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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 collection, analysis, and dissemination activities of two of its largest data collections on state and federal prison inmates, the National Prisoner Statistics Program (NPS) and the National Corrections Reporting Program (NCRP). 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.

## **National Prisoner Statistics Program (NPS) and National Corrections Reporting Program (NCRP), 2015–2019**

### **Eligibility**

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

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, 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.

BJJ 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](#) 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 April 24, 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 e-mail to [support@grants.gov](mailto:support@grants.gov). The [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 Elizabeth Ann Carson, Ph.D., BJS Statistician, by telephone at 202-616-3496, or by e-mail at [askbjs@usdoj.gov](mailto:askbjs@usdoj.gov). Include "NPS NCRP 2015-2019" in the subject line.

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# National Prisoner Statistics Program (NPS) and National Corrections Reporting Program (NCRP), 2015–2019

(CFDA # 16.734)

## A. Program Description

### Overview

The Bureau of Justice Statistics (BJS) seeks a data collection and analysis agent for the National Prisoner Statistics program (NPS) and the National Corrections Reporting Program (NCRP) for the data years 2015 through 2019. This marks the first time the two programs will be competed together.

The NPS and NCRP are BJS's flagship data collections measuring the size and composition of state and federal prison populations on an annual basis. The two collections complement each other by obtaining aggregate and detailed individual-level information on prisoners, which is used to describe and compare the prison population over time. The NPS collects aggregate counts of the male and female custody and jurisdictional prison populations as of December 31 each year. State departments of corrections (DOCs) and the Federal Bureau of Prisons (BOP) use their administrative records to tally their prison populations by jurisdiction, types of prison admissions and releases during the past year, race/Hispanic origin, and capacity of the facilities that hold prisoners in their custody. NPS also provides annual information on the number of confirmed cases of HIV/AIDS and current testing policies for these conditions. NPS has been collected annually since 1926, and these data are used in BJS's *Prisoners* series and *Corrections Populations in the United States* series bulletins.

Through the NCRP, BJS collects individual (or offender) level data on prisoners entering or leaving the custody of state prison systems and post-custody community supervision programs (PCCS; formerly known as "parole"). The NCRP data, collected annually since 1983, are derived from state prison and PCCS administrative records and currently consist of five separate files for each year: prison admissions, census of state prisoners on December 31, prison releases, entry to PCCS programs, and exits from PCCS programs. A major improvement in NCRP data in the past 5 years has been to link the prison and PCCS records into "terms" for the majority of states submitting data. A term is defined as the period from admission to release. BJS uses these data to study a wide variety of special topics in corrections—recidivism of state prisoners (by linking the NCRP data to criminal history records), prisoner reentry, aging of the prison population, trends in state PCCS, outcomes of PCCS supervision, and other issues. Additionally, BJS uses these data to support its ongoing efforts to study changes in the racial and offense composition of national corrections populations, to study movements and transitions between stages of the corrections process, and to compare differences among states' correctional populations.

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**

### ***National Prisoner Statistics Program***

The NPS began in 1926 in response to a congressional mandate to gather information on persons incarcerated in state and federal prisons. Originally under the auspices of the U.S. Census Bureau, the collection moved to the Bureau of Prisons in 1950. In 1971, it moved to the National Criminal Justice Information and Statistics Service, the precursor to BJS, which was established in 1979. The NPS provides an enumeration of persons in state and federal prisons and collects data on key characteristics of the nation’s prison population. The collection has been adapted over time to keep pace with the changing information needs of the public; researchers; and federal, state, and local governments.

As this collection provides BJS with the total number of individuals imprisoned by state and federal authorities, it is vital for the data collection agent to receive annual data from all states and the BOP in a timely manner without sacrificing data quality.

The NPS is made up of three distinct collections:

The NPS-1 is an annual collection known as the “Summary of Sentenced Population Movement.” Before 1978, the collection tracked admissions and releases by type and sex during each calendar year, as well as the number of prisoners in custody by sex and sentence length on December 31.

In 1978, the NPS-1 was expanded to include the number of prisoners under the jurisdiction of state and federal adult correctional officials, the number of inmates held in local jails solely to ease overcrowding in prisons, and the race and Hispanic origin by sex of the jurisdiction population at yearend. In 1991, the NPS-1 was further expanded to include questions on the number of HIV infections and confirmed AIDS cases in the custody population.

In 1999, the NPS-1 was expanded again to collect data on inmates housed in local facilities without reference to prison overcrowding, inmates held in other state or federal facilities, and inmates held in privately operated facilities. In addition, the questions on race and Hispanic origin were combined into a single item to better comply with administrative recordkeeping systems maintained by state DOCs. Finally, the survey began collecting more detailed counts of inmate deaths by cause.

The NPS-1A was introduced in 1981 to track the rapidly growing prison population. It included counts of the number of inmates under jurisdiction and in custody of prisons, by sentence length and sex, on June 30 each year. This collection was terminated in 2010 to reduce burden on data respondents. BJS intends to reactivate the NPS-1A during the next 5 years as an annual collection of DOC-level policy and practice information on a rotating set of topics of interest to the correctional field.

The NPS-1B was added to provide advance counts of the December 31 (yearend) populations and to obtain data by sex, race, and sentence length. It was expanded in 1982 to include counts of inmates housed in local jails because of prison overcrowding, and again in 1983 to provide measures of housing capacity and numbers of early releases due to prison overcrowding.

The NPS-1 and NPS-1B were merged in 2007 under the title NPS-1B “Summary of Sentenced Population Movement.” This single collection captures counts of yearend jurisdiction and custody populations by sex and sentence length; number of prisoners held in local, federal, private, and other state facilities; race and Hispanic origin of inmates; types of admissions and releases during the calendar year; prison system capacity; and HIV infections and confirmed cases of AIDS. In 2011, two items were added to the NPS-1B from the former NPS-1A collection: the yearend custody counts of noncitizens and of inmates age 17 or younger. Collection of NPS-1B data from the previous calendar year begins on January 1. Except for the total number of admissions and releases that occurred over the entire past year, respondents are asked to provide counts of prisoners on December 31.

The NPS-1B is administered to 51 respondents—50 states and the BOP. Before 2001, the District of Columbia was also a respondent; however, responsibility for housing the District of Columbia’s sentenced felons was transferred to the BOP, and by yearend 2001 the District of Columbia no longer operated a prison system. For the majority of years, the NPS-1B boasts a 100% participation rate. While approximately half of the states meet the requested submission deadline of February 28 each year, the data collection agent must follow up with the rest of the respondents to obtain data in time for the annual *Prisoners and Corrections Populations in the United States* bulletins. BJS recently began publishing an advance count of past-year prisoners in the summer of each calendar year. For late-reporting states, the data collection agent will be expected to provide BJS with estimates of yearend prison population counts using a variety of statistical or information theoretic approaches.

Combined NPS-1 and NPS-1B data from 1978 through 2011 were archived for public use at the National Archives of Criminal Justice Data (NACJD; [http://www.icpsr.umich.edu/icpsrweb/NACJD/studies/34981?archive=NACJD&q=NPS&permit\[0\]=AVAILABLE](http://www.icpsr.umich.edu/icpsrweb/NACJD/studies/34981?archive=NACJD&q=NPS&permit[0]=AVAILABLE)) in 2013. In addition, the NPS data populate the prison portion of the Corrections Statistical Analysis Tool on the BJS website (<http://www.bjs.gov/index.cfm?ty=nps>). The data collection agent will be expected to provide BJS an annual final NPS-1B dataset for archiving by September 30 of the calendar year in which the data collection began.

BJS intends to reactivate the NPS-1A collection during the next five years. Instead of collecting counts of prisoners at midyear, BJS anticipates that it will conduct a rotating series of supplemental data collections on issues of interest within the state and federal prison system. These issues include infectious disease prevalence, testing, and treatment; data collection policies and practices (evaluation of race or Hispanic origin, education level, sentencing information, and veteran status); post-custody community supervision revocation process; and health care costs and services provided. By rotating these collections, BJS hopes that it will ultimately obtain a longitudinal data series of these topics in a less burdensome way than if these data were to be collected annually. The chosen data collection agent will assist BJS in the development of at least two of these supplemental instruments (not to exceed two double-sided pages in length), and will assist BJS in applying for OMB clearance for these collections.

The general schedule for the NPS-1B is as follows:

- January 1 – Send letter and instructions to jurisdictions to solicit data.
- March 21 – Collect or impute 100% of jurisdiction and custody counts (items 1 to 5 on the NPS-1B).
- March 31 – Deliver the jurisdiction/custody dataset to BJS.
- May 1 – Collect or impute 100% of all NPS-1B data elements.

- May 15 – Deliver the final complete dataset to BJS for use in the *Prisoners* bulletin web tool.
- September 30 – Submit the archival dataset to BJS.

### ***National Corrections Reporting Program***

Through the NCRP, BJS collects individual (or offender) level data on state prisoners during their admission, custody duration, and release from prison and entrance and exit from PCCS programs. These data are crucial to BJS's efforts to study important issues in corrections, including recidivism and reentry, success and failure on PCCS, changes in the racial and offense composition of prison populations, aging of correctional populations and the implications for correctional health care costs, mortality in prisons and while under community supervision, factors affecting prison population growth (such as length of stay and admissions), and other topics. As state correctional systems have evolved to deal with changes in state laws, budgets, and evidence-based rehabilitation practices, BJS has updated the NCRP to better capture the current state of corrections.

A critical goal for this project is to enhance the timeliness and quality of the data products produced from the NCRP. BJS seeks a data collection agent that can handle the information system processing and database management tasks of the NCRP project, develop and implement procedures to streamline data processing tasks while maintaining high standards for data reliability, and bring a substantive knowledge of corrections to help develop new statistical products from the NCRP.

The NCRP data, which have been collected annually since 1983, are derived from state prison and PCCS administrative records. Each year, state DOCs provide BJS data collection agents with data extracts from the state information systems that contain variables describing offender movements and characteristics. Currently, the NCRP consists of five parts, each representing a cohort of offenders:

- Part A records contain data on prisoners admitted to state prison during a calendar year.
- Part B records contain data on prisoners released from state prisons during a calendar year.
- Part D records contain data on prisoners incarcerated in state prison at yearend. The Part D records were collected beginning in 1999.
- Part E records contain information on entry into PCCS programs during a calendar year.
- Part F records contain data on prisoners released from PCCS programs during a calendar year. These records are equivalent to the old Part C records, but also include other PCCS programs not traditionally counted under the standard definition of parole.

The collection of information on the entrance to and exit from PCCS programs began during calendar year 2013 (reporting year 2012) as a replacement of the old Part C records, which only covered exits from community supervision programs. When BJS began the NCRP collection, prisoners were assumed to begin their PCCS immediately upon release from prison. In reality, there is often a period of several days to weeks and even months during which inmates are assigned to a program and paperwork is processed. This lag between prison release and entry into a PCCS program will result in erroneous calculations for time under supervision if the two are assumed to occur on the same day. In addition, five states (Georgia, Massachusetts, Nevada, Pennsylvania, and South Carolina) have separate entities that control prison and PCCS programs and do not share inmate identification (ID) systems, making it close to

impossible to link prison and PCCS records. Obtaining PCCS entrance dates will allow for closer alignment and matching of prison release records.

State participation in the NCRP never reached 100% and declined during the 2000s, but a concerted effort during the past 5 years to re-enroll lapsed participants, request data for missing years, and encourage new states to participate resulted in the submission of data by 47 states in 2011 and 49 states in 2012, the highest in the history of the NCRP. The chosen data collection agent will be expected to leverage this improvement by encouraging states to submit missing data as well as data types they may have neglected in previous years. Table 1 shows the number of states that participated in the NCRP through the 2013 data collection year.

NCRP	2000	2001	2002	2003	2004	2005	2006	2007	2008	2009	2010	2011*	2012	2013**
A	38	38	40	38	38	38	38	39	39	40	43	44	47	42
B	38	38	40	38	38	38	38	38	38	40	43	44	47	41
D	19	26	29	28	26	26	27	30	30	36	41	41	44	41
E	3	3	3	3	3	4	6	6	6	8	9	14	21	24
F/C	30	28	29	29	28	27	27	25	25	27	33	21	29	27
Any	42	42	43	41	39	40	40	41	41	43	46	47	49	45

\*In 2011, Part C records were not solicited during the redesign of the PCCS data collection.

\*\*2013 data as of November 7, 2014.

The data collection agent is expected to solicit participation from the 50 states for all parts of the NCRP data each year. The completeness of the NCRP data, by type of data (parts A, B, D, E, and F) may vary in terms of the variables for which data are provided and in the types of records provided. For example, some states may not have provided data on the type of prison admission (e.g., new court commitment, PCCS violator) for a particular year, or they may have provided records for persons sentenced to less than 1 year. Although these records (offenders sentenced to less than 1 year) are not consistent with BJS definitions of a sentenced offender, BJS collects these records and classifies them in a manner that is consistent with its definitions. Records of unsentenced offenders or offenders sentenced to less than 1 year who enter prison are useful to BJS for other purposes. For example, in states with an integrated prison/jail system, the records of unsentenced admissions can be used to understand movements into and out of what could be considered a jail setting.

For the purposes of generating similar year-to-year distributions of offenders admitted to state prisons, incarcerated in prisons at yearend, released from state prisons, and exiting PCCS supervision, BJS has prepared a set of processing standards for each data collection year. The standards have been designed and applied to the source data provided by state respondents to prepare a set of analytic tables for internal use that help to assess the reliability of the data submissions over time and across responding states. However, the data collection agent must understand the resource, technology, and time limitations of each state, and be prepared to accept data files in a variety of formats, completeness, and quality. The data collection agent must be flexible in the review and processing of the data, and work with state respondents to obtain the best quality data over the long term. This includes an annual review of the data within 2 weeks of its receipt, statistical comparison with previous years' reported distributions, email and telephone conversations with the state respondent to discuss issues, and encouragement of and technical assistance for states to submit past years' missing data and/or missing NCRP data types over the next few years.

In addition to recruiting new and lapsed states to participate in the NCRP, the data collection agent for the 2010–2014 NCRP developed methods for linking prison admission, yearend stock,



and release records between 2000 and 2012 into prison terms for the majority of state prison inmates in the NCRP. A term is defined as the period from admission to release. Individual inmates' admission, stock, and release records are linked through unique state and/or federal offender ID numbers; other NCRP variables provide validation of the identity and prison sentence for each inmate. Multiple terms for individual inmates were further identified and linked within commitments. A commitment is defined as an entry to prison on a new sentence. An inmate may have more than one admission on a commitment if that inmate is released from an initial commitment but subsequently returns to prison because of a violation of conditions of supervision. The data collection agent for the 2015–2019 NCRP will be expected to continue to construct these term records and to enhance the record linkage by incorporating the PCCS records into the existing term records. BJS also anticipates that the data collection agent will investigate the possibility of linking NCRP records from years before 2000, when no (or few, in the case of the 1999 collection) yearend stock records were collected.

BJS is interested in leveraging the NCRP by linking individual records with other sources of administrative data, including the National Death Index (National Center for Health Statistics); military service and veteran health and benefits data (Department of Defense, Veterans Health and Business Administrations); Social Security, Medicaid, Medicare, housing and food assistance benefits (Social Security Administration, Center for Medicare Services, Department of Housing and Urban Development, Department of Agriculture); income, tax, and employment data (Department of the Treasury, Department of Labor, Internal Revenue Service); criminal history data (Federal Bureau of Investigation); and aggregated datasets that can provide a picture of the communities that prisoners come from or to which prisoners and parolees are released. The NCRP data collection agent will be expected to assist BJS in obtaining permission from state DOCs to collect Social Security numbers to allow for the linkage of data based on results from discussions with individual states during 2013 and 2014 regarding the data request process. This could include writing proposals justifying the need to obtain Social Security numbers; explaining the infrastructure used to protect personally identifiable data; or petitioning state governors, attorney generals, and/or correctional commissioners.

The NCRP data collection begins on January 1 of the calendar year following the close of the data collection year. Because preparation of the NCRP dataset is more involved than that of the NPS counts, NCRP data have traditionally lagged the aggregate collection in date of submission. The data collection agent will be expected to encourage timely submission of the NCRP data so that annual files can be submitted to the archives prior to the beginning of the next collection year.

The general schedule for the NCRP is as follows:

- January 1 – Data collection agent sends letter and instructions soliciting data.
- March or April – Meeting for data providers.
- September 1 – Achieve 90% data collection and processing.
- November to early December – Data collection agent delivers files to BJS, including the linked prison term record file, linked PCCS term record file, files of prison and PCCS records that could not be linked in term records, all records cut into annual files, master ID file (for BJS only), and facility name file (for BJS only).
- End of December – Data collection agent provides state-specific statistical tables that can be delivered via web tool by BJS
- By January of the following year – BJS archives data at NACJD and produces internal dataset for BJS use.

A more complete description of the collection can be found in the collection documentation archived at the NACJD, available at <http://www.icpsr.umich.edu/NACJD/>.

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

BJS views the NPS as its primary vehicle for obtaining an annual understanding of the movement through and yearend status of the prison population at national and jurisdictional levels. The NCRP provides more detailed information that allows BJS to meet many of its statistical goals for reporting on corrections population movements, especially prison admissions and releases and PCCS entries and exits. Although not currently a part of the NPS or NCRP, probation populations contribute to prison population movements because offenders may be removed from probation and enter prison. In the long run, integrating probation population movements into the NCRP can be established as a goal, particularly in states where probation and PCCS are managed by an executive branch office or in states where prisons, probation, and PCCS are organized within a single department.

Consistent with BJS's mission and the principles and practices of federal statistical agencies, BJS intends to use the NPS and NCRP to enhance the information systems of state DOCs to foster their participation in national corrections statistical reporting programs. To that end, BJS will provide technical assistance, access to online data tools, and support in providing NCRP data through the Department of Justice's Global Justice Sharing Initiative (<http://it.ojp.gov/default.aspx?area=globalJustice>).

During this 5-year project, BJS will capitalize on the progress in improving the quantity, quality, and useability of the NCRP and NPS data achieved during the previous grant period. Applicants should address how they would meet the following goals and objectives:

#### Project goals

1. *Maintain a secure file transfer platform website for data submissions to the NPS and NCRP, and for transfer of data to and from BJS.* The data collection agent should encourage NCRP and NPS data providers to submit all data electronically, and should make submission of data as easy as possible for states by accepting multiple file types. This benefits all involved parties because it will allow a (likely) web-based solution to integrating data collection, analysis, and dissemination. This approach will increase flexibility in reporting, make it easier for states to comply with new reporting requirements, and allow the data to be used for multiple purposes if needed (e.g., internal analysis, external sharing).
2. *Maintain all data securely and confidentially in accordance with 28 CFR Part 22.*
3. *Officially consult with an internal Institutional Review Board on an annual basis to review the NPS and NCRP data collections to ensure protection of human subjects.*
4. *Maintain good communications with the BJS grant manager for the NPS and NCRP.* This is expected to include weekly telephone meetings to discuss progress and issues with data collection and processing, annual kick-off meetings at BJS, monthly written progress reports to the BJS grant manager, and compliance with all OJP reporting deadlines.
5. *Encourage external researchers' knowledge and use of NCRP and NPS data through the development and dissemination of a research program.* BJS expects data collection agents to propose two or three new research projects each year that will use NCRP and/or NPS data for eventual publication by the data collection agent (potentially along with BJS staff) as

BJS publications or in academic journals, and presentation at professional or academic conferences.

### Goals specific to the NCRP

1. *Improve the timeliness for submitting NCRP data to BJS.* Reduce the lag time between the end of a collection's reference year and the release of statistical data from the NCRP. In the long run, achieve "real time" transmission, assessment, analysis, and dissemination of data. Real time refers to the shortest lag between the end of a reference year and release of data.
2. *Enhance and expand the NCRP data collection.* The data collection agent should—
  - a. Enroll nonparticipating states into the program and expand coverage of participating states to ultimately obtain complete participation in all five parts of the NCRP by all 50 states.
  - b. Encourage states that did not submit data in earlier years to backfill if possible.
  - c. Encourage states supplying a minimal number of key variables to expand their submission to include all NCRP variables.
  - d. Encourage states to submit unique state and federal (FBI) ID numbers if they are not already doing so.
  - e. Expand the submission of NCRP PCCS records. During the 5-year project, BJS would like to achieve 100% state participation in submission of PCCS entry and exit data. Submission of PCCS records has traditionally lagged behind that of prison records; to enhance the aggregate data collected in the BJS Annual Survey of Parole (ASP), the data collection agent is expected to encourage more states to provide data on their post-prison community corrections populations. BJS will provide ASP data to the data collection agent to facilitate comparisons between the two collections for data quality checks.
3. *Enhance the reliability of NCRP data.* Timeliness is essential, but it is more important for the data to be reliable and of high quality. Challenges to reliability arise when BJS allows variability among states in submitting data elements around a common NCRP definition. Tasks include:
  - a. Develop a reliable and precise statistical adjustment that accounts for nonsubmitting states in the production of national statistics for all measures (e.g., custody counts by age, sex, race, offense, sentence length, education level, type of admission and release, recidivism, time served).
  - b. Develop and implement standard definitions to provide reliable data that allow for comparisons on key measures of correctional population movements across jurisdictions.
  - c. Reconcile the NCRP data relative to other BJS data on correctional population movements, such as NPS, Annual Survey of Parole, and prison inmate surveys. Further comparisons to data published by the state DOCs can also identify issues with reliability.
  - d. Update state-specific offense data. Data on state-specific offenses are received as part of the NCRP; the data collection agent is responsible for translating these data into standardized codes defined by BJS. Each year, some changes must be made to the crosswalk between state and BJS offense codes as states pass new legislation or alter existing codes, and as new states submit data to the NCRP. Part of this task is to provide feedback to BJS on how agency wide offense categorization may affect the NCRP.
  - e. Using the 2005 NCRP release cohort sample employed in the latest recidivism study (<http://www.bjs.gov/content/pub/pdf/rprts05p0510.pdf>), evaluate the linked

Record of Arrest and Prosecution sheet data's ability to capture returns to prison on either PCCS violations or new court commitments.

- f. Establish a standardized GID-coding system for prison facilities on the NCRP Part D records and include this field in the datasets provided to BJS each year. This will allow for easy linkage of the NCRP to the BJS prison facility census.
  - g. Improve the quality of rare sentence data. Using data from BJS and other external sources (state DOC websites, policy organizations), evaluate the quality of data on sentences of death (capital punishment), life, life without PCCS, and life plus additional years submitted in the NCRP. If there are differences, work with state data providers to ensure that the NCRP data accurately capture the number of persons serving these rare sentences and that if sentences are downgraded or changed while the prisoner is in custody, the Part D record for that year and subsequent years reflects the new sentence.
4. *Continue and enhance construction of prison and PCCS term records.* In 2012, BJS archived the first NCRP dataset with linked prison admission, yearend custody, and release records for 2000 to 2011 (prison term records). This enhanced the useability of the data by permitting researchers to create stock populations for any day between January 1, 2000, and December 31, 2011; easily track within-state returns to prison; and more accurately calculate time served for a stock population. The expansion of NCRP PCCS records to include entries and exits for all PCCS programs allowed for the construction of PCCS term records starting in 2013. Applicants should discuss how they will maintain and improve the construction of these term records, including linkage across states through the collection of FBI ID numbers, linking prison and PCCS term records for inmates, and testing ways to extend term records to years prior to 2000 in the NCRP, when the yearend custody records were not being collected.
  5. *Prepare NCRP datasets for delivery to BJS each year.* Per BJS specifications, the data collection agent will prepare annual datasets and all accompanying documentation (including data solicitation instructions, variable crosswalks, and SAS code to divide and analyze the NCRP data. See the NCRP archive resource guide <http://www.icpsr.umich.edu/icpsrweb/content/NACJD/guides/ncrp.html> for a list of documentations the data collection agent currently provides). The annual datasets will include (1) NCRP prison term records for the entire data period that can have linked data (currently 2000 to 2013, but this will extend forward and may extend backward if the data collection agent is able to link earlier years); (2) NCRP PCCS term records for the entire data period that can have linked data; (3) records for states/years in which term records cannot be constructed; (4) annual cuts of the data (one file per year that includes all record types); (5) a master ID file that includes the link between state and FBI ID numbers, names, and the NCRP-specific ID number; and (6) an annual file of ID numbers and prison facilities from the prison yearend custody file.
  6. *Enhance the quality of statistical reports based on the NCRP data, and incorporate NCRP data into other BJS reports at the state and national level.* The content of the NCRP allows for research and reporting on a wide range of topics. BJS seeks to enhance the scope, content, and quality of reports derived from the NCRP. For example, consistent with the recommendations in *Ensuring the Quality, Credibility, and Relevance of U.S. Justice Statistics*, BJS aims to use the NCRP to study transitions between stages of the corrections process, to decompose these changes by state and demographic group, to assess how sentence length and admissions contribute to changes in prison populations, and to produce other routine statistics on the movements of offenders. The data collection agent should

have substantive expertise in corrections and in-depth knowledge of the NCRP data so it can assist BJS in developing statistical products from the NCRP. Specific deliverables required each year include—

- a. national and state estimates of recidivism (both release cohort-based and total offender population-based) for use in the BJS *Prisoners* bulletin series;
  - b. national and state standard statistical tables of prisoner characteristics (age, sex, race, education, criminal history, sentence, offense) that can be released via the BJS Corrections Statistical Analysis Tool CSAT Prisoners web tool;
  - c. national and state estimates of time served and expected time served for all offenders (not just release cohorts), stratified by offense, age, sex, race, and type of admission;
  - d. short-term (2 to 3 years) prison population projections by state for inclusion in the annual *Prisoners* bulletin series, along with a review and deconstruction of deviations of the previous year's projections from what actually occurred; and
  - e. a forecast of the proportion of prisoners in each state who could be expected to serve at least 10, 20, 30, 40, or more years; this involves using a model-based approach (including sentencing information, offense, age, sex, race, and other factors) to provide a state-level estimate of long-term prisoners.
7. *Foster strong working relationships with state corrections research units and data providers, and encourage the use of NCRP data in appropriate comparisons between states.* BJS will enhance its working relationships with state DOCs by building effective partnerships based on sharing data and information. The data collection agent should be able to establish and maintain strong working relationships with data providers, demonstrate knowledge and understanding of their system, and provide technical assistance as needed in solving data-related problems.
- a. The data collection agent will assist in developing the programmatic aspects of a data providers meeting to be held every 12 to 18 months. BJS has held three NCRP meetings that helped foster better relationships with the states, encouraged participation in NCRP and other BJS collections, and allowed state DOCs to exchange research and best practices.
  - b. BJS aims to improve the partnership with data providers by developing online data analysis tools to share NCRP data with providers to help meet some of their needs for comparative data. The data collection agent should be prepared to update and expand existing state fact sheets (<https://www.ncrp.info/SitePages/State%20Fact%20Sheets.aspx>) and suggest logical groupings of states based on shared legislative, criminal justice, geographic, and demographic characteristics. These groupings should be programmed into the online data analysis tools for easy use by state DOCs.
8. *Expand linkage of NCRP data to other administrative data.* The data collection agent will help BJS further expand this goal by preparing NCRP datasets for linkage, performing linkage in some cases, and analyzing the resulting linked data. Tasks under this objective will include:
- a. Assist in the linkage of NCRP data with data housed at the U.S. Census Bureau. BJS has an interagency agreement with the Center for Administrative Records Research and Applications at the U.S. Census Bureau to link NCRP data under secure conditions to other federal administrative datasets, including the Census Bureau's Master Address File, Death Master Index, insurance, employment, and demographic data. BJS may ask the data collection agent to obtain special sworn status at the Census Bureau or access through an intergovernmental personnel

- agreement to perform analysis behind the Census Bureau's firewall, and/or to identify and hire researchers to perform this work.
- b. Identify and link NCRP data to data from other federal agencies, including the Department of Veterans Affairs and Center for Medicare and Medicaid Services.
  - c. Prepare NCRP data for use in recidivism cohort studies. Data from the 2005 NCRP release cohort were linked through the FBI's Interstate Identification Index to historical arrest and prosecution data (rap sheets) to form the basis of BJS's most recent recidivism study (<http://www.bjs.gov/index.cfm?ty=pbdetail&iid=4986>). BJS expects to repeat this study in the future using more recent NCRP data.
  - d. Facilitate linkage between NCRP and the National Death Index (NDI), and process the results to study mortality in former prisoners. Contingent on funding, BJS would like to send NCRP prison and PCCS release records to the National Center for Health Statistics (NCHS) for linkage to its NDI on an annual or biennial basis. This would allow BJS to document mortality over time for released prisoners, to produce more accurate recidivism rates and examine the timing and causes of death among persons formerly imprisoned, and to describe perimortem health conditions. While BJS will execute the interagency agreement with NCHS and application to NDI, the data collection agent will prepare an NCRP dataset for submission that meets NCHS standards ([http://www.cdc.gov/nchs/data/ndi/ndi\\_users\\_guide\\_chapter2.pdf](http://www.cdc.gov/nchs/data/ndi/ndi_users_guide_chapter2.pdf)) and includes multiple forms of inmates' names to allow for the broadest possible match to death certificates. Upon completion, the data collection agent will review the results ([http://www.cdc.gov/nchs/data/ndi/ndi\\_users\\_guide\\_chapter3.pdf](http://www.cdc.gov/nchs/data/ndi/ndi_users_guide_chapter3.pdf)), make recommendations to BJS regarding the precision of the match, add death information into the NCRP record for each deceased former inmate, and provide BJS with a summary of the results that may include statistics on time to death, cause of death, and perimortem health conditions.
  - e. Explore the incorporation of the Association of State Correctional Administrators' (ASCA) Performance Based Measures System (PBMS) indicators in the NCRP. PBMS collects monthly aggregate counts of a number of measures (including facility information, inmate assaults, positive drug tests, contraband finds, mental health treatment, health care encounters, facility personnel, program use, and expenditures) from some DOCs. BJS is interested in partnering with ASCA to link these indicators to the facility information in the NCRP's yearend prison custody record because these data can provide a better understanding of the prison experience, even if the data are for the facility rather than the individual. As directed by BJS, the data collection agent will test linkage of the two datasets for those states in which the ASCA and DOC administrators agree to combine them.
9. *Undertake ad hoc analysis of NCRP data as requested by BJS.* BJS may request special analysis of the NCRP data as needed, to include the production of up to 25 tables per year or provision of tailored datasets.
  10. *Provide BJS with PCCS entry and exit datasets during the collection year to inform BJS's Annual Survey of Parole for certain states.*
  11. *Assist BJS in the preparation of Office of Management and Budget (OMB) clearance packages for the NCRP.* The NCRP will require OMB clearance twice during the contract period (October 31, 2015 and October 31, 2018). While the data collection agent will not be involved in preparing the clearance package in 2015 due to the timing of the grant award,

the agent will compile a first draft of the 2018 package during the fall of 2017. This will include background research on how external researchers use the NCRP and documentation of changes proposed to the instrument, if any, to include reporting on the implementation of past changes. In addition, any changes proposed to the NCRP in years between the 3-year cycle of OMB clearances will require a modification application; the data collection agent will assist BJS in drafting this document.

#### Goals specific to the NPS

1. *Improve the timeliness of submitting and delivering the NPS data to BJS.* Reduce the lag time between a collection's end of reference year and the release of statistical data from the NPS. In the long run, achieve "real time" transmission, assessment, analysis, and dissemination of data. Real time refers to the shortest lag between the end of a reference year and release of data. During the past few years, two or three states per year have not submitted NPS data. The data collection agent should achieve 100% participation in NPS each year.
2. *Enhance the reliability of NPS data.* Timeliness is essential, but it is more important for the data to be reliable and of high quality. Challenges to reliability arise when BJS allows variability among states in submitting data elements around a common NCRP definition. Standards need to be developed and implemented to provide reliable data that allow for comparisons across jurisdictions on key measures of correctional population movements. In addition, BJS seeks to reconcile the NPS data relative to other BJS data on correctional population movements, such as the NCRP, Annual Survey of Parole, and prison inmate surveys. Further comparisons to data published by the state DOCs can also identify issues with reliability.
3. *Perform an analysis of NPS data as requested by BJS.* BJS may request special analysis of the NPS data as needed, to include the production of up to 25 tables per year or provision of tailored datasets.
4. *Develop, pilot test, and field test several short (maximum of four single-spaced pages) supplementary data collection instruments each year under the suspended NPS-1A data collection.* BJS intends to reactivate NPS-1A to collect DOC data on four or five annual rotating topics. The instruments will be sent out with the NPS-1B form at the beginning of each year. However, because the usual NPS-1B data respondent may not have the subject matter expertise to answer these topical requests, the respondent will help BJS identify the appropriate person in the state DOC to respond each year. The data collection agent will work with BJS corrections unit statisticians to identify and engage external subject-matter experts to develop content and questions and will assist BJS in obtaining OMB permission under BJS's generic clearance package to pilot test the instruments and to perform the pilot tests and actual fielding of the surveys. Topics that may be considered as NPS-1A supplements include—
  - prevalence, testing, and treatment of a range of infectious diseases in prisons;
  - methods for measuring key concepts that BJS currently collects through administrative records, including race/Hispanic origin, education level, veteran status, marital status, sentence length (life, life without PCCS, and death sentences), enhancements to sentence length, and type of prison admission and prison release;
  - DOC-level policies on the provision of health care to prisoners, such as privatization, centralization of facilities, and provision of health care to special populations (veterans, women, and juveniles serving adult sentences);

- policies used to assign housing and custody rating of inmates in regard to facility crowding, gang affiliation, special populations (women, juveniles, and veterans), service needs, criminal history considerations, and proximity to family;
  - content and use of mental health and substance abuse treatment programs offered in prisons, and diagnosed prevalence of mental health and substance abuse problems during the previous year;
  - types of disciplinary issues that occurred during the previous year, and a more detailed description of DOC policies that deal with disciplinary problems;
  - use of and a detailed definition of restrictive housing, such as the criteria for placing inmates in various types of restrictive housing, degree of segregation from general population, degree of lock-down and restriction in services, and average length of stay for various types of restricted units; and
  - policies regarding civil commitments, such as state laws or policies, agency (ies) responsible for persons under civil commitment, average length of stay, types of inmates eligible for civil commitments, and criteria for release.
5. *Assist BJS in the preparation of OMB clearance packages for the NPS-1B.* The NPS will require OMB clearance twice during the contract period (October 31, 2017 and October 31, 2020). The data collection agent will compile a first draft of the 2017 package during the fall of 2016 and the 2020 package during the fall of 2019. This will include background research on how external researchers use the NPS and documentation of changes proposed to the instrument, if any, to include reporting on the implementation of past changes. In addition, any changes proposed to the NPS in years between the 3-year cycle of OMB clearances will require a modification application; the data collection agent will assist BJS in drafting this document.
6. *Assist BJS in the preparation of OMB clearance packages for the NPS-1A.* As part of the redevelopment of NPS-1A into a rotating topical supplementary data collection, BJS will need to obtain clearance to request the data from all 50 states and the BOP. The best approach is to develop a number of the surveys, pilot test them, and seek clearance for all of them at the same time, but this will depend on available funds and BJS staff time. For the OMB clearance package(s), the data collection agent will be responsible for summarizing the external input used to develop the survey instruments, the burden hours, and relevant background research.

BJS seeks a data collection agent that can demonstrate a strong commitment to these goals, has demonstrated expertise in corrections statistics and information system processing, has the capacity to work collaboratively with BJS in setting priorities to make progress toward these goals, and has an ability to work with a diverse group of data providers.

Entities submitting proposals in response to this solicitation should describe the efforts they would undertake to assist BJS in meeting these goals and integrate the description of these activities into their discussion of proposed efforts to address the scope of work for this project.

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

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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.



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.

## **B. Federal Award Information**

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

BJS anticipates that it will make one award for this 5-year period. The award for the initial 12-month project period will be up to \$1.2 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 \$1.2 million) and a 5-year budget to cover the entire project period (not to exceed \$6 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 if 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](#)

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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)).

[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 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 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

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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 C to 2 C.F.R. Part 200.

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.

Applications submitted under this solicitation must adhere to a page limit, exclusive of resume, budget narrative, or assurance appendices. The application (exclusive of resume, budget narrative, or assurance appendices) may not exceed 40 pages, double-spaced, 12-point font, with standard 1-inch margins. Failure to adhere to this page limit will preclude peer review.

### 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.

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

### 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 e-mail 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.

Within these sections, the narrative should address:

- Purpose, goals, and objectives.
- Review of relevant literature.

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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.

- 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 Should Include.” For information BJS has previously agreed would 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:

Objective	Performance Measure(s)	Data Grantee Provides
Collect, securely maintain, and process the NCRP and NPS data each year throughout the collection period; provide statistical support to BJS through the preparation of ad hoc tables and datasets.	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.
	Number of states that complete surveys on time and adhere to data quality standards	Number of states submitting data in a timely fashion.  Number of states with prison and PCCS term records constructed.
	Percentage of records in the database that are complete and accurate.	Number of ad hoc tables and datasets provided.
	Achieve a 3% or less error rate on variables per response agency, item response rate for critical NCRP items.	Verification and quality control checks on data received into the NCRP project; checks of changes or additions made by data providers that result in an error rate whereby follow-up by BJS is required must be limited to no more than 3% of the total number of variables for that agency.



	Number of scheduled data collections series and special analysis to be conducted	<p>Completion of NPS collection by May each year.</p> <p>Number of standard and single requested datasets on schedule to BJS each year.</p> <p>Verification checks of annual data submitted by agencies to ensure that there will be no more than 5 variables in error for a specific year.</p>
Improve the quality and reliability of NCRP and NPS data.	Data requests that are completed on time and adhere to data quality standards.	<p>Number of states with updated NCRP offense crosswalks.</p> <p>Number of other BJS or external datasets to which the data in NPS or NCRP counts can be reconciled.</p>
	Raw data converted to standardized format.	<p>Evaluate quality of NCRP rare sentence data; work with states to improve if necessary.</p> <p>Complete GID coding of prison facilities in NCRP Part D records.</p> <p>Evaluate ability of sheets to capture reimprisonment data.</p>
	Number of deliverables that meet expectations.	Monthly and semi-annual progress reports, special topical internal reports on data issues, and updated datasets.
Encourage the use of NCRP and NPS data by external researchers through the development and dissemination of a research program.	The number of times BJS data are used or referenced in academic journals, publications and mass media outlets.	Number of times NCRP or NPS data is used in published papers (both BJS and external publications).

	Number of documents published.	Number of presentations at professional or academic conferences.  Number of published proposals, drafts of papers, final articles, or presentations.
Provide final data files and documentation needed to support the dissemination of the NPS and NCRP. These include the final datasets submitted to BJS and the data submitted to the archive at NACJD and for use in the BJS CSAT web tool.	Number of quality records reported in the CSAT web tool.  Percentage of deliverables (including final reports and data files) that meet BJS expectations for depth, breadth, scope, quality of study, and pertinence.  Percentage of deliverables (including final reports and data files) that are completed on time.	Complete documentation that data files meet BJS expectations for accuracy and completeness and that project tasks have been completed within the 12-month timeframe specified in the project period.  All applicable deliverables, including final reports and grantee statistical documents authored/co-authored with BJS.
Provide BJS with state-level estimates and forecasts of recidivism; overall prison population size; expected long-term prison population size; and statistical tables on prisoner characteristics.	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.
Expand linkage of NCRP to other administrative datasets.	Number of records/data in the database that are complete and accurate	Number of datasets to which NCRP can be linked.  Number of NDI matches to NCRP records processed for cause of death.

	Number of deliverables that meets expectations.	Obtain special sworn/ status at U.S. Census Bureau for at least one individual to work with linked data.  Number of states to allow incorporation of ASCA PBMS data into the NCRP.  Special reports on topics depending on the data to which NCRP can be linked: post-prison employment, wages, benefits, deaths, etc.
Develop, pilot test, and field test short NPS-1A surveys to be rotated on an annual basis.	Number of experts consulted in the development of surveys.  Number of states responding to NPS-1A surveys.  First draft of OMB clearance for pilot test and final collection.	Number of experts consulted in the development of surveys.  Continual communication with BJS regarding the design of questions, draft and final surveys, results from pilot tests, OMB clearance package draft, and final datasets.
Assist BJS in preparation of OMB packages for NPS-1B, NPS-1A, and the NCRP.	Deliverables that meet expectations	First draft of OMB clearance packages.

**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 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 data sets resulting in whole or in part from projects funded under this solicitation be submitted 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

Please note that applicants should submit **two budgets** in support of this solicitation: a 1-year budget to cover the initial 12 months of work and a 5-year budget to cover multiyear efforts described in the proposal. **Each budget should include a 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 [Financial Guide](#). For assistance with identifying your cognizant agency, please contact the Customer Service Center at 1-800-458-0786 or at [ask.ocfo@usdoj.gov](mailto:ask.ocfo@usdoj.gov). If DOJ is the cognizant federal agency, applicants may obtain information needed to submit an indirect cost rate proposal at [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 provide 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.

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<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.

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 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 data collected, 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 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.

BJA 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-2015-4106.
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) – 10%

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

#### **Project Design and Implementation** (Quality and technical merit) – 35%

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) – 35%

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 – 10%**

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.

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## **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**

### **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" 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, symposia, 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

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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)).



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 includes 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, semi-annual progress reports, final financial and progress reports, and 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 e-mail 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 e-mail 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 e-mail your resume to [ojpeerreview@lmbps.com](mailto:ojpeerreview@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

### National Prisoner Statistics Program (NPS) and National Corrections Reporting Program (NCRP), 2015–2019

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 35)

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

- \_\_\_\_\_ Acquire AOR and Grants.gov username/password (see page 35)
- \_\_\_\_\_ Acquire AOR confirmation from the E-Biz POC (see page 35)

##### *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 21)
- \_\_\_\_\_ Project Abstract (see page 21)
- \_\_\_\_\_ Program Narrative (see page 21)
- \_\_\_\_\_ Appendices (see page 27)
- \_\_\_\_\_ Budget Detail Worksheet (see page 29)
- \_\_\_\_\_ Budget Narrative (see page 29)
- \_\_\_\_\_ Employee Compensation Waiver request and justification (if applicable) (see page 19)
- \_\_\_\_\_ Read OJP policy and guidance on “conference” approval, planning, and reporting available at [www.ojp.gov/financialguide/PostawardRequirements/chapter15page1.htm](http://www.ojp.gov/financialguide/PostawardRequirements/chapter15page1.htm) (see page 19)
- \_\_\_\_\_ Disclosure of Lobbying Activities (SF-LLL) (see page 34)
- \_\_\_\_\_ Indirect Cost Rate Agreement (if applicable) (see page 30)

- \_\_\_\_\_ Tribal Authorizing Resolution (if applicable) (see page 30)
- \_\_\_\_\_ Applicant Disclosure of High Risk Status (see page 31)
- \_\_\_\_\_ Additional Attachments
  - \_\_\_\_\_ Applicant Disclosure of Pending Applications (see page 31)
  - \_\_\_\_\_ Research and Evaluation Independence and Integrity (see page 32)
- \_\_\_\_\_ Financial Management and System of Internal Controls Questionnaire (if applicable) (see page 34)