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The [U.S. Department of Justice](#) (DOJ), [Office of Justice Programs](#) (OJP), [Bureau of Justice Statistics](#) (BJS) seeks applications to develop, collect, analyze, and disseminate the Census of State and Federal Adult Correctional Facilities (CSFACF). 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 identifying the most pressing challenges confronting the justice system and providing information in support of innovative strategies to handle these challenges.

## **Census of State and Federal Adult Correctional Facilities (CSFACF)**

### **Applications Due: July 19, 2017**

#### **Eligibility**

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

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

BJS welcomes applications under which two or more entities would carry out the federal award; however, only one entity may be the applicant. Any others must be proposed as subrecipients ("subgrantees").<sup>1</sup> 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. An entity may, however, be proposed as a subrecipient ("subgrantee") in more than one application.

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

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

## Deadline

Applicants must register with [Grants.gov](https://www.grants.gov) prior to submitting an application. All applications are due by 11:59 p.m. eastern time on July 19, 2017.

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

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

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

## Contact Information

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

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

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

Grants.gov number assigned to this solicitation: BJS-2017-11680

Release date: June 16, 2017

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# Census of State and Federal Adult Correctional Facilities (CSFACF)

## CFDA # 16.734

### A. Program Description

#### Overview

The Census of State and Federal Adult Correctional Facilities (CSFACF), first fielded in 1974, is part of the larger BJS portfolio of establishment surveys that inform the nation on the characteristics of adult correctional facilities and persons sentenced to state and federal prisons. BJS's National Prisoner Statistics Program (NPS) collects aggregate counts of male and female custody and jurisdictional prison populations on December 31 each year. Through the National Corrections Reporting Program (NCRP), BJS collects individual-level data on prisoners entering or leaving the custody of state prison systems. While NPS and NCRP describe prisoners and their characteristics, the CSFACF collects corrections data at the facility level. Data obtained are intended to describe the characteristics of community-based and confinement adult correctional facilities operated by public authorities and private contractors and allow BJS to describe the conditions in which this population is being held. The information collected informs BJS on issues such as capacity and crowding, conditions of confinement, workload, facility function, including provision of medical and mental health care, safety and security, and inmate reentry.

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

#### Project-Specific Information

The CSFACF began in 1974 by the Office of Justice Assistance, Research and Statistics of the Law Enforcement Assistance Administration. BJS repeated the state prison census collection in 1979 and 1984. In 1990, facilities under the Federal Bureau of Prisons (BOP) were added to the census, and it was renamed the Census of State and Federal Adult Correctional Facilities (CSFACF). The CSFACF was conducted in 1990, 1995, 2000, 2005, and 2012. BJS's Survey of Inmates in State and Federal Adult Correctional Facilities (also known as the Survey of Prison Inmates or SPI) draws its sample of facilities from the CSFACF. The SPI was designed as an omnibus survey to collect a wide range of data on the personal and criminal histories of offenders. The unique facility-level data collected in the CSFACF has been examined in conjunction with data obtained from inmates in SPI. In the iterations of the CSFACF from 1979 through 2005, items measured included facility functions, capacity, and court orders or consent decrees under which facilities are operating; population characteristics, including special populations housed, staff characteristics, measures of facility security, and facility programs.

The CSFACF was not administered in 2010 due to resource constraints at BJS, and it was determined that the coverage and measurement of the 2005 census needed to be assessed. As 2012 approached, there was a need for a universe for the upcoming SPI project. In response, BJS decided to fill the immediate need and scaled back the traditional CSFACF to a set of items for frame development that included facility name and location, sex of inmates housed, physical security of the facility, percentage of inmates regularly permitted to leave the facility unaccompanied, a 1-day count of inmates by sex, and future plans to modify or close a facility.

Those items provided the base for the universe from which BJS inmate survey sample facilities were selected. The facility universe was identified in 2012 and was used for the 2016 SPI.

BJS plans to return to the pre-2012 model of the CSFACF to produce national- and state-level statistics that describe operations, conditions of confinement, and the characteristics of the population held in state and federal correctional facilities. For the purpose of the CSFACF, a correctional facility has a separate budget and administrator. Facilities that share budgets or administrators are considered a single facility. The census includes all correctional facilities administered by state or federal governments or by contract organizations primarily for state or federal governments that are intended for adults but sometimes hold juveniles. Operations of facilities include security level of the facility, facility function, programming, staffing, and work assignments. Conditions of confinement address safety and security within prisons by measuring such things as overcrowding, physical and sexual assaults, infractions, and disturbances. Population statistics include number of inmates being held and by whom. The expected survey length is approximately 6 pages.

BJS anticipates making one award to cover 36 months to finalize a roster of facilities; identify appropriate respondents; design the CSFACF; and collect, process, analyze, and disseminate data from the CSFACF. Within this timeframe, there are several key project dates:

- Administration of a small scale cognitive test of the CSFACF: June 2018
- Obtain OMB approval: March 2019
- CSFACF survey reference date: June 28, 2019
- CSFACF survey submission deadline: September 13, 2019
- Complete data collection to include all data quality and nonresponse follow up: December 2019
- Deliver a preliminary data file: January 2020
- Deliver final analytic data file: February 2020
- Deliver final data populated tables for BJS publication: April 2020.

The 1979 and 1984 CSFACF and 1990, 1995, 2000, and 2005 CSFACF have been archived for public use at the National Archives of Criminal Justice Data (NACJD) <http://www.icpsr.umich.edu/icpsrweb/NACJD/archive.jsp>. The NACJD contains additional information about the collection and supporting documentation including codebooks and questionnaires.

Data from the CSFACF collection have been published in a series of BJS reports and can be found here <https://www.bjs.gov/index.cfm?ty=pbse&sid=3>. The most recent report published is the Census of State and Federal Correctional Facilities, 2005 (NCJ 222182, BJS web, October 2008).

At this time, data from the 2012 CSFACF are not archived, nor have findings been published. These data will be made available upon request to the recipient of funds.

### **Goals, Objectives, and Deliverables**

BJS views the CSFACF as the primary means to periodically obtain a universe for sample selection of facilities for the inmate prison surveys and produce national- and state-level statistics describing adult correctional facility characteristics that complement population data obtained through other BJS data collections.

The tasks outlined in this scope of work are designed to achieve the following objectives:

1. Develop and implement a plan to ensure an accurate and complete roster of facilities to administer the CSFACF.
2. Finalize and test the 2019 CSFACF instrument and conduct activities in preparation for administration.
3. Develop strategies for identifying the appropriate respondents and data collection protocols that will ensure collection and delivery of high-quality data.
4. Plan and produce marketing materials to inform administrators, practitioners, and researchers and solicit buy-in for the data collection.
5. Conduct data collection and quality assurance activities.
6. Develop accurate and reliable national- and state-level statistics that describe the characteristics of adult prison confinement for BJS to disseminate.
7. Plan and implement strategies to ensure good project management and communication with the BJS project manager.

The tasks required to achieve these objectives are identified and described below. Applicants should address how they would meet the following objectives and carry out the tasks associated with each:

1. Develop and implement a plan to ensure an accurate and complete roster of facilities to administer the CSFACF.

Prior to the administration of the midyear 2019 CSFACF, the recipient of funds will update an initial roster of prison facilities provided by BJS. The final roster will include all state and federal adult correctional facilities in the United States and all private and local government adult correctional facilities that operate under contract primarily for state and federal authorities. Correctional facilities that share budgets or administrators are considered a single facility. The facilities included in the census are intended for adults but sometimes hold juveniles. BJS estimates that there will be approximately 2,100 facilities in scope for this collection.

To develop this comprehensive roster of facilities housing state or federal prisoners, BJS would like to conduct a one-time web-based data collection effort. The questionnaire will include a pre-populated list of prison facilities (including jurisdiction-run prisons, penitentiaries, and correctional institutions; boot camps; prison farms; reception, diagnostic, and conservation camps; vocational training facilities; prison hospitals; drug and alcohol treatment facilities; and private facilities contracted by the jurisdiction), and respondents will be asked to check whether they are holding prisoners in that facility. If not, respondents will indicate whether the facility is currently closed and whether the facility is a private facility or a local jail. Respondents will be asked to write in the name of any facility that houses the respondent state's state or federal prisoners but does not appear in the prepopulated list. The recipient of funds will develop and administer the questionnaire, follow up with respondents if any data are missing or data quality issues are observed, and provide BJS with a final data file and roster of prison facilities by jurisdiction. Approval for this collection will be needed from OMB; therefore, the recipient of funds will assist BJS with preparing the required package materials.

2. Finalize and test the 2019 CSFACF instrument and conduct activities in preparation for administration.

- a. Conduct research and modify the current CSFACF instrument.  
The 2005 CSFACF ([https://www.bjs.gov/content/pub/pdf/cj43\\_2005.pdf](https://www.bjs.gov/content/pub/pdf/cj43_2005.pdf)) will be used as a starting point for the redesign of the CSFACF instrument. The recipient of funds will engage in a number of activities prior to making the final recommendations for the 2019 CSFACF instrument.
- i. BJS will share notes and audio from early stage scoping activities conducted with 18 state Departments of Corrections (DOCs) in 2014 and 2015 under an OMB generic clearance. Interviews were designed to assess concepts measured and potential data quality issues with the 2005 CSFACF. Preliminary review of these interviews by BJS suggest certain items from 2005 should be removed or modified prior to administering the next CSFACF. Respondents reported reliability issues for some items. For other items, data may be unavailable or too burdensome to report at the level of detail requested. The recipient of funds will review the interview notes and audio recordings of the interviews and provide BJS a summary report and recommendations.
  - ii. The recipient of funds will conduct a data quality assessment of the 2005 CSFACF. This assessment will address the extent of item missingness, which will inform data availability at the facility level. External data validity checks of the 2005 data should also be conducted to the extent possible. One external source is BJS's NPS data in which population data obtained in 2005 in the NPS could be compared to that obtained in the 2005 CSFACF. Another external source is the Association of State Correctional Administrators' (ASCA) Performance Based Measures System (PBMS). The constructs measured in the PBMS should be compared to those in the 2005 CSFACF to determine the extent of overlap in constructs and data gaps. Findings from both the internal and external data reviews will be provided to BJS in summary reports.
  - iii. To ensure that data needs of the field are being addressed in the upcoming CSFACF, the recipient of funds—using internal knowledge of corrections and current research—will provide input to the content of the CSFACF.

In general, BJS aims to balance quality and quantity of information against respondent burden and would prefer a shorter, high-quality instrument instead of a longer instrument that results in a low response rate and lower quality data. Based on the above activities (i-iii), the recipient of funds will provide the BJS project manager recommendations for a final CSFACF instrument that may include but is not limited to the specified key measures below. This instrument will be used in a small scale cognitive test and, ultimately, refined for the national implementation.

**Key measures for this collection include—**

Facility counts by state by type (confinement and community-based), operator (public and private contractor), physical security level of facility,

sex of inmates housed, facility function, court orders or consent decrees levied against the facility, and rated capacity.

Population counts to include a 1-day count, the average daily population, number of inmates by sex and age, by race and Hispanic origin, by custody level of inmates, and by those held in contract facilities and for other authorities.

Staff counts to include number of staff by occupational category, number of correctional officers by sex and by race and Hispanic origin.

Facility safety and security measures to include number of assaults on staff and on inmates, number of staff deaths resulting from an inmate assault, number of escapes and walkaways, number of infractions by inmates, and number of facility disturbances.

Facility program measures to include the number of facilities with work programs by type of work assignments, number of facilities with work release programs, number of facilities with education and vocational training programs, and number of facilities by type of counseling/life skills programming.

- b. Develop and implement a small scale cognitive test of the CSFACF instrument  
This small scale cognitive test will be conducted with a maximum of nine respondents, likely via phone, and will be used primarily to assess clarity of questions; identify ambiguities in questions, terms, definitions and response categories; and assess the burden of completion of the CSFACF. The recipient of funds will develop the plan to include the selection of respondents and scripts for interviews and will carry out the data collection. Based on findings from the cognitive test, a summary report and recommendations for a final CSFACF instrument for national implementation will be provided to BJS.
- c. Obtain OMB clearance for national implementation of the CSFACF  
The data collection agent will draft initial versions of the 60-day and 30-day Federal Register notices and compile the first draft of the OMB package. This will include background research on how external researchers have used the CSFACF and documentation of changes made to the past instrument.
- d. Develop, test, and implement efficient data collection mechanisms  
The recipient of funds will develop, test and implement a web-based data collection tool that minimizes the burden of data submission. The tool must—
  - i. Implement a user-friendly interface for the collection that is based on proven methods for enhancing responses and reducing burden.
  - ii. Provide respondents with a web-based format for reporting data that is based on state-of-the-art approaches to web collection of establishment survey data.
  - iii. Build in server-based error-checking mechanisms that minimize the need for follow-up contact and simplify data submission.
  - iv. Allow respondent to print a blank PDF form for data entry.

- v. Allow respondent to save partial entries prior to completion and pick up where they left off at a later time.
- vi. Ensure that upon completing data entry, users can obtain a PDF version of the completed survey form that reflects their data as entered.
- vii. Use nonproprietary software and entirely implement on a website that can be readily transferred to BJS. The website should include all necessary software needed to implement the web-based data collection tool.
- viii. Allow BJS staff to download a partial or full CSFACF data file on demand.
- ix. Maintain a secure file transfer platform for data submissions to the CSFACF, and for transfer of data to and from BJS.

BJS will conduct a usability test of the web tool; therefore, in addition to the time for internal testing, the recipient of funds should allow at least 4 weeks for BJS testing.

While the web-based tool will be the primary means for data submission, in development of this plan, the recipient of funds should consider the possibility for respondents to submit data using various formats (e.g., ASCII, Excel, SAS, or SPSS) that will reduce burden on respondents and have a plan to accommodate this option. Additionally, the recipient of funds will accommodate hand written submissions if this is the preference of the respondent.

3. Develop strategies for identifying the appropriate respondents and data collection protocols that will ensure collection and delivery of high-quality data.

While the CSFACF is a facility-based survey, BJS anticipates that most state DOCs and the BOP will designate a person as a respondent responsible for providing the data for all state-run facilities holding inmates under their jurisdiction. However, in most, if not all states, the state respondent will not be able to provide data on privately operated facilities holding persons under their jurisdiction. For private facilities there may be a single respondent at the corporate level (e.g., CoreCivic or Dismas Charities) that can provide data for multiple facilities. In other cases, the CSFACF will need to go to the individual private facilities to obtain data. BJS estimates that there will be approximately 50 state DOC respondents, one BOP respondent, and an additional estimated 400 respondents for locally operated private prisons. BJS will provide the recipient of funds guidance on identifying respondents for private facilities. In some cases, a central contact will be identified at the corporation or facility level.

BJS anticipates three possible CSFACF response models: (1) a single respondent is identified and that person provides data for each of the facility forms; (2) a point of contact is identified and that person sends out the forms to individuals at their facilities to fill out, but is ultimately responsible for submitting the data; or (3) respondents are identified within each facility and the data collection agent must contact and obtain data from each individual. While identifying the appropriate respondent, the recipient of funds will discuss the appropriate data collection protocol.

The recipient of funds will deliver and carry out a plan to identify respondents. The plan should include identifying the appropriate contact and any changes to the roster developed in task 1. This work will be included in the OMB package as part of the

national implementation of the CSFACF and will be conducted once OMB approval is received.

4. Plan and produce marketing materials to inform administrators, practitioners, and researchers and solicit buy-in for the data collection.

The recipient of funds will help the BJS project manager develop marketing materials for the 2019 CSFACF to distribute and present at correctional conferences. These materials will provide logistical details of the upcoming census, describe the content of the census, and convey to administrators and stakeholders the importance of the CSFACF. The recipient of funds will implement methods to engage a variety of stakeholders, such as higher-level officials who can provide buy-in to the CSFACF and support for survey completion; data providers who can provide input on survey administration issues; and policymakers and researchers who can provide input on data uses. The American Correctional Association conferences (held in the summer and winter) and BJS's NCRP data providers' conference (held in the spring) are prime candidates for venues to disseminate these materials. BJS will also help the recipient of funds contact the Association of State Correctional Administrators to advertise the census. The recipient of funds should plan to attend four conferences over the 36-month project period.

5. Conduct data collection and perform quality assurance activities.

- a. Respondent correspondence

- i. The recipient of funds will prepare correspondence that will include introduction, data collection launch, reminder, thank-you, and data collection close-out letters. The recipient of funds should recommend strategies to maximize response while balancing burden and provide draft correspondence to the BJS project manager for review.
- ii. Initiate data collection with a mail-out introducing the project followed by a data collection launch letter 2 weeks prior to the CSFACF reference date.

- b. Develop and implement monitoring system that allows for ongoing, real-time tracking of data submissions by BJS

The tracking system will (1) contain status information and para data about each eligible facility or central reporter, including but not limited to a record of follow-up communication and procedures used for each respondent, modes of data submission (i.e., mail, fax, phone, or electronic), dates of contact, initial date of submission, and date of completion; (2) use the database to provide BJS with data quality information, such as item nonresponse and other information to be determined in conjunction with the BJS project manager; and (3) maintain electronic copies of notes from respondents that address issues related to their data submission.

The tracking system should be designed to allow for the creation of summary reports showing information about the status of the collection, including the overall response rate, response rates for selected subsets (such as state, federal, and locally operated contract facilities), and other information to be determined with the BJS project manager. The tracking system should be secure, current, and accessible to the BJS project manager at all times.

- c. Produce high-quality reliable data
    - i. Develop protocols for follow up and data quality assessment.
    - ii. Within 2 weeks of receipt of data, complete the review, assessment, and edit checks of the form.
    - iii. Conduct data quality and nonresponse follow up. Provide BJS with data quality reports on a weekly basis during the data collection period and nonresponse follow up reports on a weekly basis after the submission deadline passes.
    - iv. Develop and implement methods to address both unit and item nonresponse, including various approaches for weighting and imputation. The recipient of funds should propose weighting and imputation strategies for quantitative data and for categorical variables. It will also provide associated standard error calculations, where appropriate.
    - v. Conduct data processing on an ongoing basis as data are being collected.
  
  - d. Deliver analysis-ready data file and supporting documentation

Files will be in accordance with BJS specifications and requested formats and should include reported and imputed data in the file with flags on imputed data. The recipient of funds will also provide a jurisdiction notes file which identifies any facility that closed prior to the reference year. BJS retains all rights to exclusive use of the data until BJS releases the public dataset, which will be available to the public via the internet and at the National Criminal Justice Data Archives (NACJD) at the University of Michigan. The recipient of funds shall not release or disclose any data collected through this award without prior written approval of BJS or until the dataset has been released to the public. This includes, but is not limited to, presentations at professional conferences and meetings, press releases, and grant applications. Unauthorized release of the data by the recipient of funds or its associates may result in the immediate commencement of termination or suspension proceedings in accordance with 28 CFR Part 18.
6. Develop accurate and reliable national- and state-level statistics that describe the characteristics of adult prison confinement for BJS to disseminate.
- a. Help produce a BJS publication

The recipient of funds will collaborate with the BJS project manager to develop a publication proposal focusing on findings from the 2019 CSFACF. The publication proposal will include an abstract, research questions, data limitations, and table shells. The recipient of funds will develop an estimated total of 30 national-, state-, and facility-level table shells in collaboration with the BJS project manager. Once the publication proposal and table shells are approved by BJS, the recipient of funds will conduct the analysis and provide populated table shells to BJS. Additionally, the recipient of funds will draft the report, including the methodology section. The report will be a BJS product. The recipient of funds will deliver to BJS all programs and output associated with the populated tables.
  
  - b. Archive 2019 CSFACF data file and documentation

The recipient of funds will produce a comprehensive codebook, including the data variables, variable labels, value labels, and missing value codes; final analytic data file, including any modification to data originally submitted to BJS

and any BJS-created variables; a methodology that describes the data collection effort; reporting or data quality issues that may affect usability of the data; imputations for unit and item nonresponse; specialized programming code used to produce all constructed measures and data analysis; and any manual, electronic, or other data collection protocols that may aid a user in making analytic decisions when using the data. The recipient of funds will submit data and documentation for archiving to BJS for review and will make any necessary modifications based on BJS comments. BJS will transmit the data and documentation directly to NACJD.

7. Plan and implement strategies to ensure good project management and communication with the BJS project manager.

The recipient of funds will develop an overall project plan with a set of actions and deliverables to ensure that the BJS program manager will be kept informed of all project-related activities. The plan should include, but is not limited to—

- a. A detailed timetable  
The recipient of funds will develop a timeline that includes each task of the project as identified within this solicitation. For project planning purposes, assume (1) a 36-month project period, (2) a field date no later than 2 weeks prior to the reference date, (3) a data collection completion date within 5 months of fielding the 2019 CSFACF, (4) a preliminary data file delivery date within 1 month, and (5) a final analytic data file delivery date within 2 months of completing data collection.
- b. A kick-off meeting  
Within 2 weeks of the award being made, schedule and hold a meeting to discuss project details.
- c. Weekly telephone meetings  
Conduct a weekly telephone call with the BJS project manager and pertinent staff to discuss issues with data collection and processing. Generally, the call will be between two individuals, one being the BJS project manager, bringing in other staff only when necessary.
- d. Written progress reports  
Monthly reports will be delivered to the BJS project manager and will summarize activities completed in the prior month, those planned for the upcoming month, and any anticipated changes to the schedule. They should also include, **by each task**, monthly expenditures, cumulative expenditures, and remaining budget. The recipient of funds will provide expenditures and budget information at the subtask level upon request. Semi-annual reports will cover a 6-month period and will follow the same format as the monthly progress report. Semi-annual reports will be submitted to the PM through GMS.
- e. Final written project summary and recommendations report  
This project summary and recommendations report will include a review of the performance of the CSFACF. Items to address in this report include final response and item response rates; collection issues or problems; the extent of

respondent burden; and other administration issues that burdened respondents or the recipient of funds during the project, including frame development, administration, and collection. The final report will also include recommendations to BJS about the content and conduct of its next CSFACF.

Key deliverables for this project include—

- Overall project plan, including a detailed timeline
- Materials supporting the OMB clearance package to produce a roster of facilities
- Final roster of facilities and points of contact administering the collection
- Report describing findings from cognitive testing of the CSFACF instrument
- Final 2019 CSFACF instrument
- Web-based data collection tool
- Materials supporting the OMB package to implement the CSFACF nationally
- Data quality and nonresponse follow-up reports
- Final analytic data file
- Populated tables and analytic programs and data output
- Draft and final CSFACF report to be published by BJS
- Archive-ready data file and supporting materials
- Monthly and quarterly progress reports and final project summary and recommendations report.

Anticipated project timeline

	Year 1 (Oct 1, 2017-Sept 30, 2018)												Year 2 (Oct 1, 2018-Sept 30, 2019)												Year 3 (Oct 1, 2019-Sept 30, 2020)											
	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sept	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sept	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sept
<b>Objective 1: Accurate and complete prison facility roster</b>	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24	25	26	27	28	29	30	31	32	33	34	35	36
Final roster for pre populated list						•																														
Data collection instrument						•																														
Submit OMB generic clearance package							•																													
Launch data collection									•																											
Deliver final data file and roster of facilities													•																							
<b>Objective 2: Finalize and test instrument and prepare for launch</b>																																				
Summary report on scoping interviews																																				
Summary report on data quality assessment of the 2005 CSFACF								•																												
Summary report on PBMS measures								•																												
Final instrument for cognitive test									•																											
Cognitive test										•																										
Summary report of cognitive test and recommendations for final instrument												•																								
Final instrument for national implementation													•																							
OMB clearance package and OMB approval													•	•	•	•	•	•	•	•	•	•	•	•												
Draft screen shots of web based data collection tool													•																							
Final web based data collection tool																								•												
Final data collection tracking system																								•												
<b>Objective 3: Identify respondent and determine collection protocol</b>																																				
Define strategy for identifying respondents													•	•																						
Conduct work to identify the appropriate respondent																				•	•															
Final roster of facilities with appropriate respondent																								•												
Final data collection protocol																								•												
<b>Objective 4: Marketing materials</b>																																				
Develop marketing material/presentations					•	•				•	•		•	•	•	•	•	•																		
Attend four conferences							•				•								•																	
<b>Objective 5: Conduct data collection and quality assurance</b>																																				
Final data collection correspondence													•																							
Develop and implement data collection monitoring system																																				
Final weighting and imputation plans																								•												
Final protocol for data collection follow-up																								•												
Launch data collection																								•												
Conduct data quality follow-up																								•												
Data quality reports (weekly)																								•												
Conduct nonresponses follow-up																								•												
Non response follow-up reports (weekly)																								•												
Deliver preliminary analysis ready data file and documentation																								•												
Deliver final analysis ready datafile and documentation																								•												
<b>Objective 6: Disseminate data</b>																																				
Publication proposal (including table shells)																								•												
Populated tables																								•												
Analytic programs and data output																								•												
Text for BJS publication																								•												
Archive ready data files and documentation																								•												
<b>Objective 7: Good project management and communication</b>																																				
Kick-off meeting	•																																			
Detailed project plan with timetable		•																																		
Weekly project calls	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•
Monthly progress reports	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•
Semi-annual progress reports (submitted to GMS)										•													•													
Final written project summary																																				•

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

## B. Federal Award Information

BJS expects to make one award of up to \$500,000. BJS expects to make the award for a 36-month period of performance, to begin on October 1, 2017.

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

## **Financial Management and System of Internal Controls**

Award recipients and subrecipients (including recipients or subrecipients that are pass-through entities<sup>2</sup>) must, as described in the Part 200 Uniform Requirements<sup>3</sup> as set out at 2 C.F.R. 200.303:

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

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

## **Information System Security and Privacy Requirements**

BJS award recipients and subrecipients are required to facilitate the privacy, security, confidentiality, integrity, and availability of computer systems, networks, and data in accordance

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<sup>2</sup>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.

<sup>3</sup>The “Part 200 Uniform Requirements” means the DOJ regulation at 2 C.F.R Part 2800, which adopts (with certain modifications) the provisions of 2 C.F.R. Part 200.

with applicable federal and DOJ policies, procedures, and guidelines. Recipients and subrecipients may not release or disclose any data collected on behalf of BJS without prior written approval from BJS, or until the dataset has been released to the public. This includes, but is not limited to, data used in presentations at professional conferences and meetings, press releases, and/or grant applications.

Recipients and subrecipients who operate as BJS data collection agents that collect, receive, handle, maintain, transfer, process, store, or disseminate directly identifiable information (e.g., names, SSNs, last known address, or FBI, state, or DOC ID numbers) in conjunction with the BJS-funded activities must have the appropriate administrative, physical, and technical safeguards in place to ensure that information systems are adequately secured and protected against unauthorized disclosure. Applicants must specify in the Privacy Certificate the specific controls used to safeguard directly identifiable information against unauthorized disclosure.

Specifically, BJS data collection agents are required to, where applicable—

- Follow the [DOJ IT Security Rules of Behavior for General Users](#), which pertain to the use, security, and acceptable level of risk for DOJ systems and applications
- Assess and secure information systems in accordance with the [Federal Information Security Modernization Act](#) (FISMA) (Pub. L. No. 107-347), which appears as Title III of the [E-Government Act of 2002](#) (Pub. L. No. 107-347)
- Adhere to [National Institute of Standards and Technology](#) (NIST) guidelines to categorize the sensitivity of all data collected or maintained on behalf of BJS;
- Once the system has been categorized, secure data in accordance with the Risk Management Framework specified in [NIST SP 800-37 rev. 1](#)
- Employ adequate controls to ensure data are not comingled with any other dataset or product without the express written consent of BJS
- Reduce the volume of directly identifiable information collected, used, or retained to the minimum necessary
- Limit access to identifiable data to only those individuals who must have such access
- Limit use of identifiable data to only the purposes for which it was approved
- Log all computer-readable data extracts from databases holding sensitive information and ensure each extract including sensitive data has been erased within 90 days, or its use is still required
- Ensure all contracts involving the processing and storage of personally identifiable information comply with DOJ policies on remote access and security incident reporting
- Employ formal sanctions for anyone failing to comply with DOJ policy and procedures, in accordance with applicable laws and regulations.

Recipients and subrecipients that use a FISMA-defined information system to support award activities must maintain a Security Program Management Plan that prescribes the reporting of and response to security incidents involving directly identifiable information including, but not limited to, system compromise, unauthorized access from both internal and external parties, data leakage, and loss of technology assets. This policy shall be in accordance with the OMB and Department of Commerce Cybersecurity Policy, Presidential Directives, and NIST best practices. If applicable, recipient and subrecipients shall provide BJS with a signed copy of their Security Program Management Plan within 90 days of accepting the award, and with all updated versions throughout the life of the project period. Recipients and subrecipients shall notify BJS

within one hour of any security incidents that impacts the FISMA-defined information systems used to support award activities.

Upon award, recipients and subrecipients shall provide BJS with a written certification that all staff resources who have access to the FISMA-defined information systems used to collect, receive, handle, maintain, transfer, process, store, or disseminate data files, reports, working papers, or other products in support of the project have completed annual Cybersecurity Awareness Training. Recipients and subrecipients are required to provide BJS with an updated certification when staff resources change.

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

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

## **Budget Information**

### **Cost Sharing or Match Requirement**

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

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

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

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

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

With respect to any award of more than \$250,000 made under this solicitation, a recipient may not use federal funds to pay total cash compensation (salary plus cash bonuses) to any employee of the recipient at a rate that exceeds 110% of the maximum annual salary payable to a member of the federal government's Senior Executive Service (SES) at an agency with a

Certified SES Performance Appraisal System for that year.<sup>4</sup> The 2017 salary table for SES employees is available at the Office of Personnel Management [website](#). Note: A recipient may compensate an employee at a greater rate, provided the amount in excess of this compensation limitation is paid with non-federal funds. (Non-federal funds used for any such additional compensation will not be considered matching funds, where match requirements apply.) If only a portion of an employee's time is charged to an OJP award, the maximum allowable compensation is equal to the percentage of time worked times the maximum salary limitation.

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

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

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

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

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

#### **Costs Associated with Language Assistance (if applicable)**

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

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

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<sup>4</sup>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.

## C. Eligibility Information

For eligibility information, see the title page.

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

## D. Application and Submission Information

### What an Application Should Include

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

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

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

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

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

To avoid processing delays, an applicant must include an accurate legal name on its SF-424. Current OJP award recipients, when completing the field for "Legal Name" should use the same legal name that appears on the prior year award document which is also the legal name stored in OJP's financial system. On the SF-424, enter the Legal Name in box 5 and Employer Identification Number (EIN) in box 6 exactly as it appears on the prior year award document. An applicant with 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 the Official Legal Name and address of the applicant entity in box 5 and the EIN in box 6 of the SF-424. An applicant must attach official legal documents to its application (e.g., articles of incorporation, 501(c)(3), etc.) to confirm the legal name, address, and EIN entered into the SF-424.

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

## 2. Project Abstract

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

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

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

All project abstracts should follow the detailed template available at [ojp.gov/funding/Apply/Resources/ProjectAbstractTemplate.pdf](http://ojp.gov/funding/Apply/Resources/ProjectAbstractTemplate.pdf).

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

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

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

## 3. Program Narrative

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 CSFACF. 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 narrative<sup>5</sup>:

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

The application should include a statement certifying the applicant’s understanding of and agreement to adhere to BJS’s Data Management and Data Security Requirements (see page 16).

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

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

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

Objective	Performance Measure(s)	Data Recipient Provides
Develop and implement a plan to ensure an accurate and complete roster of facilities	Number of deliverables completed on time	Final data collection instrument to include a pre-populated list of facilities by jurisdiction
	Number of deliverables that meet expectations	Final materials to include in OMB generic clearance package
	Provide data that are complete and accurate	Final data file and roster of facilities

<sup>5</sup>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](#).

<p>Develop strategies to identify the appropriate respondents and data collection protocols that ensure collection and delivery of high-quality data</p>	<p>Number of deliverables completed on time</p> <p>Number of deliverables that meet expectations</p>	<p>Protocol and other materials needed to finalize the roster of facilities and respondents</p> <p>Final data collection protocol</p> <p>Final roster of facilities with a respondent for each</p>
<p>Finalize and test the 2019 CSFACF instrument and conduct activities in preparation for administration</p>	<p>Number of deliverables completed on time</p> <p>Number of deliverables that meet expectations</p>	<p>Data quality assessment of the 2005 CSFACF</p> <p>Summary report of early stage scoping interviews</p> <p>Summary report of PBMS measures</p> <p>Final instrument and collection materials for small scale cognitive test</p> <p>Summary of findings from small-scale cognitive test and recommendations for the final CSFACF instrument to implement nationally</p> <p>OMB materials 60-day notice (posted)</p> <p>30-day notice (posted) and OMB supporting statements (submit package to OMB)</p>
	<p>Develop website to collect data</p>	<p>A user-friendly web based data collection tool written in nonproprietary software</p> <p>Data submission tracking system</p>
<p>Plan and produce marketing materials to</p>	<p>Number of outreach efforts conducted</p>	<p>Listing of outreach efforts, by type</p>

inform administrators, practitioners, and researchers and solicit buy-in for the data collection	Percent of agencies/organizations successfully contacted	Number of agencies/organizations successfully contacted  Number of agencies/organizations contacted
	Number of deliverables completed on time  Number of deliverables that meet expectations	Marketing materials developed  Conference presentation developed
	Number of conferences/meetings at which the grantee made one or more presentations	Number of conferences/meetings at which the grantee made one or more presentations, by type
Conduct the 2019 CSFACF data collection and quality assurance activities	Scheduled data collection series and special analysis to be conducted	Field the CSFACF
	Percent of survey responses that are obtained through electronic means	Number of survey responses, by type  Number of survey responses
	Achieve 100% unit response rate from state and federal operated adult correctional facilities	A CSFACF survey that yields 100% unit response rate from state and federal operated adult correctional facilities
	Number of deliverables completed on time  Number of deliverables that meet expectations	Prepare and deliver final collection correspondence  Final weighting and imputation plans  Final protocol for data collection follow-up  Data quality reports  Nonresponse follow-up reports

	Provide data that is complete and accurate	Preliminary data file Final analyst ready data file and supporting documentation
Develop accurate and reliable national- and state-level statistics that describe the characteristics of adult prison confinement for BJS to disseminate	Number of deliverables completed on time Number of deliverables that meet expectations	Publication proposal and table shells Populated national- and state-level tables Draft of report for BJS editor's review Final report for BJS release Analytic programs and output for report
	Provide data that is complete and accurate	Final data file, codebook and other documentation for archiving
Plan and implement strategies to ensure good project management and communication with the BJS project manager	Provide effective management as measured by whether significant interim project milestones were achieved, final deadlines were met, and costs remained within approved limits	Draft version of the project plan, including a detailed timeline Final version of the project plan, including a detailed timeline Kick-off meeting Weekly telephone calls Written progress reports Written project summary and recommendations report

**Note on Project Evaluations**

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

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

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

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

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 [www.bjs.gov/content/pub/pdf/bismpc.pdf](http://www.bjs.gov/content/pub/pdf/bismpc.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 [www.bjs.gov/content/hscr.cfm](http://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**

##### **a. Budget Detail Worksheet**

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

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

##### **b. Budget Narrative**

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

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

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

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

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

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

federal administrative rules and requirements that apply to "subawards" and to procurement "contracts" under awards differ markedly.

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

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

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

## **1. Information on proposed subawards**

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

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

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

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

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

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

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

### **d. Pre-Agreement Costs**

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

## **5. Indirect Cost Rate Agreement (if applicable)**

Indirect costs may be charged to an award only if:

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

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

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

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

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

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

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

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

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

**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 \(SF-LLL\)](#). 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 any inappropriate duplication of funding. Leveraging multiple funding sources in a complementary manner to implement comprehensive programs or projects is encouraged and is not seen as inappropriate duplication.

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

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

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

Oriented Policing Services (COPS)		
Health and Human Services/Substance Abuse & Mental Health Services Administration	Drug-Free Communities Mentoring Program/North County Youth Mentoring Program	John Doe, 202/000-0000; john.doe@hhs.gov

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

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

**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 must provide a specific and robust mitigation plan to address each of those conflicts. At a minimum, the applicant is expected to explain the specific processes and procedures that the applicant has in place, or will put in place, to identify and eliminate (or, at the very least, mitigate) any such conflicts of interest pertinent to the funded project during the period of performance. Documentation that may be helpful in this regard may include organizational codes of ethics/conduct and policies regarding

organizational, personal, and financial conflicts of interest. There is no guarantee that the plan, if any, will be accepted as proposed.

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

### **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 regulations with regard to its compensation decisions.

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

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

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

approves such compensation arrangements, including records of deliberations and of the basis for decisions.

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

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

### **How to Apply**

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

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

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

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

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

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

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

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

All applicants are required to complete the following steps:

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

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

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

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

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

- 2. Acquire registration with SAM.** SAM is the repository for certain standard information about federal financial assistance applicants, recipients, and subrecipients. All applicants for OJP awards (other than individuals) must maintain current registrations in the SAM

database. An applicant must be registered in SAM to successfully register in Grants.gov. Each applicant must **update or renew its SAM registration at least annually** to maintain an active status. SAM registration and renewal can take as long as 10 business days to complete.

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

Information about SAM registration procedures can be accessed at [www.sam.gov](http://www.sam.gov).

- 3. Acquire an Authorized Organization Representative (AOR) and a Grants.gov username and password.** Complete the AOR profile on Grants.gov and create a username and password. An applicant entity's "unique entity identifier" (DUNS number) must be used to complete this step. For more information about the registration process for organizations and other entities, go to <https://apply07.grants.gov/apply/OrcRegister>. Individuals registering with Grants.gov should go to <http://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-2017-11680.
- 6. Submit a valid application consistent with this solicitation by following the directions in Grants.gov.** Within 24–48 hours after submitting the electronic application, the applicant should receive two notifications from Grants.gov. The first will confirm the receipt of the application. The second will state whether the application has been validated and successfully submitted, or whether it has been rejected due to errors, with an explanation. It is possible to first receive a message indicating that the application is received, and then receive a rejection notice a few minutes or hours later. Submitting an application well ahead of the deadline provides time to correct the problem(s) that caused the rejection. **Important:** OJP urges each applicant to submit its application **at least 72 hours prior** to the application due date, to allow time to receive validation messages or rejection notifications from Grants.gov, and to correct in a timely fashion any problems that may have caused a rejection notification. Applications must be successfully submitted through Grants.gov by 11:59 p.m. eastern time on July 19, 2017.

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

### **Note: Application Versions**

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

### **Experiencing Unforeseen Grants.gov Technical Issues**

An applicant that experiences unforeseen Grants.gov technical issues beyond its control that prevent it from submitting its application by the deadline must contact the Grants.gov [Customer Support Hotline](#) or the [SAM Help Desk](#) (Federal Service Desk) to report the technical issue and receive a tracking number. The applicant must email the BJS contact identified in the Contact Information section on page 2 **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](#) web page.**

## **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%)**
  - Demonstrates understanding of the problem.
  - Demonstrates awareness of the state of current research.

2. **Project Design and Implementation (35%)**
  - Demonstrates soundness of methods and analytic and technical approach to addressing the stated aim(s) of the proposed project.
  - Considers feasibility of proposed project.
  - Maintains awareness of potential pitfalls for the proposed project design and feasibility of proposed actions to minimize or mitigate them.
3. **Capabilities and Competencies (30%)**
  - Possesses qualified and experienced proposed project staff (i.e., the principal investigator, co-principal investigators, and other individuals or organizations identified in the application (regardless of “investigator” status) who will be significantly involved in substantive aspects of the proposal).
  - Demonstrates ability of the applicant organization to manage the effort.
  - Assesses the relationship between the capabilities and competencies of the proposed project staff (including the applicant organization) and the scope of the proposed project.
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: complete, cost effective, and allowable (e.g., reasonable, allocable, and necessary for project activities). (15%)**
  - Budget narratives should demonstrate generally how applicants will maximize cost effectiveness of grant expenditures. Budget narratives should demonstrate cost effectiveness in relation to potential alternatives and the goals of the project.<sup>6</sup>

### **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

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

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

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

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

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

5. Applicant's ability to comply with statutory and regulatory requirements, and to effectively implement other award requirements.

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

## F. Federal Award Administration Information

### Federal Award Notices

Award notifications will be made by September 30, 2017. OJP sends award notifications by email through GMS to the individuals listed in the application as the point of contact and the authorizing official (E-Biz POC and AOR). The email notification includes detailed instructions on how to access and view the award documents, and steps to take in GMS to start the award acceptance process. GMS automatically issues the notifications at 9:00 p.m. eastern time on the award date.

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

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

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

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

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

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

The web pages accessible through the "[Overview of Legal Requirements Generally Applicable to OJP Grants and Cooperative Agreements - FY 2017 Awards](#)" are intended to give applicants for OJP awards a general overview of important statutes, regulations, and award conditions that

apply to many (or in some cases, all) OJP grants and cooperative agreements awarded in FY 2017. Individual OJP awards typically also will include additional award conditions. Those additional conditions may relate to the particular statute or program, or solicitation under which the award is made; to the substance of the funded application; to the recipient's performance under other federal awards; to the recipient's legal status (e.g., as a for-profit entity); or to other pertinent considerations.

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

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

BJS awards under this type of solicitation will typically include a number of special conditions, including, among others, the following:

- The project will be funded as a cooperative agreement. The basis for using a cooperative agreement is BJS's substantial involvement in identifying priorities and providing information, guidance, and direction relative to the development of statistical studies and products. BJS will exercise general approval over the entire project subject to the recipient's rights to disclose and publish certain information after review and comment by BJS, as set forth in this solicitation.
- The award recipient will agree that no funds provided may be used to author or prepare reports, journal articles, speeches or studies, other publications, or presentations without the prior review and written approval of BJS, regardless of whether the data used in the publications or other releases are publicly available.
- BJS will retain all rights to exclusive use of the data until BJS releases the public use dataset, which will be available to the public via the Internet and at the NACJD at the University of Michigan. The award recipient will not be able to release or disclose any data collected through this cooperative agreement without prior written BJS approval or until the dataset has been released to the public. This includes, but is not limited to, presentations at professional conferences and meetings, press releases, and/or grant applications. Unauthorized release of the data by the recipient or its associates may result in immediate commencement of termination or suspension proceedings in accordance with 28 CFR Part 18.
- BJS will retain exclusive rights to methodological information. Within certain limitations, BJS may grant the recipient exclusive use of any methodological findings derived from the project funded through this cooperative agreement. The recipient must have obtained prior review and written approval by BJS, including mutual

agreement on the representation of BJS's methodologies, before disclosing methodological information or experiential findings derived from the project before the dataset is released. Any such disclosures of the recipient's or BJS's methodologies must be public in nature and contribute meaningfully to the development and/or advancement of social science research. Public disclosure may include, but is not limited to, presentations at professional conferences and meetings, articles appearing in widely distributed publications, and postings on the Internet or in similar outlets that constitute a broad public release of the methodological information. Unauthorized release of the data by the recipient or its associates may result in immediate commencement of termination or suspension proceedings in accordance with 28 CFR Part 18.

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

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 web site at <http://ojp.gov/funding/FAPIIS.htm>.

Data on performance measures. In addition to required reports, an award recipient also must provide data that measure the results of the work done under the award. To demonstrate program progress and success, as well as to assist DOJ in fulfilling its responsibilities under the Government Performance and Results Act of 1993 (GPRA), Public Law 103-62, and the GPRA Modernization Act of 2010, Public Law 111-352, OJP will require any recipient, post award, to provide the data listed as "Data Recipient Provides" in the performance measures table in [Section D. Application and Submission Information](#), under "Program Narrative," so that OJP can calculate values for this solicitation's performance measures.

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

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

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

## H. Other Information

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

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

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

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

### Provide Feedback to OJP

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

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

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

## Application Checklist

### Census of State and Federal Adult Correctional Facilities (CSFACF)

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 35)
- \_\_\_\_\_ Acquire or renew registration with SAM (see page 35)

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

- \_\_\_\_\_ Acquire AOR and Grants.gov username/password (see page 36)
- \_\_\_\_\_ Acquire AOR confirmation from the E-Biz POC (see page 36)

##### *To Find Funding Opportunity:*

- \_\_\_\_\_ Search for the Funding Opportunity on Grants.gov (see page 36)
- \_\_\_\_\_ Download Funding Opportunity and Application Package (see page 36)
- \_\_\_\_\_ Sign up for Grants.gov email [notifications](#) (optional) (see page 34)
- \_\_\_\_\_ 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 18)

##### *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 36)

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

- \_\_\_\_\_ contact BJS regarding experiencing technical difficulties (see page 37)

#### Overview of Post-Award Legal Requirements:

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

#### Scope Requirement:

- \_\_\_\_\_ The federal amount requested is within the allowable limit(s) of \$500,000.

**Eligibility Requirement:** See the title page.

#### What an Application Should Include:

- \_\_\_\_\_ Application for Federal Assistance (SF-424) (see page 19)
- \_\_\_\_\_ Project Abstract (see page 20)
- \_\_\_\_\_ Program Narrative (see page 20)
- \_\_\_\_\_ Budget Detail Worksheet (see page 26)
- \_\_\_\_\_ Budget Narrative (see page 26)
- \_\_\_\_\_ Indirect Cost Rate Agreement (if applicable) (see page 28)

- \_\_\_\_\_ Tribal Authorizing Resolution (if applicable) (see page 29)
- \_\_\_\_\_ Financial Management and System of Internal Controls Questionnaire (see page 29)
- \_\_\_\_\_ Disclosure of Lobbying Activities (SF-LLL) (see page 30)
- \_\_\_\_\_ Additional Attachments
- \_\_\_\_\_ Applicant Disclosure of Pending Applications (see page 30)
- \_\_\_\_\_ Research and Evaluation Independence and Integrity (see page 31)
- \_\_\_\_\_ Disclosure of Process Related to Executive Compensation (see page 33)
- \_\_\_\_\_ Request and Justification for Employee Compensation; Waiver (if applicable) (see page 17)