

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



The [U.S. Department of Justice](#) (DOJ), [Office of Justice Programs](#) (OJP), [Bureau of Justice Statistics](#) (BJS) is seeking applications for the Census of Jails (COJ) and the Annual Survey of Jails (ASJ). This award covers the data collection of reference year (RY) 2019 COJ data and RY 2020-23 ASJ data, which will be performed from January 1, 2019 to March 31, 2024. As the primary source for criminal justice statistics in the United States, BJS is responsible for collecting, analyzing, publishing, and disseminating statistical information on crime, criminal offenders, victims of crime, and the operations of criminal justice systems at all levels of government. This program furthers the Department's mission by gathering critical criminal justice data from local jails. The project will collect data necessary for producing annual estimates of jail population size and characteristics, including one-day custody counts, sex and race composition, non-U.S. citizen counts, counts by conviction status, holds for other authorities, average daily population, admissions, releases, and turnover rates. It will also produce data on facility characteristics, including rated capacity, facility functions, staffing, and programs for inmates.

2019 Census of Jails and 2020-23 Annual Survey of Jails

Applications Due: July 2, 2018

Eligibility

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

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

BJS welcomes applications under which two or more entities would carry out the federal award; however, only one entity may be the applicant. Any others must be proposed as subrecipients (subgrantees).¹ The applicant must be the entity that would have primary responsibility for carrying out the award, including administering the funding and managing the entire project. Under this solicitation, only one application by any particular applicant entity will be considered.

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

An entity may, however, be proposed as a subrecipient (subgrantee) in more than one application.

BJS may elect to fund applications submitted under this FY 2018 solicitation in future fiscal years, dependent on, among other considerations, the merit of the applications and on the availability of appropriations.

Deadline

Applicants must register with Grants.gov at <https://www.grants.gov/web/grants/register.html> prior to submitting an application. All applications are due by 11:59 p.m. eastern time on July 2, 2018.

To be considered timely, an application must be submitted by the application deadline using Grants.gov, and the applicant must have received a validation message from Grants.gov that indicates successful and timely submission. OJP urges applicants to submit applications at least 72 hours prior to the application due date, to allow time for the applicant to receive validation messages or rejection notifications from Grants.gov, and to correct in a timely fashion any problems that may have caused a rejection notification.

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

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

Contact Information

For technical assistance with submitting an application, contact the Grants.gov Customer Support Hotline at 800-518-4726, 606-545-5035, at <https://www.grants.gov/web/grants/support.html>, or at support@grants.gov. The Grants.gov Support Hotline operates 24 hours a day, 7 days a week, except on federal holidays.

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

For assistance with any other requirements of this solicitation, contact Zhen Zeng, BJS Statistician, by telephone at 202-307-0765, or by email at askbjs@usdoj.gov. Include “CJASJ” in the subject line.

Grants.gov number assigned to this solicitation: BJS-2018-14127

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2019 Census of Jails and 2020-23 Annual Survey of Jails

(CFDA # 16.734)

A. Program Description

Overview

The Bureau of Justice Statistics (BJS) seeks an agent to conduct data collection and related activities for the Census of Jails (COJ) and the Annual Survey of Jails (ASJ). This award covers the collection of 2019 COJ data and four collection cycles of ASJ data (2020 through 2023). The project period is January 1, 2019, through February 29, 2024. The COJ is BJS's longest-running and most comprehensive data collection that studies the nation's local jails. BJS has been conducting the COJ to collect jail facility and population data every 5 or 6 years since 1970. Started in 1982, the ASJ has been conducted in years between the censuses to produce national estimates on jail populations. The COJ and ASJ are the primary sources of high-quality, national data on local jails, tracking changes in the number of jails, national capacities, and inmate population size and characteristics. The data are analyzed by government officials, correctional administrators, and researchers to understand the trends in the jail population to inform the practices and policies of jails nationwide.

Statutory Authority: Under section 302 of the Omnibus Crime Control and Safe Streets Act, BJS is authorized to "make grants to or enter into cooperative agreements or contracts with public agencies, institutions of higher education, private organizations, or private individuals" for purposes of collecting and analyzing criminal justice statistics. BJS is authorized to issue this solicitation under 34 U.S.C. § 10132.

Project-Specific Information

The COJ is BJS's longest-running data collection that studies the nation's local jails. Since 1970, BJS has been conducting the COJ every 5 or 6 years to collect data on jail facilities and the inmate populations they supervise. The last COJ took place in 2014 and collected 2013 year-end data. Administered to about 3,200 county and city jails (local jails) nationwide, the COJ is BJS's most comprehensive establishment study of jails and provides the sampling frame for BJS's jail surveys such as the ASJ and the Survey of Inmates in Local Jails.

The COJ produces statistics on jail population size and characteristics, including one-day custody counts, U.S. citizen and non-U.S. citizenship counts, sex and race composition, juvenile counts, unconfined and supervised population, counts by conviction status, holds for Immigration and Customs Enforcement (ICE) and other authorities, average daily population, admissions, releases, and turnover rates. It also collects data on facility characteristics, including rated capacity, facility functions, staffing, operating expenditures, staff safety and security, and programs for inmates. Due to respondent burden limitations, the COJ covers only select facility characteristics at each collection (see past COJ questionnaires at <https://www.bjs.gov/index.cfm?ty=dcdetail&iid=254#Questionnaires> and report on 2013 COJ at <https://www.bjs.gov/index.cfm?ty=pbdetail&iid=5480>). Estimates of jail population and facility characteristics are published at the national and state levels.

Started in 1982, the ASJ has been conducted between the censuses to produce national statistics on jail populations. The ASJ is administered to a nationally representative sample of jail jurisdictions drawn from the latest COJ data using stratified sampling. The ASJ sample consists of about 875 jail jurisdictions. A *jail jurisdiction* is a county or municipal government that administers one or more local jails and represents the entity responsible for managing the jail facilities under its authority. Some jail jurisdictions are jointly administered by two or more governments (e.g., regional jails). Currently, about 2,850 jail jurisdictions exist in the United States, and approximately a third of them are included in the ASJ sample.

The ASJ questionnaire is a shorter version of the COJ instrument, covering one-day custody counts, sex and race composition, juvenile counts, unconfined and supervised population, counts by conviction status, holds for other authorities, non-U.S. citizen counts, average daily population; admissions and releases, turnover rates, rated capacity, and staffing (see past ASJ questionnaires at <https://www.bjs.gov/index.cfm?ty=dcdetail&iid=261#Questionnaires>). Data collected from the ASJ are published in BJS's *Jail Inmates* annual bulletin series (<https://www.bjs.gov/index.cfm?ty=pbse&sid=38>).

Most jail jurisdictions consist of a single-facility operator, but some contain multiple-facility operators, called *reporting units* in BJS jail collections. For example, two reporting units, a county jail and a sheriff's office, represent some jail jurisdictions. As of January 2018, there were 2,914 active reporting units in BJS's jail universe file. The ASJ sample is selected at the jail jurisdiction level, but data are collected from jail reporting units. When a jail jurisdiction is selected for the ASJ, all reporting units within that jail jurisdiction will be contacted and requested to report data separately.

Most reporting units manage a single jail facility, but some larger ones manage multiple facilities. As of January 2018, the 2,914 jail reporting units nationwide managed about 3,200 facilities. Both ASJ and COJ data are collected from reporting units. However, the COJ requests that reporting units with multiple facilities report data separately for each facility, while the ASJ requests that reporting units report aggregated data across all facilities they manage.

The ASJ sample consists of a third of the nation's jail jurisdictions. The sample is selected from the most recent COJ data using stratified sampling and the Neyman allocation method to minimize sampling errors of national population estimates. Due to insufficient area-specific data, the ASJ cannot produce reliable direct state-level estimates of jail population characteristics.

The ASJ uses a panel design. The sampled jails are surveyed on the same items annually until the sample is refreshed with the next COJ collection. This panel design allows for tracking jail-level changes over time. A refreshment interval of approximately 5 years helps BJS build rapport with agencies, while mitigating survey fatigue and ensuring that the ASJ sample stays relatively current.

To improve efficiency, BJS is combining the 2019 COJ and 2020-23 ASJ collections in one solicitation. Because the ASJ and COJ forms are similar and the ASJ sample is drawn from the COJ data, using the same data collection agent for both collections will allow BJS to save time and costs by developing ASJ collection tools from COJ work products.

Goals, Objectives, and Deliverables

The project goal for the COJ collection is to collect high-quality data on approximately 3,200 jail facilities nationwide. The recipient will conduct core data collection activities for the COJ on the following general schedule:

- January 2019 – June 2019: Program the web-based survey instrument, create and test data collection website, update the jail universe file, prepare a survey administration plan, and develop error checking programs.
- June 2019 – December 2019: Data collection begins on June 28, 2019, and ends on December 31, 2019. Conduct data quality follow-up (DQFU) and nonresponse follow-up (NRFU) activities as needed to maximize response rates and minimize errors. At the discretion of BJS, the recipient shall extend the data collection period to reach a satisfactory response rate or resolve data quality issues. Prepare a data editing, weighting, and imputation plan.
- January 2020 – March 2020: Implement data verification, editing, and imputation procedures. Deliver the analytic data file, data documentation, and a post-collection report.

Following the COJ collection, the recipient will complete four cycles of high-quality data collection of the ASJ from approximately 875 jail reporting units. The general schedule of the ASJ collection is similar to the COJ:

- January – June (2020 – 2023): In 2020, the recipient will develop the survey instrument, create and test the data collection website, update the sample, prepare a survey administration plan, and develop error checking programs for the first ASJ collection cycle. In later years, the recipient will only make minor updates to the instrument (e.g., updating the reference dates), website, administration plan, and programs for each subsequent collection.
- June 2020 – December (2020 – 2023): Data collection begins on the last weekday of June and ends on December 31. The recipient will conduct DQFU and NRFU activities as needed to maximize response rates and minimize errors. At the discretion of BJS, the recipient may extend the data collection period to reach a satisfactory response rate or to resolve large data quality issues. Prepare a data editing, weighting, and imputation plan.
- January – February (2021 – 2024): Implement data verification, editing, and imputation procedures. Deliver the analytic data file, data documentation, and a post-collection report.

Work for the first ASJ collection under this award, the 2020 ASJ, will start as early as May 2019 to ensure the timely submission of the Office of Management and Budget (OMB) package by December 2019. OMB clearance is required before initial contact with sampled jails.

Cross-collection tasks

Task 1. Project management and project schedule

The recipient of funds should efficiently manage data collection and foster communication with the BJS project manager (PM) and staff, other project staff, and stakeholders.

Subtask 1.1. Project kick-off meeting and project schedule

In January of 2019 through 2023 before each collection cycle, the recipient's project director (PD) and key staff will attend in-person kick-off meetings with the BJS PM and BJS key staff in Washington, DC. The meetings should review the overall project goals and tasks and discuss areas of concern related to the proposed project scheduling plan, staffing plan, and other management requirements. The meetings will provide an opportunity for BJS staff to share project experience and materials with the recipient.

Within 2 weeks of the kick-off meeting of each collection cycle, the recipient will submit an updated version of the project schedule, and the BJS PM will review and provide comments. The recipient will subsequently revise the schedule as needed.

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

Subtask 1.2 Project calls and meetings

The recipient of the funds will establish a routine method for updating the BJS PM and project staff on the status of the project, which will include monthly conference calls. The recipient will work with BJS to develop the agendas for these calls. The BJS PM and the recipient will establish other regular communication vehicles as needed.

Subtask 1.3 Monthly progress reports (MPR) and semiannual progress reports

The recipient will submit to the BJS PM MPRs that include (1) all activities performed during the month; (2) problems encountered and proposed or enacted solutions; (3) plans for the upcoming month; (4) a brief discussion of the expenditure of funds, statement that indicates the percentage of funds that have been expended, and breakdown of total hours worked and expenses for all team personnel; and (5) a statement as to whether the project will be completed according to the schedule and budget.

Semiannual progress reports and quarterly financial reports shall be submitted through the Grants Management System (GMS) in accordance with the Office of Justice Programs (OJP) Financial Guide. Semiannual progress reports shall contain the same information as the MPR for the full 6-month period of performance.

Task 2. Analytic support

BJS may ask the recipient to conduct a basic descriptive analysis of COJ or ASJ data to address specific information requests. These analyses may involve generating tabulations to respond to inquiries about data collected and published in the BJS reports. This work generally will require no more than 8 hours per request. The recipient should expect to respond to no more than five special requests per collection cycle.

Task 3. Conference presentations

The recipient should plan to attend one conference per year during the project period (five conferences in total) with BJS staff to present findings on the COJ and ASJ, engage stakeholders in improving and enhancing the collection, or achieve other goals, such as marketing the collection to key stakeholders. BJS periodically attends the meetings of the American Jail Association (AJA), Large Jail Network, Jail Research Network, and American Correctional Association (ACA). The recipient should plan to assist BJS staff in developing five presentations (one per year). At least 8 weeks prior to the conferences, the recipient must furnish BJS with a copy of the proposed presentation.

Task 4. Meet BJS data security requirements and data collection tool development standards

The recipient will maintain data securely and confidentially in accordance with 28 C.F.R. Part 22. At BJS's request, the recipient will provide a copy of the data security procedures and copies of forms signed by staff indicating their compliance with 28 C.F.R. Part 22. Applicants should demonstrate the capacity to meet this requirement.

Data transfers between BJS and the recipient will be carried out using the Department of Justice's (DOJ) secure Justice Enterprise File Sharing tool.

The data collection website should be compatible with the OJP environment. In developing the website, the recipient should consult BJS's Data Tool Development Standards (see [Appendix](#)), which set out requirements for the architecture framework, data security, technology stacks, and technical documentation. BJS may require that the recipient's project staff pass an OJP background check. In addition, BJS may require that the recipient transfer the data collection tool behind the OJP firewall.

Task 5. Delivery of all project materials

All data and source code generated by this project belong to BJS. BJS retains all rights to exclusive data use until it releases the public-use data file, which will be available at the NACJD at www.icpsr.umich.edu/icpsrweb/NACJD or the OJP designated archiving agent.

The recipient will not release or disclose any data collected through this cooperative agreement without BJS's prior written approval. This includes, but is not limited to, presentations at professional conferences and meetings, press releases, and grant applications. Unauthorized release of data by the recipient or its associates may result in the immediate commencement of termination or suspension proceedings in accordance with 28 C.F.R. Part 18.

The recipient will transfer all project materials, including code, database, website application, and project files, to BJS or the next recipient towards the end of the project period should the recipient not win the next competition for COJ and ASJ collections.

2019 COJ tasks

Task 6. Assist with the OMB clearance request for COJ

The BJS PM will prepare and submit a request for COJ to the OMB. To ensure that approval is obtained so that the data collection can start on schedule, the BJS PM will submit the OMB application in November 2018 before the start date of the project under this award. As part of

the OMB package, the BJS PM will prepare a draft COJ instrument and survey administration plan.

The COJ questionnaire will be similar to the 2013 COJ (<https://www.bjs.gov/index.cfm?ty=dcdetail&iid=254#Questionnaires>) and 2016 ASJ questionnaires (https://www.bjs.gov/content/pub/pdf/CJ9A5_2016.pdf) but with some expanded categories (e.g., detailed conviction status, inmate age category) and additional questions (e.g., offense types, facility and holding functions, and jail programs). These revised and new items will be based on a cognitive test completed in 2018.

After the initial submission of the OMB package, the recipient will assist with the process by providing input on the instrument and survey plan, finalizing the supporting documents, and helping the BJS PM respond to OMB pass-back questions. If there are substantive changes to the survey instrumentation after the initial submission of the OMB package, the recipient will assist the BJS PM with revising and resubmitting the OMB clearance request.

Task 7. Develop the COJ web instrument

Subtask 7.1 Develop the database for survey data and para-data

The recipient will develop data specifications for survey data and para-data that describe the data collection process, including time stamps of respondent login and data entry, navigation, time spent on each page, device and browser information, record of communication between respondents and the recipient's staff. Para-data will be recorded for quality control purposes and future burden estimates.

Two months before the data collection starts, the recipient will deliver to the BJS PM survey data and para-data specifications for review and approval.

Subtask 7.2 Develop the data collection website

The recipient will develop the data collection website using nonproprietary software commonly available to the government and industry, in compliance with the government's desire for portability in applications. BJS retains all rights to the source code used to produce the website. After the collection of COJ is completed, the COJ website will be decommissioned.

The website will serve three groups of users:

- Respondents will learn about the survey, preview the questionnaire, submit data online, and review submitted data.
- BJS staff will download survey data and para-data in real time, biweekly collection summaries, MPRs, Adobe Portable Document Format (PDF) questionnaires, and the survey administration plan. BJS staff will also be able to view individual respondents' data.
- The recipient's staff will administer the survey, conduct DQFU and NRFU, and generate reports on survey progress and data quality measures.

The data collection website will have restricted access, and user authentication is required for most functions. The only content with open access are the survey introduction, preview, and frequently asked questions.

The recipient will perform a beta test of the online survey that includes verification of all items and, in particular, those that rely on skip pattern programming. An electronic file (log) will be provided to the BJS PM demonstrating the date(s) tests were performed, errors encountered, and resolution of issues. Any errors encountered that require reprogramming will be tested again to ensure accuracy of the online instrument delivered to the BJS PM.

Two months before collection starts, the recipient will deliver to the BJS PM a final version of web survey application for evaluation and testing.

Subtask 7.3 Develop data validation programs

To minimize measurement errors and missing data, the recipient should incorporate data validation programs into the web survey. Ideally, errors are caught and corrected by respondents themselves before data submission. To facilitate this, survey instrumentation should provide built-in instructions, data range checks, and internal consistency checks as respondents progress through the survey. The internal consistency checks compare reported data against previous year's data and across related items of the same year.

The recipient will deliver to the BJS PM specifications of data validation programs implemented on the web survey when delivering the survey for BJS testing.

Task 8. Update the jail universe file

As in past collections, the COJ universe consists of the nation's jail facilities, including all county, city, and regional jails; Federal Bureau of Prisons detention centers; and privately operated jail facilities. The universe does not include tribal facilities, as they are collected under a separate project.

BJS maintains an annually updated jail universe file with operational status information on all facilities and jail contact information through the Mortality in Correctional Institutions project (MCI, formerly the Death in Custody Reporting Program). The recipient will update BJS's latest jail universe file for the 2019 COJ collection to ensure that all jail facilities eligible for the COJ – facilities in operation for all or part of the year ending on June 28, 2019 – are included and that the contact information is correct. Efforts to update the jail universe file include, but are not limited to—

- conducting web searches
- cross-referencing BJS's universe file against ACA and AJA jail directories
- contacting local and state governments, law enforcement agencies, and private jails as needed to make inquiries about the status and functions of their facilities.

During the data collection, the recipient will continue to update the status of each jail facility in the universe file as contacts with jails are made. For out-of-scope and closed jail facilities, the recipient should identify the reason (e.g., temporarily or permanently closed, merged with another facility) and circumstances of their status change for future reference.

The recipient will deliver a jail universe update plan to the BJS PM for comment and approval one month after kick-off meeting.

Task 9. Recruitment and training prior to data collection

The recipient will ensure a sufficient number of staff to complete the data collection on time. Before fielding the survey, the recipient will provide a staffing plan for BJS review.

The recipient will develop all training materials to ensure that the staff contacting jails for frame update, DQFU, and NRFU are familiar with the instrument and data collection process. Staff should be trained on how to handle common issues and how to ask proper follow-up questions in the field.

The recipient will deliver the training materials to the BJS PM for review and approval 2 weeks before data collection starts. These materials include manuals, slides, and additional materials developed to address issues that arise during data collection.

The recipient will ensure that all project staff assigned successfully complete the training program and will receive additional guidance and training if necessary for new methods or procedures instituted after data collection has begun.

Task 10. Fielding the COJ

Subtask 10.1 Develop a survey administration plan

The BJS PM will deliver to the recipient a draft survey administration plan prepared as part of the OMB application package. The plan will describe how the survey will be fielded and data collection completed on time. The recipient will modify the plan as needed, finalize all supporting documents, and deliver it to the BJS PM for review and approval prior to data collection. If there are substantive changes to the survey instrumentation after the initial submission of the OMB package, the recipient will assist the BJS PM with revising and resubmitting the OMB clearance request.

The survey administrative plan should present procedures that will minimize field costs and achieve a response rate of at least 93% for all jail reporting units, a nearly 100% item-response rate for key survey items (i.e., one-day population, average daily population, and rated capacity), and an item-response rate of 90% or more for other items. The plan should include communication materials (i.e., letters, email, and call scripts) and protocols of DQFU and NRFU. The recipient will adapt these documents as needed to address issues that arise during data collection.

Subtask 10.2 Implement real-time tracking systems

The recipient will review data for completeness and consistency. Cases with errors or missing items will go through the DQFU process in a timely fashion to ensure early resolution.

The recipient will generate summary reports on the status of the collection, including unit- and item-response rates, reasons for nonparticipation (e.g., facility out of scope, refusal to participate), data quality issues awaiting resolution, and NRFU and DQFU contact status. The reports will also include summary statistics of para-data such as time to complete the survey,

time to answer each item, navigation patterns, and the number of times items were edited by respondents. This information will help identify potential issues with the survey instrument.

The recipient will continuously update this information and provide summary reports to the BJS PM every 2 weeks during the collection period.

Task 11. Post-survey adjustments and analytic files

Subtask 11.1 Data editing, weighting, and imputation

The recipient will deliver to the BJS PM a data processing plan 2 months after data collection launch. The plan will describe proposed procedures of data editing (e.g., adjusting for internal inconsistency), missing data imputation, and nonresponse weighting. The recipient, in close collaboration with the BJS PM, will conduct an analysis of nonresponse pattern using past and new COJ data and make recommendations to BJS about imputation strategies.

After BJS approves the data processing plan, the recipient will develop computer codes to implement BJS-approved procedures.

Subtask 11.2 Analytic data file and documentation

One month after data collection ends, the recipient will deliver to the BJS PM an analytic data file that will be used to prepare BJS statistical tables and special reports. The data file will include both reported and imputed data, imputation flag variables, and final weights. Along with the data file, the recipient will also deliver a data codebook and a methodology report that describes procedures used in data editing, weighting, and imputation, accompanied by annotated computer codes. The codebook should include all variable and value labels and summary statistics such as frequencies or means for each variable. A final jail universe file with updated point of contact (POC) information will be delivered at the same time.

The recipient will scan paper versions of records submitted via mail or fax and maintain the records in PDF format. These files will be delivered to BJS PM on request.

Subtask 11.3 Post-collection report

One month after data file delivery, the recipient will provide a post-collection report to evaluate the performance and provide recommendations for enhancing data collection in future. The report should summarize unit- and item-response rates and DQFU and NRFU efforts and effectiveness; provide lists of nonrespondents and unresolved data issues; and make suggestions for the survey instrument, survey administration, and data processing. Other areas of improvement include reducing respondent burden, survey cost, and coverage error.

2020–23 ASJ tasks

Task 12. ASJ survey development

The recipient will develop the ASJ instrument and website based on the work products developed for the COJ collection. After the 2020 ASJ collection, the recipient will only make minor updates to the instrument and website (e.g., updating reference dates) for each subsequent collection.

Subtask 12.1 Develop and finalize the ASJ instrument

The recipient will develop the ASJ instrument in close collaboration with the BJS PM. The questionnaire will be similar to past ASJ questionnaires (https://www.bjs.gov/content/pub/pdf/CJ9A5_2016.pdf) but with some revised/new questions adapted from the 2019 COJ instrument (e.g., detailed conviction status, inmate age category, and offense types).

The recipient will make a PDF version of the questionnaire. The PDF questionnaire is used mainly for reference, as respondents will be encouraged to submit their data on the website.

Subtask 12.2 Develop the database for survey data and para-data

The recipient will develop database specification for capturing survey data and para-data that describe the data collection process. Para-data will be recorded for quality control purpose, including time stamps of respondent login, data entry, navigation, key strokes, device and browser information, record of communication between respondents and the recipient's staff.

The recipient will deliver to the BJS PM survey data and para-data specifications for review and approval.

Subtask 12.3 Develop the ASJ collection website

The ASJ and COJ websites will be separate, although the two will look and function similarly. The recipient will develop the website using nonproprietary software commonly available to the government and industry, in compliance with the government's desire for portability in applications. BJS retains all rights to the source code used to produce the website.

The website will serve three groups of users:

- Respondents will learn about the ASJ, preview the survey questionnaire, submit data online, and review submitted data.
- BJS staff will download survey data and paradata in real time, biweekly collection summaries, MPRs, PDF questionnaires, and survey administration plan. BJS staff will also be able to view individual respondents' data.
- The recipient's staff will administer the survey, conduct DQFU and NRFU, and generate reports on survey progress and data quality measures.

The data collection website will have restricted access, and user authentication is required for most functions. The only content with open access are the survey introduction, preview, and frequently asked questions.

The recipient will perform a beta test of the online survey that includes verification of all items and, in particular, those that rely on skip pattern programming. An electronic file (log) will be provided to the BJS PM demonstrating the date(s) tests were performed, errors encountered, and resolution of issues. Any errors encountered that require reprogramming will be tested again to ensure accuracy of the online instrument delivered to the BJS PM.

The recipient will deliver to the BJS PM a final version of web survey application for evaluation and testing.

Subtask 12.4 Develop data validation programs

To minimize measurement errors and missing data, the recipient should incorporate data validation programs into the web survey. Ideally, errors are caught and corrected by respondents themselves before data submission. To facilitate this, survey instrumentation should provide built-in instructions, data range checks, and internal consistency checks as respondents progress through the survey. The internal consistency checks compare reported data against previous year's data and across related items of the same year.

The recipient will deliver to the BJS PM specifications of data validation programs implemented on the web survey when delivering the survey for BJS testing.

Task 13. Prepare three OMB packages for ASJ

OMB clearance is required prior to BJS conducting any data collection activities. The recipient will prepare a draft of all OMB clearance packages necessary to complete ASJ activities. The recipient and the BJS PM will collaborate in finalizing each package. BJS will submit the package. Together, the recipient and the BJS PM will respond to all OMB pass-back questions and assist with public comments. BJS anticipates three OMB clearance applications.

Subtask 13.1 Full OMB clearance package for 2020-22 ASJ

The first OMB clearance application will be a full clearance package prior to the 2020 ASJ collection. The recipient will submit a draft of the clearance package to the BJS PM by August 2019, and the final clearance package will be submitted to OMB by September 2019. This application will obtain clearance for three collection cycles of the ASJ (2020-22). The ASJ instrument, survey administration plan and protocols, and sample design will be finalized before submitting the clearance package to OMB.

Subtask 13.2 Full OMB clearance package for 2023-25 ASJ

The second application will be submitted before the 2023 ASJ collection for the 2023-25 ASJ. The recipient will submit a draft of the clearance package to the BJS PM by August 2022, and the final clearance package will be submitted to OMB by September 2022.

Subtask 13.3 OMB generic clearance package for cognitive testing

The third OMB clearance application will be submitted under BJS's generic clearance provisions for a cognitive test. BJS will conduct the cognitive test for new and revised items to be used in future COJ and ASJ in April 2023. The recipient will prepare the OMB application package and provide a draft to the BJS PM in November 2022.

Task 14. Develop state-level estimates for the ASJ

In close collaboration with the BJS PM, the recipient will develop small-area estimation models to produce annual state-level estimates of jail population characteristics with acceptable standard errors using BJS's three jail collections (i.e., ASJ, COJ, and MCI). The MCI collects

basic jail population data (e.g., one-day counts by sex, average daily population by sex) from all local jails annually, whereas the ASJ collects detailed population characteristics data.

The recipient will deliver to the BJS PM in May 2019 an estimation plan describing the models to be estimated and methods to evaluate the reliability and validity of the state-level estimates. A final report will be provided in July 2019.

Subtask 15. The ASJ sample design development

In collaboration with the BJS PM, the recipient will develop a sampling design to be used for the 2020-23 ASJ or future ASJ. To come up with the optimal design, the recipient will analyze the different types of longitudinal sample designs, such as fixed panel plus “births” (opening of new jails), rotating panel, and split panel, in meeting BJS’s sampling goals:

- reducing sampling errors of population estimates at the national level (e.g., by redefining sampling strata)
- improving cross-sectional representativeness
- measuring change at the jurisdiction level
- producing state-level estimates (either in conjunction with BJS’s COJ and MCI data or by combining multiple years’ of AJS data)
- reducing respondent burden (specifically for small jail jurisdictions)
- controlling survey costs.

The recipient will provide a sampling plan in August 2019. The plan will describe in detail how state-level estimates and standard errors will be produced under the new sampling scheme. It should discuss the expected size of the standard errors at both the state and national levels and compare them to those attained under the current sampling scheme. It should also describe the implications of the new sampling scheme for respondent recruitment and survey administration.

After BJS approves the proposed sampling plan and the 2019 COJ data become available, the recipient will draw the sample. The sampling plan will be included in the OMB package under subtask 13.1.

Task 16. Update the ASJ sample

BJS maintains an annually updated jail universe file with operational status information on all facilities and jail contact information through the MCI. The recipient will review BJS’s latest jail universe file before each ASJ collection cycle to remove inactive and ineligible jails and add newly eligible jails as needed. The recipient will contact local governments, law enforcement agencies, and private jails as needed to verify the information about the status and functions of their facilities. The recipient should consult the BJS PM before making each adjustment to the ASJ sample.

During data collection, the recipient will continue to update the status of each jail in the ASJ sample as contacts with jails are made. For out-of-scope and closed jails, the recipient should identify the reason (e.g., temporarily or permanently closed, or merged with another facility) and circumstances of their status change for future reference.

Task 17. Recruitment and training prior to data collection

The recipient will ensure a sufficient number of staff to complete the data collection on time. Before fielding the survey for each ASJ collection cycle, the recipient will provide a staffing plan for BJS review.

The recipient will develop all training materials to ensure that the staff contacting jails for DQFU and NRFU are familiar with the instrument and data collection process. Staff should be trained on how to handle common issues and how to ask proper follow-up questions in the field for each ASJ collection cycle.

The recipient will deliver the training materials to the BJS PM for review and approval 2 weeks before data collection starts. These materials include manuals, slides, other materials needed before training starts, and additional materials developed to address issues that arise during the data collection.

The recipient will ensure that all project staff successfully complete the training program and will receive additional guidance and training if necessary for new methods or procedures instituted after data collection has begun.

Task 18. Fielding the survey

Subtask 18.1 Develop a survey administration plan

The recipient will develop a survey administration plan and deliver it to the BJS PM for review and approval before 2020 ASJ data collection begins. For 2021-23 collection cycles, the recipient will update the survey administrative plan before data collection starts each year. The plan should describe procedures the recipient will develop and implement to field the survey and complete data collection on time. It should present procedures that will minimize field costs and achieve a response rate of at least 93% for all jail reporting units, a nearly 100% item-response rate for key survey items (i.e., one-day population, average daily population, and rated capacity), and an item-response rate of 90% or more for other items.

The survey administration plan should include communication materials (i.e., letters, email, and call scripts) and protocols of DQFU and NRFU. The recipient will adapt these documents as needed to address issues that arise during the data collection.

Subtask 18.2 Implement real-time tracking systems

During each data collection cycle, the recipient will review data for completeness and consistency. Cases with errors or missing items will go through the DQFU process in a timely fashion to ensure early resolution.

During each data collection cycle, the recipient will generate summary reports on the status of the collection, including unit- and item-response rates, reasons for nonparticipation (e.g., facility out of scope, refusal to participate), data quality issues awaiting resolution, and NRFU and DQFU contact status. The reports will also include summary statistics of paradata such as time to complete the survey, time to answer each item, navigation patterns, and the number of times items were edited by respondents. This information will help identify potential issues with the survey instrument and inform estimates of survey burden.

The recipient will continuously update this information and provide summary reports to the BJS PM every 2 weeks during each collection period.

Task 19. Post-survey adjustments and analytic files

Subtask 19.1 Data editing, weighting, and imputation

The recipient will deliver to the BJS PM a data processing plan 2 months after data collection launch for 2020 ASJ. For 2021-23 collection cycles, the recipient will update the data processing plan before the data collection starts each year. The plan will describe proposed procedures of data editing (e.g., adjusting for internal inconsistency), missing data imputation, and nonresponse weighting. The recipient, in close collaboration with the BJS PM, will conduct an analysis of nonresponse pattern using past and new ASJ data and make recommendations to BJS about imputation strategies.

After BJS approves the data processing plan, the recipient will develop computer codes to implement BJS-approved procedures.

Subtask 19.2 Analytic data file and documentation

One month after data collection ends, the recipient will deliver to the BJS PM an analytic data file that will be used to prepare BJS statistical tables and special reports. The data file will include both reported and imputed data, imputation flag variables, and final weights. Along with the data file, the recipient will also deliver a data codebook and a methodology report that describes procedures using in data editing, weighting, and imputation, accompanied by annotated computer codes. The codebook should include all variable and value labels and summary statistics such as frequencies or means for each variable. A final ASJ sample list with updated POC information and a summary of sample changes (e.g., jail closure and reopening) because the last survey will be delivered at the same time.

The recipient will scan paper versions of records submitted via mail or fax and maintain the records in PDF format. These files will be delivered to BJS PM on request.

Subtask 19.3 Post-collection report

One month after each analytic file delivery, the recipient will provide a post-collection report to evaluate performance and provide recommendations for enhancing future data collection. The report should summarize unit- and item-level response rates; describe DQFU and NRFU efforts and effectiveness; provide lists of nonrespondents and unresolved data issues; and make suggestions for the survey instrument, survey administration, and data processing. Other areas of improvement include reducing respondent burden, survey cost, and coverage error.

Task 20. Conduct a cognitive test

Working with the BJS PM, the recipient will conduct a cognitive test of new and revised items to be used in future COJ and ASJ around April 2023. The recipient will develop a web survey consisting of new and revised items, invite respondents to participate in the test, and follow up with semi-structured phone interviews to evaluate the validity of the items. The recipient will develop interview questions and recruit jails of varying sizes and types. The cognitive test should consist of two to three iterations for a total of 50 interviews to test and retest item wording.

The recipient will provide to the BJS PM a cognitive test plan in September 2022 and a final report in September 2023. The report will address respondents' comprehension of the items, burden, and ability to answer items; and the validity, reliability, and functionality of the items.

The cognitive test needs to be cleared by OMB. The recipient will provide the BJS PM with generic clearance package in November 2022 and assist with the clearance process.

Deliverables

Cross-collection

1. 2019–23, each January: kick-off meeting
2. 2019–23, each January: project and task schedule, staffing plan
3. January 2019 – February 2024, monthly: project calls
4. January 2019 – February 2024, monthly: progress reports
5. January 2019 – February 2024, every 6 months: semiannual progress reports

2019 COJ

6. February 2019: jail universe update plan
7. March 2019: final version of the questionnaire
8. April 2019: survey data and paradata specifications
9. April 2019: website testing log and error checking programs
10. April 2019: final version of the website
11. May 2019: survey administration plan, survey invitation, follow-up email templates, call scripts, and protocols of DQFU and NRFU
12. June 2019: staff training materials
13. June 2019: data collection summary report template
14. July – December 2019, biweekly: data collection summary report
15. August 2019: data processing plan
16. January 2020: analytic data file, codebook, methodology report, and final jail universe file
17. February 2020: post-collection report

2020 ASJ

18. May 2019: state-level estimation plan
19. July 2019: final report on state-level estimation
20. August 2019: report on the new sampling design
21. August 2019: final version of the questionnaire
22. August 2019: survey data and paradata specifications, website testing log, error checking programs, and final version of the website
23. August 2019: survey administration plan, survey invitation, follow-up email templates, call scripts, and protocols of DQFU and NRFU
24. August 2019: draft OMB package for 2020-22 ASJ, including the sampling design, questionnaire, website screenshots, and survey administration plan
25. June 2020: staff training materials
26. June 2020: data collection summary report template
27. July – December 2020, biweekly: data collection summary report
28. August 2020: data processing plan
29. January 2021: analytic data file, codebook, methodology report, and final ASJ sample
30. February 2021: post-collection report

2021-22 ASJ

31. March 2021 and 2022: final version of the questionnaire
32. April 2021 and 2022: survey data and paradata specifications, website testing log, error checking programs, and final version of the website
33. May 2021 and 2022: survey administration plan, survey invitation, follow-up email templates, call scripts, and protocols of DQFU and NRFU
34. June 2021 and 2022: staff training materials
35. June 2021 and 2022: data collection summary report template
36. July – December 2021 and July – December 2022, biweekly: data collection summary report
37. August 2021 and 2022: data processing plan

38. January 2022 and 2023: analytic data file, codebook, methodology report, and final ASJ sample

39. February 2022 and 2023: post-collection report

2023 ASJ

40. September 2022: cognitive test plan

41. November 2022: draft OMB generic clearance package for cognitive test

42. September 2023: final report on cognitive test

43. October 2022: final version of the questionnaire

44. October 2022: survey data and paradata specifications, website testing log, error checking programs, and final version of the website

45. October 2022: survey administration plan, survey invitation, follow-up email templates, call scripts, and protocols of DQFU and NRFU

46. August 2022: draft OMB package for 2023-25 ASJ

47. June 2023: staff training materials

48. June 2023: data collection summary report template

49. July – December 2023, biweekly: data collection summary report

50. August 2023: data processing plan

51. January 2024: analytic data file, codebook, methodology report, and final ASJ sample

52. February 2024: post-collection report

Applicants should describe in the project narrative how data collected as part of the BJS-funded activities will be delivered to BJS, including in what format and at what anticipated frequency. On award, award recipients will be required to, following consultation with and direction by the BJS Program Manager, provide the specific data structure documentation to BJS as a final deliverable. At minimum, the data documentation structure must include the expected names, formats, and allowable values for each data element. The data structure documentation is a required final deliverable and shall be subject to review and approval by BJS's Technology and Data Management Unit.

The Goals, Objectives, and Deliverables are directly related to the performance measures that demonstrate the results of the work completed, as discussed in [Section D. Application and Submission Information](#), under Program Narrative.

Information Regarding Potential Evaluation of Programs and Activities

The Department of Justice has prioritized the use of evidence-based programming and deems it critical to continue to build and expand the evidence informing criminal and juvenile justice

programs to reach the highest level of rigor possible. Therefore, applicants should note that the OJP may conduct or support an evaluation of the programs and activities funded under this solicitation. Recipients and sub-recipients will be expected to cooperate with program-related assessments or evaluation efforts, including through the collection and provision of information or data requested by OJP (or its designee) for the assessment or evaluation of any activities and/or outcomes of those activities funded under this solicitation. The information or data requested may be in addition to any other financial or performance data already required under this program.

B. Federal Award Information

BJS expects to make one award of up to \$2,560,000 for this 5-year project. The award is intended to cover data collection of reference year (RY) 2019 for the Census of Jails and RY 2020 thru 2023 for the Annual Surveys of Jails. **Please note that applicants should submit separate annual budgets for each year from 2019 through 2024 and one summary budget for the entire project period.**

To allow time for, among other things, any necessary post-award review, modification, and clearance by OJP of the proposed budget, applicants should propose an award start date of January 1, 2019.

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

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

Type of Award

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

Financial Management and System of Internal Controls

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

² For purposes of this solicitation, the phrase "pass-through entity" includes any recipient or subrecipient that provides a subaward ("subgrant") to a subrecipient (subgrantee) to carry out part of the funded award or program. Additional information on proposed subawards is listed under [What an Application Should Include](#), Section 4c of this solicitation.

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

- (a) Establish and maintain effective internal control over the federal award that provides reasonable assurance that [the recipient (and any subrecipient)] is managing the federal award in compliance with federal statutes, regulations, and the terms and conditions of the federal award. These internal controls should be in compliance with guidance in “Standards for Internal Control in the Federal Government” issued by the Comptroller General of the United States and the “Internal Control Integrated Framework”, issued by the Committee of Sponsoring Organizations of the Treadway Commission (COSO).
- (b) Comply with federal statutes, regulations, and the terms and conditions of the federal awards.
- (c) Evaluate and monitor [the recipient’s (and any subrecipient’s)] compliance with statutes, regulations, and the terms and conditions of federal awards.
- (d) Take prompt action when instances of noncompliance are identified including noncompliance identified in audit findings.
- (e) Take reasonable measures to safeguard protected personally identifiable information and other information the federal awarding agency or pass-through entity designates as sensitive or [the recipient (or any subrecipient)] considers sensitive consistent with applicable federal, state, local, and tribal laws regarding privacy and obligations of confidentiality.

To help ensure that applicants understand the applicable administrative requirements and cost principles, OJP encourages prospective applicants to enroll, at no charge, in the DOJ Grants Financial Management Online Training, available at <https://ojpfgm.webfirst.com/>. (This training is required for all OJP award recipients.)

Also, applicants should be aware that OJP collects information from applicants on their financial management and systems of internal controls (among other information) which is used to make award decisions. Under [Section D. Application and Submission Information](#), applicants may access and review a questionnaire – the [OJP Financial Management and System of Internal Controls Questionnaire](#) – that OJP requires **all** applicants (other than an individual applying in his/her personal capacity) to download, complete, and submit as part of the application.

Budget Information

Cost Sharing or Matching Requirement

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

For additional information on cost sharing and match, see the DOJ Grants Financial Guide at <https://ojp.gov/financialguide/DOJ/PostawardRequirements/chapter3.3b.htm>.

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

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

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

Limitation on Use of Award Funds for Employee Compensation; Waiver

With respect to any award of more than \$250,000 made under this solicitation, a recipient may not use federal funds to pay total cash compensation (salary plus cash bonuses) to any employee of the recipient at a rate that exceeds 110 percent of the maximum annual salary payable to a member of the federal government's Senior Executive Service (SES) at an agency with a Certified SES Performance Appraisal System for that year.⁴ The 2018 salary table for SES employees is available on the Office of Personnel Management website at <https://www.opm.gov/policy-data-oversight/pay-leave/salaries-wages/salary-tables/18Tables/exec/html/ES.aspx>. Note: A recipient may compensate an employee at a greater rate, provided the amount in excess of this compensation limitation is paid with non-federal funds. (Non-federal funds used for any such additional compensation will not be considered matching funds, where match requirements apply.) If only a portion of an employee's time is charged to an OJP award, the maximum allowable compensation is equal to the percentage of time worked times the maximum salary limitation.

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

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

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

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

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

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

Costs Associated with Language Assistance (if applicable)

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

For additional information, see the “Civil Rights Compliance” section under [Overview of Legal Requirements Generally Applicable to OJP Grants and Cooperative Agreements - FY 2018 Awards](#) in the OJP Funding Resource Center at <https://ojp.gov/funding/index.htm>.

C. Eligibility Information

For eligibility information, see the title page.

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

D. Application and Submission Information

What an Application Should Include

This section describes in detail what an application should include. An applicant should anticipate that if it fails to submit an application that contains all of the specified elements, it may negatively affect the review of its application; and, should a decision be made to make an award, it may result in the inclusion of award conditions that preclude the recipient from accessing or using award funds until the recipient satisfies the conditions and OJP makes the funds available.

Moreover, an applicant should anticipate that an application that OJP determines is nonresponsive to the scope of the solicitation, or that OJP determines does not include the application elements that BJS has designated to be critical, will neither proceed to peer review, nor receive further consideration. For this solicitation, BJS has designated the following application elements as critical: Program Narrative, Budget Detail Worksheet and Budget Narrative, and résumés/curriculum vitae of key personnel.

NOTE: OJP has combined the Budget Detail Worksheet and Budget Narrative in a single document collectively referred to as the Budget Detail Worksheet. See “Budget Information and Associated Documentation” below for more information about the Budget Detail Worksheet and where it can be accessed.

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

Please review the “Note on File Names and File Types” under [How to Apply](#) to be sure applications are submitted in permitted formats.

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

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

To avoid processing delays, an applicant must include an accurate legal name on its SF-424. On the SF-424, current OJP award recipients, when completing the field for “Legal Name” (box 8a), should use the same legal name that appears on the prior year award document (which is also the legal name stored in OJP’s financial system.) Also, these recipients should enter the Employer Identification Number (EIN) in box 8b exactly as it appears on the prior year award document. An applicant with a current, active award(s) must ensure that its GMS profile is current. If the profile is not current, the applicant should submit a Grant Adjustment Notice updating the information on its GMS profile prior to applying under this solicitation.

A new applicant entity should enter its official legal name in box 8a, its address in box 8d, its EIN in box 8b, and its Data Universal Numbering System (DUNS) number in box 8c of the SF-424. A new applicant entity should attach official legal documents to its application (e.g., articles of incorporation, 501(c)(3) status documentation, organizational letterhead) to confirm the legal name, address, and EIN entered into the SF-424. OJP will use the System for Award Management (SAM) to confirm the legal name and DUNS number entered in the SF-424; therefore, an applicant should ensure that the information entered in the SF-424 matches its current registration in SAM. See the [How to Apply](#) section for more information on SAM and DUNS numbers.

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

2. Project Abstract

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

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

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

3. Program Narrative

This section should describe how the applicant will address the project's goals and objectives and meet the deliverables, as well as address the selection criteria. The narrative should present a clear understanding of BJS, its mission, and the COJ and ASJ, and how data will be collected and delivered to BJS, including in what format. The narrative should demonstrate the applicant's capabilities to complete the tasks in a timely manner. The first two sections of the program narrative should not exceed 25 pages with line spacing of no less than 1.5 lines, with a font size no smaller than 12-point (Times New Roman), with no less than 1-inch margins all around. These limitations apply to tables and figures included in sections (a) and (b) within the narrative.

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

The following sections should be included as part of the program narrative⁵:

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

OJP will require each successful applicant to submit regular performance data that demonstrate the results of the work carried out under the award (see "[General Information about Post-Federal Award Reporting Requirements](#)" in [Section F. Federal Award Administration Information](#)). The performance data directly relate to the goals, objectives, and deliverables identified under "Goals, Objectives, and Deliverables in [Section A. Program Description](#)."

Applicants should visit OJP's performance measurement page at www.ojp.gov/performance for an overview of performance measurement activities at OJP.

The application should demonstrate the applicant's understanding of the performance data reporting requirements for this grant program and detail how the applicant will gather the required data should it receive funding.

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

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

Objective	Performance Measure(s)	Data Grantee Provides
<p>Improve the data collection of COJ and ASJ by developing a reliable web-based data collection system</p>	<p>On-time delivery of the data collection websites that adhere to the specification and functions defined by BJS</p> <p>Number of quality records reported in the web tools</p>	<p>Dates website submitted for BJS testing; dates website launched</p> <p>Summary of the functions and capabilities of the website</p> <p>Protocol of website testing</p> <p>Complete documentation that data files meet BJS expectations for accuracy and completeness and that project tasks have been completed within the timeframe specified in the project period</p>

<p>Improve quality and reliability of the annual sample for the COJ and ASJ</p>	<p>Number of deliverables (including reports and data files) completed on time</p> <p>Number of deliverables (including final reports and data files) that meet BJS's expectations</p> <p>Provide raw data converted to a standardized format for the database</p> <p>Amount of data requests that are completed on time and adhere to data quality standards</p>	<p>On-time delivery of the jail frame file</p> <p>Dates updated jail universe file and updated ASJ sample submitted for BJS preview; dates final files delivered</p> <p>Summary of activities conducted to update the universe file and ASJ sample and effectiveness of each activity</p> <p>Log of all eligibility changes made to the jail universe file and ASJ sample during and after data collection</p> <p>Accept data in a variety of formats and convert into a common format for the database</p> <p>The jail universe file and annual ASJ sample files have minimal errors as defined by BJS</p>
<p>Achieve high data quality by successfully administering the COJ and ASJ collections</p>	<p>Number of deliverables completed on time</p> <p>Achieve a survey response rate of 93% or more for each collection cycle</p> <p>Achieve a nearly 100% response rate for critical COJ and ASJ items and 90% response rate for other items for each collection cycle</p>	<p>Dates deliverables were submitted</p> <p>Number of reporting units that responded to the COJ and ASJ surveys</p> <p>Unit- and item-response rates in the post-collection report</p>

<p>Improve the analysis of the COJ and ASJ data by providing high quality final data files and documentation</p>	<p>Number of scheduled data collection series and special analysis conducted</p> <p>Number of data requests that are completed on time and adhere to data quality standards</p>	<p>Deliver final COJ and ASJ data file and documentation by January each year</p> <p>Complete, nationally representative results of requested analyses</p>
<p>Encourage public use of COJ and ASJ data by disseminating and presenting information to external researchers</p>	<p>Number of presentations conducted</p> <p>Number of times BJS data are used or reference in academic journals, publications, and mass media outlets</p> <p>Number of documents published</p>	<p>Number and quality of presentations at professional or academic conferences</p> <p>Number of published papers using ASJ or COJ data (both BJS and external publications)</p> <p>Proposals, drafts of papers, and final articles or presentations</p>
<p>Provide support to BJS to strengthen research and data collection activities</p>	<p>Quality of project management as measured by whether significant interim project milestones were achieved, final deadlines were met, and costs were maintained within approved funds</p>	<p>Monthly and semiannual progress reports, project plans, regular communication with BJS, quarterly financial statements, and ad hoc analysis results</p>

Note on Project Evaluations

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

collect and/or use information in such a way that it meets the DOJ definition of research that appears at 28 C.F.R. Part 46 (“Protection of Human Subjects”).

“Research,” for purposes of human subjects protection for OJP-funded programs, is defined as “a systematic investigation, including research development, testing and evaluation, designed to develop or contribute to generalizable knowledge.” 28 C.F.R. 46.102(d).

For additional information on determining whether a proposed activity would constitute research for purposes of human subjects protection, applicants should consult the decision tree in the “Research and the protection of human subjects” section of the “[Requirements related to Research](#)” webpage of the “[Overview of Legal Requirements Generally Applicable to OJP Grants and Cooperative Agreements - FY 2018 Awards](#),” available through the OJP Funding Resource Center at <https://ojp.gov/funding/index.htm>. Every prospective applicant whose application may propose a research or statistical component also should review the “Data Privacy and Confidentiality Requirements” section on that webpage.

e. Appendices

- Bibliography/references.
- Curriculum vitae or resumes of the principal investigator and any and all co-principal investigators. In addition, curriculum vitae, resumes, or biographical sketches of all other individuals (regardless of investigator status) who will be significantly involved in substantive aspects of the proposal.
- List (to the extent known) of all proposed project staff members, including those affiliated with the applicant organization or any proposed subrecipient organization(s), any proposed affiliates, consultant(s) and contractors (whether individuals or organizations), and any proposed members of an advisory board for the project (if applicable). The list should include, for each individual and organization: name, title (if applicable), employer or other organizational affiliation, and roles and responsibilities proposed for the project.
- Proposed project timeline and expected milestones.
- A privacy certificate and human subjects protection certification of compliance must be completed for each project proposed in an application.
 - **Privacy Certification.** The Privacy Certificate is a funding recipient’s certification of compliance with federal regulations requiring confidentiality of information identifiable to a private person that is collected, analyzed, or otherwise used in connection with an OJP-funded research or statistical activity. The funding recipient’s Privacy Certificate includes a description of its policies and procedures to be followed to protect identifiable data. A model certificate is located at <https://www.bjs.gov/content/pub/pdf/bjsmpc.pdf>.
 - **Human Subjects Protection Certification of Compliance.** BJS requires the funding recipient to submit proper documentation to be used to determine that the research project meets the federal requirements for

human subjects protections set forth in 28 CFR Part 46. A model certificate that describes the necessary information to be provided by the funding recipient is located at <https://www.bjs.gov/content/hscr.cfm>.

- List of any previous and current BJS awards to applicant organization and investigator(s), including the BJS-assigned award numbers and a brief description of any scholarly products that resulted in whole or in part from work funded under the BJS award(s).

4. Budget and Associated Documentation

The Budget Detail Worksheet and the Budget Narrative are now combined in a single document collectively referred to as the Budget Detail Worksheet. The Budget Detail Worksheet is a user-friendly, fillable, Microsoft Excel-based document designed to calculate totals. Additionally, the Excel workbook contains worksheets for multiple budget years that can be completed as necessary. **All applicants should use the Excel version when completing the proposed budget in an application, except in cases where the applicant does not have access to Microsoft Excel or experiences technical difficulties.** If an applicant does not have access to Microsoft Excel or experiences technical difficulties with the Excel version, then the applicant should use the 508-compliant accessible Adobe PDF version.

Both versions of the Budget Detail Worksheet can be accessed at <https://ojp.gov/funding/Apply/Forms/BudgetDetailWorksheet.htm>.

Please note that applicants should submit separate annual budgets for each year from 2019 through 2024 and one summary budget for the entire project period.

a. Budget Detail Worksheet

The Budget Detail Worksheet should provide the detailed computation for each budget line item, listing the total cost of each and showing how it was calculated by the applicant. For example, costs for personnel should show the annual salary rate and the percentage of time devoted to the project for each employee paid with grant funds. The Budget Detail Worksheet should present a complete itemization of all proposed costs. For questions pertaining to budget and examples of allowable and unallowable costs, see the DOJ Grants Financial Guide at <https://ojp.gov/financialguide/DOJ/index.htm>.

b. Budget Narrative

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

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

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

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

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

Whether an action – for federal grants administrative purposes – is a subaward or procurement contract is a critical distinction as significantly different rules apply to subawards and procurement contracts. If a recipient enters into an agreement that is a subaward of an OJP award, specific rules apply – many of which are set by federal statutes and DOJ regulations; others by award conditions. These rules place particular responsibilities on an OJP recipient for any subawards the OJP recipient may make. The rules determine much of what the written subaward agreement itself must require or provide. The rules also determine much of what an OJP recipient must do both before and after it makes a subaward. If a recipient enters into an agreement that is a procurement contract under an OJP award, a substantially different set of federal rules applies.

OJP has developed the following guidance documents to help clarify the differences between subawards and procurement contracts under an OJP award and outline the compliance and reporting requirements for each. This information can be accessed online at <https://ojp.gov/training/training.htm>.

- [Subawards under OJP Awards and Procurement Contracts under Awards: A Toolkit for OJP Recipients.](#)
- [Checklist to Determine Subrecipient or Contractor Classification.](#)
- [Sole Source Justification Fact Sheet and Sole Source Review Checklist.](#)

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

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

greater consideration than the form of agreement between the recipient and the outside entity.

1. Information on proposed subawards

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

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

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

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

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

The Procurement Standards in the Part 200 Uniform Requirements, however, reflect a general expectation that agreements that (for purposes of federal grants administrative requirements) constitute procurement "contracts" under awards will be entered into on the basis of full and open competition. All noncompetitive (sole source) procurement contracts must meet the OJP requirements outlined at <https://ojp.gov/training/subawards-procurement.htm>. If a proposed procurement contract would exceed the simplified acquisition threshold – currently, \$150,000 – a recipient of an OJP award may not proceed without competition unless and until the recipient receives specific advance authorization from OJP to use a non-competitive approach for the procurement. An applicant that (at the time of its application) intends – without competition – to enter into a procurement contract that would exceed \$150,000 should include a detailed justification that explains to OJP why, in the particular circumstances, it is appropriate to proceed without competition.

If the applicant receives an award, sole source procurements that do not exceed the Simplified Acquisition Threshold (currently \$150,000) must have written justification for the noncompetitive procurement action maintained in the procurement file. If a procurement file does not have the documentation that meets the criteria outlined in 2 C.F.R. 200, the procurement expenditures may not be allowable. Sole source procurement over the \$150,000 Simplified Acquisition Threshold must have prior approval from OJP using a Sole Source Grant Adjustment Notice (GAN). Written documentation justifying the noncompetitive procurement must be submitted with the GAN and maintained in the procurement file.

d. Pre-Agreement Costs

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

5. Indirect Cost Rate Agreement (if applicable)

Indirect costs may be charged to an award only if—

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

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

For assistance with identifying the appropriate cognizant federal agency for indirect costs, please contact the Office of the Chief Financial Officer (OCFO) Customer Service Center at 1-800-458-0786 or at ask.ocfo@usdoj.gov. If DOJ is the cognizant federal agency, applicants may obtain information needed to submit an indirect cost rate proposal at <https://www.ojp.gov/funding/Apply/Resources/IndirectCosts.pdf>.

Certain OJP recipients have the option of electing to use the “de minimis” indirect cost rate. An applicant that is eligible to use the “de minimis” rate that wishes to use the “de minimis” rate should attach written documentation to the application that advises OJP of both— (1) the applicant’s eligibility to use the “de minimis” rate, and (2) its election to do so. If an eligible applicant elects the “de minimis” rate, costs must be consistently charged as either indirect or direct costs, but may not be double charged or inconsistently charged as both. The “de minimis” rate may no longer be used once an approved federally negotiated indirect cost rate is in place. (No entity that ever has had a federally approved negotiated indirect cost rate is eligible to use the “de minimis” rate.) For the “de minimis” rate requirements (including information on eligibility to elect to use the rate), see Part 200 Uniform Requirements, as set out at [2 C.F.R. 200.414\(f\)](#).

6. Tribal Authorizing Resolution (if applicable)

A tribe, tribal organization, or third party that proposes to provide direct services or assistance to residents on tribal lands should include in its application a resolution, letter,

affidavit, or other documentation, as appropriate, that demonstrates (as a legal matter) that the applicant has the requisite authorization from the tribe(s) to implement the proposed project on tribal lands. In those instances when an organization or consortium of tribes applies for an award on behalf of a tribe or multiple specific tribes, the application should include appropriate legal documentation, as described above, from all tribes that would receive services or assistance under the award. A consortium of tribes for which existing consortium bylaws allow action without support from all tribes in the consortium (i.e., without an authorizing resolution or comparable legal documentation from each tribal governing body) may submit, instead, a copy of its consortium bylaws with the application.

An applicant unable to submit an application that includes a fully executed (i.e., signed) copy of legal appropriate documentation, as described above, consistent with the applicable tribe's governance structure, should, at a minimum, submit an unsigned, draft version of such legal documentation as part of its application (except for cases in which, with respect to a tribal consortium applicant, consortium bylaws allow action without the support of all consortium member tribes). If selected for funding, OJP will make use of and access to award funds contingent on receipt of the fully executed legal documentation.

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

Every OJP applicant (other than an individual applying in his or her personal capacity) is required to download, complete, and submit the OJP Financial Management and System of Internal Controls Questionnaire (Questionnaire) at <https://ojp.gov/funding/Apply/Resources/FinancialCapability.pdf> as part of its application. The Questionnaire helps OJP assess the financial management and internal control systems, and the associated potential risks of an applicant as part of the pre-award risk assessment process.

The Questionnaire should only be completed by financial staff most familiar with the applicant's systems, policies, and procedures in order to ensure that the correct responses are recorded and submitted to OJP. The responses on the Questionnaire directly impact the pre-award risk assessment and should accurately reflect the applicant's financial management and internal control system at the time of the application. The pre-award risk assessment is only one of multiple factors and criteria used in determining funding. However, a pre-award risk assessment that indicates that an applicant poses a higher risk to OJP may affect the funding decision and/or result in additional reporting requirements, monitoring, special conditions, withholding of award funds, or other additional award requirements.

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

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

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

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

8. Disclosure of Lobbying Activities

Each applicant must complete and submit this information. An applicant that expends any funds for lobbying activities is to provide all of the information requested on the form Disclosure of Lobbying Activities (SF-LLL) posted at <https://ojp.gov/funding/Apply/Resources/Disclosure.pdf>. An applicant that does not expend any funds for lobbying activities is to enter “N/A” in the text boxes for item 10 (“a. Name and Address of Lobbying Registrant” and “b. Individuals Performing Services”).

9. Additional Attachments

a. Applicant Disclosure of Pending Applications

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

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

Each applicant that has one or more pending applications as described above is to provide the following information about pending applications submitted within the last 12 months:

- The federal or state funding agency
- The solicitation name/project name
- The point of contact information at the applicable federal or state funding agency

Federal or State Funding Agency	Solicitation Name/Project Name	Name/Phone/Email for Point of Contact at Federal or State Funding Agency
DOJ/Office of Community Oriented Policing Services (COPS)	COPS Hiring Program	Jane Doe, 202/000-0000; jane.doe@usdoj.gov
Health and Human Services/Substance Abuse and Mental Health Services Administration	Drug-Free Communities Mentoring Program/ North County Youth Mentoring Program	John Doe, 202/000-0000; john.doe@hhs.gov

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

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

b. Research and Evaluation Independence and Integrity

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

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

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

integrity of the research, including the design, conduct, and reporting of the research.

OR

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

OR

- b. If the applicant has identified actual or potential apparent conflicts of interest (personal, financial, or organizational) that could affect the independence and integrity of the research, including the design, conduct, or reporting of the research, the applicant is to provide a specific and robust mitigation plan to

address each of those conflicts. At a minimum, the applicant is expected to explain the specific processes and procedures that the applicant has in place, or will put in place, to identify and eliminate (or, at the very least, mitigate) any such conflicts of interest pertinent to the funded project during the period of performance. Documentation that may be helpful in this regard may include organizational codes of ethics/conduct and policies regarding organizational, personal, and financial conflicts of interest. There is no guarantee that the plan, if any, will be accepted as proposed.

OJP will assess research and evaluation independence and integrity based on considerations such as the adequacy of the applicant's efforts to identify factors that could affect the objectivity or integrity of the proposed staff and/or the applicant entity (and any subrecipients) in carrying out the research, development, or evaluation activity; and the adequacy of the applicant's existing or proposed remedies to control any such factors.

c. Disclosure of Process Related to Executive Compensation

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

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

Each applicant nonprofit organization must state at the time of its application (question 9c in the "OJP Financial Management and System of Internal Controls Questionnaire" located at <https://ojp.gov/funding/Apply/Resources/FinancialCapability.pdf> and mentioned earlier) whether or not the applicant entity believes (or asserts) that it currently satisfies the requirements of 26 C.F.R. 53.4958-6 (which relate to establishing or invoking a rebuttable presumption of reasonableness of compensation of certain individuals and entities).

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

At a minimum, the disclosure must describe in pertinent detail: (1) the composition of the body that reviews and approves compensation arrangements for covered persons; (2) the methods and practices used by the applicant nonprofit organization to ensure that no individual with a conflict of interest participates as a member of the body that reviews and approves a compensation arrangement for a covered person;

(3) the appropriate data as to comparability of compensation that is obtained in advance and relied upon by the body that reviews and approves compensation arrangements for covered persons; and (4) the written or electronic records that the applicant organization maintains as concurrent documentation of the decisions with respect to compensation of covered persons made by the body that reviews and approves such compensation arrangements, including records of deliberations and of the basis for decisions.

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

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

How To Apply

Applicants must register in and submit applications through [Grants.gov](https://www.grants.gov), a primary source to find federal funding opportunities and apply for funding. Find complete instructions on how to register and submit an application at <https://www.grants.gov/web/grants/support.html>. Applicants that experience technical difficulties during this process should call the Grants.gov Customer Support Hotline at **800-518-4726** or **606-545-5035**, which operates 24 hours a day, 7 days a week, except on federal holidays.

Important Grants.gov update. Grants.gov has updated its application tool. The legacy PDF application package was retired on December 31, 2017. Grants.gov Workspace is now the standard application method for applying for grants. OJP applicants should familiarize themselves with the Workspace option now. For complete information and instructions on using Workspace (and other changes), go to the Workspace Overview page at <https://www.grants.gov/web/grants/applicants/workspace-overview.html>.

Registering with Grants.gov is a one-time process; however, **processing delays may occur, and it can take several weeks** for first-time registrants to receive confirmation of registration and a user password. OJP encourages applicants to **register several weeks before** the application submission deadline. In addition, OJP urges applicants to submit applications at least 72 hours prior to the application due date, in order to allow time for the applicant to receive validation messages or rejection notifications from Grants.gov, and to correct in a timely fashion any problems that may have caused a rejection notification.

OJP strongly encourages all prospective applicants to sign up for Grants.gov email notifications regarding this solicitation at <https://www.grants.gov/web/grants/manage-subscriptions.html>. If this solicitation is cancelled or modified, individuals who sign up with Grants.gov for updates will be automatically notified.

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

Note on Attachments: Grants.gov has two categories of files for attachments: “mandatory” and “optional.” OJP receives all files attached in both categories. Attachments are also labeled to describe the file being attached (e.g., Project Narrative, Budget Narrative, Other, etc.) Please ensure that all required documents are attached in the correct Grants.gov category and are labeled correctly. Do not embed “mandatory” attachments within another file.

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

Characters	Special Characters		
Upper case (A – Z)	Parenthesis ()	Curly braces { }	Square brackets []
Lower case (a – z)	Ampersand (&)*	Tilde (~)	Exclamation point (!)
Underscore (_)	Comma (,)	Semicolon (;)	Apostrophe (‘)
Hyphen (-)	At sign (@)	Number sign (#)	Dollar sign (\$)
Space	Percent sign (%)	Plus sign (+)	Equal sign (=)
Period (.)			

***When using the ampersand (&) in XML, applicants must use the “&” format.**

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

All applicants are required to complete the following steps:

Unique Entity Identifier (DUNS Number) and System for Award Management (SAM)

Every applicant entity must comply with all applicable System for Award Management (SAM) and unique entity identifier (currently, a Data Universal Numbering System [DUNS] number) requirements. SAM is the repository for certain standard information about federal financial assistance applicants, recipients, and subrecipients. A DUNS number is a unique nine-digit identification number provided by the commercial company Dun and Bradstreet. More detailed information about SAM and the DUNS number is in the numbered sections below.

If an applicant entity has not fully complied with the applicable SAM and unique identifier requirements by the time OJP makes award decisions, OJP may determine that the applicant is not qualified to receive an award and may use that determination as a basis for making the award to a different applicant.

Applying as an Individual

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

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

Registration and Submission Steps

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

This unique entity identifier is used for tracking purposes, and to validate address and point of contact information for applicants, recipients, and subrecipients. It will be used throughout the life cycle of an OJP award. Obtaining a DUNS number is a free, one-time activity. Call Dun and Bradstreet at 866-705-5711 to obtain a DUNS number or apply online at <https://www.dnb.com/>. A DUNS number is usually received within 1-2 business days.

2. **Acquire or maintain registration with SAM.** Any applicant for an OJP award creating a **new** entity registration in SAM.gov must provide an original, signed notarized letter stating that the applicant is the authorized Entity Administrator before the registration will be activated. To learn more about this process change, read the FAQs at <https://www.gsa.gov/about-us/organization/federal-acquisition-service/office-of-systems-management/integrated-award-environment-iae/sam-update>. Information about the notarized letter is posted at https://www.fsd.gov/fsd.gov/answer.do?sysparm_kbid=d2e67885db0d5f00b3257d321f96194b&sysparm_search=kb0013183.

All applicants for OJP awards (other than individuals) with current registration in SAM must maintain current registrations in the SAM database. Applicants will need the authorizing official of the organization and an Employer Identification Number (EIN). An applicant must be registered in SAM to successfully register in Grants.gov. Each applicant must **update or renew its SAM registration at least annually** to maintain an active status. SAM registration and renewal can take as long as 10 business days to complete (2 more weeks to acquire an EIN).

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

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

3. **Acquire an Authorized Organization Representative (AOR) and a Grants.gov username and password.** Complete the AOR profile on Grants.gov and create a username and password. An applicant entity's "unique entity identifier" (DUNS number) must be used to complete this step. For more information about the registration process for organizations and other entities, go to <https://www.grants.gov/web/grants/applicants/organization-registration.html>. Individuals registering with Grants.gov should go to www.grants.gov/web/grants/applicants/individual-registration.html.

4. **Acquire confirmation for the AOR from the E-Business Point of Contact (E-Biz POC).** The E-Biz POC at the applicant organization must log into Grants.gov to confirm the applicant organization's AOR. The E-Biz POC will need the Marketing Partner Identification Number (MPIN) password obtained when registering with SAM to complete this step. Note that an organization can have more than one AOR.
5. **Search for the funding opportunity on Grants.gov.** Use the following identifying information when searching for the funding opportunity on Grants.gov. The Catalog of Federal Domestic Assistance (CFDA) number for this solicitation is 16.734, titled "Special Data Collections and Statistical Studies" and the funding opportunity number is BJS-2018-14127.
6. **Access Funding Opportunity and Application Package from Grants.gov.** Select "Apply for Grants" under the "Applicants" column. Enter your email address to be notified of any changes to the opportunity package before the closing date. Click the Workspace icon to use Grants.gov Workspace.
7. **Submit a valid application consistent with this solicitation by following the directions in Grants.gov.** Within 24-48 hours after submitting the electronic application, the applicant should receive two notifications from Grants.gov. The first will confirm the receipt of the application. The second will state whether the application has been validated and successfully submitted, or whether it has been rejected due to errors, with an explanation. It is possible to first receive a message indicating that the application is received, and then receive a rejection notice a few minutes or hours later. Submitting an application well ahead of the deadline provides time to correct the problem(s) that caused the rejection. **Important:** OJP urges each applicant to submit its application **at least 72 hours prior** to the application due date, to allow time to receive validation messages or rejection notifications from Grants.gov, and to correct in a timely fashion any problems that may have caused a rejection notification. Applications must be successfully submitted through Grants.gov by 11:59 p.m. eastern time on July 2, 2018.

Go to <https://www.grants.gov/web/grants/applicants/organization-registration.html> for further details on DUNS numbers, SAM, and Grants.gov registration steps and timeframes.

Note: Application Versions

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

Experiencing Unforeseen Grants.gov Technical Issues

An applicant that experiences unforeseen Grants.gov technical issues beyond its control that prevent it from submitting its application by the deadline must contact the Grants.gov Customer Support Hotline at <https://www.grants.gov/web/grants/support.html> or the SAM Help Desk (Federal Service Desk) at <https://www.fsd.gov/fsd-gov/home.do> to report the technical issue and receive a tracking number. The applicant must email the BJS contact identified in the Contact Information section on the title page **within 24 hours after the application deadline** to request approval to submit its application after the deadline. The applicant's email must describe the technical difficulties, and must include a timeline of the applicant's submission efforts, the complete grant application, the applicant's DUNS number, and any Grants.gov Help Desk or SAM tracking number(s).

Note: OJP does not automatically approve requests to submit a late application. After OJP reviews the applicant's request, and contacts the Grants.gov or SAM Help Desks to verify the reported technical issues, OJP will inform the applicant whether the request to submit a late application has been approved or denied. If OJP determines that the untimely application submission was due to the applicant's failure to follow all required procedures, OJP will deny the applicant's request to submit its application.

The following conditions generally are insufficient to justify late submissions:

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

Notifications regarding known technical problems with Grants.gov, if any, are posted at the top of the OJP Funding Resource Center at <https://ojp.gov/funding/index.htm>.

E. Application Review Information

Review Criteria

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

- 1. Statement of the Problem/Description of the Issue (15%)** – Applicants must demonstrate a clear understanding of the project and the COJ and ASJ program goals of (a) improving the timeliness of data, (b) enhancing the reliability of data, (c) fostering strong working relationships with and among data providers, (d) improving responsiveness to stakeholder needs, and (e) developing and implementing efficient data collection mechanisms. Applications should demonstrate—
 - awareness of the state of current research
 - knowledge of issues facing local jails, how to provide jails with needed information, and challenges jails face in gathering and reporting data
 - knowledge of methods for improving timely survey response
 - understanding of how the COJ and ASJ contribute to the corrections' field.
- 2. Project Design and Implementation (35%)** – Applicants must demonstrate that they can design and implement a high-quality project. Applications should demonstrate—
 - soundness of methods and analytic and technical approach to addressing the stated aim(s) of the proposed project
 - feasibility of proposed project

- awareness of potential pitfalls of proposed project design and feasibility of proposed actions to minimize and/or mitigate them
- a plan for efficiently and cost-effectively administering establishment surveys to jails that collect and process data
- an understanding of the challenges facing jail respondents in providing data to meet BJS standards and an approach that recognizes and addresses these challenges
- sound proposed procedures for carrying out the project tasks and meeting the project deliverable time frames. This includes a commitment to identifying, communicating, and addressing potential problems before they become an issue; and a plan for up-to-date tracking and reporting of data collection progress.

3. Capabilities and Competencies (30%) – Applicants must demonstrate that they have the appropriate corporate and staff capabilities and experience to conduct the work outlined in the project tasks. These requirements include—

- demonstrated ability of the applicant organization to manage the effort
- qualifications, demonstrated ability, and experience of the proposed staff who will manage the project and those who will have day-to-day data collection responsibilities in the use of accepted survey research methods in the following areas: (a) questionnaire design; (b) collection of data from jails; (c) cleaning and verifying data and providing files that exhibit a high degree of accuracy; (d) adjusting for nonresponse, including multiple methods of imputation; (e) conducting independent analysis of data; and (f) the production of datasets and documentation that require a high degree of attention to detail
- qualifications, demonstrated ability, experience of the information technology staff, and the capacity of the computing environment for developing electronic-based data collection tools, preparation of datasets for statistical analysis, and preparing statistical reports
- adequate management plan for the project, including sufficient delineation of project tasks and how project resources will be used
- adequate management oversight and quality control procedures
- successful past performance of the proposed project team in addressing the key objectives for the project
- demonstrated knowledge of the U.S. criminal justice systems.

4. Plan for Collecting the Data Required for this Solicitation’s Performance Measures (5%) – Proposes efficient data collection activities required to demonstrate the project’s performance in a low-cost manner and as part of the project organization.

5. Budget (15%) – Applicants must demonstrate awareness of methods for using budgetary resources efficiently and effectively and demonstrate appropriate internal controls over these resources. The application budget should be complete, cost effective, and allowable (e.g., reasonable, allocable, and necessary for project activities) and demonstrate-

- appropriateness of the proposed budget for the level of effort outlined in the project plans
- total cost of the project relative to the perceived benefit (cost effectiveness).
- adequate and efficient assignment of staff to tasks
- adequate budgetary controls to ensure that resources are managed effectively and in compliance with federal regulations
- use of existing resources to conserve costs
- proposed budget alignment with proposed project activities.
- cost effectiveness in relation to potential alternatives and the goals of the project⁶

Please note that applicants should submit separate annual budgets for each year from 2019 through 2024 and one summary budget for the entire project period.

Review Process

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

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

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

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

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

⁶ Generally speaking, a reasonable cost is a cost that, in its nature or amount, does not exceed that which would be incurred by a prudent person under the circumstances prevailing at the time the decision was made to incur the costs.

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

Pursuant to the Part 200 Uniform Requirements, before award decisions are made, OJP also reviews information related to the degree of risk posed by the applicant. Among other things to help assess whether an applicant that has one or more prior federal awards has a satisfactory record with respect to performance, integrity, and business ethics, OJP checks whether the applicant is listed in SAM as excluded from receiving a federal award.

In addition, if OJP anticipates that an award will exceed \$150,000 in federal funds, OJP also must review and consider any information about the applicant that appears in the non-public segment of the integrity and performance system accessible through SAM (currently, the Federal Awardee Performance and Integrity Information System, (FAPIS)).

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

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

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

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

F. Federal Award Administration Information

Federal Award Notices

Award notifications will be made by September 30, 2018. OJP sends award notifications by email through GMS to the individuals listed in the application as the point of contact and the authorizing official (E-Biz POC and AOR). The email notification includes detailed instructions

on how to access and view the award documents, and steps to take in GMS to start the award acceptance process. GMS automatically issues the notifications at 9:00 p.m. eastern time on the award date.

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

Administrative, National Policy, and Other Legal Requirements

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

Applicants should consult the “[Overview of Legal Requirements Generally Applicable to OJP Grants and Cooperative Agreements - FY 2018 Awards](#),” available in the OJP Funding Resource Center at <https://ojp.gov/funding/index.htm>. In addition, applicants should examine the following two legal documents, as each successful applicant must execute both documents before it may receive any award funds. (An applicant is not required to submit these documents as part of an application.)

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

The webpages accessible through the “[Overview of Legal Requirements Generally Applicable to OJP Grants and Cooperative Agreements - FY 2018 Awards](#)” are intended to give applicants for OJP awards a general overview of important statutes, regulations, and award conditions that apply to many (or in some cases, all) OJP grants and cooperative agreements awarded in FY 2018. Individual OJP awards typically also will include additional award conditions. Those additional conditions may relate to the particular statute, program, or solicitation under which the award is made; to the substance of the funded application; to the recipient’s performance under other federal awards; to the recipient’s legal status (e.g., as a for-profit entity); or to other pertinent considerations.

As stated above, BJS expects that it will make any award under this solicitation in the form of a cooperative agreement. Cooperative agreements include a condition in the award document that sets out the nature of the “substantial federal involvement” in carrying out the award and program. Generally stated, under OJP cooperative agreement awards, responsibility for the day-to-day conduct of the funded project rests with the recipient. OJP, however, may have substantial involvement in matters such as substantive coordination of technical efforts and site selection, as well as review and approval of project work plans, research designs, data

collection instruments, and major project-generated materials. In addition, OJP often indicates in the award terms and conditions that it may redirect the project if necessary.

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

General Information about Post-Federal Award Reporting Requirements

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

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

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

Data on performance measures. In addition to required reports, each award recipient also must provide data that measure the results of the work done under the award. To demonstrate program progress and success, as well as to assist DOJ in fulfilling its responsibilities under the Government Performance and Results Act of 1993 (GPRA), Public Law 103-62, and the GPRA Modernization Act of 2010, Public Law 111-352, OJP will require any award recipient, post award, to provide performance data as part of regular progress reporting. Successful applicants will be required to access OJP’s performance measurement page at www.ojp.gov/performance for an overview of performance measurement activities at OJP.

G. Federal Awarding Agency Contact(s)

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

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

H. Other Information

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

All applications submitted to OJP (including all attachments to applications) are subject to the federal Freedom of Information Act (FOIA) and to the Privacy Act. By law, DOJ may withhold information that is responsive to a request pursuant to FOIA if DOJ determines that the responsive information either is protected under the Privacy Act or falls within the scope of one

of nine statutory exemptions under FOIA. DOJ cannot agree in advance of a request pursuant to FOIA not to release some or all portions of an application.

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

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

Provide Feedback to OJP

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

IMPORTANT: This email is for feedback and suggestions only. OJP does **not** reply from this mailbox to messages it receives in this mailbox. Any prospective applicant that has specific questions on any program or technical aspect of the solicitation **must** use the appropriate telephone number or email listed on the front of this document to obtain information. These contacts are provided to help ensure that prospective applicants can directly reach an individual who can address specific questions in a timely manner.

If you are interested in being a reviewer for other OJP grant applications, please email your résumé to ojpprsupport@usdoj.gov. (Do not send your résumé to the OJP Solicitation Feedback email account.) **Note:** Neither you nor anyone else from your organization or entity can be a peer reviewer in a competition in which you or your organization/entity has submitted an application.

Application Checklist

2019 Census of Jails and 2020-23 Annual Survey of Jails

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

What an Applicant Should Do:

Prior to Registering in Grants.gov:

- _____ Acquire a DUNS Number (see page 42)
- _____ Acquire or renew registration with SAM (see page 42)

To Register with Grants.gov:

- _____ Acquire AOR and Grants.gov username/password (see page 42)
- _____ Acquire AOR confirmation from the E-Biz POC (see page 43)

To Find Funding Opportunity:

- _____ Search for the Funding Opportunity on Grants.gov (see page 43)
- _____ Access Funding Opportunity and Application Package (see page 43)
- _____ Sign up for Grants.gov email [notifications](#) (optional) (see page 40)
- _____ Read [Important Notice: Applying for Grants in Grants.gov](#)
- _____ Read OJP policy and guidance on conference approval, planning, and reporting available at ojp.gov/financialguide/DOJ/PostawardRequirements/chapter3.10a.htm (see page 23)

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

- _____ (1) application has been received,
- _____ (2) application has either been successfully validated or rejected with errors (see page 43)

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

- _____ contact BJS regarding experiencing technical difficulties (see page 43)

Overview of Post-Award Legal Requirements:

- _____ Review the "[Overview of Legal Requirements Generally Applicable to OJP Grants and Cooperative Agreements - FY 2018 Awards](#)" in the OJP Funding Resource Center at <https://ojp.gov/funding/index.htm>.

Scope Requirement:

- _____ The federal amount requested is within the allowable limit(s) of 2,560,000

Eligibility Requirement: See the Title Page

What an Application Should Include:

- _____ Application for Federal Assistance (SF-424) (see page 25)
- _____ Project Abstract (see page 25)
- _____ Program Narrative (see page 26)
- _____ Budget Detail Worksheet (see page 31)
- _____ Budget Narrative (see page 31)
- _____ Indirect Cost Rate Agreement (if applicable) (see page 34)
- _____ Tribal Authorizing Resolution (if applicable) (see page 34)

- _____ Financial Management and System of Internal Controls Questionnaire (see page 35)
- _____ [Disclosure of Lobbying Activities \(SF-LLL\)](#) (see page 36)
- _____ Additional Attachments
 - _____ Privacy Certification (if applicable) (see page 30)
 - _____ Human Subjects Protection Certification of Compliance (if applicable) (see page 30)
 - _____ Applicant Disclosure of Pending Applications (see page 36)
 - _____ Research and Evaluation Independence and Integrity (see page 37)
 - _____ Disclosure of Process Related to Executive Compensation (see page 39)
- _____ Request and Justification for Employee Compensation; Waiver (if applicable) (see page 23)

Appendix

BJS Data Tool Development Standards

Technology:

BJS applications and data exploration tools should be developed using an n-tier architecture using .Net Framework. The data layer should reside on an MS SQL relational database and be accessed by the user interface using a properly abstracted restful API. Any business logic not reasonably related to the interface layer should reside behind the API. Business logic should not be tightly bound to the database (e.g. stored procedures, etc.) as this will reduce the portability of the application. Restful APIs must be documented using the SWAGGER standard.

Security Considerations:

- User interactions and all API requests should be through HTTPS
- Enforce security policy through XACML
- Use fine grained Role Based Access Control
- Enforce API input parameters, raising exceptions when internally defined data standards aren't followed
- Key management and distribution for APIs using the OAuth 2.0 standard for API gateways
- Provide logging (with ability to export logs to a log analyzer such as splunk) and auditing with a fine grained audit policy
- Provide throttling – Ability to rate limit a user's access to an API based on usage within a specified timeframe (Prevention of DOS)
- Public API consumers should be registered (or self-register). Use approval process as appropriate and avoid PII involved with the registration
- Validate API clients prior to processing their request
- Expose friendly errors to users and API clients, keeping internal records of the actual errors
- Error messages exposed to users or API clients shall not reveal data/logic details of abstracted processes

Data Tool Server Technology Stack:

- Windows Operating System: Windows Server 2012 R2
- .Net framework: Version 4.5 and later
- MS SQL Server: SQL Server 2012
- Visual Studio: Visual Studio 2015
- Coding languages: C# (no VB please) and JavaScript

With regard to CDNs and third party tools, OJP Enterprise Architecture has approved the following tools and libraries for use in the OJP environment.

- Telerik DevCraft
- Material Design Lite
- Entity Framework 6 (object-relational data mapper)
- OData (Open Data Protocol)
- Telerik Kendo UI® Core (HTML5 Framework)

- CacheCow Open Source (Framework for HTTP caching)
- Highcharts (Interactive Charts)

If the vendor has products they wish to use in developing a solution that are not included above, they should provide BJS an advance list of the products needed and a justification for departing from the standard OCIO .Net technology stack for review and approval. As BJS may require that unapproved tools and technology be removed from in-flight or delivered applications at the vendor's expense, it is important to obtain approval for deviation from OJP standards as early in the software lifecycle as possible.

Technical Documentation & Review:

Vendors may be asked to present the overall architectural factoring of the solution they plan to deliver to the OCIO Enterprise Review Board (ERB). This will include decomposition into areas of capability mapped to use of technologies, use of data standards and any existing services available, plans to deliver new services as part of the solution. See the attached OCIO Solution Patters Definition document.

In addition to presenting to the ERB, the vendor may be required to deliver documentation for and participate in the standard software lifecycle reviews:

Requirements Review

- Functional
- Non-functional

Design Reviews

- Database Design
- API Design
- Application Design

Sprint Review Sessions (If employing an Agile development methodology)

Test Plan Review

Test Results Review

The following documents will be required:

- Requirements
- Requirements Traceability Matrix
- Architecture/Design Document
 - Architecture
 - Interface
 - Database
 - APIs
- Sprint/Scrum Documentation (If employing an Agile development methodology)
- User's Guide
- Build, Deployment & Implementation Guide
- Test Plan/Results