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The [U.S. Department of Justice](#) (DOJ), [Office of Justice Programs](#) (OJP), [Bureau of Justice Statistics](#) (BJS) is seeking applications for the combined collection, analysis, and dissemination activities of two of its data collections, the Deaths in Custody Reporting Program (DCRP) and the Annual Survey of Jails (ASJ). This project, conducted under the auspices of BJS' Corrections Statistics Program, furthers the Department's mission by working in partnership with the justice community to identify the most pressing challenges confronting the justice system and to provide state-of-the-art knowledge and information to support innovative strategies and approaches for dealing with these challenges.

## **Deaths in Custody Reporting Program and Annual Survey of Jails, 2016–2020**

### **Eligibility**

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

Under section 302 of the Omnibus Crime Control and Safe Streets Act, BJS is authorized to make grants to, or enter into contracts or cooperative agreements with states (including territories), units of local government (including federally recognized Indian tribal governments as determined by the Secretary of the Interior), nonprofit and for-profit organizations (including tribal nonprofit or for-profit organizations), institutions of higher education (including tribal institutions of higher education), and certain qualified individuals. For-profit organizations must agree to forgo any profit or management fee. Foreign governments, foreign organizations, and foreign institutions of higher education are not eligible to apply.

BJS welcomes applications that involve two or more entities; however, one eligible entity must be the applicant and the other(s) must be proposed as subrecipient(s). The applicant must be the entity with primary responsibility for conducting and leading the proposed project. If successful, the applicant will be responsible for monitoring and appropriately managing any subrecipients or, as applicable, for administering any procurement subcontracts that would receive federal program funds from the applicant under the award. Only one application per lead applicant will be considered; however, subrecipients may be part of multiple proposals.

BJS may elect to make awards for applications submitted under this solicitation in future fiscal years, dependent on the merit of the applications and on the availability of appropriations. For additional eligibility information, see Section [C. Eligibility Information](#).

## Deadline

Applicants must register with [Grants.gov](http://Grants.gov) prior to submitting an application. All applications are due to be submitted and in receipt of a successful validation message in Grants.gov by 11:59 p.m. eastern time on May 11, 2015.

All applicants are encouraged 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](http://Grants.gov) Support Hotline hours of operation are 24 hours a day, 7 days a week, except federal holidays.

Applicants that experience unforeseen Grants.gov technical issues beyond their control that prevent them from submitting their application by the deadline must e-mail the BJS contact identified below **within 24 hours after the application deadline** and request approval to submit their application. Additional information on reporting technical issues is found under "Experiencing Unforeseen Grants.gov Technical Issues" in the [How to Apply](#) section.

For assistance with any other requirements of this solicitation, contact Margaret Noonan, BJS Statistician and Program Manager, by telephone at 202-307-0765, or by email at [askbjs@usdoj.gov](mailto:askbjs@usdoj.gov). Include "DCRP ASJ" in the subject line.

Grants.gov number assigned to this announcement: BJS-2015-4151

Release date: March 11, 2015

Updated March 27, 2015

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# Deaths in Custody Reporting Program and Annual Survey of Jails, 2016–2020

(CFDA # 16.734)

## A. Program Description

### Overview

This solicitation covers research and data-collection activities for the Deaths in Custody Reporting Program (DCRP) and the Annual Survey of Jails (ASJ), two of the Bureau of Justice Statistics' (BJS) annual data collections on the U.S. correctional system. This award will cover project activities spanning 5 data collection years, 2016–2020, and 5 fiscal years. Work will begin October 1, 2015, and end September 30, 2020.

This marks the first time the two programs will be competed together.

The ASJ and DCRP are BJS's flagship data collections measuring the size and composition of local jail populations each year. The two collections complement each other by obtaining administrative data to describe and compare the jail population over time. The ASJ, a sample survey, is conducted in years between the Census of Jail Facilities and is used to estimate the number and characteristics of jail inmates.

The DCRP data collection has two components. From *local jails*, BJS collects individual-level data on inmates who died in jails and the circumstances of their deaths, as well as jail-level population data. The population component of the DCRP is used to produce jail population data and calculate jail mortality rates. From *state prisons*, BJS collects individual-level data on decedents only. Prison population data is culled from existing BJS prison databases.

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

**Authorizing Legislation:** Under section 302 of the Omnibus Crime Control and Safe Streets Act, BJS is authorized to “make grants to, or enter into cooperative agreements or contracts with public agencies, institutions of higher education, private organizations, or private individuals” for purposes of collecting and analyzing criminal justice statistics.

### Program-Specific Information

#### ***Deaths in Custody Reporting Program***

BJS initiated the DCRP in response to the *Death in Custody Reporting Act (DICRA) of 2000* (P.L. 106-297), which encouraged states to report certain information related to the deaths of individuals in the custody of law enforcement agencies. BJS developed three data collection efforts under the DCRP; these obtained data on deaths in state prisons, in local jails, and in the process of arrest to include deaths occurring in police lockups. BJS has collected data under the DCRP since 2000 and currently collects data directly from state prisons and local jails. BJS temporarily suspended collecting data on deaths in the process of arrest in order to undertake methodological research to improve the reliability of these data.

The Death in Custody Reporting Act of 2013 (P.L. 113-242) was passed in December 2014. It also encourages the States to report certain information about deaths of individuals in the

custody of law enforcement agencies. In addition it requires the head of each Federal law enforcement agency to submit a report to the Attorney General in a manner and form specified by the Attorney General that contains information on any death of a person who is detained, under arrest, or is in the process of being arrested by a Federal law enforcement agency or who is in route to be incarcerated or detained in any facility under contract with a Federal law enforcement agency or in any Federal correctional or pre-trial detention facility.

This work described in this solicitation covers the collection of data on persons who die in the custody of a state prison, or local jail.

The DCRP data collection has two components

(1) From local jails, BJS collects individual-level data on inmates who died in the custody of local jails and the circumstances of their deaths, and jail-level data such as average daily population, admissions, and confined population size. The population component is used to produce jail population data and calculate jail mortality rates. (2) From state prisons, BJS collects individual-level data on decedents only. Existing prison databases are used to produce prison population counts and prisoner mortality rates.

BJS uses information collected from the DCRP to track changes in mortality and assess whether they are due to changes in the demographic and crime composition of populations or changes in the age, sex, race, or offense-specific mortality rates. BJS also describes the circumstances surrounding deaths, such as preexisting medical conditions, medical treatment during incarceration, and place of death. Separating changes in overall mortality rates into compositional and group- and cause-specific rates allows BJS to identify the sources of changes in mortality rates. Under Title 42 of the United States Code, Section 3789g, BJS collects data for statistical purposes only, and does not release data pertaining to specific individuals in any of its data collections, including the DCRP, and has implemented procedures to guard against disclosure of personally identifiable information. DCRP data are maintained under the security provisions outlined in 28 CFR Part 22.

<http://bjs.ojp.usdoj.gov/content/pub/pdf/bjsmpc.pdf>.

### ***Annual Survey of Jails***

Through the ASJ, BJS collects data annually on jail inmate populations from a nationally-representative sample of local jails in the United States. BJS began the ASJ in 1982 and has conducted it annually except for 1983, 1988, 1993, 1999, and 2005, when censuses of local jails were conducted. Through the ASJ, BJS tracks national jail population size and changes in jail inmate characteristics, jail capacity and crowding, flows of inmates moving into and out of jails, and use of jail space by other correctional institutions. The ASJ does not collect inmate-level information. The data are used by federal and state agencies, local officials in conjunction with jail administrators, researchers, planners, and the public.

Currently, the ASJ provides inmate population estimates at the national level but not at the state level. However, through the DCRP, BJS surveys each jail in the country annually to obtain data that it needs to calculate mortality rates in local jails. During the project period covered by this solicitation, BJS is considering a new design for the ASJ both to improve efficiency by eliminating the redundancy between it and the DCRP annual survey and to allow for state-level estimates of jail populations. The chosen data collection agent will help BJS redesign the ASJ, including questionnaire development, sampling and weighting, and applying for Office of Management and Budget (OMB) clearance.

Final analysis files for the ASJ should be submitted to BJS in May of the following year. The final DCRP analysis files should be submitted to BJS in September of the following year.

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

The main goals for the project are to—

- Implement a cost-effective and efficient system for collecting and analyzing DCRP and ASJ data in a timely manner using methods that minimize respondent burden while maximizing data quality using (primarily) a web-based collection system that allows respondents to report death-related information on an ongoing, real-time basis.
- Maintain the high participation rates by state departments of corrections (DOCs) and local jail administrators that have characterized the DCRP and ASJ. BJS has obtained 100% participation by state DOCs and about 99% participation by local jails in the DCRP collection.
- Provide accurate, timely, and relevant statistics both on mortality in correctional settings and on jail inmates and facilities at the national and state levels.
- Enhance and expand BJS's collection of correctional mortality and jail-related statistics.

As described below in the Scope of Work section, the project period runs from October 1, 2015, to September 30, 2020. Because DCRP and ASJ data are collected on a calendar year basis, the project's collection and analysis activities will collect at least 5 years of mortality data (2016 through the first half of 2020).

BJS maintains a multimode data collection system that uses a web-based interface (<https://bjsdcrp.rti.org/>) to collect all DCRP and ASJ data. BJS uses six forms (CJ-9, CJ-9A, CJ-10, CJ-10A, NPS-4, and NPS-4A) to collect DCRP data.

From the nation's approximately 3,000 local jail jurisdictions (including private and multijurisdictional jails), BJS obtains data on each inmate death via forms CJ-9 and CJ-10 (<http://bjs.ojp.usdoj.gov/content/pub/pdf/cj910.pdf> and <http://bjs.ojp.usdoj.gov/content/pub/pdf/cj1010.pdf>). Jail administrators submit individual death records once they have a complete record with final cause-of-death information. At the end of each calendar year, jail administrators complete summary forms CJ-9A and CJ-10A (<http://bjs.ojp.usdoj.gov/content/pub/pdf/cj9a10.pdf> and <http://bjs.ojp.usdoj.gov/content/pub/pdf/cj10a10.pdf>), which BJS uses to request data on jail inmate populations, admissions, and the total number of deaths in custody. These forms are completed by all jails, including those that did not have any deaths in the reporting year.

Respondents in state DOCs submit records of inmate deaths occurring in the custody of state prison facilities (both state owned and privately managed) during the year. Offender death records are obtained via form NPS-4A (<http://bjs.ojp.usdoj.gov/content/pub/pdf/nps4a10.pdf>). State prison officials submit an annual summary count of deaths via form NPS-4 (<http://bjs.ojp.usdoj.gov/content/pub/pdf/nps410.pdf>). Because BJS collects data on state prisoner population movements through other statistical programs (e.g., the National Prisoner Statistics Program and the National Corrections Reporting Program), it does not request summary population data from state prisons through the DCRP.

BJS will maintain a system of ongoing, annual reporting by respondents as it gives prison and jail administrators the opportunity to submit data on a convenient schedule. Specifically, respondents may submit data as they receive it throughout the year or on an annual basis at the end of the collection year. Respondents are asked to submit death records on inmates who died

in their custody once they have a complete death record, with a final cause-of-death ruling as determined by an official death investigation (i.e., autopsy or other official death inquiry). In addition to the ongoing data collection, BJS will require quarterly status reports about the progress of data submissions from local jails and state prisons.

While data collection for a specific year starts on January 1, data collection activities associated with a calendar year begin earlier with updating respondent information, the jail frame, and modifying data collection instruments as needed. BJS estimates that it takes up to 18 months to complete a calendar year of data collection for the DCRP, and BJS expects that under normal conditions it will receive a final analytic dataset for a collection year by **September** of the following year. There are two main reasons why the collection period for a calendar year extends beyond the end of the calendar year:

- *Lag between death and final cause-of-death determination.* It can take some time for information about cause of death, especially in cases involving investigations by medical examiners, to become known to the jail and prison administrators who provide the DCRP data to BJS. Hence, cause-of-death information for deaths occurring in December may not be available until May the following year. In any given year, BJS expects that about 5% of deaths fall into this category. In a very small number of cases, delays of up to 12 months have occurred in obtaining official cause-of-death information.
- *Following up on apparent errors or inconsistencies in submitted data.* In any year, about 2% to 3% of respondents (approximately 60 to 90 agencies) require extensive follow-up (i.e., five or more contacts with the agency) to obtain complete and accurate data on key elements, especially those related to cause of death, or to obtain consistent information within a death record.

In addition, another category of late data submissions must be addressed regarding the DCRP. Occasionally, agency officials submit death records late or resubmit information about a previous record. In a few extreme cases, late submissions or updates to previous records have occurred 4 or 5 years after an initial record was submitted. Generally, late submissions and updates occur within a year after the initial submission. Since 2000, about 70 deaths were subject to either an update or a late submission. To provide the most accurate record of deaths in custody as possible, BJS allows respondents to submit records late and to update previously submitted records. While these updates occur relatively infrequently and generally are initiated by respondents, they impose minor data collection costs. However, the major impact on the DCRP falls on database management tasks and updates to the statistical tables posted on BJS's website (<http://www.bjs.gov/index.cfm?ty=dcdetail&iid=243>). These tasks are described in the Scope of Work section.

Starting with the 2010 collection year, BJS modified its online reporting system to allow respondents to update records from previous years, even if the previously submitted data had been finalized. Respondents must request access to update records by contacting BJS or its data collection agent. The modification to the web-based collection instrument to allow for late updates allows BJS to be more comprehensive in updating death records. BJS intends to retain these reporting practices in the collection years associated with this solicitation.

The approximately 18-month collection cycle means that a data collection agent must be able to manage and process at least 2 years of data at the same time. Also, delays or a large number of late postings could result in major changes to a prior year's database. In such cases, the collection agent would have to manage 3 years of data at the same time.

The core data collection activities for the DCRP include initiating a collection year; conducting follow-up activities to complete the data collection; completing data cleaning; maintaining and updating the DCRP databases with accurate and complete data; delivering to BJS data files that are suitable and ready for analysis; conducting data analysis tasks, including preparing a set of statistical tables from the DCRP data each year for release on the BJS website; and submitting to BJS each year materials needed to archive the DCRP data at the National Archive of Criminal Justice Data (NACJD).

The data collection agent will also be required to collect ASJ data under the DCRP umbrella.

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

### Scope of Work

Project activities include (1) manage the ongoing activities of the DCRP-ASJ collection, which include initiating, conducting, and completing data collection activities each year; (2) maintain a multimode data collection effort built around a web-based interface that also allows for submission of electronic data files (i.e., data extracts) and individual-level records; (3) maintain and update the national database of state prison and local jail death records; (4) maintain and update a database of the universe of jail jurisdictions that also identifies jail facilities within jurisdiction and links jail reporting units within jail jurisdictions; (5) maintain real-time tracking and reporting on the status of the collection and database updating; (6) **implement cost-effective procedures to edit data**; (7) prepare updates to BJS annual statistical tables and conduct analysis of DCRP and ASJ data as directed by BJS; (8) provide BJS with materials needed for archiving restricted-access DCRP data as defined by the NACJD and produce public-use datasets for the associated ASJ data files; (9) present at conferences and engage stakeholders; (10) maintain an informative communications strategy to provide BJS with documentation, summary reports on the status of the collection, and a yearend project summary; (11) help BJS obtain OMB clearance for the 2016–2018 and **2019-2021** DCRP and ASJ collection years; (12) **Enhance BJS's collection of mortality statistics**; (13) improve DCRP death forms, specifically cause of death and facility location; (14) develop and implement a way to add a unique identifier for prison facilities that will allow the prison death data to be linked to prison facility data; and (15) conduct research on alternative sampling designs (efficiency, cost, and respondent burden) for the 2016 and beyond ASJ data collections

Specifically, the recipient of funds will do the following:

- 1) Manage the following ongoing DCRP and ASJ data collection activities:

In the initial year of the contract (2016), the data collection agent will finalize work on the 2015 jail and prison files, including data quality follow-up between and delivery of the **final ASJ files in May 2016 and the** final jail and prison mortality files in September 2016. The data collection agent is responsible to notify BJS of barriers or obstacles in the data collection process so appropriate adjustments to the schedule can be made.

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



Annually initiate, conduct, and complete data collection for deaths occurring during a calendar year; initiate a collection year on January 1 and complete the previous collection year by September 30 of the same year. Initiating a collection year involves contacting nearly 3,000 jail officials and 50 state prison contacts about the DCRP. BJS will provide the data collection agent with contact information as needed; however, the collection agent must confirm all contact information to ensure it is accurate and complete.

Manage and deliver all activities associated with contacting respondents, including routine mailings related to requesting data, follow-up contact with nonrespondents, and follow-up contact to correct data errors in a cost-effective manner. During follow-up contact, as opportunities arise or as necessary, the collection agent will identify respondents' capabilities and preferences for submitting data and use this information to minimize respondent burden.

Revise as needed, and provide to BJS for review in a timely manner, all DCRP collection forms for a calendar year of collection, ensuring that the forms are available in final format before January 1 each calendar year. Respondents from state DOCs report individual deaths via form NPS-4A and an annual aggregated count via form NPS-4. Local jail administrators report deaths occurring in local jails via form CJ-9 (or form CJ-10 for private or multijurisdiction jails). Local jails report aggregate death counts and population data via form CJ-9A (or form CJ-10A for private or multijurisdictional jails) at yearend.

Collect complete and accurate data on deaths in custody in state prisons and local jails. The collection agent will collect two forms of data on deaths in custody: (a) individual death records for each death occurring in the custody of a state DOC's prisons (public or private) and in the custody of local jails and (b) complete and accurate summary information from state prisons and local jails.

- 2) Maintain a primarily web-based data collection and provide mail, fax, and data extracts, such as respondent-generated Excel or Access databases, as secondary modes. The current model web-collection instrument is available at <https://bjsdcrp.rti.org/>. Both the DCRP and the ASJ web collections should resemble the current DCRP web collection.

The collection agent should implement procedures so that a fully functioning, web-based data collection system will be operational prior to January 1, 2016.

BJS uses the web-based interface to provide jail administrators selected for the ASJ and jail and state prison authorities the tools necessary to participate in the DCRP. The web-based tool should have a user-friendly interface that minimizes burden on respondents and has server-based edit procedures that allow respondents to complete entry for a record before checking responses. Access to the site should require a unique, agency-specific username and password. The website should be multifunctional, allowing real-time dissemination of project-specific information (e.g., data collection schedule announcements, answers to frequently asked questions, program-level information). The website should also allow agencies to monitor status (e.g., respondents can track how many death record forms have been submitted) and to review and print previous years' submissions. Finally, BJS will use the website to monitor the progress of agencies' data collection activities, type of agency (jail or state DOC), and national levels, including response rates and counts of deaths by agency.

The collection agent must be responsive to the data providers' needs in selecting the data collection mode that suits their situation and must provide technical assistance to respondents as needed to encourage the use of the web-based reporting system. On an ongoing basis, the collection agent will review and assess the performance of the web-based reporting system and provide BJS with recommendations about how to improve it; recommendations should focus on reducing respondent burden and include cost estimates for implementing the recommended changes.

For secondary data submission modes, the collection agent should plan for and implement methods to accept data in a variety of formats, maintain the capacity to import electronic data extract files and datasets in various formats (e.g., Access, Excel, SAS, ASCII text), and convert them into the common format used for the national database of death records.

The collection agent is required to maintain paper versions of records submitted in that format for at least 1 year after submitting a final data file to BJS.

The collection agent is required to implement procedures to ensure that all ASJ and DCRP data are maintained securely and that all data security procedures comply with 28 CFR Part 22. At BJS's request, the collection agent will provide a copy of the data security procedures and copies of forms signed by staff indicating their compliance with 28 CFR Part 22.

All enhancements to the web-based system should be completed in a timely manner so data collection can begin at the start of the calendar year.

- 3) Maintain, update, and enhance the DCRP and ASJ databases. The ASJ database contains jail reporting unit-level records. Each record should include a **Government Division Code (GDC)**, Federal Information Processing Standard (FIPS) code, and American National Standards Institute (ANSI) codes. Each record should also have a jurisdiction ID, which allows the linkage of individual jail reporting units within a jurisdiction.

The DCRP database is an integrated database consisting of individual-level death records, jail summary data, and prison summary data. The collection agent should plan and implement procedures to update the DCRP database as data are received from respondents.

The DCRP database contains personally identifiable information (PII) such as an inmate's name, identification number, and the facility in which the death occurred. The collection agent must maintain all PII in accordance with 28 CFR Part 22. BJS uses PII for follow-up and for linking purposes only.

The death records should be linkable to the data on the prison and local jail facilities in which the deaths occurred. The link ID variables to be used for local jail records should be the **21-digit GDC** that was developed by the U.S. Census Bureau's Governments Division, and the FIPS or ANSI codes developed by the National Institute of Standards and Technology. The collection agent should ensure that each record of a death occurring in a local jail can be linked to jail jurisdiction and jail facility data provided on form CJ-9A, and that they can also be linked to other BJS jail data such as the ASJ and Census of Jail Facilities. These other BJS collections of jail-related data use the **GDC** to identify individual jail respondents and jail jurisdictions. BJS prefers the **GDC** for uniquely identifying jail facilities and jail jurisdictions and prefers the FIPS and ANSI codes for linking the death records to other types of data, such as Census data on population characteristics.

Both sets of ID codes must be maintained on the death records for jail deaths. As new jail facilities begin to use web-based systems or as new jail jurisdictions emerge (this occurs with new regional or multijurisdictional jails), the collection agent must take steps to assign each new facility or jurisdiction appropriate ID variables.

The data collection agent must also submit a data file that includes assigned International Classification of Disease codes to deaths due to illness as established by the World Health Organization and the National Center for Health Statistics. These codes are to be assigned by a trained clinical nosologist.

Because BJS allows respondents to update submissions to reflect new information about a death, especially if the cause of death has changed (given the lengthy nature of some death investigations and the likelihood of future updates), the collection tools must allow for these updates. Maintenance and updating of the DCRP database should incorporate procedures for accepting late entries of data (to correct or add data, or to submit new records), including entries for calendar years of data that have previously been submitted to BJS. Respondents might have to request permission to submit corrections or provide updates.

- 4) Update the jail jurisdiction universe database on an ongoing annual basis with new data provided by DCRP respondents, including information about jail closings and new jail openings, and ensure that jail facilities are aggregated into the appropriate jail jurisdiction and that information about jails is not duplicated. The jail universe is defined as all currently operating jails plus jails that have been contacted for the DCRP but have closed, consolidated, or otherwise eliminated operations. The jail jurisdiction file should include a record for each jail jurisdiction, jail facility, and jail reporting unit that has participated in the DCRP and should flag all jurisdictions that are in the ASJ sample. The database should be able to provide, in real time, a roster of currently active jail facilities, jurisdictions, and reporting units.

At a minimum, the universe file should contain up-to-date contact information (including the names and contact information for sheriffs, administrators, and wardens, and identification information such as the **GDC** or FIPS codes); names of facilities within the jurisdiction; and current status of the jurisdiction. The file should also contain information that can track changes in jail status to identify closures, consolidations, and other major changes in jurisdiction status, and to identify the jurisdiction that took over responsibility for a jail's inmates if a jail closes. The database should allow for these types of status change updates.

The collection agent should be able to provide BJS with an extract of the jail jurisdiction data file that contains all of the data included in it by January 15 each year.

- 5) Maintain a system for tracking the status of the data collection in real time, allowing BJS to view individual ASJ and DCRP records by collection year and to generate quarterly submission status reports. Status variables to maintain include date of submission, mode of submission, presence of missing items, and date on which submitted data were entered into the national database.
- 6) Implement cost-effective procedures to edit data and check for errors, and submit an annual report on data editing and data quality to BJS in regard to producing statistics on mortality and jail characteristics from the DCRP and ASJ databases. Give BJS recommendations about data editing, minimizing item nonresponse on critical items and error checking procedures that reflect a balanced assessment of the tradeoffs between costs associated

with this process and the error profile of the data.

- 7) Provide analytic support to BJS in the production of annual statistical data tables on jail characteristics, prison and jail deaths, and mortality rates. Provide BJS with final versions of statistical tables in a format for posting to the BJS website. Develop and implement plans to ensure delivery of two sets of statistical tables (one set for the ASJ and another for the DCRP) for the following years by the dates specified:

ASJ

- 2016 jail inmates statistics: Final tables due July 2017
- 2017 jail inmates statistics: Final tables due July 2018
- 2018 jail inmates statistics: Final tables due July 2019
- 2019 jail inmates statistics: Final tables due July 2020

DCRP

- 2014 mortality statistics: Final tables due March 2016
- 2015 mortality statistics: Final tables due March 2017
- 2016 mortality statistics: Final tables due March 2018
- 2017 mortality statistics: Final tables due March 2019
- 2018 mortality statistics: Final tables due March 2020

Plans should include time for BJS to review and revise draft tables, as needed.

The data collection agent should review and assess the process for generating the statistical tables and delivering them to BJS with an eye toward streamlining the process and working with BJS to develop a system for an online query tool that can be used to generate the tables from the most complete, accurate, and up-to-date database. This approach would move the process for creating and releasing the statistical tables from one in which static tables are generated and posted on the BJS website to one in which the statistics are query- and database-driven. This new approach will facilitate updates to tables that occur when late records are posted, errors are corrected after tables have been released, or other legitimate changes are made to the DCRP database. The collection agent should plan to meet with BJS early in the project period to discuss the implementation of a plan that will allow BJS to incorporate ASJ and DCRP data into the web tools that BJS is developing.

In addition to analytic support related to the production of statistical tables, the collection agent should propose topics for more in-depth analyses of jail populations and mortality in prisons and jails based on data from the ASJ, DCRP, BJS, and other federal statistical agencies.

To this end, the data collection agent will be required to develop and submit proposals and outlines for at least two special topic reports on mortality in correctional settings during the first year of the project and one special topic report on jail populations. The proposals should be based on the ASJ and DCRP data, individually or combined, and should address issues in jail populations and jail characteristics in addition to mortality in corrections that BJS has not yet addressed. BJS will review the proposed topics and, pending the availability of funds, work on one of the reports will begin during the second year of the project. The selected jail and correctional mortality project will be conducted collaboratively with BJS and the data collection agent with the aim of issuing a BJS special topic report during the second year of the project. Based on the quality of the first report (and available funds), BJS will ask

the collection agent to proceed with work on a second special topic mortality report during the third year of the project.

Finally, from time to time, BJS may ask the collection agent to conduct a short-turnaround, basic descriptive analysis of DCRP or ASJ data. The DCRP analyses typically involve computing crude mortality rates and distributions of causes of death by selected variables. The ASJ analyses typically involve jail characteristics such as midyear/yearend custody counts. They generally require no more than 8 to 12 hours of analysis time and should include both the results as well as the code used to generate the results. The collection agent should plan to conduct up to five of these analyses per year. If BJS does not request these tasks, the time planned for them will be devoted to the special topic reports.

- 8) Provide BJS with ASJ and DCRP data and documentation (e.g., codebooks, data definition statements, and data processing notes) for archiving the DCRP at the NACJD. DCRP data are currently archived in a restricted, on-site enclave. ASJ data are currently archived as a public-use dataset. The collection agent will be required to work with BJS and NACJD staff to determine the final requirements for archiving the data. For planning purposes, the data collection agent should review the NACJD data submission guidelines to determine the level of effort involved in archiving data at NACJD. NACJD staff will be responsible for formatting DCRP data for archiving.

Data files and documentation for archiving should be delivered to BJS according to the following tentative schedule:

- 2015 DCRP data and documentation: September 2016
  - 2016 DCRP data and documentation: September 2017
  - 2017 DCRP data and documentation: September 2018
  - 2018 DCRP data and documentation: September 2019
  - 2019 DCRP data and documentation: September 2020
  
  - 2016 final and complete ASJ data to BJS: May 2017
  - 2016 archive dataset and documentation to BJS: June 2017
  - 2017 final and complete ASJ data to BJS: May 2018
  - 2017 archive dataset and documentation to BJS: June 2018
  - 2018 final and complete ASJ data to BJS: May 2019
  - 2018 archive dataset and documentation to BJS: June 2019
  - 2019 final and complete ASJ data to BJS: May 2020
  - 2019 archive dataset and documentation to BJS: June 2020
- 9) Present on the ASJ and DCRP at conferences. The collection agent should plan to attend at least one corrections association conference per year with BJS staff to present findings from the DCRP and the ASJ, engage stakeholders in improving and enhancing the collection, or achieve other goals, such as marketing the collection to key stakeholders. BJS regularly attends the meetings of the American Jail Association (AJA), the Large Jail Network, and the American Correctional Association. At these meetings, BJS presents findings from the DCRP and ASJ, meets with stakeholders, and undertakes efforts to engage stakeholders in the program. At the AJA, BJS organizes a panel and conducts focus group meetings with stakeholders to review and improve its jail data collections. BJS staff also present at conferences sponsored by academic correctional health care researchers, and the DCRP statistics figure prominently in BJS presentations. BJS seeks the support of the collection agent in these activities.

The collection agent will work with BJS to define its role in presenting and representing the DCRP at professional association and research conferences. Roles could include presentation of findings, presentations about providing technical assistance to improve responses, or leading meetings of stakeholders to obtain feedback on the direction of the DCRP. BJS uses association conferences to conduct these meetings as a cost-effective way to obtain input and feedback. However, organizing these meetings presents challenges as attendees are busy and in demand. Hence, while conducting stakeholder meetings at conferences is a viable method of obtaining feedback, such meetings must be brief (about 60–90 minutes) and may not cover all topics. Depending on what is learned at these meetings, the collection agent may propose a more extensive meeting of stakeholders to fully engage them in the ASJ and the DCRP.

For planning purposes, the collection agent should attend the AJA conference during the first year of the project (about April 2016) at which the collection agent's staff will present material from the DCRP and attend a focus group that BJS organizes. Based on feedback obtained at that meeting, BJS will determine whether to hold a larger meeting between BJS and its DCRP/ASJ respondents and other key stakeholders. For subsequent project years, the collection agent should propose presentation topics and venues to the BJS project manager at the start of a project year. The proposed presentations should complement BJS's efforts. BJS will select the topics and venues for presentations.

- 10) Implement an effective communications strategy. The collection agent is responsible for proposing to BJS an effective strategy for communicating about the status of the ASJ and DCRP projects. The agent should implement a schedule for initiating the project kick-off meeting and for maintaining routine management meetings and communications with the BJS project manager. Communications may be via phone, in-person, email, Internet, or other means.

The collection agent should meet with BJS within 2 weeks of receiving the award and within two weeks of the initial meeting, provide BJS with a draft of a detailed timetable for the first year of the project. The BJS project manager will review and comment on the timetable and, after BJS comments are incorporated, the collection agent will be expected to conduct project activities according to the agreed-upon timeframes.

The collection agent should plan for at least one in-person meeting per year between key project staff and BJS, to be held either at BJS or at the collection agent's offices, as determined by BJS. The timing and content of the other meeting is to be determined based on project needs and may vary from year to year. Contractors who are not located in the Washington, DC, area should plan to travel to attend the meeting with BJS.

When considering a communications plan, the collection agent should balance the need to keep BJS apprised of data collection activities with the need to keep project costs to a minimum. Specifically, the data collection agent should consider less costly alternatives to meetings, such as limiting their frequency or the number of staff who attend. Email correspondence should also be considered as an alternative when feasible.

The BJS project manager will maintain a record of the monthly progress reports in the Grants Management System (GMS). The grantee will have access to GMS in accordance with OJP requirements. Required financial and progress reports shall be submitted through GMS in accordance with the OJP Financial Guide.

Conference calls between the BJS project manager and the collection agent's project director will be held monthly, as needed. The collection agent will submit a progress report to BJS every month. The report will include (1) all activities performed during the month, (2) problems encountered during the month and proposed or enacted solutions, (3) current status of the data collections, (4) a brief discussion of the expenditure of funds, (5) whether problems encountered will affect the planned timeframes for completing the data collection as specified in the delivery schedule, and (6) the status of the project relative to the remaining funds.

Each year, the collection agent will provide BJS with a set of recommendations to enhance and expand the ASJ and DCRP. These recommendations should be based on the agent's experience with the collections and should represent cost-effective and achievable enhancements. The enhancements can cover any aspect of the project, from data collection modes and methods, enhancements to existing items, alternative methods for collecting data, expanding the scope (e.g., collecting death records from other correctional agencies such as probation and parole, supplements to the ASJ), or special collections that address substantive issues related to mortality in correctional settings. BJS will review the proposed recommendations and decide which ones to implement.

- 11) Help BJS prepare OMB clearances for the 2016–2018 and 2019–2021 ASJ and DCRP collection cycles. The current OMB clearance for both collections ends November 30, 2016. BJS will obtain clearance by October 2016 for the 3-year cycle that begins at yearend 2016 and goes through yearend 2019. This will give the collection agent time to revise forms, as necessary, to meet the goal of initiating the 2017 collection on January 1, 2017. The following schedule shows the dates on which BJS will post materials to OMB so that clearance for the 2016–2018 collection cycle will be received by October 2016:

- 60-day notice: Posting by March 1, 2016
- 30-day notice: Posting by May 1, 2016
- Supporting statement: Posting by July 15, 2016

The collection agent should refer to the materials from the current clearance to prepare materials for the 2016–2018 cycle. The OMB materials can be found here: [http://www.reginfo.gov/public/do/PRAViewDocument?ref\\_nbr=201009-1121-001](http://www.reginfo.gov/public/do/PRAViewDocument?ref_nbr=201009-1121-001). Work on this cycle is to be done during the initial project year. The collection agent is responsible for providing materials in time for BJS review and revision, as necessary, so that the posting dates are met. The collection agent should plan to confer with BJS about the OMB materials and to prepare complete drafts of each set of materials, allowing 2 weeks for BJS review and comment.

For the second cycle, 2019–2021, the collection agent will again help BJS prepare the same set of materials. Work on the second OMB cycle is to be done during project year 2018. BJS's objective is obtain clearance for the 2019–2021 collection cycle by November 2018 so the collection agent will have sufficient time to modify forms to meet the January 1, 2019, collection initiation date.

Tentative due dates for OMB clearance materials for the 2019–2021 collection cycle are as follows:

- 60-day notice: Posting by March 1, 2018

- 30-day notice: Posting by May 1, 2018
- Supporting statement: Posting by July 15, 2018

- 12) Enhance BJS's collection of mortality statistics. BJS seeks to enhance its collection of correctional mortality statistics while retaining the DCRP as a core component of the collection. Various options exist to enhance the collection; during the first project year, the collection agent is required to review two options, develop plans for assessing their feasibility, and provide BJS with proposals for designing and testing the enhancements, including associated costs. Based on the quality of the effort, costs, and available funding, BJS will decide whether to implement the proposed efforts to study the feasibility of enhancing its collection of mortality statistics during later project years.

To be clear, BJS is not asking the collection agent to provide plans to implement the enhancements; rather, BJS asks the collection agent to submit a proposal and plans for conducting design work that would result in a method for implementing enhancements. Design plans are to be submitted by the end of the first project year.

- 13) Improve the DCRP death forms. BJS seeks to improve the existing DCRP deaths forms (forms CJ-9, CJ-10, and CJ-4A) in a way that will improve the quality of the data while decreasing respondent burden.

Under the current DCRP structure, respondents are allowed to check off several boxes that combine manner of death (e.g., natural, drug or alcohol intoxication, suicide, accident-other, accident-self, homicide) and cause of death (e.g., AIDS). Several options ask the respondent to list the final cause of death and to describe the events surrounding the death. BJS is tasking the data collection agent with improving this item so it better reflects the Centers for Disease Control and Prevention's U.S. Standard Death Certificate.

Specifically, BJS would like a cause-of-death item that asks for the cause and manner of death. For example, cause: asphyxiation; manner: suicide. The goal of this task is to more accurately identify final cause of death, specifically in regard to accidental deaths. Currently, deaths from drug or alcohol intoxication and AIDS are displayed as unique manners of death. BJS would like the data collection agent to investigate the feasibility of revising the forms to remove AIDS and intoxication deaths as unique response categories and to report these deaths under the appropriate manners of death (illness/natural and accidental).

BJS further seeks to improve the death forms by identifying deaths of jail and prison inmates held for other correctional or law enforcement authorities, such as federal or tribal authorities, other state departments of correction, or other local jails.

BJS would like the collection agent to submit a proposal and plans for conducting design work that would result in a method for implementing changes to the death form. Design plans are to be submitted by the end of the first project year. The data collection agent should consider respondent burden and how the accuracy of reported cause of death would be affected when recommending the changes. If BJS agrees to the changes, they will be implemented in the second project year.

- 14) Implement a unique prison identifier (similar to that for jails), which will allow linkage to other relevant datasets. Identifiers may include the GDC developed by the U.S. Census Bureau's



Governments Division and the FIPS or ANSI codes developed by the National Institute of Standards and Technology.

The collection agent should ensure that each record of a death occurring in a prison can be linked to a prison facility and DOC data (as provided on form NPS-4A) can be linked to other BJS correctional data, such as the Census of Prison Facilities and other non-BJS community and health files. These BJS prison-related collections use the **GDC** or other unique facility identifiers.

The **GDC** is BJS preferred ID variable for uniquely identifying prison facilities. BJS prefers the national geographic standards such as FIPS and ANSI codes for use in linking to other types of data, such as census data on population characteristics.

Both sets of ID codes must be maintained on the prison death records. The ID codes should appear on **all** death datasets that are delivered to BJS.

- 15) Explore alternative designs for the ASJ. The goals are to produce state-level population estimates and to reduce redundancy with the DCRP jail-level collection. Specifically, BJS is considering a plan in which critical jail population data (e.g., average daily population, population by sex) will be collected every year from all jurisdictions and noncritical data on population and on jail facility and administration will be collected every few years from a sample of jurisdictions.

The expansion of the collection of critical population data from the current ASJ sample (approximately a third of jail jurisdictions) to all jurisdictions will allow BJS to produce high-quality state-level population estimates. Facility and administration characteristics such as length of stay in jail are relatively stable and do not need to be updated annually. BJS will conduct a survey every few years to collect such data as well as data on other topics of interest to the jail community, such as staffing and inmate access to medical care.

In essence, the DCRP jail summary form and the ASJ will become two complementary jail data collections. A brief census of the most critical items will be sent to all jail jurisdictions every year while a longer survey will be sent to a sample of jail jurisdictions every few years. The selected collection agent shall conduct methodological work for the ASJ redesign starting in the first year of the project, with a technical report due in July 2016.

In the final technical report, the collection agent should develop the above general idea into a concrete plan, explore alternative designs, and compare all options. The collection agent should also assess the pros and cons of the plan in consideration of the following:

- Compare the cost effectiveness, data quality, and burden on respondents of alternative designs.
- Suggest the most critical items to include in the short census as mentioned above, and discuss how to minimize the burden on jurisdictions.
- Suggest topics of interest to users of correctional statistics to include in the survey.
- Investigate alternative sampling designs that allow for either direct or model-based state-level estimates. Make recommendations on the best design option and the sample size needed to obtain reliable estimates at the state level.

- Consider different types of sampling designs and assess the pros and cons of each in regard to the current “panel” design. If the panel design is preferable, provide recommendations on the optimal amount of time between sample refreshments.
- Consider the pros and cons of sampling some jail jurisdictions with certainty.
- Determine if it makes sense to draw a new sample every year for the non-certainty stratum and whether this strategy would reduce burden on small jurisdictions and improve response rates.
- Suggest the most important jail characteristics to be used as stratification variables.
- Evaluate how jail jurisdiction/facility openings and closures in the sampling frame affect the quality of the sampling design and the precision of the resulting population estimates. Consider the advantages and disadvantages of replacing sampled jail jurisdictions that have closed with similar jail jurisdictions not originally selected for the panel. Consider whether and how post-weights can be applied to adjust for the effects of jail jurisdiction and facility closures on population estimates.
- The sampling stratum is a function of jurisdiction size. Over time, some jail jurisdictions experience changes in population size such that they no longer belong to the allocated stratum. The collection agent should determine how this affects the precision of the statistics produced using the current design and whether these jurisdictions should be placed in the “new” correct stratum.

## **B. Federal Award Information**

This is a 5-year project with annually obligated funding conditional upon satisfactory performance and funding availability.

BJS estimates that it will make one award for this 5-year period. The award for the initial 12-month project period will be up to \$1.15 million. **Applicants should submit two budgets in support of this solicitation: a 1-year budget for the initial 12-month project period (not to exceed \$1.15 million) and a 5-year budget to cover the entire project period (not to exceed \$5 million).**

To allow time for, among other things, any necessary post-award review, modification, and clearance by OJP of the proposed budget, applicants should propose an award start date of October 1, 2015.

If the applicant is proposing a project that reasonably could be conducted in discrete phases, with each phase resulting in completion of one or more significant, defined milestones, then BJS strongly recommends that the applicant structure the application – specifically including the narrative, expected scholarly products, timelines/milestones, and budget detail worksheet and budget narrative – to clearly set out each phase. (This is particularly the case if the applicant proposes a project that will exceed – in cost or length of project period – the amount or length anticipated for an individual award (or awards) under this solicitation.) Given limitations on the availability to BJS of funds for its statistical mission, this information will assist BJS in considering whether partial funding of applications that would not receive full funding would be productive. (If BJS elects to fund only certain phases of a proposed project in FY 2015, the expected scholarly products from the partial-funding award may, in some cases, vary from those described above.)

BJS may, in certain cases, provide supplemental funding in future years to awards under its research, development, and evaluation solicitations. Important considerations in decisions regarding supplemental funding include, among other factors, the availability of funding,

strategic priorities, BJS's assessment of the quality of the management of the award (for example, timeliness and quality of progress reports), and BJS's assessment of the progress of the work funded under the award.

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

### **Type of Award<sup>2</sup>**

BJS expects that it will make any award from this solicitation in the form of a cooperative agreement, which is a particular type of grant used because BJS expects to have ongoing substantial involvement in award activities. Substantial involvement includes direct oversight and involvement with the grantee organization in implementation of the grant, but does not involve day-to-day project management. See [Administrative, National Policy, and other Legal Requirements](#), under Section [F. Federal Award Administration](#), for details regarding the federal involvement anticipated under an award from this solicitation. As discussed [later in the solicitation](#), important rules (including limitations) apply to any conference/meeting/training costs under cooperative agreements.

**Please note:** Any recipient of an award under this solicitation will be required to comply with Department of Justice regulations on confidentiality and human subjects' protection. See "Evidence, Research, and Evaluation Guidance and Requirements" under "Solicitation Requirements" in the [OJP Funding Resource Center](#).

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

If selected for funding, the award recipient must—

(a) Establish and maintain effective internal control over the federal award that provides reasonable assurance that the non-federal entity 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 non-federal entity's compliance with statute, 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

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<sup>2</sup> See *generally* 31 U.S.C. §§ 6301-6305 (defines and describes various forms of federal assistance relationships, including grants and cooperative agreements (a type of grant)).

sensitive or the non-federal entity considers sensitive consistent with applicable federal, state, and local laws regarding privacy and obligations of confidentiality.

In order to better understand administrative requirements and cost principles, award applicants are encouraged to enroll, at no charge, in the Department of Justice Grants Financial Management Online Training available [here](#).

## **Budget Information**

### **What will not be funded:**

- Proposals primarily to purchase equipment, materials, or supplies. (A budget may include these items if they are necessary to conduct data collection, research, development, demonstration, evaluation, or analysis.)
- Proposals that are not responsive to this specific solicitation.

### **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 Cost Approvals**

OJP does not typically approve pre-agreement costs; an applicant must request and obtain the prior written approval of OJP for all such costs. If approved, pre-agreement costs could be paid from grant funds consistent with a grantee's approved budget, and under applicable cost standards. However, all such costs prior to award and prior to approval of the costs are incurred at the sole risk of an applicant. Generally, no applicant should incur project costs *before* submitting an application requesting federal funding for those costs. Should there be extenuating circumstances that appear to be appropriate for OJP's consideration as pre-agreement costs, the applicant should contact the point of contact listed on the title page of this announcement for details on the requirements for submitting a written request for approval. See the section on Costs Requiring Prior Approval in the [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, recipients may not use federal funds to pay total cash compensation (salary plus cash bonuses) to any employee of the award recipient at a rate that exceeds 110% of the maximum annual salary payable to a member of the Federal Government's Senior Executive Service (SES) at an agency with a Certified SES Performance Appraisal System for that year.<sup>3</sup> The 2015 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. (Any such additional compensation will not be considered matching funds where match requirements apply.)

The Director of BJS may exercise discretion to waive, on an individual basis, the limitation on compensation rates allowable under an award. An applicant requesting a waiver should include a detailed justification in the budget narrative of the application. Unless the applicant submits a

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<sup>3</sup> This limitation on use of award funds does not apply to the non-profit organizations specifically named at Appendix VIII to 2 C.F.R. part 200.

waiver request and justification with the application, the applicant should anticipate that OJP will request the applicant to adjust and resubmit the budget.

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

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

OJP strongly encourages applicants that propose to use award funds for any conference-, meeting-, or training-related activity to review carefully—before submitting an application – the OJP policy and guidance on “conference” approval, planning, and reporting available at [www.ojp.gov/funding/confcost.htm](http://www.ojp.gov/funding/confcost.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 such costs for cooperative agreement recipients and of some such costs for grant recipients; and (3) set cost limits, including 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 “Solicitation Requirements” in the [OJP Funding Resource Center](#).

## **C. Eligibility Information**

### **Eligibility**

For additional eligibility information, see Title page.

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

For additional information on cost sharing and match requirement, see Section [B. Federal Award Information](#).

### **Limit on Number of Application Submissions**

If an applicant submits multiple versions of the same application, BJS will review only the most recent system-validated version submitted. For more information on system-validated versions, see [How to Apply](#).

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

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

Applicants should anticipate that if they fail to submit an application that contains all of the specified elements, it may affect negatively the review of their application; and, should a decision be made to make an award, it may result in the inclusion of special conditions that

preclude the recipient from accessing or using award funds pending satisfaction of the conditions.

Moreover, applicants should anticipate that applications determined to be nonresponsive to the scope of the solicitation, or that do not include the application elements that BJS has designated to be critical, will neither proceed to peer review nor receive further consideration. Under 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. For purposes of this solicitation, "key personnel" means the principal investigator, and any and all co-principal investigators. 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," "Resumes") for all attachments. Also, OJP recommends that applicants include resumes 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 OJP's 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).

**Intergovernmental Review:** This funding opportunity (program) **is not** subject to [Executive Order 12372](#). (In completing the SF-424, applicants are to make the appropriate selection in response to question 19 to indicate that the "Program is not covered by E.O. 12372.")

### 2. Project Abstract

The project abstract is a very important part of the application, and serves as an introduction to the proposed project. BJS uses the project abstract for a number of purposes, including the possible assignment of the application to an appropriate review panel. If the application is funded, the project abstract typically will become public information and be used to describe the project.

Applications should include a high-quality project abstract that summarizes the proposed project in 250-400 words. Project abstracts should be—

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

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

### 3. Program Narrative

The program narrative section of the application should not exceed 40 double-spaced pages in 12-point font with 1-inch margins. If included in the main body of the program narrative, tables, charts, figures, and other illustrations count toward the 40-page limit for the narrative

section. The project abstract, table of contents, appendices, and government forms do not count toward the 40-page limit.

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

The following sections should be included as part of the program narrative.<sup>4</sup>

Program Narrative Guidelines:

**a. Title Page** (not counted against the 40-page program narrative limit).

The title page should include the title of the project, submission date, funding opportunity number, and the name and complete contact information (that is, address, telephone number, and email address) for both the applicant organization and the principal investigator.

**b. Resubmit Response** (if applicable) (not counted against the 40-page program narrative limit).

If an applicant is resubmitting a proposal presented previously to BJS, but not funded, the applicant should indicate this. A statement should be provided, no more than two pages, addressing: (1) the title, submission date, and BJS-assigned application number of the previous proposal, and (2) a brief summary of revisions to the proposal, including responses to previous feedback received from BJS.

**c. Table of Contents and Figures** (not counted against the 40-page program narrative limit).

**d. Main Body.**

The main body of the program narrative should describe the proposed project in depth. The following sections should be included as part of the program narrative:

- Statement of the Problem.
- Project Design and Implementation.
- Potential Impact.
- Capabilities/Competencies.

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<sup>4</sup> As noted earlier, if the proposed program or project reasonably could be conducted in discrete phases, with each phase resulting in completion of one or more significant, defined milestones, then BJS strongly recommends that the applicant structure the application – specifically including the narrative, expected scholarly products, timelines/milestones, and budget detail worksheet and budget narrative – to set out each phase clearly. (In appropriate cases, the expected scholarly product(s) from a particular phase may vary from those described above.) See generally, “Goals, Objectives, Deliverables, and Expected Scholarly Products” under “Program-Specific Information,” above.

Within these sections, the narrative should address:

- Purpose, goals, and objectives.
- Review of relevant literature.
- Detailed description of research design and methods, such as research questions, hypotheses, description of sample, and analysis plan.
- Planned Scholarly Products (See [Goals, Objectives, Deliverables, and Expected Scholarly Products](#) under [Program-Specific Information](#), above, for a discussion of expected scholarly products.)
- Implications for criminal justice policy and practice in the United States.
- Management plan and organization.
- Plan for Dissemination to Broader Audiences (if applicable to the proposed project). Applicants should identify plans (if any) to produce or to make available to broader interested audiences – such as criminal/juvenile justice practitioners or policymakers – summary information from the planned scholarly products of the proposed project (such as summaries of articles in peer-reviewed scientific journals), in a form designed to be readily accessible and useful to those audiences. (Such dissemination might include, for example, trade press articles and webinars.)

All BJS-funded research requires development of a data management plan (DMP) that guides data management activities throughout the agreement and ensures the timely release of the project's data and derived products after project completion. Applications must include a preliminary (two-page limit) data management plan that explains how data products will be developed, documented, formatted, and delivered to BJS in a manner that ensures optimal utility. Following funding of a proposal, the applicant will coordinate with an identified BJS data steward to develop a comprehensive data management plan that will be periodically reviewed and enhanced as the project evolves. Although data management plans will differ according to the specific requirements of each project, the DMP is expected to address the following, at a minimum:

- The roles, rights, and responsibilities of all project participants
- Expected data and metadata
- Data formats, organization, and dissemination approach
- Data retention and release timelines
- Data security, confidentiality protection, and other policy requirements
- Data archiving and preservation of access

At project completion, all data and complete metadata descriptions must be provided to the BJS data steward. In addition, BJS requires the recipients of an award under this solicitation to submit to the NACJD at the University of Michigan (through BJS), all datasets that result in whole or in part from the work funded by BJS, along with associated files and any documentation necessary to allow others to reproduce the project's findings and/or to



extend the scientific value of the dataset through secondary analysis. All datasets and necessary documentation are to be submitted 90 days prior to the end of the project period. For more information, see the “Program Narrative” section of “What an Application Must Include.” For information BJS has previously agreed not be made publicly available for a period of time or that is undergoing review, data will be placed in a secure area until the period of exclusivity or review period has expired.

**e. Performance Measures**

To assist the Department with fulfilling its responsibilities under the Government Performance and Results Act of 1993 (GPRA), Public Law 103-62, and the GPRA Modernization Act of 2010, Public Law 111-352, applicants that receive funding under this solicitation must provide data that measure the results of their work done under this solicitation. OJP will require any award recipient, post award, to provide the data requested in the “Data Grantee Provides” column so that OJP can calculate values for the “Performance Measures” column. (Submission of performance measures data is not required for the application.) Performance measures for this solicitation are as follows:

<b>Objective</b>	<b>Performance Measure(s)</b>	<b>Data Grantee Provides</b>
Collect, securely maintain, and process the DCRP and ASJ data each year throughout the collection period.	Percent of records in the database that are complete and accurate.	Complete and accurate data on deaths in custody in state prisons and local jails to include the following: - individual death records for each death occurring in the custody of a state DOC’s prison and in the custody of local jails; and - complete and accurate summary information from state prisons and local jails.
	Number of scheduled data collection series and special analysis to be conducted.	Completion of ASJ collection by <b>May</b> (annually)  Completion of DCRP by September 30 (annually)
	Number of completed data collection on time.	
	Number of states that complete surveys on time and adhere to data quality standards.	Number of states submitting data to the NPS-4A survey in a timely.
	Achieve a 99% response rate for critical DCRP and ASJ survey items.	Number of agencies participating in the DCRP surveys.  Number of agencies that responded to DCRP surveys Number of agencies participating in the ASJ surveys.  Number of agencies that responded to ASJ surveys.

	<p>Number of deliverables completed on time.</p> <p>Number of deliverables that meet expectations.</p>	<p>Deliver datasets on schedule to BJS each year.</p> <p>Annual delivery of the jail frame, to include verification checks of annual data submitted by agencies and maintenance.</p> <p>Number of ad hoc tables and datasets provided.</p> <p>Provide a copy of data security procedures and signed copies of forms that comply with 28 CFR Part 22.</p>
<p>Improve quality and reliability of DCRP and ASJ data.</p>	<p>Provide raw data converted to a standardized format for the national database of <b>jail and</b> death records.</p> <p>Amount of data requests that are completed on time and adhere to data quality standards.</p>	<p>Accept data in a variety of formats and convert into a common format for the national database of death records.</p> <p>Complete GDC coding of prison facilities in DCRP prison death records, which includes linkage to prisons ad jail facilities.</p>
<p>Disseminate DCRP and ASJ data to external researchers.</p>	<p>Number of times BJS data are used or reference in academic journals, publications, and mass media outlets.</p>	<p>Number of published papers using ASJ or DCRP data (both BJS and external publications).</p>
	<p>Number of documents published.</p>	<p>Number of presentations at professional or academic conferences.</p> <p>Proposals, drafts of papers, and final articles or presentations.</p>
	<p>Number of quality records reported in the DCRP and ASJ web tools.</p>	<p>Complete documentation that data files meet BJS expectations for accuracy and completeness and that project tasks have been completed within the timeframe specified in the project period</p>
	<p>Percentage of deliverables (including final reports and data files) that are completed on time.</p> <p>Percentage of deliverables (including final reports and</p>	<p>All applicable deliverables, including final reports and grantee statistical documents authored/co-authored with BJS.</p>

	data files) that meet BJS's expectations for depth, breadth, scope, quality of study, and pertinence.	
Provide BJS with state-level jail estimates, statistical tables on jail characteristics, and statistical tables on inmate mortality.	Number of scheduled data collection series and special analysis to be conducted.	Complete, nationally representative results of requested analyses.  Annual delivery of requested analysis for use in BJS publications.
Provide statistical support to BJS to strengthen research and data collection activities, including enhancing the collection of mortality statistics.	Quality of project management as measured by whether significant interim project milestones were achieved, final deadlines were met, and costs were maintained within approved funds.	Monthly and semi-annual progress reports, final datasets for archiving, project plans, regular communication with BJS, quarterly financial statements, and ad hoc analysis results.
Provide statistical support to BJS to strengthen research and data collection activities, including enhancing the collection of mortality statistics.	Deliverables that meet expectations.	Provide special topical internal reports on data issues and updated datasets.  Provide first draft of OMB clearance packages.  Provide a proposal and implementation plan for improving the cause-of-death variable on the DCRP jail and prison forms.  Provide a proposal to evaluate the ability to report on deaths while offenders are under post-custody community supervision.  Continual communication with BJS regarding the design of questions, methodical plan, draft and final surveys, and drafts of the technical report.  Proposal and technical report addressing an alternative design of the ASJ that would reduce redundancy with the DCRP jail population collection.

**f. Appendices** (not counted against the 40-page program narrative limit) include:

- Bibliography/references.
- Any tools/instruments, questionnaires, tables/charts/graphs, or maps pertaining to the proposed project that are supplemental to such items included in the main body of the narrative.
- Curriculum vitae or resumes of the principal investigator and 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 (including, for example, individuals such as statisticians serving as consultants to conduct proposed data analysis).
- 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 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/bjsmpc.pdf](http://www.bjs.gov/content/pub/pdf/bjsmpc.pdf).
  - **Human Subjects Protection Certification of Compliance.** BJS requires the funding recipient to submit proper documentation to be used to determine that the research project meets the federal requirements for human subjects protections set forth in 28 CFR Part 46. A model certificate that describes the necessary information to be provided by the funding recipient is located at [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). (See “Goals, Objectives, Deliverables,

and Expected Scholarly Products” under “Program-Specific Information,” above, for a definition of “scholarly products.”)

- Letters of cooperation/support or administrative agreements from organizations collaborating in the project, such as law enforcement and correctional agencies (if applicable).
- List of other agencies, organizations, or funding sources to which this proposal has been submitted (if applicable).
- Data archiving plan. Applicants should anticipate that BJS will require (through special award conditions, including a partial withholding of award funds) that datasets resulting in whole or in part from projects funded under this solicitation be submitted to BJS for archiving with the NACJD.

Applications should include as an appendix a brief plan – labeled “Data Archiving Plan” – to comply with data archiving requirements. The plan should provide brief details about proposed data management and archiving, including submission to BJS (through NACJD) of **all files and documentation** necessary to allow for future efforts by others to reproduce the project’s findings and/or to extend the scientific value of the dataset through secondary analysis. Pertinent files and documentation include, among other things, qualitative and quantitative data produced, instrumentation and data collection forms, codebook(s), any specialized programming code necessary to reproduce all constructed measures and the original data analysis, description of necessary de-identification procedures, and (when required) a copy of the privacy certificate and informed consent protocols.

The plan should be one or two pages in length and include the level of effort associated with meeting archiving requirements.

Note that required datasets are to be submitted 90 days before the end of the project period.

#### 4. Budget Detail Worksheet and Budget Narrative

##### 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). Applicants that submit their budget in a different format should include the budget categories listed in the sample budget worksheet. (Work associated with satisfying data archiving requirements should be reflected.) BJS expects applicants to provide a thorough narrative to each section of the Budget Detail Worksheet.

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

##### b. Budget Narrative

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

Applicants should demonstrate in their budget narratives how they will maximize cost effectiveness of grant 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 narrative should be sound mathematically, and correspond 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 they are relevant to the completion of the proposed project. The narrative may include tables for clarification purposes but need not be in a spreadsheet format. As with the Budget Detail Worksheet, the Budget Narrative should be broken down by year.

**IMPORTANT NOTE: BJS requires that the application include a separate Budget Detail Worksheet and Budget Narrative for each proposed subcontractor or subrecipient of funds associated with the proposed program.**

##### c. Non-Competitive Procurement Contracts In Excess of Simplified Acquisition Threshold

If an applicant proposes to make one or more non-competitive procurements of products or services, where the non-competitive procurement will exceed the simplified acquisition threshold (also known as the small purchase threshold), which is currently set at \$150,000, the application should address the considerations outlined in the [Financial Guide](#).

##### d. Pre-Agreement Cost Approvals

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

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

Indirect costs are allowed only if the applicant has a current federally approved indirect cost rate. (This requirement does not apply to units of local government.) Attach a copy of the federally approved indirect cost rate agreement to the application. Applicants that do not have an approved rate may request one through their cognizant federal agency, which will review all documentation and approve a rate for the applicant organization, or, if the applicant's accounting system permits, costs may be allocated in the direct cost categories. For the definition of Cognizant Federal Agency, see the "Glossary of Terms" in the [OJP Financial Guide](#). For assistance with identifying your cognizant agency, please contact the Customer Service Center at 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 [www.ojp.gov/funding/Apply/Resources/IndirectCosts.pdf](http://www.ojp.gov/funding/Apply/Resources/IndirectCosts.pdf).

## **6. Tribal Authorizing Resolution (if applicable)**

Tribes, tribal organizations, or third parties proposing to provide direct services or assistance to residents on tribal lands should include in their applications a resolution, a letter, affidavit, or other documentation, as appropriate, that certifies that the applicant has the legal authority from the tribe(s) to implement the proposed project on tribal lands. In those instances when an organization or consortium of tribes applies for a grant 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 grant. 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.

Applicants unable to submit an application that includes a fully executed (i.e., signed) copy of appropriate legal documentation, as described above, consistent with the applicable tribe's governance structure, should submit, at a minimum, 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, BJS will make use of and access to funds contingent on receipt of the fully executed legal documentation.

## **7. Applicant Disclosure of High Risk Status**

Applicants are to disclose whether they are currently designated high risk by another federal grant making agency. This includes any status requiring additional oversight by the federal agency due to past programmatic or financial concerns. If an applicant is designated high risk by another federal grant making agency, you must email the following information to [OJPComplianceReporting@usdoj.gov](mailto:OJPComplianceReporting@usdoj.gov) at the time of application submission:

- the federal agency that currently designated the applicant as high risk
- date the applicant was designated high risk
- the high risk point of contact name, phone number, and email address, from that federal agency
- reasons for the high risk status.

OJP seeks this information to ensure appropriate federal oversight of any grant award. Unlike the Excluded Parties List, this high risk information does not disqualify any

organization from receiving an OJP award. However, additional grant oversight may be included, if necessary, in award documentation.

**8. Additional Attachments**

**a. Applicant disclosure of pending applications<sup>5</sup>**

Applicants are to disclose whether they have pending applications for federally funded grants or subgrants (including cooperative agreements) that include requests for funding to support the same project being proposed under this solicitation and will cover the identical cost items outlined in the budget narrative and worksheet in the application under this solicitation. The disclosure should include both direct applications for federal funding (e.g., applications to federal agencies) and indirect applications for such funding (e.g., applications to state agencies that will subaward 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.

Applicants that have pending applications as described above are 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 funding agency.

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

Applicants should include the table as a separate attachment, with the file name “Disclosure of Pending Applications,” to their application. Applicants that do not have pending applications as described above are to include a statement to this effect in the separate attachment page (e.g., “[Applicant Name on SF-424] does not have pending applications submitted within the last 12 months for federally funded grants or subgrants (including cooperative agreements) that include requests for funding to support the same

<sup>5</sup> Typically, the applicant is not the principal investigator; rather, the applicant, most frequently, is the institution, organization, or company in which the principal investigator is employed.



project being proposed under this solicitation and will cover the identical cost items outlined in the budget narrative and worksheet in the application under this solicitation.”).

**b. Research and Evaluation Independence and Integrity**

If a proposal involves research and/or evaluation, regardless of the proposal's other merits, in order to receive funds, the applicant must demonstrate research/evaluation independence, including appropriate safeguards to ensure research/evaluation objectivity and integrity, both in this proposal and as it may relate to the applicant's other current or prior related projects. This documentation may be included as an attachment to the application which addresses BOTH i. and ii. below.

- i. For purposes of this solicitation, applicants must document research and evaluation independence and integrity by including, at a minimum, one of the following two items:
  - a. A specific assurance that the applicant has reviewed its proposal to identify any research integrity issues (including all principal investigators and subrecipients) and it has concluded that the design, conduct, or reporting of collected data, research, and evaluation funded by BJS grants, cooperative agreements, or contracts will not be biased by any personal or financial conflict of interest on the part of its staff, consultants, and/or subrecipients responsible for the research and evaluation or on the part of the applicant organization.

OR

- b. A specific listing of actual or perceived conflicts of interest that the applicant has identified in relation to this proposal. These conflicts could be either personal (related to specific staff, consultants, and/or subrecipients) or organizational (related to the applicant or any subgrantee organization). Examples of potential investigator (or other personal) conflict situations may include, but are not limited to, 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 could not be given a grant 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), as the organization in such an instance would 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 applicants must address the issue of 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 potential personal or organizational conflicts of interest exist, then the applicant should provide a brief narrative explanation of how and why it reached that conclusion. Applicants MUST also include an explanation of the specific processes and procedures that the applicant will put in place to identify and eliminate (or, at the very least, mitigate) potential personal or financial conflicts of interest on the part of its staff, consultants, and/or subrecipients for this particular project, should that be necessary during the grant period. Documentation that may be helpful in this regard could include organizational codes of ethics/conduct or policies regarding organizational, personal, and financial conflicts of interest.

OR

- b. If the applicant has identified specific personal or organizational conflicts of interest in its proposal during this review, the applicant must propose a specific and robust mitigation plan to address conflicts noted above. At a minimum, the plan must include specific processes and procedures that the applicant will put in place to eliminate (or, at the very least, mitigate) potential personal or financial conflicts of interest on the part of its staff, consultants, and/or subrecipients for this particular project, should that be necessary during the grant period. Documentation that may be helpful in this regard could include organizational codes of ethics/conduct or policies regarding organizational, personal, and financial conflicts of interest. There is no guarantee that the plan, if any, will be accepted as proposed.

Considerations in assessing research and evaluation independence and integrity will include, but are not be limited to, the adequacy of the applicant's efforts to identify factors that could affect the objectivity or integrity of the proposed staff and/or the organization 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.

#### **9. Financial Management and System of Internal Controls Questionnaire**

In accordance with [2 CFR 200.205](#), federal agencies must have in place a framework for evaluating the risks posed by applicants before they receive a federal award. To facilitate part of this risk evaluation, **all** applicants (other than an individual) are to download, complete, and submit this [form](#).

#### **10. Disclosure of Lobbying Activities**

All applicants must complete this information. Applicants that expend any funds for lobbying activities are to provide the detailed information requested on the form Disclosure of Lobbying Activities (SF-LLL). Applicants that do not expend any funds for lobbying activities are to enter "N/A" in the text boxes for item 10 ("a. Name and Address of Lobbying Registrant" and "b. Individuals Performing Services").

#### **How to Apply**

Applicants must register in, and submit applications through Grants.gov, a "one-stop storefront" 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**, 24 hours a day, 7 days a week, except federal holidays. Registering with Grants.gov is a one-time process; however, **processing delays may occur, and it can take**

**several weeks** for first-time registrants to receive confirmation and a user password. OJP encourages applicants to **register several weeks before** the application submission deadline. In addition, OJP urges applicants to submit applications 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.

BJS 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.

**Note on File Names and File Types:** Grants.gov only permits the use of certain specific characters in names of attachment files. Valid file names may include only the characters shown in the table below. Grants.gov is designed to reject any application that includes an attachment(s) with a file name that contains any characters not shown in the table below. Grants.gov is designed to forward successfully submitted applications to OJP’s 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>When using the ampersand (&amp;) in XML, applicants must use the “&amp;amp;” format.</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:

OJP may not make a federal award to an applicant until the applicant has complied with all applicable DUNS and SAM requirements. If an applicant has not fully complied with the requirements by the time the federal awarding agency is ready to make a federal award, the federal awarding agency may determine that the applicant is not qualified to receive a federal award and use that determination as a basis for making a federal award to another applicant.

- 1. Acquire a Data Universal Numbering System (DUNS) number.** In general, the Office of Management and Budget requires that all applicants (other than individuals) for federal funds include a DUNS number in their applications for a new award or a supplement to an existing award. A DUNS number is a unique nine-digit sequence recognized as the universal standard for identifying and differentiating entities receiving federal funds. The identifier is used for tracking purposes and to validate address and point of contact information for federal assistance applicants, recipients, and subrecipients. The DUNS number will be used throughout the grant life cycle. Obtaining a DUNS number is a free, one-time activity. 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 the System for Award Management (SAM).** SAM is the repository for standard information about federal financial assistance applicants, recipients, and subrecipients. OJP requires all applicants (other than individuals) for federal financial assistance to maintain current registrations in the SAM database. Applicants must be registered in SAM to successfully register in Grants.gov. Applicants must **update or renew their SAM registration annually** to maintain an active status.

Applications cannot be successfully submitted in Grants.gov until Grants.gov receives the SAM registration information. The information transfer from SAM to Grants.gov can take up to 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. The applicant organization's DUNS number must be used to complete this step. For more information about the registration process, go to [www.grants.gov/web/grants/register.html](http://www.grants.gov/web/grants/register.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. 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 number for this solicitation is 16.734, titled "Special Data Collections and Statistical Studies" and the funding opportunity number is BJS-2015-4151.
- 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 and the second will state whether the application has been successfully validated, or 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 well ahead of the deadline provides time to correct the problem(s) that caused the rejection. **Important:** OJP urges applicants to submit applications **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.

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

#### **Note: Duplicate Applications**

If an applicant submits multiple versions of the same application, BJS will review only the most recent system-validated version submitted. See Note on File Names and File Types under [How To Apply](#).

## Experiencing Unforeseen Grants.gov Technical Issues

Applicants that experience unforeseen Grants.gov technical issues beyond their control that prevent them from submitting their application by the deadline must contact the [Grants.gov Customer Support Hotline](#) or the [SAM Help Desk](#) to report the technical issue and receive a tracking number. Then the applicant must email the BJS contact identified in the Contact Information section on page 2 **within 24 hours after the application deadline** and request approval to submit their application. The email must describe the technical difficulties, and 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: BJS does not automatically approve requests.** After the program office reviews the submission, and contacts the Grants.gov or SAM Help Desk to validate 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 applicant failed to follow all required procedures, which resulted in an untimely application submission, OJP will deny the applicant's request to submit their application.

The following conditions are generally insufficient to justify late submissions:

- Failure to register in SAM or Grants.gov in sufficient time.
- 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, including firewalls.

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

## E. Application Review Information

### Selection Criteria

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

**Statement of the Problem** (Understanding of the problem and its importance) – 20%

1. Demonstrated understanding of the problem.
2. Demonstrated awareness of the state of current research.

**Project Design and Implementation** (Quality and technical merit) – 50%

1. Soundness of methods and analytic and technical approach to addressing the stated aim(s) of the proposed project.
2. Feasibility of proposed project.
3. Awareness of potential pitfalls of proposed project design and feasibility of proposed actions to minimize and/or mitigate them.

## **Potential Impact – 10%**

Potential for a significant scientific or technical advance(s) that will improve criminal/juvenile justice in the United States, such as—

- Potential for significantly improved understanding of the stated criminal/juvenile justice problem.
- Potential for innovative solution to address (all or a significant part of) the stated criminal/juvenile justice problem.

**Capabilities/Competencies** (Capabilities, demonstrated productivity, and experience of the applicant organization and proposed project staff) – 20%

1. Qualifications and experience of proposed project staff (that is, the principal investigator, any and all co-principal investigators, and all other individuals (and organizations) identified in the application (regardless of “investigator” status) who will be significantly involved in substantive aspects of the proposal).
2. Demonstrated ability of the applicant organization to manage the effort.
3. Relationship between the capabilities/competencies of the proposed project staff (including the applicant organization) and the scope of the proposed project.

## **Budget**

Peer reviewers will consider and may comment on the following additional items in the context of scientific and technical merit.

1. Total cost of the project relative to the perceived benefit (cost effectiveness).
2. Appropriateness of the budget relative to the level of effort.
3. Use of existing resources to conserve costs.
4. Proposed budget alignment with proposed project activities.

## **Plan for Dissemination to Broader Audiences (if applicable to the proposed project)**

Peer reviewers may comment – in the context of scientific and technical merit – on the proposed plan (if any) to produce or to make available to broader interested audiences, such as criminal/juvenile justice practitioners or policymakers, summary information from the planned scholarly products of the project.

## **Review Process**

OJP is committed to ensuring a fair and open process for awarding grants. 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 applicants have met basic minimum

requirements, OJP screens applications for compliance with specified program requirements to help determine which applications should proceed to further consideration for award. Although program requirements may vary, the following are common requirements applicable to all solicitations for funding under OJP grant programs:

- Applications must be submitted by an eligible type of applicant.
- Applications must request funding within programmatic funding constraints (if applicable).
- Applications must be responsive to the scope of the solicitation.
- Applications must include all items designated as “critical elements.”
- Applicants will be checked against the General Services Administration’s Excluded Parties List.

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

BJS may use internal peer reviewers, external peer reviewers, or a combination, to assess applications meeting basic minimum requirements on technical merit using the solicitation’s selection 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. A peer review panel will evaluate, score, and rate applications that meet basic minimum requirements.

OJP reviews applications for potential discretionary awards to evaluate the risks posed by applicants before they receive an award. This review may include but is not limited to the following:

1. Financial stability and fiscal integrity
2. Quality of management systems and ability to meet the management standards prescribed in the Financial Guide
3. History of performance
4. Reports and findings from audits
5. The applicant's ability to effectively implement statutory, regulatory, or other requirements imposed on non-federal entities
6. Proposed costs to determine if the Budget Detail Worksheet and Budget Narrative accurately explain project costs, and whether those costs are reasonable, necessary, and allowable under applicable federal cost principles and agency regulations

All final award decisions will be made by the director of the Bureau of Justice Statistics. Peer reviewers’ ratings and any resulting recommendations are advisory only, although their views are considered carefully. In addition to peer review ratings, considerations for award recommendations and decisions may include, but are not limited to, planned scholarly products, proposed budgets, past performance (including scholarly products) under prior BJS and OJP awards, research independence and integrity, strategic priorities, and available funding when making awards.

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

### **Federal Award Notices**

OJP award notification will be sent from GMS. Recipients will be required to login; accept any

outstanding assurances and certifications on the award; designate a financial point of contact; and review, sign, and accept the award. The award acceptance process involves 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 agency-approved project proposal and budget, the recipient must comply with award terms and conditions, and other legal requirements, that are included in the award, incorporated into the award by reference, or are otherwise applicable to the award. OJP strongly encourages prospective applicants to review the information pertaining to these requirements **prior** to submitting an application. To assist applicants and recipients in accessing and reviewing this information, OJP has placed it on its [Solicitation Requirements](#) page of the [OJP Funding Resource Center](#).

Please note in particular the following two forms, which applicants must submit in GMS prior to the receipt of any award funds, as each details legal requirements with which applicants must provide specific assurances and certifications of compliance. Applicants may view these forms in the [OJP Funding Resource Center](#) and are strongly encouraged to review and consider them carefully prior to making an application for OJP grant funds.

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

Upon grant approval, OJP electronically transmits (via GMS) the award document to the prospective award recipient. In addition to other award information, the award document contains award terms and conditions that specify national policy requirements<sup>6</sup> with which recipients of federal funding must comply; uniform administrative requirements, cost principles, and audit requirements; and program-specific terms and conditions required based on applicable program (statutory) authority or requirements set forth in OJP solicitations and program announcements. For example, certain efforts may call for special requirements, terms, or conditions relating to intellectual property, data/information-sharing or -access, or information security; or audit requirements, expenditures and milestones, or publications and/or press releases.

OJP also may place additional terms and conditions on an award based on its risk assessment of the applicant, or for other reasons it determines necessary to fulfill the goals and objectives of the program.

Prospective applicants may access and review the text of mandatory conditions OJP includes in all OJP awards, as well as the text of certain other conditions, such as administrative conditions, via OJP's [Mandatory Award Terms and Conditions](#) page of the [Funding Resource Center](#).

As stated above, BJS expects that it will make any award from this solicitation in the form of a cooperative agreement. Cooperative agreement awards include standard "federal involvement"

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<sup>6</sup> See *generally* 2 C.F.R. 200.300 (provides a general description of national policy requirements typically applicable to recipients of federal awards, including the Federal Funding Accountability and Transparency Act of 2006 (FFATA)).



conditions that describe the general allocation of responsibility for execution of the funded program. Generally stated, under cooperative agreement awards, responsibility for the day-to-day conduct of the funded project rests with the recipient in implementing the funded and approved proposal and budget, and the award terms and conditions. Responsibility for oversight and redirection of the project, if necessary, rests with BJS.

In addition to any “federal involvement” condition(s), OJP cooperative agreement awards include a special condition specifying certain reporting requirements required in connection with conferences, meetings, retreats, seminars, symposium, training activities, or similar events funded under the award, consistent with OJP policy and guidance on “conference” approval, planning, and reporting.

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

- First, the project will be funded as a cooperative agreement. The basis for using a cooperative agreement is BJS’s substantial involvement in providing information, guidance, and direction relative to special data collections and the development of statistical studies. BJS will exercise general approval over the entire project subject to the recipient’s rights to disclose and publish certain information after review and comment by BJS, as set forth in this memorandum.
- Second, the award recipient will agree that no funds provided may be used to author or prepare reports, journal articles, speeches or studies, or other publications without the prior written approval of BJS, regardless of whether the data used in the publications or other releases are publicly available.
- Third, 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. BJS-protected data include all data collected by BJS for which BJS has not yet made a public release of the data, but does not include aggregate results derived from the data by the recipient provided that such results do not contain any confidential, proprietary, or personally identifiable information.
- Fourth, the award recipient will retain nonexclusive use of any methodological findings derived by the recipient or BJS from the project subject to the following condition: Only with the prior review and written comment by BJS, which includes the mutual agreement on the representation of BJS's methodologies, may the recipient publicly disclose its or BJS's methodologies derived from the project prior to the release of the dataset. Such review and comment period shall not exceed 45 days of receipt of the proposed publication. Any such disclosures of recipient’s or BJS’s methodologies must be public in nature and contribute meaningfully to the development and/or advancement of social science research. Public disclosure may include, but is not limited to, presentations at professional conferences and meetings, articles appearing in widely distributed publications, and Internet postings or similar outlets that constitute a broad public release of the methodological information.

### **General Information About Post-Federal Award Reporting Requirements**

Recipients must submit quarterly financial reports, annual progress reports, final financial and progress reports, and, if applicable, an annual audit report in accordance with 2 CFR Part 200. Applicants should anticipate that progress reports will be required to follow the non-budgetary components of the Research Performance Progress Report (RPPR) template/format. General information on RPPRs may be found at [www.nsf.gov/bfa/dias/policy/rppr/](http://www.nsf.gov/bfa/dias/policy/rppr/). Future awards and fund drawdowns may be withheld if reports are delinquent.

Special Reporting requirements may be required by OJP depending on the statutory, legislative, or administrative requirements of the recipient or the program.

As indicated earlier in this solicitation, BJS recognizes that scholarly products may result from an award under this solicitation. Applicants should review the [Goals, Objectives, Deliverables, and Expected Scholarly Products](#) segment of the “Program-Specific Information” section of this solicitation, as well as the “Performance Measures” section.

In addition to any specific expectation of scholarly products, successful applicants under this solicitation will be required to submit the following deliverables regarding the work funded by the BJS award.

### **Draft and Final Summary Overview of the Work Conducted under the Award**

The overview is expected to provide an overall summary of the work under, and results of, the project funded by BJS under this solicitation. Among other things, the summary overview should address the purpose of the project, project subjects (if applicable), project design and methods, data analysis, project findings, and implications for criminal justice policy and practice in the United States.

A draft summary overview no longer than 10 pages long (double-spaced) is to be submitted 90 days prior to the end of the project period for BJS review and comment.

### **Required Datasets and Associated Files and Documentation**

As discussed earlier, BJS requires recipients of an award under this solicitation to submit to NACJD all datasets that result in whole or in part from the work funded by BJS, along with the final Data Management Plan, associated files, and any documentation necessary to allow for future efforts by others to reproduce the project’s findings and/or to extend the scientific value of the dataset through secondary analysis. All datasets and necessary documentation are to be submitted 90 days prior to the end of the project period. For more information, see the “Program Narrative” section of [What an Application Should Include](#).

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

For additional Federal Awarding Agency Contact(s), see the Title page.

For additional contact information for Grants.gov, see the Title page.

## H. Other Information

### **Provide Feedback to OJP**

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

**IMPORTANT:** This email is for feedback and suggestions only. Replies are not sent from this mailbox. If you have specific questions on any program or technical aspect of the solicitation, you must directly contact the appropriate number or email listed on the front of this solicitation document. These contacts are provided to help ensure that you can directly reach an individual who can address your specific questions in a timely manner.

If you are interested in being a reviewer for other OJP grant applications, please email your resume to [ojppeerreview@lmbps.com](mailto:ojppeerreview@lmbps.com). The OJP Solicitation Feedback email account will not forward your resume. Note: Neither you nor anyone else from your organization can be a peer reviewer in a competition in which you or your organization have submitted an application.

## Application Checklist

### Deaths in Custody Reporting Program and Annual Survey of Jails, 2016–2020

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

#### What an Applicant Should Do:

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

\_\_\_\_\_ Acquire a DUNS Number (see page 35)

\_\_\_\_\_ Acquire or renew registration with SAM (see page 36)

##### *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 36)

\_\_\_\_\_ Read [Important Notice: Applying for Grants in Grants.gov](#)

##### *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 36)

#### General Requirements:

\_\_\_\_\_ Review the [Solicitation Requirements](#) in the OJP Funding Resource Center.

#### What an Application Should Include:

\_\_\_\_\_ Application for Federal Assistance (SF-424) (see page 22)

\_\_\_\_\_ Project Abstract (see page 22)

\_\_\_\_\_ Program Narrative (see page 22)

\_\_\_\_\_ Appendices (see page 28)

\_\_\_\_\_ Budget Detail Worksheet (see page 30)

\_\_\_\_\_ Budget Narrative (see page 30)

\_\_\_\_\_ Employee Compensation Waiver request and justification (if applicable)  
(see page 20)

\_\_\_\_\_ Read OJP policy and guidance on “conference” approval, planning, and reporting  
available at [www.ojp.gov/funding/confcost.htm](http://www.ojp.gov/funding/confcost.htm)

(see page 21)

\_\_\_\_\_ Disclosure of Lobbying Activities (SF-LLL) (see page 34)

\_\_\_\_\_ Indirect Cost Rate Agreement (if applicable) (see page 31)

\_\_\_\_\_ Tribal Authorizing Resolution (if applicable) (see page 31)

\_\_\_\_\_ Applicant Disclosure of High Risk Status (see page 31)

- \_\_\_\_\_ Additional Attachments
  - \_\_\_\_\_ Applicant Disclosure of Pending Application (see page 32)
  - \_\_\_\_\_ Research and Evaluation Independence and Integrity (see page 33)
  - \_\_\_\_\_ Financial Management and System of Internal Controls Questionnaire (if applicable)  
(see page 34)