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The [U.S. Department of Justice](#) (DOJ), [Office of Justice Programs](#) (OJP), [Bureau of Justice Statistics](#) (BJS) is pleased to announce that it is seeking applications for the BJS Analytic Resource Center (BJS-ARC), a project to support BJS's statistical methodology research, statistical analyses, and reporting for its Criminal Justice Statistics Program. As the principal federal statistical agency in the Department, BJS is responsible for the collection, analysis, publication, and dissemination of statistical information on crime, criminal offenders, victims of crime, and the operations of criminal justice systems at all levels of government. This project furthers the Department's mission to identify the most pressing challenges confronting the justice system and to provide information in support of innovative strategies and approaches for dealing with these challenges.

## BJS Analytic Resource Center

### Eligibility

Eligible applicants are limited to for-profit (commercial) organizations, nonprofit organizations, faith-based and community organizations, institutions of higher learning, and consortia with demonstrated organizational and community-based experience working with American Indian and Alaska Native communities, including tribal for-profit (commercial) and nonprofit organizations, tribal colleges and universities, and tribal consortia. For-profit organizations must agree to forgo any profit or management fee.

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

### Deadline

Applicants must register with [Grants.gov](#) prior to submitting an application. (See "How to Apply," page 22.) All applications are due by 11:59 p.m. eastern time on July 9, 2012. (See "Deadlines: Registration and Application," page 3.)

### Contact Information

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

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

For assistance with any other requirements of this solicitation, contact William J. Sabol, BJS Deputy Director, by telephone at 202-307-0765 or by e-mail at [askbjs@usdoj.gov](mailto:askbjs@usdoj.gov). Include "bjsarc" in the subject line.

Grants.gov number assigned to announcement: BJS-2012-3344

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# **BJS Analytic Resource Center (CFDA #16.734)**

## **Overview**

The Bureau of Justice Statistics (BJS) seeks an agent to implement the Bureau of Justice Statistics Analytic Resource Center (BJS-ARC) project. The BJS-ARC is designed to provide scientific and technical support for statistical and methodological research, statistical analyses, documentation, and dissemination services in support of BJS's Criminal Justice Statistics Program (CJSP). Through our CJSP, BJS collects and publishes statistics about crime and the operations of the criminal justice system. The CJSP encompasses more than 30 separate statistical collections about policing, prosecution, the courts, institutional corrections, and community supervision. The BJS-ARC will enhance BJS's efforts by expanding our capacity to analyze CJSP data and document the analysis, thus increasing the breadth of substantive issues that CJSP addresses in both the short run and longer term. BJS intends to fund the BJS-ARC project through a cooperative agreement for a 5-year period. BJS is authorized to issue this solicitation under 42 U.S.C. § 3732(c).

## **Deadlines: Registration and Application**

Applicants must register with Grants.gov prior to submitting an application. OJP encourages applicants to register several weeks before the application submission deadline. The deadline to apply for funding under this announcement is 11:59 p.m. eastern time on July 9, 2012. See the "How to Apply" section on page 22 for details.

## **Eligibility**

Refer to the title page for eligibility under this program.

## **Project-Specific Information**

Through the BJS-ARC project, BJS aims to undertake and complete methodological research that will complement its routine collection and reporting of criminal justice system statistics under its Criminal Justice Statistics Program. Through its CJSP, BJS develops and disseminates statistics that describes the operations of the criminal justice system; the attributes of law enforcement, prosecution, judicial, and correctional agencies at the federal, state and local levels; and undertakes special projects to develop new statistical collections and methodologies. For this project, the work focuses on statistical collections other than the National Crime Victimization Survey (NCVS). All references to the CJSP that follow exclude the NCVS unless it is explicitly mentioned.

In total, the CJSP has administered numerous data collections over the years (a roster can be found at: [www.bjs.gov/index.cfm?ty=dca](http://www.bjs.gov/index.cfm?ty=dca)). During a given year, BJS's CJSP comprises about 30 statistical collections. The majority of these are establishment surveys that obtain two types of information: (1) data on the movement of offender populations through the criminal justice system and (2) data on the characteristics of criminal justice agencies.

In addition, several of the CJSP collections are based on administrative records obtained from pretrial, court, and correctional agencies. Periodically, the CJSP conducts surveys of offenders—primarily offenders in prisons or local jails. Through these collections, BJS annually publishes statistics on persons under correctional supervision, persons who die in custody, and persons processed through the federal criminal justice system. Periodically, it publishes statistics on law enforcement agencies and correctional facility operations, on prosecution practices and policies, on state court case processing and felony convictions, on criminal justice expenditures and employment, on civil justice case processing, on the characteristics of correctional populations, and on the recidivism patterns of offenders.

More information about the statistical collections in the CJSP can be found at:

- Law enforcement:  
[www.bjs.gov/index.cfm?ty=tp&tid=7#data\\_collections](http://www.bjs.gov/index.cfm?ty=tp&tid=7#data_collections)
- Prosecution & courts:  
[www.bjs.gov/index.cfm?ty=tp&tid=2#data\\_collections](http://www.bjs.gov/index.cfm?ty=tp&tid=2#data_collections)  
[www.bjs.gov/index.cfm?ty=tp&tid=27#data\\_collections](http://www.bjs.gov/index.cfm?ty=tp&tid=27#data_collections)
- Corrections:  
[www.bjs.gov/index.cfm?ty=tp&tid=1#data\\_collections](http://www.bjs.gov/index.cfm?ty=tp&tid=1#data_collections)
- Federal criminal justice system:  
[www.bjs.gov/index.cfm?ty=dcdetail&iid=262](http://www.bjs.gov/index.cfm?ty=dcdetail&iid=262)

BJS's primary vehicles for disseminating statistics from its CJSP are annual or periodic bulletins that provide the latest statistics on a particular criminal justice population, on agencies and facilities; special reports that address topical issues; data briefs that are meant to cover a very limited set of findings;<sup>1</sup> various online data tools ([www.bjs.gov/index.cfm?ty=daa](http://www.bjs.gov/index.cfm?ty=daa)); and the National Archive of Criminal Justice Data (NACJD) (available at: [www.icpsr.umich.edu/icpsrweb/NACJD/index.jsp](http://www.icpsr.umich.edu/icpsrweb/NACJD/index.jsp)), where BJS archives and makes available to the public copies of data collected through the CJSP.

To this core body of statistical collection and reporting, BJS has, in recent years, undertaken efforts to enhance both its data collection portfolio and its statistical reporting practices. Much of the effort was stimulated by the Committee on National Statistics of the National Academies report on BJS titled *Ensuring the Quality, Credibility, and Relevance of U.S. Justice Statistics*, available at: [www.nap.edu/catalog.php?record\\_id=12671](http://www.nap.edu/catalog.php?record_id=12671)). The efforts are manifested in BJS efforts to use administrative data; to adapt its establishment surveys to a core-supplement model for the purposes of minimizing respondent burden while expanding content; to examine new methods of continuous data collection in law enforcement statistics and to expand the coverage beyond management and administrative statistics in this area; and to enhance the coverage and quality of its statistical reporting portfolio.

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<sup>1</sup> Reports are available from the BJS website at: [www.bjs.gov/index.cfm?ty=pbo](http://www.bjs.gov/index.cfm?ty=pbo).

The work of the BJS Analytic Resource Center will focus efforts on three areas:

*1. Expand BJS's use of administrative records*

Historically, BJS has used administrative records for statistical purposes. Administrative data are collected as a part of a program agency's routine operations. Notably, BJS's prior prisoner recidivism studies (see: [www.bjs.gov/index.cfm?ty=pbdetail&iid=1135](http://www.bjs.gov/index.cfm?ty=pbdetail&iid=1135) and [www.bjs.gov/index.cfm?ty=pbdetail&iid=1134](http://www.bjs.gov/index.cfm?ty=pbdetail&iid=1134)), its National Corrections Reporting Program (NCRP) data (see: [www.icpsr.umich.edu/icpsrweb/content/NACJD/guides/ncrp.html](http://www.icpsr.umich.edu/icpsrweb/content/NACJD/guides/ncrp.html)), and its State Court Processing Statistics (see: [www.icpsr.umich.edu/icpsrweb/NACJD/studies/2038?archive=NACJD&q=state+court+processing+statistics](http://www.icpsr.umich.edu/icpsrweb/NACJD/studies/2038?archive=NACJD&q=state+court+processing+statistics)) represent examples of BJS's efforts to use administrative records for statistical purposes. These data have been used in BJS reports (e.g., [www.bjs.gov/index.cfm?ty=pbdetail&iid=1134](http://www.bjs.gov/index.cfm?ty=pbdetail&iid=1134)) and by researchers<sup>2</sup> to understand changes in criminal justice processing.

More recently, BJS has expanded its use of administrative records by investing in technology to capture data from operational systems and by expanding the scope of its efforts to obtain records. Notably, in the latest study of the recidivism of released prisoners—Recidivism of Prisoners Released in 2005—BJS took advantage of years of investment in improving the quality of criminal history records (records of arrest and prosecution or RAP sheets), to develop and institutionalize automated methods for harvesting and processing these records to create statistical databases that can be used to study recidivism of prisoners. These methods will allow BJS to conduct more frequent and more cost-effective recidivism studies and will facilitate use of different subsets of offenders.

The current recidivism study is the third such study BJS has undertaken. And, although the methods used in the three studies vary slightly, they share common elements that may allow for comparisons over time, given appropriate treatment of the differences. Of particular interest to BJS are questions such as:

- How has the nature and extent of the prior criminal history of released prisoners changed over time?
- How much risk to public safety do released prisoners pose?
- To what extent do observed recidivism outcomes capture suppressed risk rather than latent or unsuppressed risk?
- How have mobility patterns of released prisoners changed, where mobility is measured with respect to the location of criminal history events?
- To what extent do local labor market conditions affect recidivism of released offenders?
- What is the capacity of criminal history records to generate various measures of recidivism? What is the relative value of the different recidivism measures for supporting policy making and capturing offender risk?

To answer questions such as these, research would have to address the differences in methodologies across the three projects; or additional data would have to be linked to the recidivism data.

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<sup>2</sup> See, for example, John Pfaff, 2011, "The Myths and Realities of Correctional Severity: Evidence from the National Corrections Reporting Program," *American Law and Economics Review*. Brian Forst and Shawn Bushway, 2012, "Discretion, Rule of Law, and Rationality," *Justice Quarterly* (forthcoming).

In terms of expanding the use of operational data, BJS has invested in using police booking data to develop statistics about crime and the criminal justice system response. A pilot project using data from three states provides evidence that the concept of using these data has viability, but it also indicates the need for additional methodological work to assess coverage and comparability issues prior to creating an individual-level statistical system to describe arrests. For example, the pilot project has demonstrated the utility of these data for providing statistics on unique persons booked or arrested, on arrests, and on charges for each arrest. It has demonstrated that crimes such as aggravated assault, drug offenses, larceny, and burglary are major reasons for bookings across the three pilot states, but that the reporting of probation violations, failure to appear, and other supervision charges varies across states.

In a related effort, BJS is exploring the feasibility of a system that extracts detailed statistics on offenses known to law enforcement from their administrative records. If the concept is feasible, BJS's goal will be to draw a sample of jurisdictions from which it will cull data extracts from their law enforcement management information systems for the purposes of generating nationally representative, disaggregated statistics on offenses known to law enforcement. The utility of such administrative records can be seen by looking at the statistics that can be generated from the FBI's National Incident Based Reporting System (NIBRS), and indeed, NIBRS-compliant jurisdictions are included in BJS's proposed national sampling plan with certainty. The NIBRS data (as well as data from law enforcement management information systems) provide for detailed information on offense involved as well as the characteristics of victims, victim-offender relationship, victim injury, weapon use in crimes, and other attributes of criminal incidents.

This effort to develop a statistical system based on incident-level data from police administrative records should enable BJS to report summary statistics on criminal incidents (such as those reported in the UCR) but also to produce statistics that address correlations between victim characteristics and crimes.

BJS has further invested in linking administrative records across data systems. In the aforementioned recidivism studies, BJS links NCRP records to RAP sheets using biometrically-based identifiers such as the state ID, to a state-based finger-print identification variable. Within the NCRP itself, BJS links prison admissions to prison stock and prison release records, to create "term records" that identify each commitment episode in prison. In its Deaths in Custody Reporting Program (ARC) (see: [www.bjs.gov/index.cfm?ty=tp&tid=19](http://www.bjs.gov/index.cfm?ty=tp&tid=19)), BJS is exploring linking records to the National Death Index (NDI) to obtain information on underlying causes of death to supplement the information it currently obtains on proximate cause of death, as well as to examine the feasibility of modifying the ARC's mode of obtaining detailed data on cause of death.

In its survey design work, BJS is implementing procedures to exploit administrative data to gather information about criminal history and income. Specifically, in its upcoming planned administration of its survey of prison inmates, (for information about prior iterations of the survey, see: [www.icpsr.umich.edu/icpsrweb/content/NACJD/guides/sisfcf.html](http://www.icpsr.umich.edu/icpsrweb/content/NACJD/guides/sisfcf.html)) BJS plans to obtain consent from interviewed inmates to use their state ID number to link to RAP sheets to obtain criminal history data that will be comparable to what it obtains in its recidivism studies. Further, BJS plans to obtain consent to collect inmates' social security numbers for the purpose of linking to Social Security Administration data on income and benefits.

Use of enhanced operational and administrative data for statistical purposes creates a greater demand for assessing the validity and reliability of systems storing the data and the "fitness for

use” of the data in generating national statistics. A core component of this project will be to assess these aspects of operational and administrative data for statistical purposes.

## *2. Help BJS implement core-supplement and continuous collection approaches to establishment surveys*

In addition to efforts to expand its use of administrative data, BJS has also invested in new designs and methods in some of its establishment surveys. Notably, BJS is working to implement a core-supplement approach to collecting data about police agencies, local jails, prisons, and probation and parole agencies, and other agencies operating in the criminal justice system. In the past, BJS implemented establishment surveys to capture data about organizational attributes or offender population movements. See, for example, the survey instruments for the Law Enforcement, Management and Administrative Statistics ([www.bjs.gov/index.cfm?ty=dcdetail&iid=248](http://www.bjs.gov/index.cfm?ty=dcdetail&iid=248)); the National Prisoner Statistics ([www.bjs.gov/index.cfm?ty=dcdetail&iid=269](http://www.bjs.gov/index.cfm?ty=dcdetail&iid=269)); the Annual Survey of Jails ([www.bjs.gov/index.cfm?ty=dcdetail&iid=261](http://www.bjs.gov/index.cfm?ty=dcdetail&iid=261)); and the Annual Surveys of Probation & Parole ([www.bjs.gov/index.cfm?ty=dcdetail&iid=271](http://www.bjs.gov/index.cfm?ty=dcdetail&iid=271)).

Collecting both types of information—offender counts and organizational attributes—in a single survey imposes a large burden on respondents; yet, both types of information are important for describing changes in offender populations that come in contact with criminal justice agencies. As an alternative, a core-supplement approach could be designed to obtain basic counts of population movements on a routine (annual or continuous basis) and supplemented with special-topic surveys administered periodically to obtain information about organizational characteristics. Implementing these changes requires establishing mechanisms for identifying key issues to address, for designing and testing instruments, and for fielding supplements on a cycle that does not disrupt the routine data collection.

BJS also plans to examine methods for continuous collection of data from panels of establishments. This approach would allow BJS to identify emerging trends and to provide more timely data on core topics. For example, if BJS implemented methods for continuous collection of data from a sample of police departments, it could rotate through various supplements that addressed new and timely topics. At the same time, by continuously collecting core topics, such as staffing in police departments, BJS could monitor changes more effectively than is possible using periodic surveys. Finally, continuous data collection will allow reporting on a collection year basis at any time, which would provide timelier, more relevant information on matters essential to police reporting.

Through this project BJS aims to develop statistical infra-structure necessary to implement core-supplement and continuous data collection methods. This infra-structure would include sampling statisticians who could address the sampling and estimation issues involved in continuous, as opposed to point-in-time data collections. A second key component of this project will be to develop methodologies to facilitate BJS’s implementation of these changes to its establishment surveys. This will include developing technical assistance groups who will work with BJS staff to determine the content of supplements to establishment surveys and changes to core components of these surveys.

## *3. Enhance the utility of BJS data by assisting BJS in producing reports*

BJS reports from its criminal justice statistics collections have focused on core elements of the

surveys, reporting on levels and change in key items. BJS “Bulletins” and releases in related formats such as “Statistical Tables” provide the latest statistics on changes in series while also describing the components of change. (See for example:

- *Probation & Parole in the U.S., 2010*: [www.bjs.gov/index.cfm?ty=pbdetail&iid=2239](http://www.bjs.gov/index.cfm?ty=pbdetail&iid=2239)
- *Census of State and Local Law Enforcement Agencies, 2008*: [www.bjs.gov/index.cfm?ty=pbdetail&iid=2216](http://www.bjs.gov/index.cfm?ty=pbdetail&iid=2216)
- *Local Police Departments, 2007*: [www.bjs.gov/index.cfm?ty=pbdetail&iid=1750](http://www.bjs.gov/index.cfm?ty=pbdetail&iid=1750)
- *Prisoners in 2010*: [www.bjs.gov/index.cfm?ty=pbdetail&iid=2230](http://www.bjs.gov/index.cfm?ty=pbdetail&iid=2230)

The approach to releasing periodic statistics on a particular phase of the criminal justice system has led to a “collection-based” focus for reporting rather than a topic-based focus, as reports typically are limited to the data in a specific collection. This has resulted in relatively narrowly-defined reports with strengths that lie in identifying trends in a series but weaknesses in the absence of integration of statistical information across collections to address topics or themes.

Other BJS report types—such as its Special Topics reports—go into topics with greater depth, but often rely on a single source of information—such as a single survey—and do not integrate data across sources, either by linking or matching data or by making comparisons across sources to address a theme or topic. As the Committee on National Statistics pointed out, a major substantive gap in the BJS portfolio is the reporting on contextual factors that cut across the various parts of the criminal justice system, such as drugs and crime.<sup>3</sup> While BJS collections obtain information on some of these factors, BJS reports do not fully exploit this information to describe what is known across stages of criminal case processing; therefore, a gap exists.

Thus, the third major component of the BJS-ARC will be to expand on the report types and topics generated from BJS’s CJSP collections. BJS’s goals for its products are reliability, timeliness, and relevance, and often a single product cannot address all of these. For example, some relevant issues can only be addressed by surveys that are several years old and their timeliness can also affect perceptions of their relevance. Other issues cannot be addressed fully by BJS’s data. Other federal statistical agency data may be pertinent for a report, but BJS has rarely published from other agencies’ data (with the exception of the Federal Bureau of Investigation’s Uniform Crime Reports). Other issues, which sometimes are technical, may fall outside the capacity of BJS staff to address for reasons related to their workload or technical skills.

In addition to these three core areas, applicants should keep in mind that BJS has always encouraged the secondary analysis of statistical data it collects. The success of these efforts is apparent in the fact that over 460 publications in academic and policy outlets acknowledged the use of BJS data in 2009. BJS has encouraged use of the data by educating potential consumers, by making data easier to access and use, and by showing users the substantive problems that could be addressed with the data. Increased sophistication of user communities and available statistical software have diminished many of the original impediments to using BJS data. However, the lack of file management capabilities and familiarity with the substance of the data still limit the frequency with which secondary analysis of BJS data is brought to bear on substantive issues in crime and criminal justice. BJS is looking ways to expand the pool of researchers using BJS data while pursuing the other objectives of the BJS-ARC.

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<sup>3</sup> See the aforementioned report *Ensuring the Quality, Credibility, and Relevance of U.S. Justice Statistics*, available at: [www.nap.edu/catalog.php?record\\_id=12671](http://www.nap.edu/catalog.php?record_id=12671).

## Goals & Objectives

Through the BJS-ARC, BJS aims to enhance its capacity to conduct methodological research on statistical issues, expand the scope of coverage of topical issues in its surveys, and enhance the utility of its CJSP statistical collections. The BJS-ARC is intended to complement and directly support BJS's CJSP by achieving the following objectives:

- Identify and retain substantive and methodological experts as affiliates to the program to assist in project tasks;
- Undertake methodological research that assesses the reliability of administrative and operational data for statistical purposes;
- Expand linking of records from various CJSP collections to other BJS data sources and other federal statistical agencies to address methodological and substantive issues in criminal justice;
- Assist BJS in expanding the topical coverage of its CJSP establishment surveys; and
- Enhance the utility of CJSP data collections by expanding on the number and types of products issued from the collections.

BJS envisions this project to have strategic and tactical components. While specific tasks are identified below, BJS expects that during the project period, its needs will evolve, and the timing and content of some of the specific tasks within the areas outlined by the objectives may be modified. For example, the background section of this solicitation identifies the analysis of police administrative data as a key issue for BJS, but BJS also is embarking on efforts to address the victim/offender overlap, and as data become available from that effort during this project, some of the specific work of the BJS-ARC may be adjusted to reflect BJS's specific need in that area.

As a consequence of BJS's emerging priorities, the BJS-ARC must be organized as an entity that can respond to changing priorities and adapt quickly to substantive shifts in foci. Applicants must demonstrate ability to manage the expansion and contraction of their capacity to address BJS's specific needs, while maintaining an ongoing operation to produce statistical reports. Because BJS needs will evolve, the substantive knowledge required of applicants to address BJS's needs is unknown and cannot be fully stated at this point. Therefore, applicants must demonstrate the ability to obtain and retain subject matter expertise across a range of topics related to the criminal justice system. The use of affiliates who can provide expertise as needed is encouraged. Similarly, BJS cannot define all of the specific methodological issues that it intends to address through the BJS-ARC. Applicants must show that they can provide technical skills related to sampling, survey design, record linkage, analysis of administrative records, imputation, and estimation. Applicants must demonstrate a capacity to write concisely and accurately and to provide statistical products of high quality. BJS expects that applicants can demonstrate coverage of the array of skills necessary through some combination of its own staff and use of affiliates.

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

The project's objectives are:

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

Given the wide scope of the substance of BJS's CJSP and the need for substantive expertise to accomplish the remaining project objectives, a first order of business for the BJS-ARC is to develop a plan to identify and retain affiliates who can provide the needed substantive, technical, and methodological assistance for specific tasks. BJS does not expect that an applicant will necessarily have on staff all of the required knowledge and skills to perform the work of the BJS-ARC, and the BJS-ARC project does not provide sufficient funds to hire the expertise full-time. Rather, BJS expects that the recipient of funds will be sufficiently knowledgeable about BJS's needs and sufficiently integrated into the criminal justice and statistical methods communities to be able to draw upon expertise as needed by establishing a network of affiliates that it can draw on for a specific task. The types of expertise required may range from survey design and survey administration to complex estimation.

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

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

With declining response rates and increasing costs of surveys, federal statistical agencies have begun to explore ways to expand the use of administrative records for statistical purposes. The underlying belief is that the cost to obtain administrative records is very low relative to the cost of obtaining survey data. But the use of administrative records introduces a set of data quality issues that have to be addressed. Broadly, data quality can be construed as "fit for use," and the challenge with administrative records, which are used for operational purposes, is their fitness for use in a federal statistical system.

Statistical agencies have begun to develop methods to assess the fitness for use of administrative data, and these assessments can be conceived of as consisting of two, broad dimensions: (a) a source-specific quality assessment and (b) a product-specific assessment.

A source-specific quality assessment focuses on an agency's data system to address issues such as:

- The quality of the metadata about the administrative data, including legal or administrative framework giving rise to the data, definitions, methods of collection, etc.
- Administrative issues, such as the definitions of population units; procedures used to collect and maintain the data; the types of reports the source agencies produce from the data; evaluation of the data collection and maintenance procedures.

- The extent of coverage of a population in the administrative dataset and an assessment of coverage errors. For example, the U.S. Sentencing Commission data may omit cases because of nonresponse from districts or late postings of records.
- A set of definitions of the population units included in the data.
- Reference periods and updates to the data systems, with particular focus on fields that may get overwritten with updates and the impacts of this on the timing for obtaining extracts.
- Completeness and error in the data files. This should address errors related to measurement and to nonresponse.
- The agency's policies and practices regarding data quality control (i.e. the extent of: data-focused training and outreach; systematic auditing focused on the reliability of data input; internal auditing focused on data handling procedures.
- Limitations associated with statutory or regulatory requirements, restrictions, and/or other structural factors that affect administrative record systems.

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

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

Less time consuming and demanding but equally important are assessments related to the content and comparability of statistics from administrative records from different sources. For example, in its current effort to assess statewide booking data for the purposes of generating arrest statistics, BJS has begun to assess questions about what the booking data tell us about crime and the criminal justice system response and what is necessary to know about the data in order to use the data in a manner that produces reliable statistics. On this point, key questions are: How does a crime result in a booking, and how do booking procedures vary across states.

The recipient of funds will be expected to undertake assessments of administrative records during the course of the project. The scope of the effort will be tied to the research questions that BJS intends to address with the data. BJS will provide the data necessary to complete the reviews if they are not available at NACJD. Examples of the types of assessments that will be conducted include:

- a. Using booking data to create arrest statistics.*
- b. Using Federal Justice Statistics Program (FJSP) data for reporting on transitions through stages of the federal criminal justice system.*
- c. Developing a plan to assess the reliability of RAP sheets for measuring recidivism.*

*a. Using booking data for statistical purposes*

BJS is interested in investigating the capacity of statewide booking data on the population of arrested persons who were booked in a given year for the purpose of producing statistics on

arrests. The initial phase of this study will assess data from several states in terms of its quality, its substantive utility and its uniformity across jurisdictions. To enhance BJS use of booking data to develop arrest statistics, several questions about the data need to be assessed. Initial quality assessments need to address the completeness of the data in specific fields and to identify odd distributions coming from the data. Unit of analysis decisions need to be reviewed. For example, booking data can be arrayed to look at charges in an arrest (the completeness of each charge); arrests (the booking of person by an agency at a specific time); and the person (a person booked more than one time). Finally, type of crime classification issues across states need to be assessed.

The BJS-ARC will assess the quality, utility and uniformity of criminal history records in at least two states by (a) taking operational data files and structuring them for statistical use; (b) assessing the quality of these data through range and consistency checks as well as comparisons to external standards of validity; (c) discussing the results of these quality assessments with data providers to understand if the data are in error and why; (d) developing strategies for understanding the error structure of the data and ways to compensate for those errors; and (e) performing the same set of steps (a) thru (d) on the uniformity of these operational data across states and localities.

In addition to these quality assessments, the BJS-ARC will develop statistics with these data that would be of substantive interest to a wide range of audiences including federal partners, state data providers, the law enforcement community and academics interested in crime and criminal justice.

Applicants should describe their approach to conducting this assessment, including describing their knowledge of statewide booking data, the issues associated with producing arrest statistics from them, and the types of products (methodological and substantive) that it would produce and the schedule for producing them.

*b. Using FJSP data to describe transitions and flow through the federal criminal justice system*

In its Federal Justice Statistics Program (FJSP), BJS has used data from federal criminal justice agency operational systems for statistical purposes. Within the FJSP, BJS has also invested effort to link records of defendants in cases as they move through the stages of the federal criminal justice system. The "paired-agency linked files" contain matched-agency pairs (or "dyads"), which permit the linking of records from two different source agencies for adjacent stages of federal case processing. (For more information about this project and the linked files, see: [www.icpsr.umich.edu/icpsrweb/NACJD/studies/30701/detail](http://www.icpsr.umich.edu/icpsrweb/NACJD/studies/30701/detail))

The BJS-ARC will undertake methodological work to develop a data quality profile of the linked records and assess its fitness for use for the purpose of describing transitions through the federal criminal justice system and for reporting reliable statistics about changes in the flows over time.

The assessment is complicated by the record matching and linking. The FJSP's "dyad linking" system has been designed around identified variables available for linking across data systems. The FJSP currently reports link rates between pairs of the dyads, but the link rates need to be conditioned on expectations of the number of records that should be observed at a stage, taking into account changes in units of analysis and other factors. For example, in linking the U.S. Sentencing Commission data to the Federal Bureau of Prisons data to obtain additional

information on persons admitted into federal prison, there is a change in the unit of analysis between the two systems and there are records included that are out of scope of each system's data bases. In addition, in the FJSP, several agencies may report on comparable or the same outcomes (e.g., sentence length). Guidance needs to be provided on what variables to use when two agencies' linked data cover the same concept and on how to reconcile discrepancies between agencies' records. Item nonresponse and imputation methods need to be assessed relative to the statistical purposes.

The methodological work should be guided by substantive questions about federal criminal case processing. As the range of substantive topics that can be addressed by the FJSP is wide, BJS is looking for applicants to identify research questions that will guide their assessment of data quality. Applicants should describe how their research questions will guide their assessment of the fitness for use of the FJSP data.

Applicants also should describe the products that would ensue from this effort; these should include both methodological and substantive reports.

*c. Assess the quality of RAP sheets for reliably reporting recidivism statistics.*

In its current project to study recidivism of prisoners released, BJS has invested in new methods for obtaining RAP sheet data and converting them into a research database that can track post-prison re-arrest and subsequent outcomes. While much is known about the quality of the re-arrest data, much less is known about the quality of the disposition data in the RAP sheets. BJS's interests in this project lie in learning about the completeness and representativeness of disposition data on the RAP sheets.

Applicants should demonstrate knowledge of state criminal history repositories and the FBI's Interstate Identification Index (or Triple-I) and outline their approach to address the issue of the completeness of the disposition data. Within the scope of funding of this project, the assessment cannot include a detailed forensic audit of record systems, but the assessment can address the scope of coverage of conviction data, the extent to which dispositions are linked to arrests.

*Objective 3: Expand linking of CJSP data to address methodological and substantive issues in criminal justice.*

By analyzing data from one or more existing BJS data collections, or BJS data in combination with other relevant local, state, or national data, BJS aims to enhance the utility of its data. In this solicitation, linkage means more than linking two data sources at the same unit of analysis—it also includes linkage of multiple data sets at the same unit of analysis and multiple data sets that are organized on different units.

BJS's interests lie in projects that address measurement, and methodological, theoretical, or policy considerations that bear directly on the operations of the criminal justice system or the statistical programs of BJS. Examples of research questions that could exploit opportunities obtained from linking records or by comparing findings from different data systems are:

- What is the relationship between characteristics of police organizations and measures of police performance, such as crime rates, clearance rates, citizen satisfaction, or police uses of force? (Link crime data with law enforcement agency data.)

- How do community corrections and institutional corrections populations compare on health outcomes? (Comparing BJS's inmate surveys with data from the Substance Abuse and Mental Health Services Administrations' National Survey on Drug Use & Health).
- How does arrest vary with victim/offender characteristics? (Compare NIBRS and NCVS data.)
- How does punishment (imprisonment) vary with the attributes of victimizations? (Compare NCVS and Inmate Survey data.)
- What factors are contributing to the aging of the prison population? (Use inmate survey data, National Corrections Reporting Program (NCRP), National Judicial Reporting Program (NJRP) data.)
- What factors are behind the growth and recent stability in the size of prison populations? (Use various sources of CJSP data on correctional populations.)
- What is the relationship between local labor market conditions and recidivism? (Link BJS recidivism data to county-level indicators of labor market conditions.)

Applicants should describe their approach to address the linking issue for the purposes of filling identifiable and important substantive gaps in BJS's portfolio of products. They should describe how they would identify and determine the substantive issues that should be addressed through linking records, explain how the issues would be addressed, and identify BJS publications that could be produced from the linked data. Applicants should explain why a topic is important for BJS to publish a report on and exhibit sufficient knowledge of existing data sources to support contentions that the data can be used for these purposes.

Over the course of this 5-year project, BJS expects that at least 5 reports or products will be developed under this objective.

*Objective 4: Assist BJS in expanding the topical coverage of its CJSP establishment surveys.*

BJS conducts annual and periodic establishment surveys that cover various components of the criminal justice system. Core among these surveys are those that collect data on local law enforcement agencies, prosecutors' offices, and correctional establishments, such as:

- Law Enforcement Management and Administrative Statistics (LEMAS);
- Census of State and Local Law Enforcement Agencies (CSLLEA);
- National Survey (and Census) of Prosecutors (NSP, NCP);
- National Prisoner Statistics (NPS);
- Annual Probation and Annual Parole Survey (APS);
- Annual Survey of Jails (ASJ);
- Census of Local Jails (CLJ);
- Census of State and Federal Adult Correctional Facilities (CSFACF).

(For information about each of these, and other BJS, collections, see: [www.bjs.gov/index.cfm?ty=dca](http://www.bjs.gov/index.cfm?ty=dca)).

Each of these collections has a primary purpose that is achieved with each fielding of the instrument; however, given that these collections are fielded repeatedly over time, BJS wants to take advantage of the opportunity that exists when fielding a collection to expand the content of the collection, while balancing the expansion of content against respondent burden. At the same

time, BJS gets numerous requests to add questions to these collections or use them to address specific issues that may fall outside the scope of the collection's priorities. To meet these demands for statistics, BJS is embarking on a core-supplement approach to its establishment surveys.

An ongoing challenge in establishment survey work is identifying the correct agency respondent who is both knowledgeable about content and has access to the data that are requested. The challenge is exacerbated when new content is requested.

BJS's establishment survey vehicles provide for opportunities to implement new methods of data collection that can enhance the timeliness of its statistics. For example, BJS wants to examine the feasibility of continuous data collection from local law enforcement agencies for the purpose of providing both routine statistics about law enforcement agencies and for implementing a set of supplements about topical issues.

To achieve this objective, applicants to the BJS-ARC project should outline a plan for assisting BJS in designing for fielding three establishment surveys with a core-supplement approach over the course of this project. The BJS-ARC will not implement the collections; its role is to assist in the design of the collections, which includes assisting with methodological research pertaining to each collection that addresses survey administration issues associated with mode of administration and identifying the correct respondents.

The first survey to consider for this effort is the Law Enforcement Management and Administrative Survey (LEMAS). There are two parts to the work on LEMAS: (1) the core-supplement issue and (2) continuous data collection. The supplements involve content development, instrument development, and instrument testing. Applicants should describe the methodological research necessary to address mode, burden, and response rate concerns. As part of this effort, applicants should consider establishing a technical review panel (TRP) that would be convened to review identified content, justify its inclusion, and provide reasoned support for the content. The objectives of the TRP (or other review vehicle) are to review content relative to BJS priorities, relevance to the field, and burden associated with obtaining the information. From each TRP or related effort, the recipient of funds will provide a report on the measured concepts and their theoretical justification. The reports should be designed to meet the standards required for Office of Management and Budget (OMB) clearance of a statistical collection.

The second part of the work involves assessing methods for continuous data collection for the LEMAS survey. Continuous data collection means ongoing sampling of the eligible population of police agencies and data production that occurs routinely (e.g., daily) with changes in questionnaires and sampling areas undertaken annually or at another BJS-specified interval. As described in the continuous data collection effort for the National Survey of Family Growth, this design seeks to maximize the use of resources and obtain high-quality responses by (1) producing a balanced, continuous work flow, (2) using a small, cross-trained project team, and (3) monitoring data collection in real time to make adjustments to the design.<sup>4</sup> The result of this effort would be a plan that would allow for collecting core and supplemental LEMAS data. Applicants should know that the LEMAS sample design consists of two parts: (1) certainty jurisdictions, which are agencies with more than 100 police officers, and (2) jurisdictions

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<sup>4</sup> See, Nicole Kirgis and Jim Lepkowski, "A Management Model for Continuous Data Collection: Reflections from the National Survey of Family Growth, 2006-2010," NSFG Survey Methodology Working Paper, Report 10-011, June 2010. Available at: [www.psc.isr.umich.edu/pubs/pdf/ng10-011.pdf](http://www.psc.isr.umich.edu/pubs/pdf/ng10-011.pdf)

sampled with a probability of less than 1. In assessing a model for continuous data collection, applicants should consider the pros and cons of implementing continuous data collection for the entire LEMAS collection. Applicants should consider the most recent report from LEMAS (available at: [www.bjs.gov/content/pub/pdf/lpd07.pdf](http://www.bjs.gov/content/pub/pdf/lpd07.pdf)) and use it as a basis for determining the core content. BJS's main objective for this exercise is to evaluate different approaches to continuous data collection from law enforcement agencies and to assess the reliability of these approaches. In responding to this solicitation, applicants should describe approaches that could be taken, how they would be assessed, and what it would cost to assess them. The BJS-ARC work to be done under this task would be to develop more rigorously the various options, and not to implement them.

Subsequent to the work on LEMAS, the recipient of funds will work on developing supplements for other BJS establishment surveys, such as National Prisoner Statistics (NPS) or the Annual Survey of Jails (ASJ), as determined by BJS. Applicants should propose a methodology for identifying and deciding on the content of the core and supplemental components of these surveys. The methodology should provide for a mechanism that can operationalize the development of content in these surveys. The methodology should also be designed to allow for substantial involvement of BJS staff. The supplements should identify key issues related to law enforcement, prison, and jail statistics, respectively.

Applicants should describe their plan for designing and testing a model for continuous data for LEMAS and reporting on the feasibility and costs associated with adopting this model in relation to data quality. The report should cover both methodological and substantive issues. In addition, applicants should describe their plans to implement the core-supplement approach for the two other collections referenced in this section.

#### *Objective 5: Enhance the utility of BJS data through reports*

The objective of this task is to develop and disseminate high-quality, timely, reliable, and relevant statistical reports from BJS's CJSP data. Central to this task is the establishment of a research agenda in criminal justice statistics that builds on BJS's core statistical reports. Applicants should demonstrate knowledge of the content of BJS statistical products from its CJSP and awareness of the issues identified by the National Academy of Sciences' Committee on National Statistics in their review of BJS (*Ensuring the Quality, Credibility, and Relevance of U.S. Justice Statistics*).

BJS main products currently include the aforementioned Bulletins and Special Topic reports, but recently BJS has expanded its product types to include Data (or Issue) Briefs, Statistical Tables, and a Technical (or Methodological) Series Report (e.g., *Methods for Counting High-Frequency Repeat Victimization in the National Crime Victimization Survey*, available at: [www.bjs.gov/content/pub/pdf/mchfrv.pdf](http://www.bjs.gov/content/pub/pdf/mchfrv.pdf)).

For this objective, the BJS-ARC should plan to develop and deliver reports that stem from the efforts undertaken in Objectives 2 through 4. The reports will vary by type, length, and content. For planning and budgeting purposes, the scope of the reports should be based on the applicant's assessment of the efforts described in Objectives 2 through 4. The recipient of funds is expected to work collaboratively with BJS staff in developing the report topics and producing reports, although BJS-ARC staff may eventually produce solely-authored products on occasion. In all cases, the BJS-ARC will provide BJS with proposed topics and abstracts describing reports and prior to undertaking work on reports must submit for BJS review and approval a

proposal that outlines the report in more detail, describes the scope of work, and provides costs and time frames.

Applicants should describe their approach to developing a substantive and methodological research agenda that can be addressed through the planned BJS-ARC reports. This section of the application will provide BJS with an opportunity to assess an applicant's substantive knowledge of BJS CJSP statistics and the opportunities to address key and pressing issues with existing BJS and other federal statistical agency data. An inadequately specified substantive agenda will result in a downgrading of the application.

The agenda could be filled with any combination of reports. For example, reports describing patterns and trends in a key construct could be combined with reports that addressed a topic in more detail. Reports that relied on sophisticated statistical methods to estimate quantities could be designed either as substantive or methodological reports.

Applicants should also describe how they would staff the production of reports. BJS does not expect that a single organization would necessarily have all of the staff to produce the reports, and BJS encourages the use of affiliates to help in production; at the same time, BJS encourages applicants to minimize costs.

Applicants should assume that they would use data that BJS has made publicly-available at NACJD. For reports requiring access to unreleased data or data with personally-identifiable information, applicants should assume (at least at the outset of the project) that they will have to rely on BJS staff to generate the data. In the longer-run the recipient of funds will have to demonstrate that they can maintain BJS data securely and in accordance with BJS disclosure principles so that they can, if necessary, obtain access to unreleased data or data with personally-identifiable information.

Final versions of all reports will include tables, text, verified program code, documentation about created variables, and methodology for producing estimates.

## **Deliverables**

The BJS-ARC is designed as a 5-year project during which the recipient of funds will meet the project objectives in a flexible and responsive manner. To accomplish that, the recipient of funds must demonstrate a capacity to manage resources effectively.

1. Kickoff and project management plan: Convene the kickoff meeting and subsequently a draft project plan to be delivered within 3 weeks of the project kickoff meeting; final plan due within 2 weeks of receiving BJS comments on the draft. The plan should identify the time frames for accomplishing each of the other project deliverables throughout the course of the project period. Included with the project management plan is due a project communications plan that aims to maximize understanding of the project's goals and objectives while minimizing costs. Travel for project meetings is allowable but should be minimized.

2. Affiliate plan: Stemming from the final project plan, a plan for the use of affiliates is due within one month of BJS approval of the final project management plan.

3. Data quality assessments:

- (a) Assessing and reporting on police booking data.
  - a. Plan for the assessment and reporting, with budget estimates.
  - b. Interim (for review) and final reports on police booking data; final reports and associated materials are due to BJS within 1 month of receipt of BJS comments on draft reports.
- (b) Assessing FJSP data.
  - a. Plan for the assessment and reporting, with budget estimates.
  - b. Interim (for review) and final reports on FJSP data. Final reports and associated materials are due to BJS within 1 month of receipt of BJS comments on draft reports.
- (c) Assessing RAP sheet information on dispositions.
  - a. Plan for the assessment and reporting, with budget estimates
  - b. Interim (for review) and final reports on the assessment. The final report should also include a plan for a forensic audit of the information systems.

4. Record linkage and five reports:

- (a) Plan for identifying content and producing the five reports with budget estimates.
- (b) Delivery of each of the reports, in draft and subsequently in final format. Final reports are due to BJS within 1 month of receipt of BJS comments; all required documentation is to be submitted along with the final version of the reports.
- (c) Demonstrated capability to handle data securely.

5. Core-supplement and continuous data collection effort:

- (a) Plans for the LEMAS survey (core-supplement and continuous data collection).
- (b) Establishment of the TRPs or other review groups (costs associated with convening a TRP or review group should be considered to be part of the BJS-ARC).
- (c) Participation in the TRPs or other review.
- (d) Reports from the TRP or other review.

6. BJS reports:

- (a) Plan that outlines the reports to be produced from the project tasks, with budget estimates.
- (b) Acknowledgement of BJS assent to proposed report topics.
- (c) Draft and, after BJS comment, final versions of report outlines.
- (d) Draft and final versions of reports; final versions to be submitted within 1 month of receipt of BJS comments on drafts; final versions to be accompanied by all required documentation.

BJS's general timeframes for completing the work other than the reports associated with Objective 3 (Expand linking of CJSP data to address methodological and substantive issues) are given in the following list. In addition, BJS expects that the recipient of funds will produce at least one report per year from the work under Objective 3. As indicated in this solicitation, the priorities are subject to change given BJS's needs and interests.

- Year 1: RAP sheet assessment; police administrative records analysis.
- Year 2: LEMAS core-supplement and continuous data collection effort.
- Year 3: FJSP assessment.

## **Amount and Length of Awards**

BJS anticipates that it will make one award of up to \$1.6 million for one 5-year project period.

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

## **Budget Information**

### **Limitation on Use of Award Funds for Employee Compensation; Waiver**

With respect to any award of more than \$250,000 made under this solicitation, federal funds may not be used to pay total cash compensation (salary plus bonuses) to any employee of the award recipient at a rate that exceeds 110% of the maximum annual salary payable to a member of the Federal Government's Senior Executive Service (SES) at an agency with a Certified SES Performance Appraisal System for that year. The 2012 salary table for SES employees is available at [www.opm.gov/oca/12tables/indexSES.asp](http://www.opm.gov/oca/12tables/indexSES.asp). Note: A recipient may compensate an employee at a higher rate, provided the amount in excess of this compensation limitation is paid with non-federal funds. (Any such additional compensation will not be considered matching funds where match requirements apply.)

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

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

### **Minimization of Conference Costs**

No OJP funding can be used to purchase food and/or beverages for any meeting, conference, training, or other event. Exceptions to this restriction may be made only in cases where such sustenance is not otherwise available (i.e., extremely remote areas), or where a special presentation at a conference requires a plenary address where there is no other time for sustenance to be obtained. Such an exception would require prior approval from OJP. This restriction does not apply to water provided at no cost, but does apply to any and all other refreshments, regardless of the size or nature of the meeting. Additionally, this restriction does not impact direct payment of per diem amounts to individuals in a travel status under your organization's travel policy.

Updated Department of Justice and OJP guidance on conference planning, minimization of costs, and conference cost reporting will be forthcoming and will be accessible on the OJP website at [www.ojp.usdoj.gov/funding/funding.htm](http://www.ojp.usdoj.gov/funding/funding.htm).

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

For additional information, see the "Civil Rights Compliance" section of the OJP "Other Requirements for OJP Applications" Web page ([www.ojp.usdoj.gov/funding/other\\_requirements.htm](http://www.ojp.usdoj.gov/funding/other_requirements.htm)).

### Match Requirement

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

### Performance Measures

To assist the Department 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, applicants that receive funding under this solicitation must provide data that measure the results of their work done under this solicitation. Any award recipient will be required, post award, to provide the data requested in the "Data Grantee Provides" column so that OJP can calculate values for the "Performance Measures" column. Performance measures for this solicitation are as follows:

Objective	Performance Measure(s)	Data Grantee Provides
Enhance the utility of BJS's Criminal Justice Statistics Program data by expanding the number and types of products issued from the collections.	Number of times that BJS's CJSP data are used or referenced in academic journals, policy papers, publications, and mass media outlets	<p>BJS reports produced that address substantive issues related to the CJSP, produced either in collaboration with BJS or independently.</p> <p>Number of statistical research papers published by BJS as methodological or technical reports stemming from the work of the BJS-ARC.</p>
Enhance methodological work in assessing the reliability of administrative and operational data.	Number of new statistical methods or approaches used.	<p>Number of research products using new statistical approaches, such as linking, in production of BJS reports.</p> <p>Number of statistical products reflecting data quality assessments.</p> <p>Number of statistical products that, in final form, are error-free and fully documented by program code and methodology.</p>

Identify and retain substantive and methodological experts as affiliates to the program to assist in project tasks.	Number of partnerships established.	Number of research affiliates, relative to project need, assisting BJS and the BJS-ARC in producing statistical reports.
Devise and implement strategies for linking BJS's CJSP data for the purposes of producing statistical products.	Number of research projects linking BJS data source.	Number of research projects involving linked data.
Assist BJS in expanding the topical coverage of its CJSP surveys.	Number of data collections for new research assessed.	Number of core and supplemental survey instruments developed and tested.  Plan for continuous data collection for the LEMAS survey.
Devise, implement, and maintain a project communications strategy that minimizes cost to the project while maximizes clear understanding of project objectives.	Develop a communication plan.  Number of necessary meetings and/or conference calls.	Provide communication at the outset of the project, including expectations and priorities; updated communications on progress.  Number of meetings and/or conference calls (by topic area).

Submission of performance measures data is not required for the application. Instead, applicants should discuss in their application their proposed methods for collecting data for performance measures. Refer to the section "What an Application Should Include" on page 24 for additional information.

**Note on Project Evaluations**

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

Research, for the purposes of human subjects protections for OJP-funded programs, is defined as, "a systematic investigation, including research development, testing, and evaluation, designed to develop or contribute to generalizable knowledge" 28 C.F.R. § 46.102(d). For additional information on determining whether a proposed activity would constitute research, see the decision tree to assist applicants on the "Research and the Protection of Human Subjects" section of the OJP "Other Requirements for OJP Applications" Web page

([www.ojp.usdoj.gov/funding/other\\_requirements.htm](http://www.ojp.usdoj.gov/funding/other_requirements.htm)). Applicants whose proposals may involve a research or statistical component also should review the “Confidentiality” section on that Web page.

## Notice of Post-Award FFATA Reporting Requirement

Applicants should anticipate that OJP will require all recipients (other than individuals) of awards of \$25,000 or more under this solicitation, consistent with the Federal Funding Accountability and Transparency Act of 2006 (FFATA), to report award information on any first-tier subawards totaling \$25,000 or more, and, in certain cases, to report information on the names and total compensation of the five most highly compensated executives of the recipient and first-tier subrecipients. Each applicant entity must ensure that it has the necessary processes and systems in place to comply with the reporting requirements should it receive funding. Reports regarding subawards will be made through the FFATA Subaward Reporting System (FSRS), found at [www.fsrs.gov](http://www.fsrs.gov).

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

## How to Apply

Applications will be submitted through Grants.gov. Grants.gov is a “one-stop storefront” that provides a unified process for all customers of federal awards to find funding opportunities and apply for funding. Complete instructions on how to register and submit an application can be found at [www.Grants.gov](http://www.Grants.gov). If the applicant experiences technical difficulties at any point during this process, call the Grants.gov Customer Support Hotline at **800-518-4726**, or **606-545-5035** 24 hours a day, 7 days a week, except federal holidays. Registering with Grants.gov is a one-time process; however, **processing delays may occur, and it can take up to several weeks** for first-time registrants to receive confirmation and a user password. OJP highly recommends that applicants start the registration process as early as possible to prevent delays in submitting an application package by the specified application deadline.

All applicants are required to complete the following steps:

1. **Acquire a Data Universal Numbering System (DUNS) number.** In general, the Office of Management and Budget requires that all applicants (other than individuals) for federal funds include a DUNS number in their applications for a new award or renewal of an existing award. A DUNS number is a unique nine-digit sequence recognized as the universal standard for identifying and keeping track of entities receiving federal funds. The identifier is used for tracking purposes and to validate address and point of contact information for federal assistance applicants, recipients, and subrecipients. The DUNS number will be used throughout the grant life cycle. Obtaining a DUNS number is a free, one-time activity. Obtain a DUNS number by calling Dun and Bradstreet at 866-705-5711 or by applying online at [www.dnb.com](http://www.dnb.com). A DUNS number is usually received within 1-2 business days.
2. **Acquire or renew registration with the Central Contractor Registration (CCR) database.** OJP requires that all applicants (other than individuals) for federal financial

assistance maintain current registrations in the CCR database. An applicant must be registered in the CCR to successfully register in Grants.gov. The CCR database is the repository for standard information about federal financial assistance applicants, recipients, and subrecipients. Organizations that have previously submitted applications via Grants.gov are already registered with CCR, as it is a requirement for Grants.gov registration. Note, however, that applicants must **update or renew their CCR registration annually** to maintain an active status. Information about CCR registration procedures can be accessed at [www.ccr.gov](http://www.ccr.gov).

3. **Acquire an Authorized Organization Representative (AOR) and a Grants.gov username and password.** Complete the AOR profile on Grants.gov and create a username and password. The applicant organization's DUNS number must be used to complete this step. For more information about the registration process, go to [www.grants.gov/applicants/get\\_registered.jsp](http://www.grants.gov/applicants/get_registered.jsp).
4. **Acquire confirmation for the AOR from the E-Business Point of Contact (E-Biz POC).** The E-Biz POC at the applicant organization must log into Grants.gov to confirm the applicant organization's AOR. Note that there can be more than one AOR for the organization.
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 CFDA 16.734, titled "Special Data Collection and Statistical Studies," and the funding opportunity number is **BJS-2012-3344**.
6. **Complete the Disclosure of Lobbying Activities.** All applicants must complete this information. An applicant that expends any funds for lobbying activities must provide the detailed information requested on the form, *Disclosure of Lobbying Activities*, (SF-LLL). An applicant that does not expend any funds for lobbying activities should enter "N/A" in the required highlighted fields.
7. **Submit an application consistent with this solicitation by following the directions in Grants.gov.** Within 24–48 hours after submitting the electronic application, the applicant should receive an e-mail validation message from Grants.gov. The validation message will state whether the application has been received and validated, or rejected, with an explanation. **Important:** Applicants are urged to submit applications **at least 72 hours prior** to the due date of the application to allow time to receive the validation message and to correct any problems that may have caused a rejection notification.

**Note: Grants.gov will forward the application to OJP's Grants Management System (GMS). GMS does not accept executable file types as application attachments.** These disallowed file types include, but are not limited to, the following extensions: ".com," ".bat," ".exe," ".vbs," ".cfg," ".dat," ".db," ".dbf," ".dll," ".ini," ".log," ".ora," ".sys," and ".zip."

**Note: Duplicate Applications**

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

## Experiencing Unforeseen Grants.gov Technical Issues

If an applicant experiences unforeseen Grants.gov technical issues beyond the applicant's control that prevent submission of its application by the deadline, the applicant must email the BJS contact identified in the Contact Information section on cover page **within 24 hours after the application deadline** and request approval to submit its application. The applicant must include in the e-mail: a description of the technical difficulties, a timeline of submission efforts, the complete grant application, the applicant DUNS number, and Grants.gov Help Desk tracking number(s) the applicant has received. **Note: Requests are not automatically approved by BJS.** After the program office reviews all of the information submitted, and contacts the Grants.gov Help Desk to validate the technical issues reported, OJP will contact the applicant to either approve or deny the request to submit a late application. If the technical issues reported cannot be validated, the application will be rejected as untimely.

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

Notifications regarding known technical problems with Grants.gov, if any, are posted at the top of the OJP funding Web page at [www.ojp.usdoj.gov/funding/solicitations.htm](http://www.ojp.usdoj.gov/funding/solicitations.htm).

## What an Application Should Include

Applicants should anticipate that failure to submit an application that contains all of the specified elements may negatively affect the review of the application; and, should a decision be made to make an award, it may result in the inclusion of special conditions that preclude access to or use of award funds pending satisfaction of the conditions.

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

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

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

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

## 2. Program Narrative

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

- Substantive expertise about the criminal justice system, survey methodology, estimation, and BJS's Criminal Justice Statistics Program;
- Knowledge of the coverage and gaps in BJS's portfolio of products;
- Demonstrated capacity to conduct methodological research on administrative records.
- Demonstrated capacity to meet BJS data quality guidelines.

The first two sections of the program narrative (sections a. and b. from the list below) should not exceed 30 pages with line spacing of no less than 1.5 lines, with a font size no smaller than 12 point Arial, with no less than 1-inch margins all around. These limitations apply to tables and figures included within the narrative.

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

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

- a. Statement of the Problem
  - i. Applicants should demonstrate their knowledge of BJS and its CJSP, its mission, and its statistical coverage of criminal justice system.
  - ii. Applicants should demonstrate their knowledge of important issues in criminal justice that currently are not covered by BJS products but that could be addressed with BJS's existing CJSP data collections, or with supplemental data.
  - iii. Applicants should describe their understanding of BJS's CJSP collections, their purpose and goals, and the achievements that BJS had made with these collections.
- b. Project Design and Implementation
  - i. Applicants should describe how they will flexibly and adaptively manage the goals and objectives of the project in order to meet BJS's priorities.
  - ii. Applicants should describe how they will manage the need to obtain resources in a timely and cost-effective manner.
  - iii. Applicants should describe how they will meet Objective 6, to expand the pool of researchers using BJS data.
- c. Capabilities and Competencies
  - i. Applicants should describe their capacity to provide the substantive, analytic, and methodological research services necessary to meet the objectives of the BJS-ARC.

- ii. Applicants should describe how they intend to supplement their own capacities in cost-effective ways.
  - iii. Applicants should show how their performance on issues directly related to the BJS-ARC's goals and objectives demonstrates their capability to address the goals and objectives of this project. This may include past research reports, past projects (with references), current research projects. Note that the materials related to past performance are not to be included within the 30-page limitation for the program narrative.
- d. Plan for Collecting the Data Required for this Solicitation's Performance Measures

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

### 3. Budget Detail Worksheet and Budget Narrative

#### a. Budget Detail Worksheet

A sample Budget Detail Worksheet can be found at [www.ojp.gov/funding/forms/budget\\_detail.pdf](http://www.ojp.gov/funding/forms/budget_detail.pdf). If the budget is submitted in a different format, the budget categories listed in the sample budget worksheet should be included.

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

#### b. Budget Narrative

The Budget Narrative should thoroughly and clearly describe every category of expense listed in the Budget Detail Worksheet. Proposed budgets are expected to be complete; reasonable and allowable; cost effective; and necessary for project activities. The narrative should be mathematically sound and correspond with the information and figures provided in the Budget Detail Worksheet. The narrative should explain how all costs were estimated and calculated and how they are relevant to the completion of the proposed project. The narrative may include tables for clarification purposes but need not be in a spreadsheet format. As with the Budget Detail Worksheet, the Budget Narrative should be broken down by year.

### 4. Indirect Cost Rate Agreement (if applicable)

Indirect costs are allowed only if the applicant has a federally approved indirect cost rate. (This requirement does not apply to units of local government.) A copy of the rate approval should be attached. If the applicant does not have an approved rate, one can be requested by contacting the applicant's cognizant federal agency, which will review all documentation and approve a rate for the applicant organization or, if the applicant's accounting system permits, costs may be allocated in the direct cost categories. If DOJ

is the cognizant federal agency, obtain information needed to submit an indirect cost rate proposal at [www.ojp.usdoj.gov/funding/pdfs/indirect\\_costs.pdf](http://www.ojp.usdoj.gov/funding/pdfs/indirect_costs.pdf).

## 5. Tribal Authorizing Resolution (if applicable)

If an application is being submitted by either (1) a tribe or tribal organization or (2) a third party proposing to provide direct services or assistance to residents on tribal lands, then a current authorizing resolution of the governing body of the tribal entity or other enactment of the tribal council or comparable governing body authorizing the inclusion of the tribe or tribal organization and its membership should be included with the application. In those instances when an organization or consortium of tribes proposes to apply for a grant on behalf of a tribe or multiple specific tribes, then the application should include a resolution (or comparable legal documentation, as may be applicable) from all tribes that will be included as a part of the services/assistance provided under the grant. A consortium of tribes for which existing consortium bylaws allow action without support from all tribes in the consortium (i.e., without authorizing resolution or other enactment of each tribal governing body) may submit a copy of its consortium bylaws with the application in lieu of tribal resolutions (or comparable legal documentation).

If an applicant is unable to obtain and submit with its application a fully-executed (i.e., signed) copy of a tribal resolution or other, comparable legal documentation as may be consistent with the tribe's governance structure, then, at minimum, the applicant should submit an unsigned, draft version of such legal documentation as part of its application (except in cases where, with respect to a tribal consortium applicant, consortium bylaws allow action without the support of all consortium member tribes). If selected for funding, use of and access to funds will be contingent on receipt of the fully-executed tribal resolution or other, comparable legal documentation.

## 6. Additional Attachments

- **Key staff information**

This should include a staff loading chart for all key staff, by task, showing their allocation of effort throughout the project. Resumes/Curricula vitae of Key Project Personnel must not exceed 4 pages each.

- **Privacy certificate**

This Privacy Certificate is a funding recipient's certification of compliance with federal regulations requiring confidentiality of information identifiable to a private person with is collected, analyzed, or otherwise used in connection with an OJP-funded research or statistical activity. The funding recipient's Privacy Certificate also includes a description of 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](http://www.bjs.gov/content/pub/pdf/bjsmpc.pdf).

## 7. Other Standard Forms

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

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

## Selection Criteria

The following criteria will be used in peer-reviewing applications. (See the subsequent section, "Review Process," which follows.) The weights (in parentheses) reflect the contribution to an application's total score of each selection criterion.

### 1. Statement of the Problem (20%). Applications will be assessed according to the following criteria:

- Demonstrated understanding of BJS, its mission, its statistical collections, and their utility for research on criminal justice system issues.
- Capacity to articulate a substantive research agenda for BJS's CJSP that addresses gaps in BJS statistical reports that should be addressed through the product lines described in this solicitation.
- Depth of understanding of BJS's CJSP collections, their capabilities, and potential uses.
- Understanding of how the project goals will assist BJS in addressing stakeholders' statistical information needs.
- Understanding of other federal and local data sources related to the criminal justice system that can enhance the utility of BJS data.
  - Demonstration of knowledge of state and local booking data and RAP sheet data.
  - Demonstrated knowledge of the scope and content of these data sources and their potential utility for statistical purposes.

### 2. Project Design and Implementation (20%). Applications will be assessed for the—

- Understanding of the relationship among the components of the project's objectives for achieving the project's goals.
- Coordination of effort among project objectives that is done in ways that ensure efficient use of resources while achieving the project's research goals.
- Innovation in methods used to produce the research projects outlined in the solicitation.

- The extent to which the relationship between the research agenda outlined in the application comports with the organization of project resources to achieve the research goals.

**3. Capabilities and Competencies (40%). Applications will be assessed for—**

- Depth of understanding of, and experience in, using BJS data and administrative records for statistical research.
- Demonstrated capacity to manage large data files in a secure environment to achieve research objectives in a timely manner.
- Demonstrated capacity and experience to deliver high-quality research reports targeted to appropriate audience in a timely manner.
- Capacities to attract, retain, and manage a cadre of research affiliates and ensure that they can produce high-quality research products in a timely manner.
- Demonstrated capacity to cover the substantive, methodological, analytic, and technical issues described in the project.
- Demonstrated capacity to produce data products for the end-user (e.g., consumers of BJS reports) and document all work done to complete project tasks.
- Demonstrated past performance on issues directly related to the BJS-ARC's goals and objectives, such as research reports, past projects (with references), and current research projects. Note that the materials related to past performance are not to be included within the 30-page limitation for the program narrative.

**4. Plan for Collecting the Data Required for this Solicitation's Performance Measures (5%). Applications will be assessed for—**

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

**5. Budget (15%) complete; reasonable and allowable; cost effective; and necessary for project activities. Applications' budgets will be assessed to determine—**

- The extent to which staff resources allocated in the budget are appropriate for the project tasks.
- Appropriateness of budgeted items for achieving project goals.

## Review Process

OJP is committed to ensuring a fair and open process for awarding grants. BJS views 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. BJS may use either internal peer reviewers, external peer reviewers, or a combination, to review the applications under this solicitation. 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. Applications that meet basic minimum requirements will be evaluated, scored, and rated by a peer review panel. Peer reviewers' ratings and any resulting

recommendations are advisory only. In addition to peer review ratings, considerations for award recommendations and decisions may include, but are not limited to, underserved populations, geographic diversity, strategic priorities, past performance, and available funding.

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

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

## **Additional Requirements**

Applicants selected for awards must agree to comply with additional legal requirements upon acceptance of an award. OJP strongly encourages applicants to review the information pertaining to these additional requirements prior to submitting an application. Additional information for each requirement can be found at [www.ojp.usdoj.gov/funding/other\\_requirements.htm](http://www.ojp.usdoj.gov/funding/other_requirements.htm).

- Civil Rights Compliance
- Civil Rights Compliance Specific to State Administering Agencies
- Faith-Based and Other Community Organizations
- Confidentiality
- Research and the Protection of Human Subjects
- Anti-Lobbying Act
- Financial and Government Audit Requirements
- National Environmental Policy Act (NEPA)
- DOJ Information Technology Standards (if applicable)
- Single Point of Contact Review
- Non-Supplanting of State or Local Funds
- Criminal Penalty for False Statements
- Compliance with [Office of Justice Programs Financial Guide](#)

- Suspension or Termination of Funding
- Nonprofit Organizations
- For-profit Organizations
- Government Performance and Results Act (GPRA)
- Rights in Intellectual Property
- Federal Funding Accountability and Transparency Act (FFATA) of 2006
- Awards in Excess of \$5,000,000 – Federal Taxes Certification Requirement
- Active CCR Registration

### **Provide Feedback to OJP on This Solicitation**

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

## Application Checklist

# BJS Analytic Resource Center

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

**Eligibility Requirement:** Eligible applicants are limited to for-profit (commercial) organizations, nonprofit organizations, faith-based and community organizations, institutions of higher learning, and consortia with demonstrated organizational and community-based experience working with American Indian and Alaska Native communities, including tribal for-profit (commercial) and nonprofit organizations, tribal colleges and universities, and tribal consortia. For-profit organizations must agree to forgo any profit or management fee.

\_\_\_\_\_ The federal amount requested is within the allowable limit(s) of \$1.6 million.

### What an Application Should Include:

- \_\_\_\_\_ Application for Federal Assistance (SF-424) (see page 24)
- \_\_\_\_\_ Program Narrative (see page 25)
  - \_\_\_\_\_ Line spacing of no less than 1.5 lines
  - \_\_\_\_\_ 12-point Arial
  - \_\_\_\_\_ 1" standard margins
  - \_\_\_\_\_ Narrative is 30 pages or less
  
- \_\_\_\_\_ Budget Detail Worksheet (see page 26)
- \_\_\_\_\_ Budget Narrative (see page 26)
- \_\_\_\_\_ Disclosure of Lobbying Activities (SF-LLL) (see page 23)
- \_\_\_\_\_ Indirect Cost Rate Agreement (if applicable) (see page 26)
- \_\_\_\_\_ Tribal Authorizing Resolution (if applicable) (see page 27)
- \_\_\_\_\_ Additional Attachments (see page 27)
  - \_\_\_\_\_ Key staff Information
  - \_\_\_\_\_ Resumes/Curricula vitae of Key Project Personnel (not to exceed 4 pages each)
  - \_\_\_\_\_ Privacy Certification
  
- \_\_\_\_\_ Other Standard Forms as applicable (see page 27)
  - \_\_\_\_\_ Accounting System and Financial Capability Questionnaire (if applicable)