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The U.S. Department of Justice (DOJ), Office of Justice Programs (OJP), Bureau of Justice Statistics (BJS) is pleased to announce that it is seeking proposals to administer the 2011 National Judicial Reporting Program. As the principal federal statistical agency in the Department, BJS is responsible for the collection, analysis, publication, and dissemination of statistical information on crime, criminal offenders, victims of crime, and the operations of criminal justice systems at all levels of government. This data collection 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 information in support of innovative strategies and approaches for dealing with these challenges.

## **National Judicial Reporting Program 2011 Solicitation**

### **Eligibility**

Applicants are limited to for-profit (commercial) organizations, nonprofit organizations, faith-based and community organizations, institutions of higher learning, and consortia with demonstrated organization and community-based experience working with American Indian and Alaska Native communities, including tribal for-profit (commercial) and nonprofit organizations, tribal colleges and universities, and tribal consortia. However, consistent with OJP fiscal requirements, for-profit organizations are not allowed to make a profit as a result of this award or to charge a management fee for the performance of this award.

### **Deadline**

Registration with Grants.gov is required prior to application submission. (See "How to Apply," page 11.) All applications are due by 11:59 p.m. Eastern time on April 25, 2011. (See "Deadlines: Registration and Application," page 3.)

### **Contact Information**

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

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

For assistance with any other requirement of this solicitation, contact Tracey Kyckelhahn, BJS Statistician, at 202-307-0765 or by e-mail at [askbjs@usdoj.gov](mailto:askbjs@usdoj.gov). Include "njrp2011" in the subject line.

Grants.gov number assigned to announcement: **2011-BJS-2930**

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# National Judicial Reporting Program (CFDA 16.734)

## Overview

The Bureau of Justice Statistics is seeking proposals to design, develop, and conduct a data collection for the 2011 National Judicial Reporting Program (NJRP). Historically, the NJRP compiled case-level information on the sentences that felons receive in state courts and on demographics of felony offenders. It excluded federal courts and state or local courts that do not adjudicate adult felony cases. NJRP surveys were conducted every 2 years from 1986 through 2006.

The 2011 NJRP will build on past collections and ongoing redesign work to develop a more comprehensive and continuous collection of criminal cases disposed in state courts. The successful applicant will complete ongoing redesign work and develop an administrative data collection that includes key measures of interest from a nationally representative sample, including statewide data where appropriate. The successful applicant will conduct the data collection for serious criminal cases disposed in calendar year 2011.

Applicants are strongly encouraged to review previous NJRP reports (available on BJS' webpage at [www.bjs.ojp.usdoj.gov/index.cfm?ty=pbse&sid=28](http://www.bjs.ojp.usdoj.gov/index.cfm?ty=pbse&sid=28)) and the final report from the initial redesign work available at [www.ncjrs.gov/App/publications/abstract.aspx?ID=255390](http://www.ncjrs.gov/App/publications/abstract.aspx?ID=255390). BJS anticipates making one award for a 24-month period under this solicitation, with an option for two additional continuation years conditional upon availability of funds and the quality of the initial performance and products. BJS is authorized to issue this solicitation under the Omnibus Crime Control and Safe Streets Act of 1968, Section 302.

## Deadlines: Registration and Application

Registration is required prior to submission. OJP strongly encourages registering with Grants.gov several weeks before the deadline for application submission. The deadline for applying for funding under this announcement is 11:59 p.m. Eastern time on Monday, April 25, 2011. Please see the "How to Apply" section, page 11 for more details.

## Eligibility

Please refer to the title page for eligibility under this program.

## Project-Specific Information

BJS collected felony sentencing and offense information on offenders convicted in state courts through the NJRP from 1986 through 2006. Case specific data were obtained for 11 different crime categories from a nationally representative sample of courts, including demographic information of felons (age, race, and gender), conviction offense, mode of conviction, type of sentence, and sentence length. BJS produced the *Felony Sentences in State Courts* report

series based on these data collected through the NJRP. The most recent report, *Felony Sentences in State Courts, 2006 – Statistical Tables* can be accessed at [www.bjs.ojp.usdoj.gov/index.cfm?ty=pbdetail&iid=2152](http://www.bjs.ojp.usdoj.gov/index.cfm?ty=pbdetail&iid=2152).

In fiscal year 2009, BJS made an award to examine the NJRP survey construction and data collection, with the goal of implementing a methodology that incorporates statewide case-level information and emphasizes electronic downloads and transfers to improve the coverage and continuity of the collection. The NJRP redesign project explored enhancements to the study design to improve statistical and economic efficiency, including (1) the capacity of states to generate NJRP data at the state level, (2) the capacity of the states to integrate criminal history information into the data collection, (3) the availability of pre-sentence measures at the state level, and (4) the feasibility of expanding NJRP to include criminal court dispositions other than felony convictions. The findings and recommendations from the initial redesign work are summarized under Task 2 below.

The successful applicant will complete ongoing redesign work to confirm the availability and quality of statewide case-level data on serious criminal cases disposed in state courts, develop an administrative data collection that includes key measures of interest, implement a sampling approach to collect nationally representative data that incorporates statewide data where appropriate and county-level information where necessary, and conduct the data collection for calendar year 2011.

BJS anticipates making one award of up to \$1,000,000 to complete this work over a 24-month period, with an option for two additional continuation years conditional upon availability of funds and the quality of the initial performance and products.

### **Statement of Work**

The objectives of this project are to--

1. Develop a plan to complete the 2011 NJRP data collection no later than 24 months after the start date;
2. Complete the NJRP redesign work to determine the quality and completeness of statewide criminal case disposition and related data, and propose enhancements to the study design as indicated;
3. Develop and recommend a nationally representative sampling strategy that incorporates statewide data where appropriate and county-level information where necessary;
4. Develop an administrative data collection that includes key measures of interest on serious criminal cases (e.g., dispositions of felony arraignment or felony convictions and misdemeanor convictions that carry a jail sentence) disposed in state courts that handled such dispositions in calendar year 2011;
5. Collect the data;
6. Maintain regular reporting to BJS and regularly meet in person or via teleconference with the BJS project manager;
7. Process and verify the 2011 NJRP data according to BJS standards;
8. Deliver the 2011 NJRP data files and basic tables for BJS and public use; and
9. Develop and recommend enhancements for subsequent data collections to further expand the coverage and continuity of the NJRP.

More specifically, the recipient of funds will be required to perform the following tasks:

1. Develop a plan to complete the 2011 NJRP data collection no later than 24 months after the start date. After the BJS project manager has agreed to the timetable, all work must be completed as scheduled. The timeline should be reasonable given the scope of work proposed, include communication with BJS and deliverables, and allow for the OMB review and approval process. BJS will submit the OMB package for approval.
2. Complete the NJRP redesign work to determine the quality and completeness of statewide criminal case disposition and related data, and propose enhancements to the study design as indicated. This task will require an understanding of the historical NJRP sampling approach, a review of the redesign activities and findings to date, and completion of the NJRP redesign work to inform the 2011 data collection.

The initial NJRP redesign work was completed through an award to the Urban Institute (through the Pretrial Justice Institute) in fiscal year 2009. The NJRP redesign project explored enhancements to the study design to improve statistical and economic efficiency, including (1) the capacity of states to generate NJRP data at the state level, (2) the capacity of the states to integrate criminal history information into the data collection, (3) the availability of pre-sentence measures at the state level, and (4) the feasibility of expanding NJRP to include criminal court dispositions other than felony convictions.

The redesign project team contacted state court administrative offices, criminal records depositories, and state sentencing commissions (where relevant) in a sample of 29 states, selected to cover as much of the US resident population as possible, given project resources, and to vary by whether the state had a sentencing commission. The final report from the initial redesign work is available at [www.ncjrs.gov/App/publications/abstract.aspx?ID=255390](http://www.ncjrs.gov/App/publications/abstract.aspx?ID=255390), and is summarized below.

- Of the 29 states included in the initial redesign work, 10 states were identified as being able to provide statewide judiciary records with some or all of the measures traditionally collected through the NJRP; agencies in this group earned high quality ratings on dimensions of coverage, completeness and standardization. Thirteen additional states had the potential capacity to provide this information, but also indicated potential obstacles related to geographic coverage (e.g., most but not all counties included in “statewide” data systems), completeness (e.g., some notable issues with missing data), and/or standardization (e.g., requiring coding/processing). The remaining states (6) in the initial redesign sample were identified as having a low potential to provide statewide judiciary data.
- The initial redesign found obstacles to integrating criminal history data into the NJRP data collection, including variations in the level of detail of these data, the completeness of the information, and the need in many states to match offender-level criminal history information to case-level information as captured in the NJRP.
- States varied in the degree to which they could provide criminal case dispositions other than felony convictions, including acquittals, dismissals, declinations to prosecute, and convictions for lower-level offenses.

- States varied even more substantially in the availability of pre-sentence data, such as employment and other measures of community involvement.

The successful applicant will complete the redesign work by (1) contacting identified sources of statewide judicial measures in the remaining 21 states and the District of Columbia and (2) confirming of or revising the recommendations found in the initial redesign report. Applicants should explore whether statewide judicial data systems can provide historical NJRP measures of felony convictions, sentences and offender demographic characteristics; the completeness and quality of statewide data; the availability of data on dispositions other than felony convictions in courts that adjudicate felony cases; and the degree to which criminal history information can be integrated into the data collection.

Based on this redesign work, the recipient will develop a strategy for the 2011 NJRP data collection. The strategy must first define the criminal cases that will form the universe of the data collection. Historically, the NJRP universe has included felony convictions in state courts. The completed redesign work may expand this universe to the disposition of serious criminal cases, such as convictions for felonies and misdemeanors that carry a jail sentence and/or dispositions for all felony arraignments in state courts. The data collection strategy should further improve the coverage and continuity of the NJRP data collection by including (1) statewide data where available and appropriate, (2) dispositions other than felony convictions, and (3) the ability to link NJRP data with other relevant data repositories, such as criminal history information. The strategy should include outreach to potential data sources to enhance participation and provide for a more continuous administrative data collection.

3. Develop and recommend a nationally representative sampling strategy that incorporates statewide data where appropriate and county-level information where necessary. The recipient will recommend a data collection strategy for the 2011 NJRP based on the completed redesign work. The sampling plan should improve the coverage and continuity of the NJRP data collection by incorporating statewide data where available and appropriate, and collecting nationally-representative data from local jurisdictions in states where statewide judicial data are not available or appropriate for inclusion in the NJRP data collection. Applicants should propose a methodology to produce national-level estimates from localities that cannot provide statewide judicial data, such as a representative sample of counties in those states, weighting adjustments, or other methods.
4. Develop an administrative data collection that includes key measures of interest on serious criminal cases disposed in state courts that handled such dispositions in calendar year 2011.

The recipient will work with BJS and judicial data providers to determine what data elements should be collected and the most efficient method to capture the information. Some of the data elements that will be included in the administrative data collection include—

- Offender identification number or other unique identifier capable of tracking the individual's criminal history and subsequent involvement in the criminal justice system

- Criminal history measures
- Offender demographics (e.g., gender, age, race/ethnicity, etc.),
- Arraignment offense(s)
- Offense(s) of conviction,
- Method of disposition and method of conviction (if applicable)
- Length and type of sentence imposed (prison, jail, probation).

The recipient will develop a detailed codebook that describes required data elements and classifications. The administrative data collection parameters should be flexible enough to incorporate additional measures from states and localities that are capable of providing them, however.

In addition, the recipient will develop and maintain an automated 'real time' tracking system to provide the ongoing status of all data collection activities. This automated tracking system should remain current and accessible to the BJS project monitor.

Tasks 1 through 4 should be completed within 4 months of the start of the project period. The awardees will provide significant input to the OMB package based on the recommendations and strategies resulting from Tasks 2, 3, and 4.

5. Collect the data. Applicants should propose an administrative data collection that emphasizes electronic data transfer, but also allows for alternate modes of data delivery. The electronic data transfer system, a web-based data collection system, and any other system proposed by the applicant should provide respondents with secure options for submitting data.

Applicants should discuss the various techniques to be used to assure a response rate of 95% or higher for all required measures. The contractor will provide extensive follow-up to respondents that require assistance, clarification, or encouragement to submit the requested administrative data. This may involve considerable relationship-building and outreach throughout the project, multiple follow-up telephone calls, clarification of the measures, e-mail correspondence, and active participation in relevant conferences and meetings.

Task 5 should start within one month of OMB approval, which is expected 6 months after submission.

6. Maintain regular reporting to BJS and regularly meet in person or via teleconference with the BJS project manager. An initial meeting will be scheduled shortly after award and additional meetings will be scheduled as needed. Applicants should budget for an in-person kickoff meeting to be held within 30 days of the award. Required financial and progress reports should be submitted through the Grants Management System in accordance with the OJP Financial Guide.
7. Process and verify the 2011 NJRP data according to BJS standards, including the use of consistent BJS-approved editing specifications, range checks, coding schemes, and systems for identifying valid responses and data requiring follow-up. Data received from respondents should be verified for completeness and accuracy. The recipient will also develop and implement a comprehensive strategy to weight the data in states that are not able to provide statewide case information (if indicated in the sampling approach

developed in Task 3), and/or account for non-response and missing items as appropriate.

Task 7 should be completed within 21 months of the start of the project period.

8. Deliver the 2011 NJRP data files and basic tables for BJS and public use. Electronic versions of the administrative data and documentation should be sent to BJS and should be compatible with SPSS format. Administrative data documentation should include, but is not limited to, a comprehensive codebook detailing variable positions, data coding, variable and value labels, any recoding implemented during the data cleaning process, methods used for dealing with missing data, and copies of all program code used to generate data or published statistics. All data and documentation from this survey may be posted on the BJS website, and the data will be archived at the National Archive of Criminal Justice Data, operated by the Inter-University Consortium for Political and Social Research (ICPSR).

The recipient will also prepare and deliver a set of tables describing key measures of interest (see for example *Felony Sentences in State Courts, 2006 – Statistical Tables*) from the processed and verified dataset. The number and type of tables should be proposed by the applicant, and then finalized in consultation with the BJS project manager at the conclusion of the design and development phase of the work (i.e., shortly after the OMB package is submitted). For budgeting purposes, applicants should expect to produce approximately 20 tables.

9. Develop and recommend enhancements for subsequent data collections to further expand the coverage and continuity of the NJRP. The recipient will conduct ongoing outreach and communication with current and potential judicial data sources. This may include participation in or convening of data provider conferences, workgroups, or advisory committees. The recipient will aim to increase the number of states able to provide statewide judicial data and the quality and consistency of those data for the 2011 and future NJRP data collections. The recipient should propose a strategy for more continuous NJRP data collections (e.g., annual) that support integration with other criminal offending databases (e.g., criminal history depositories) and exploration of key research avenues, such as recidivism of felony offenders.

### **Amount and Length of Awards**

All awards are subject to the availability of appropriated funds and any modifications or additional requirements that may be imposed by law. It is expected that the project tasks will be successfully performed within a 24-month (or shorter) period with work beginning in the second half of 2011. The funding of this project will not exceed \$1,000,000. Based on the successful completion of all tasks described above, BJS may fund a continuation award for up to 2 years to conduct successive NJRP data collections.

### **Budget Information**

**Limitation on Use of Award Funds for Employee Compensation; Waiver:** With respect to any award of more than \$250,000 made under this solicitation, federal funds may not be used to pay total cash compensation (salary plus bonuses) to any employee of the award recipient at a rate that exceeds 110% of the maximum annual salary payable to a member of the Federal



Government's Senior Executive Service (SES) at an agency with a Certified SES Performance Appraisal System for that year. (The 2011 salary table for SES employees is available at [www.opm.gov/oca/11tables/indexSES.asp](http://www.opm.gov/oca/11tables/indexSES.asp).) Note: A recipient may compensate an employee at a higher rate, provided the amount in excess of this compensation limitation is paid with non-federal funds. (Any such additional compensation will not be considered matching funds where match requirements apply.)

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

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

### Match Requirement

This solicitation does not require a match.

### Performance Measures

To assist in fulfilling the Department's responsibilities under the Government Performance and Results Act (GPRA), Public Law 103-62, applicants that receive funding under this solicitation must provide data that measure the results of their work. Any award recipient will be required, post award, to provide the data requested in the "Data Grantee Provides" column so that OJP can calculate values for the "Performance Measures" column. Performance measures for this solicitation are as follows:

Objective	Performance Measure(s)	Data Grantee Provides
Develop and finalize data collection instrument. Develop web-based and paper versions of instruments. Develop web-based system for data collection and processing.	The number of scheduled data collection series and special analyses to be conducted.	Recommendations for data collection instruments result in a robust instrument that (1) is capable of obtaining essential data elements; (2) possesses maximum efficiency and clarity, which results in improved reliability and validity of the data; and (3) uses methods that minimize data collection costs, including a web-based option to the paper instrument.
Implement sample design option capable of producing national estimates of felony	Develop a sample design option and plan.	Provide a sample design option that will efficiently represent the selected jurisdictional framework, and adhere to the OMB Standards and Guidelines for Statistical Surveys.

sentencing in state courts while controlling survey costs.		
Collect information pertaining to offender characteristics, conviction offense, and sentence type and length.	Provide survey response rate of 95% or higher.	A data collection response rate of 95% or higher with a minimal number of missing or inconsistent data in the data file (Target: 10% or less of respondents requires post-validation follow-up and error correction.)
Deliver two final data sets (one for BJS analytical use and one for archival use by ICPSR) with complete supporting documentation.	Percent of deliverables (including final reports) that meet BJS' expectations for depth, breadth, scope, quality of study, and pertinence (as determined by BJS).	Project completed within 24 months of project start date, with complete documentation of meetings, conference calls, progress reports, and respondent contacts that provide evidence of consistent advancement toward meeting the project's objectives.  Deliverables submitted on schedule that meet BJS expectations for accuracy and completeness with file documentation and a report with data collection results, collection-related issues, and suggested improvement for future surveys.

Submission of performance measures data is not required for the application. Instead, applicants should discuss in their application their proposed methods for collecting data for performance measures. Please refer to the section "What an Application Should Include" (page 13) for additional information.

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

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

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

## Notice of New Post-Award Reporting Requirements

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

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

## How to Apply

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

All applicants are required to complete the following steps:

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

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

3. **Acquire an Authorized Organization Representative (AOR) and a Grants.gov username and password.** Complete the AOR profile on Grants.gov and create a username and password. The applicant organization's DUNS Number must be used to complete this step. For more information about the registration process, go to [www.grants.gov/applicants/get\\_registered.jsp](http://www.grants.gov/applicants/get_registered.jsp).
4. **Acquire confirmation for the AOR from the E-Business Point of Contact (E-Biz POC).** The E-Biz POC at the applicant organization must log into Grants.gov to confirm the applicant organization's AOR. Please note that there can be more than one AOR for the organization.
5. **Search for the funding opportunity on Grants.gov.** Please use the following identifying information when searching for the funding opportunity on Grants.gov. The Catalog of Federal Domestic Assistance (CFDA) number for this solicitation is CFDA # 16.734, titled "Special Data Collections and Statistical Studies," and the funding opportunity number is 2011-BJS-2930.
6. **Submit an application consistent with this solicitation by following the directions in Grants.gov.** Within 24–48 hours after submitting the electronic application, the applicant should receive an e-mail validation message from Grants.gov. The validation message will state whether the application has been received and validated, or rejected, with an explanation. **Important:** Applicants are urged to submit applications **at least 72 hours prior** to the due date of the application to allow time to receive the validation message and to correct any problems that may have caused a rejection notification.

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

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

If an applicant experiences unforeseen Grants.gov technical issues that are beyond the applicant's control that prevent submission of its application by the deadline, the applicant must contact BJS staff **within 24 hours after the deadline** and request approval to submit its application. At that time, BJS staff will instruct the applicant to submit specific information detailing the technical difficulties. The applicant must e-mail: a description of the technical difficulties, a timeline of submission efforts, the complete grant application, the applicant DUNS number, and Grants.gov Help Desk tracking number(s) received. After the program office reviews all of the information submitted, and contacts the Grants.gov Help Desk to validate the technical issues reported, OJP will contact the applicant to either approve or deny the request to

submit a late application. If the technical issues reported cannot be validated, the application will be rejected as untimely.

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

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

## What an Application Should Include

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

Moreover, applicants should anticipate that some application elements are so critical that applications unresponsive to the scope of the solicitation, or that do not include a program narrative, budget detail worksheet including a budget narrative, will neither proceed to peer review nor receive further consideration.

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

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

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

### 2. Program Narrative

This should describe the activities in the Statement of Work and address the evaluation criteria. The narrative should provide a detailed timeline and budget for project activities. The narrative should demonstrate the applicant's knowledge of survey methodology and capabilities to handle a national collection of criminal justice data

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

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

- c. Capabilities and Competencies
- d. Plan for Collecting the Data Required for this Solicitation's Performance Measures

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

### **3. Budget Detail Worksheet and Budget Narrative**

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

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

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

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

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

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

Indirect costs are allowed only if the applicant has a federally approved indirect cost rate. (This requirement does not apply to units of local government.) A copy of the rate approval should be attached. If the applicant does not have an approved rate, one can be requested by contacting the applicant's cognizant federal agency, which will review all documentation and approve a rate for the applicant organization or, if the applicant's accounting system permits, costs may be allocated in the direct cost categories. If DOJ is the cognizant federal agency, obtain information needed to submit an indirect cost rate proposal at [www.ojp.usdoj.gov/financialguide/part3/part3chap17.htm](http://www.ojp.usdoj.gov/financialguide/part3/part3chap17.htm).

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

If an application is being submitted by either (1) a tribe or tribal organization or (2) a third party proposing to provide direct services or assistance to residents on tribal lands, then a current authorizing resolution of the governing body of the tribal entity or other enactment of the tribal council or comparable governing body authorizing the inclusion of

the tribe or tribal organization and its membership should be included with the application. In those instances when an organization or consortium of tribes proposes to apply for a grant on behalf of a tribe or multiple specific tribes, then the application should include a resolution from all tribes that will be included as a part of the services/assistance provided under the grant. A consortium of tribes for which existing consortium bylaws allow action without support from all tribes in the consortium (i.e., without authorizing resolution or other enactment of each tribal governing body) may submit a copy of its consortium bylaws with the application in lieu of tribal resolutions.

## 6. Additional Attachments

**Privacy Certification.** The Privacy Certificate is a funding recipient's certification of compliance with federal regulations requiring confidentiality of information identifiable to a private person, which is collected, analyzed, or otherwise used in connection with an OJP-funded research or statistical activity. The funding recipient's Privacy Certificate includes a description of its policies and procedures to be followed to protect identifiable data. A model certificate is located at [www.bjs.ojp.usdoj.gov/content/pub/pdf/bjsmpc.pdf](http://www.bjs.ojp.usdoj.gov/content/pub/pdf/bjsmpc.pdf).

**Human Subjects Protection Certificate of Compliance.** BJS requires the funding recipient to submit proper documentation to be used to determine that the research project meets federal requirements for human subjects protections set forth in 28 CFR Part 46. A model certificate is located at [www.bjs.ojp.usdoj.gov/content/hscr.cfm](http://www.bjs.ojp.usdoj.gov/content/hscr.cfm).

## 7. Other Standard Forms

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

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

## Selection Criteria

Proposals should describe the plan and implementation strategies to perform the tasks outlined in the Statement of Work. Information on staffing levels and qualifications should be included for each task and descriptions of experience relevant to the project. Resumes of the proposed project director and key staff should be submitted with the proposal.

The applicant will be evaluated on the basis of—

### **1. Statement of the Program (10%)**

The content of the proposal should completely address the tasks outlined in the Statement of Work and scheduled time line. Project goals and target dates should be clearly stated.

### **2. Project Design and Implementation (30%)**

The applicant should demonstrate knowledge of applied survey research, including survey construction, data collection, the use of multi-mode data collection techniques with an emphasis on electronic methods, data coding, entry and verification, and the production of public-use data files readable by a variety of statistical software such as SPSS and SAS.

### **3. Capabilities and Competencies of the Organization and Project Personnel (30%)**

Demonstrated capacity and experience of the organization and project staff to (1) understand and use currently accepted survey research methods; (2) collect administrative data from a large number of justice systems or similar entities; (3) implement multiple modes of data collection; (4) clean and verify data, reconcile data to known totals, and provide files that represent respondent data with maximum accuracy; (5) provide an adequate computing environment that includes data security, a capacity to conduct electronic data collection, and the hardware and software for producing public-use files; (6) provide up-to-date tracking of the data collection and regular reporting of progress; and (7) identify and communicate potential problems needing to be addressed as well as problem-solving techniques.

### **4. Project Budget (20%)**

Reasonableness of the project budget should be demonstrated, including the degree to which the budget demonstrates fiscal, management, staff, and organizational capacities to provide sound management for this project, and the degree to which the budget demonstrates that services and products provided by the grantee are of high quality and reasonable cost. Demonstrated fiscal management on past projects of a similar scale should be demonstrated. Methods of conserving costs while maximizing use of existing resources should be presented. Applicant should include detailed breakout of staff resources and other costs, by project task.

### **5. Project Outcomes and Evaluation (10%)**

Degree to which the application demonstrates success in meeting the project time lines and the data collection goals (e.g., response rates and data quality), as detailed in the performance measures, will be systematically documented and monitored.



## Review Process

OJP is committed to ensuring a fair and open process for awarding grants. The Bureau of Justice Statistics 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. BJS may use either internal peer reviewers, external peer reviewers, or a combination to review the applications under this solicitation. An external peer reviewer is an expert in the field of the subject matter of a given solicitation who is NOT a current U.S. Department of Justice employee. An internal reviewer is a current U.S. Department of Justice employee who is well-versed or has expertise in the subject matter of this solicitation. Eligible applications will be evaluated, scored, and rated by a peer review panel. Peer reviewers' ratings and any resulting recommendations are advisory only. In addition to peer review ratings, considerations for award recommendations and decisions may include, but are not limited to, underserved populations, geographic diversity, strategic priorities, past performance, and available funding.

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

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

## Additional Requirements

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

- Civil Rights Compliance
- Faith-Based and Other Community Organizations
- Confidentiality
- Research and the Protection of Human Subjects
- Anti-Lobbying Act

- Financial and Government Audit Requirements
- National Environmental Policy Act (NEPA)
- DOJ Information Technology Standards (if applicable)
- Single Point of Contact Review
- Non-Supplanting of State or Local Funds
- Criminal Penalty for False Statements
- Compliance with Office of Justice Programs Financial Guide
- Suspension or Termination of Funding
- Nonprofit Organizations
- For-profit Organizations
- Government Performance and Results Act (GPRA)
- Rights in Intellectual Property
- Federal Funding Accountability and Transparency Act (FFATA) of 2006
- Awards in Excess of \$5,000,000 – Federal Taxes Certification Requirement
- Active CCR Registration

## Application Checklist

### National Judicial Reporting Program 2011

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

**Eligibility Requirement:** Applicants are limited to for-profit (commercial) organizations, nonprofit organizations, faith-based and community organizations, institutions of higher learning, and consortia with demonstrated organization and community-based experience working with American Indian and Alaska Native communities, including tribal for-profit (commercial) and nonprofit organizations, tribal colleges and universities, and tribal consortia. However, consistent with OJP fiscal requirements, for-profit organizations are not allowed to make a profit as a result of this award or to charge a management fee for the performance of this award.

\_\_\_\_\_ The federal amount requested is within the allowable limit(s) of \$1,000,000.

#### What an Application Should Include:

- \_\_\_\_\_ Application for Federal Assistance (SF-424) (see page 13)
- \_\_\_\_\_ Program Narrative (see page 13)
- \_\_\_\_\_ Budget Detail Worksheet (see page 14)
- \_\_\_\_\_ Budget Narrative (see page 14)
- \_\_\_\_\_ Indirect Cost Rate Agreement (if applicable) (see page 14)
- \_\_\_\_\_ Tribal Authorizing Resolution (if applicable) (see page 14)
- \_\_\_\_\_ Additional Attachments (see page 15)
  - \_\_\_\_\_ Privacy Certificate
  - \_\_\_\_\_ Human Subjects Protection Certification of Compliance
- \_\_\_\_\_ Other Standard Forms as applicable (see page 15), including:
  - \_\_\_\_\_ Disclosure of Lobbying Activities (if applicable)
  - \_\_\_\_\_ Accounting System and Financial Capability Questionnaire (if applicable)