effectively and demonstrate appropriate internal controls over these resources. The application budget should be complete, cost-effective, and allowable (e.g., reasonable, allocable, and necessary for project activities) and demonstrate—
- Appropriateness of the proposed budget for the level of effort outlined in the project plans.
  - Total cost of the project relative to the perceived benefit (cost-effectiveness).
  - Adequate and efficient assignment of staff to tasks.
  - Adequate budgetary controls to ensure that resources are managed effectively and in compliance with federal regulations.
  - Use of existing resources to conserve costs.
  - Proposed budget alignment with proposed project activities.

- Cost-effectiveness in relation to potential alternatives and the goals of the project.<sup>4</sup>

**Please note that applicants should submit separate annual budgets for each fiscal year from 2021 through 2025 and one summary budget for the entire project period.**

## **Review Process**

BJS reviews the application to make sure that the information presented is reasonable, understandable, measurable, achievable, and consistent with the solicitation. See the [OJP Grant Application Resource Guide](#) for information on the application review process for this solicitation.

In addition, if OJP anticipates that an award will exceed \$250,000 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 the applicant.

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

## **F. Federal Award Administration Information**

Please see the [OJP Grant Application Resource Guide](#) for information on the following:

### **Federal Award Notices**

### **Administrative, National Policy, and Other Legal Requirements**

OJP strongly encourages prospective applicants to review information on post-award legal requirements and common OJP award conditions prior to submitting an application.

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, and all applicable requirements of federal statutes and regulations (including applicable requirements referred to in the assurances and certifications executed in connection with award acceptance).

For additional information on these legal requirements, see the “Administrative, National Policy, and Other Legal Requirements” section in the [OJP Grant Application Resource Guide](#).

---

<sup>4</sup> Generally speaking, a reasonable cost is a cost that, in its nature or amount, does not exceed that which would be incurred by a prudent person under the circumstances prevailing at the time the decision was made to incur the costs.

## **Information Technology (IT) Security Clauses**

### **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 certain reports and data.

Required reports. Recipients typically must submit quarterly financial reports, semi-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.)

See the [OJP Grant Application Resource Guide](#) for additional information on specific post-award reporting requirements, including performance measures data.

### **G. Federal Awarding Agency Contact(s)**

For OJP contact(s), see page 2.

For contact information for Grants.gov, see page 2.

### **H. Other Information**

Please see the [OJP Grant Application Resource Guide](#) for information on the following:

**[Freedom of Information Act and Privacy Act \(5 U.S.C. 552 and 5 U.S.C. 552a\)](#)**

**[Provide Feedback to OJP](#)**

## Performance Measures

Objective	Performance Measure(s)	Data Recipient Provides
<p>Administer the Annual Surveys on Probation and Parole, while collecting and maintaining timely, complete and accurate ASPP data</p>	<p>Number of scheduled data collection series and special analysis conducted</p> <p>Number of completed data collection on time</p> <p>Achieve an overall 90% survey response rate</p> <p>Number of agencies submitting data in a timely manner</p> <p>Percent of records in the database that are complete and accurate</p>	<p>Final files and documentation as outlined in Goals, Objective, Deliverables, and Products section.</p> <p>Completion of the annual ASPP</p> <p>Analysis of frame including and excluding expansion agencies.</p> <p>Possible revisions to the ASPP questionnaires.</p> <p>Number of agencies participating in the survey</p> <p>Number of agencies that responded to the survey</p> <p>Number of agencies submitting data in a timely manner</p> <p>Annual assessment of non-response reasons, non-response imputation methods, improvements to the data collection process.</p>
<p>Disseminate ASPP data to external researchers to expand community corrections body of literature and inform stakeholders using ASPP and other corrections data.</p>	<p>Number of published reports using ASPP and other community corrections data.</p> <p>Number of times BJS data are used or reference in academic journals, publications, and mass media outlets.</p>	<p>Number of presentations at professional or academic conferences.</p> <p>Proposals, drafts of papers, and final articles or presentations.</p>

Objective	Performance Measure(s)	Data Recipient Provides
	Number of published papers using ASPP data (both BJS and external publications).	Preparation and research for any needed OMB package during the time of the award.
Provide statistical support to BJS to strengthen research and data collection activities, including enhancing ASPP.	<p>Percentage of deliverables (including final reports and data files) that are completed on time.</p> <p>Percentage of deliverables (including final reports and data files) that meet BJS's expectations for depth, breadth, scope, quality of study, and pertinence.</p> <p>Quality of project management as measured by whether significant interim project milestones were achieved, final deadlines were met, and costs were maintained within approved funds.</p>	<p>Project plans, quarterly financial reports, monthly and semi-annual progress reports, and survey nonresponse progress reports; core state-level tables, original submitted data, analyst-ready data files, archive ready data files, and archive documents and notes files.</p> <p>Breadth and depth of the report and the quality of the recommendations for improving the ASPP collection.</p> <p>Number of data files that meet reporting standards and are delivered on schedule to BJS each year.</p> <p>All applicable deliverables, as outlined in Goals, Objectives, Expected Scholarly Products section, including final reports and grantee statistical documents authored/co-authored with BJS.</p>
Develop webtool for data collection	<p>Number of issues found by respondents</p> <p>Number of issues found by BJS</p> <p>Response rate of annual collection</p>	See deliverables in Goals and Objectives under number four

## Application Checklist

# Annual Surveys of Probation and Parole, RY 2020–2024

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

### What an Applicant Should Do:

#### *Prior to Registering in Grants.gov:*

- Acquire a DUNS Number (see [OJP Grant Application Resource Guide](#))
- Acquire or renew registration with SAM (see [OJP Grant Application Resource Guide](#))

#### *To Register with Grants.gov:*

- Acquire AOR and Grants.gov username/password (see [OJP Grant Application Resource Guide](#))
- Acquire AOR confirmation from the E-Biz POC (see [OJP Grant Application Resource Guide](#))

#### *To Find Funding Opportunity:*

- Search for the Funding Opportunity on Grants.gov (see [OJP Grant Application Resource Guide](#))
- Access Funding Opportunity and Application Package (see [OJP Grant Application Resource Guide](#))
- Sign up for Grants.gov email [notifications](#) (optional) (see [OJP Grant Application Resource Guide](#))
- 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 [OJP Grant Application Resource Guide](#))

#### *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 [OJP Grant Application Resource Guide](#))

#### *If no Grants.gov receipt, and validation or error notifications are received:*

- contact BJS regarding experiencing technical difficulties (see [OJP Grant Application Resource Guide](#))

### Overview of Post-Award Legal Requirements:

Review the "[Overview of Legal Requirements Generally Applicable to OJP Grants and Cooperative Agreements - FY 2020 Awards](#)" in the [OJP Funding Resource Center](#).

### Scope Requirement:

- The federal amount requested is within the allowable limit(s). (see [OJP Grant Application Resource Guide](#))



**Eligibility Requirement:**

- National, regional, state, or local public and private entities
- For-profit and nonprofit organizations (including tribal)
- Faith-based and community organizations
- Institutions of higher education (including tribal)
- Units of local government that support initiatives to improve the functioning of the criminal justice system
- Federally recognized Indian tribal governments

**What an Application Should Include:**

The following items are critical application elements required to pass Basic Minimum Requirements review. An application that OJP determines does not include the application elements that must be included in the application submission in order for the application to meet the basic minimum requirements, will neither proceed to peer review, nor receive further consideration.

- Program Narrative (see page 19)
- Budget Detail Worksheet (Including Budget Narrative) (see [OJP Grant Application Resource Guide](#))
- Résumés (see page 18)

- Application for Federal Assistance (SF-424) (see [OJP Grant Application Resource Guide](#))
- Project Abstract (see page 18)
- Indirect Cost Rate Agreement (if applicable) (see [OJP Grant Application Resource Guide](#))
- Tribal Authorizing Resolution (if applicable) (see [OJP Grant Application Resource Guide](#))
- Financial Management and System of Internal Controls Questionnaire (see [OJP Grant Application Resource Guide](#))
- [Disclosure of Lobbying Activities \(SF-LLL\)](#) (see [OJP Grant Application Resource Guide](#))
- Applicant Disclosure of Pending Applications (see [OJP Grant Application Resource Guide](#))
- Applicant Disclosure and Justification – DOJ High Risk Grantees (if applicable) (see [OJP Grant Application Resource Guide](#))
- Research and Evaluation Independence and Integrity (see [OJP Grant Application Resource Guide](#))

**Additional Attachments**

- Human Subjects
- Privacy
- Employee Compensation Waiver request and justification (if applicable) (see [OJP Grant Application Resource Guide](#))