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## Bureau of Justice Statistics

# State Justice Statistics Program for Statistical Analysis Centers

*Program Application Guidelines  
2003*



# **State Justice Statistics Program for Statistical Analysis Centers**

## **Program Application Guidelines 2003**

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

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Director

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## Message from the Director, BJS

The State Justice Statistics (SJS) program represents BJS's commitment to assisting States in building their capacity to better serve needs within the State and to contribute to national data collection. The program impacts on the extent to which data can be used to improve strategies relating to homeland security, domestic violence, correctional policy, and law enforcement activity. Moreover, the program, since its inception, has been in the forefront of efforts to ensure that data are collected and maintained in a manner which ensures the integrity of the data and the confidentiality of the individuals to whom the data pertain. I believe that the Statistical Analysis Centers (SACS) supported with SJS funds constitute a vital link in national efforts to develop accurate and meaningful statistics describing the criminal justice process.

As the Director of BJS, I am particularly interested in the programs undertaken by individual States with SJS funds. Each year BJS selects areas which I believe are critical to current statistical policy efforts and which will make critical contributions to furthering the knowledge in areas of current concern. To maximize the impact of funds expended, the program targets specific issues and requires that funds be used to develop publications, data sets, and other products which can be shared. I believe that the emphasis on specific products provides the Nation with a body of resources which can be utilized by State, local, and national planners, strategists, and operational personnel.

The 2003 program cycle identifies six themes which states may address with SJS funds. States may also identify another theme provided that justification is provided for such an activity.

I am particularly emphasizing Theme 2003A which focuses on Deaths in Custody Reporting. Pursuant to legislative mandate, Deaths in Custody Reporting Act of 2000, PL 106-297, BJS is currently collecting data on deaths occurring in prisons, jails, and juvenile detention centers throughout the country. The next phase of the data collection involves collecting data on deaths occurring in the process of arrest. I believe that this is a very important area and that data which can be generated by the states will inform the criminal justice community so as to better support operational and policy decisions in this area. BJS encourages States to address this theme in their 2003 application.

I expect that in the near future, BJS will be required by the Congress to begin collecting data on the incidence of rapes and sexual assaults occurring in State and local adult and juvenile correctional facilities. This will be a very difficult effort and one which will require very close coordination and cooperation among all agencies involved. I have little doubt that in order to successfully implement this mandate, unprecedented cooperation will be necessary among all agencies. BJS contemplates the collection of both administrative data and the implementation of an audio-computer-assisted self-interviewing methodology (audio CASI) for estimating incidence.

We have also just completed the pretest of a commercial computer crime survey, sampling some 500 companies for participation during the last quarter of 2002. We are anticipating fielding a full survey to some 36,000 businesses nationwide during the next year — this will be the first-ever national estimate of the incidence of different types of computer crime and the sample will be drawn to be self-representing for the major economic sectors and categories of business.

As I noted above, I believe that protecting the confidentiality of data subjects is an extremely important national goal, necessary to further statistical and research efforts and to protect individuals in the current age of automation and increased potential for data access and release. This year's SJS announcement clarifies new procedures to ensure that proposed projects meet newly identified standards relating to the protection of human subjects of research and statistical activities. Specifically, the program requires that all applicants submit with their applications the Human Subjects Certificate of Compliance found at [www.ojp.gov/bjs/hscr.htm](http://www.ojp.gov/bjs/hscr.htm), which replaces the Human Subjects Screening Sheet. Applicants should understand that BJS is prohibited from providing funds for projects involving human subjects unless an Institutional Review Board (IRB) approves the project or determines that the project is exempt from such reviews. A BJS review of current State programs suggests that in most cases IRBs are either currently being used or are accessible. I have discussed this requirement with the Justice Research and Statistics Association (JRSA) and they will be available to provide technical assistance to States seeking guidance on establishing an IRB.

In closing, I want to commend the States for the excellent efforts which I believe have resulted from SAC activity. I believe that these efforts, coupled with the direction and guidance from JRSA, go far to upgrade to the overall level of statistical data available in the nation. I look forward to the continued efforts under the 2003 SJS program.

As always, BJS staff are available to assist you in the development of your projects and application. I would also urge you to spend some time on the BJS website [www.ojp.usdoj.gov/bjs/](http://www.ojp.usdoj.gov/bjs/) with particular attention to the BJS Data Online capabilities which provide users hands-on access to the data. Please let me know if you have any comments or suggestions on SJS or any of the statistics provided by BJS. Please feel free to write to me at [Larry.Greenfeld@usdoj.gov](mailto:Larry.Greenfeld@usdoj.gov). Again, thank you for the enormous contributions you continue to make to our Nation's intelligence on crime, delinquency, and justice and your participation in this very important partnership.

Lawrence A. Greenfeld  
Director  
Bureau of Justice Statistics

## State Justice Statistics Program Program Announcement, 2003

### A. Summary

This program announcement describes the guidelines and requirements of the 2003 State Justice Statistics (SJS) Program for Statistical Analysis Centers (SACs). Since 1972, the Bureau of Justice Statistics (BJS) and its predecessor agency, the National Criminal Justice Information and Statistics Service, have provided partial support to State and Territorial governments for the establishment and operation of Statistical Analysis Centers to collect, analyze, and report statistics on crime and justice to Federal, State, and local levels of government, and to share State-level information nationally. The information produced by SACs and their involvement in criminal justice projects has been and will continue to be critical to State, local, and Federal criminal justice agencies and community organizations as they develop programs and policies related to crime, illegal drugs, services to victims, and the administration of justice.

BJS's goal is to maintain and enhance each State's capacity to address criminal justice issues through collection and analysis of data. The State Justice Statistics (SJS) Program for Statistical Analysis Centers provides limited funds to each State to coordinate statistical activities within the State, conduct research as needed to estimate impacts of legislative and policy changes, and serve a liaison role in assisting BJS to gather data from respondent agencies within their States. Each application for

funding under this program must identify the participating organizations in the State and the particular issues to be addressed. Each year, BJS announces specific topics for analysis and encourages (*Section D*, below) applicants to give careful consideration to planning activities that fit within one or more of the designated topics. If a SAC does not feel that any of the topics are relevant to its own State, it may identify a topic or statistical activity of critical importance to its jurisdiction.

The SJS program themes are selected jointly by BJS and the Justice Research and Statistics Association (JRSA) staff and selected SAC Directors as reflective of issues of current concern and significance to criminal justice practitioners. JRSA also plays a role in publishing reports based on SJS themes and organizing an annual conference that helps SACs share results from their work. Some SJS funding priorities help build the infrastructure that allows SACs to collect and disseminate information to State, national, and international audiences.

BJS also administers the National Criminal History Improvement Program (NCHIP), which implements the grant provisions of the Brady Handgun Violence Prevention Act, the National Child Protection Act of 1993, the Stalker and Domestic Violence Reduction provisions of the Violence Against Women Act, the Crime Identification Technology Act (CITA), and related legislation. BJS has encouraged SAC directors to participate in their State's application for NCHIP funds, in addition to applying for funding related to crime

identification technologies through the SJS program.

BJS also continues to support those SACs located in States with a Safe Kids-Safe Streets program, administered by OJJDP, the Executive Office for Weed and Seed, and the Office on Violence Against Women.

### ***B. Goals and Objectives of the SJS Program***

In the United States, most criminal justice activities take place at State and local levels of government. The systematic collection and analysis of data on these activities enable BJS to comply with its charter to publish and disseminate statistical information on crime and the operation of justice systems, giving emphasis to State and local justice system needs. State and local governments use the data for policy analysis, planning, assessing justice system operations, and evaluating programs.

BJS is specifically authorized by statute (42 U.S.C. 3732) to provide assistance in the development of State and local government justice information systems, and directed to give primary emphasis to the problems of State and local justice systems (42 U.S.C. 3731). The SACs, each established by State legislation or executive order, are one important mechanism by which BJS fulfills its mandate under this statute. Currently, there are SACs in 49 States, the District of Columbia, Puerto Rico, and the Northern Mariana Islands.

## **1. Goals of BJS Support for Statistical Analysis Centers**

- Enhance the capabilities of the States to collect, analyze, and interpret data on justice issues relevant to the States and the Nation;
- Make maximum use of State statistical organizations and State-level data collected by BJS and other Department of Justice components;
- Provide a mechanism which supports the collection and sharing of vital justice system data among the States and between the States and the Federal Government; and
- Better serve the information needs of the States and Federal Government by providing a core body of knowledge about the administration of criminal justice in each State.

## **2. Objectives of the SJS Program**

Provide support to the SACs to —

- participate in projects whose research, data collection, and analysis is coordinated across States and which results in publications;
- produce statistical reports on crime, criminal offenders, and the justice system;
- develop improved justice statistical and information systems and maintain data service functions in the State; and
- support BJS data-gathering efforts in individual States.

### **C. Support to Established SACs**

All awards under the SJS Program will be made as cooperative agreements to a Statistical Analysis Center and will indicate the substantial involvement that BJS will have with each award.

Applicants may transfer funds to other organizations listed in their application, and some of the theme activities may require such arrangements with other organizations. Where SACs do not have authority for such a transfer of funds, applicants should contact their BJS state monitor for guidance. The purpose of this requirement is to foster cooperation within the State among agencies working on related BJS- or OJP-funded activities.

#### **SJS Program Priorities**

1. Collecting, analyzing, and publishing criminal justice data;
2. Analyzing data in support of public policy, especially on themes identified in *Section D* of this announcement or selected by the applicant in consultation with BJS;
3. Providing JRSA with data on highlighted themes for compilation and production of a national report;
4. Maintaining contact with BJS to ensure the efficient development and sharing of information with BJS, other States, and various users;
5. Informing BJS of the State's needs relative to statistical data;
6. Pursuant to BJS request, providing information and electronic data to the

National Archive of Criminal Justice Data, or other designated recipients;

7. Establishing and maintaining contacts with State criminal justice agencies, the courts, victims organizations, and local governments and their criminal justice agencies;
8. Assisting criminal justice agencies in defining their needs for specific statistical and other information for the planning, implementation, and evaluation of criminal justice programs; and
9. Providing technical assistance in the collection, interpretation, utilization, and sharing of statistical information.

Travel funds for this program should be used primarily for activities involving data collection and analysis, providing technical assistance and training, and being a liaison to other organizations. Travel to attend the annual BJS/JRSA national conference is limited to one person each year, unless BJS specifically authorizes additional conference travel.

Because of the limited funds available for each State, the use of program funds for indirect costs is strongly discouraged. All grant funds should be used to achieve specific program objectives.

#### **D. Themes for the 2003 SJS Cycle**

SACs applying for funds under this announcement may choose from among the themes listed below. Applicants may choose any number of projects from within one theme (unless otherwise specified), or a combination of projects

from more than one theme. It is recommended that not more than three topics be selected for a given project period. If a SAC chooses its own theme, it must provide persuasive documentation from its advisory committee, one or more branches of State government, or some other entity which explains and supports the decision to study this topic.

With relation to any theme or topic proposed for funding, the application should provide the background of your State's concern with the issue, a complete explanation of the methodology to be employed including databases and methods of analysis, any participation by other State agencies, and how conclusions and recommendations will be framed. Also, indicate political constraints (if any) which could impact the research, and what product will result. Since BJS contemplates that JRSA will assemble national reports where several States have addressed the same topic, BJS will support efforts to improve the quality of such compilations through coordination of the individual States' research and analysis.

Themes will be revised each year with the issuance of the new fiscal year program announcement. In some instances, the revised list of themes may be mailed to SACs and other participating agencies separately in advance of the release of the program announcement. The new list will also be posted to the BJS World Wide Web site on the Internet **<[www.ojp.usdoj.gov/bjs](http://www.ojp.usdoj.gov/bjs)>** so that SACs with access to the Internet can learn of them in that manner as well.

As other OJP budget and priority developments evolve, additional funding may be available for one or more of the theme topics. The first theme in each funding cycle's list is BJS's highlighted topic for the fiscal year; we strongly urge each State to consider this theme since BJS will be making extra efforts to generate a nationally visible document based on it. If you choose the highlighted topic and it carries additional funding, we suggest that you contact your BJS program manager for additional guidance before submitting an application.

These are the themes/topics applicable to the 2003 SJS Program:

**2003A. Deaths in Police Custody Reporting — Obtaining statewide data on deaths occurring in the process of arrest or in pursuit of arrest.** Pursuant to a legislative mandate, *Death in Custody Reporting Act of 2000 Pub. L 106-297*, BJS is currently carrying out the directives under this Act by obtaining data on deaths occurring in prisons, jails, and juvenile detention facilities throughout the country. The next phase of the data collection involves collecting data on deaths occurring "in the process of arrest". Examples of such deaths would include uses of lethal force by police, suicides occurring during arrest attempts, and deaths of arrestees resulting from drug overdoses, or other medical conditions (i.e. heart attacks, strokes, seizures).

BJS encourages assistance from State SACs to obtain specified data on these deaths and report them quarterly to BJS. The minimum data that must be collected



under the Act includes: name, gender, race, ethnicity and age of the deceased; also the date, time, and location of the death and a brief description of the circumstances surrounding the death. The Department of Justice is under an ongoing mandate to collect these data. Therefore, applicants wishing to address this theme would need to establish a long-term reporting process, rather than a one-time study.

**2003B. State and local victimization surveys which are compatible with BJS' National Crime Victimization Survey (NCVS), to include costs associated with sample selection, survey protocols, data collection, data tabulations, analysis and dissemination.** SACs receiving funds under this theme must agree to use the BJS developed Crime Victimization Survey Software, which can be easily modified to meet State/local priorities and requirements. SACs can download and review the software by going to [www.ojp.usdoj.gov/bjs/abstract/cvs.htm](http://www.ojp.usdoj.gov/bjs/abstract/cvs.htm). Technical assistance in the application of the software can be obtained at [askcvs@ncjrs.org](mailto:askcvs@ncjrs.org).

BJS encourages SACs to establish partnerships with cities or counties that may wish to conduct victimization and citizen attitude surveys on their own or in cooperation with SACs. This can occur in various forms, either by having the SAC be responsible for the conduct of the survey, or by the SAC providing technical assistance in the design of the survey, providing analytical services, disseminating survey results, etc. SACs receiving SJS funds under this theme agree to make anonymous survey data

available upon request to BJS and the public.

**2003C. Analysis of criminal history records (such as for patterns of criminal behavior or stalking), offender tracking/ system flow studies, evaluation or review of the State's criminal history record improvement activities, prosecution of firearm sale denials, or studies related to handgun use.** At most one topic may be proposed in this topic area. The application must either state that the applicant is also the State's administrator of NCHIP funds or include a letter or memorandum of endorsement from the State agency administering NCHIP funds.

**2003D. Internet infrastructure development, enhancements, and linkages, including building a World Wide Web site, computer support, and preparing reports for dissemination via the Internet.** Applicants may select an existing Internet server as the location for their site; if such an arrangement is impractical, applicants should contact BJS and JRSA in preparing their applications so that appropriate Internet site locations can be made available to SACs.

**2003E. Research using incident-based crime data that are compatible with the National Incident-Based Reporting System.** Successful applicants agree, when asked, to participate in feedback sessions convened by BJS regarding table structures, coding conventions, and other topics related to data analysis, presentation, and dissemination.

**2003F. Research involving computer related crimes (cybercrimes).**

Applications addressing this topic are encouraged to contact BJS and discuss proposed projects with staff involved in BJS's *Computer Crime Survey*.

**2003G. Any theme or topic that is identified by the SAC applicant** and is accompanied by persuasive documentation and justification that the subject is a top priority for the State's Governor or criminal justice policy officials.

***E. Eligibility Requirements***

The applicant SAC must be authorized by State legislation or executive order. The SAC must be a nonpartisan professional organization which serves all branches of the criminal justice system and all levels of government in the State as well as the general public. Objectivity, independence, and visibility are important considerations in determining its placement in the State government. It is desirable that the SAC not be part of an agency that has line responsibilities in criminal justice programs; if the SAC is located in such an agency (State Police, Department of Corrections, Administrative Office of the Courts, etc.), special provisions must be made to ensure the SAC's broad mission, objectivity, independence, and visibility. These provisions must be documented in each application for funding. Examples of such provisions are letters of agreement from agencies that deal with other aspects of criminal justice in the State, or a SAC advisory board that includes policy-level officials of such agencies. The SAC must inform BJS of any substantive changes in these provisions, such as changes in the advisory board's

structure or revisions in the scope of letters of agreement.

Applications for SAC funding must contain an explanation of the placement of the SAC within the State organization structure, including the SAC's relationship to the Governor's Office, to other relevant State agencies, and any other organizations included as recipients of funds in the application.

The SAC must be staffed by professionals skilled in the statistical treatment of data for policy analyses and familiar with the factors, issues, and processes involved in crime and the criminal justice system. Each application must identify the SAC director and other key personnel and must provide brief summaries of their qualifications. However, a duplicate qualification summary need not be provided if it was submitted as part of an earlier application. In the case of vacant positions, job descriptions must be provided. If the SAC directorship becomes vacant after an award is made, the recipient agency must notify BJS, and submit the position description and required qualifications to be used in recruiting a replacement. When a replacement is designated, a resume of the individual's qualifications must be submitted to BJS for approval.

State Statistical Analysis Centers are the only entities eligible to apply for funds under the SJS program. General applicants must meet the requirements for a SAC as specified in these Guidelines. The *Catalog of Federal Domestic Assistance* (CFDA) number for

the SAC program is 16.550 (Criminal Justice Statistics Development).

It is permissible for some or all of the work to be performed under the SAC's overall direction by other persons or organizations, such as other State agencies, universities, nonprofit research firms, and private consultants. If work will be performed outside of the SAC, the application must include the qualifications of those performing the work. A SAC that wishes to apply for funds in cooperation with another organization but lacks the authority to transfer funds to the cooperating organization should contact its BJS State monitor.

#### ***F. Selection Criteria***

In making decisions to award funds under this program, BJS will be the sole judge of whether the application meets program requirements and whether it is operating satisfactorily and conforms to all applicable Federal and State requirements. The amount of the award will be based on the strength of the justification for what it is seeking to do and accomplish during the award period. Final authority on funding decisions is vested in the Director of BJS. Each application should contain a statement of the intended project's goals and objectives; the proposed strategy for achieving them, including anticipated products; and an evaluation of the project.

The criteria for review and selection include:

1. Applications should be written so that each task or activity is costed separately and in priority order.

Applicants are encouraged to attach a product to each task, such as a report or publication.

2. Organizational integrity, technical competence, and organizational placement of the applicant and other organizations proposed for funding;
3. Experience of applicant's personnel in similar work;
4. Technical soundness and completeness of the proposed approach;
5. Appropriateness of the project schedule and budget;
6. Past record of applicant's performance with previous awards, including quality of work, completeness, and adherence to schedules; and
7. The extent to which the program narrative addresses specific objectives of the SJS program, and the dollar resources needed to achieve them.

#### ***G. Status of Prior SJS Projects***

1. Applications must include the status of each award your SAC received in fiscal years 1999 through 2002. List by Theme the project(s) and associated products you proposed to conduct/produce during the grant period. If any were significantly revised or replaced, briefly describe the revisions/replacements.

2. For each project, indicate the status of it by the following categories: Completed, In Process, or Revised/ Replaced. For the last one, please indicate if it is Completed or In Process.
3. For each product, state if it has been Published, Presented at a Public Meeting, or otherwise Recognized by whatever means.

### **H. Award Period**

Awards made under this announcement will be in the form of a cooperative agreement. Awards normally will be for 12 months, but can be longer if the applicant chooses.

No-cost extensions may be granted by BJS for good cause (for example, under-spending due to an unavoidable staff vacancy). Extensions should be requested in writing at least 30 days in advance of the award's scheduled expiration date; requests that are received later may not be approved. BJS will not approve any extension of more than 1 year beyond the original expiration date of the award.

### **I. Award Amount**

No minimum or maximum amount is established for an award. While the amount of past SAC awards may be used as a guide when preparing the application, sufficiently strong justification of tasks and activities could result in an award greater than that in the past; a weak justification may result in a smaller award. Each award is intended to supplement State financial support of the SAC.

### **J. When to Apply**

Applications should be submitted to BJS at least 90 days before the requested starting date for the initial award to a SAC applying under this guideline. For funding in FY 2003, applications should be received by BJS no later than June 15, 2003. Applications received after June 15th may be deferred until the next fiscal year, beginning October 1, 2003.

A SAC may apply for funding at any time for a theme which carries additional dollar resources if, at the time it submitted its normal annual application, that theme had not been identified as such.

### **K. Protection of Human Subjects: Institutional Review Boards**

All applicants must complete and submit with their application the *Human Subjects Protection Certification of Compliance* found at [www.ojp.usdoj.gov/bjs/hscr.htm](http://www.ojp.usdoj.gov/bjs/hscr.htm). The Certification of Compliance has replaced the Human Subjects Screening Sheet.

For all research and statistical activities supported by BJS that involve human subjects, SACs are responsible for including in their application:

- (1) A certification of approval of the research project/statistical activity from an Institutional Review Board (IRB) or
- (2) A determination by an IRB that the research project/statistical activity is exempt from the federal human subjects protections found at 28 CFR 46.101(b).

BJJ is prohibited from providing funds for projects involving human subjects unless an IRB approves the project or determines that it is exempt from Federal regulations. If a researcher believes that a proposed research project is exempt from federal human subjects protections, the researcher must provide BJJ with supporting documentation from an IRB.

Researchers utilizing U.S. Department of Justice funds are expected to design and perform their research to ensure that the dignity, welfare, and privacy of individual research subjects are protected. For more information concerning U.S. Department of Justice privacy requirements, see *Section L, Privacy Certificate*. Researchers have an important legal and ethical responsibility to protect those human beings who serve as subjects of research. In certain cases, these legal and ethical responsibilities require that an IRB review the research project to ensure that human subjects receive all of the protections to which they are entitled under Federal regulations.

### **Is IRB approval required for all SAC research projects?**

No. There are 5 instances in which IRB approval is not needed.

- IRB approval is not needed for research projects that are not designed to contribute to generalizable knowledge. Examples of projects that do not contribute to generalizable knowledge may include: projects where the results are intended for limited distribution, projects designed for internal agency use, operational activities such as

program evaluation or monitoring, and web site development/improvement.

- SAC research projects that are funded entirely with State funds are not subject to the Federal human subjects protections.
- IRB approval is not needed if all of the data used that pertains to living individuals are publicly available, from public sources, commercial sources, or any other source.
- IRB approval is not needed if the researcher is seeking private information about a human subject and no personal identifiers are obtained by the researcher at any point in the project.
- IRB approval is not needed if human subjects are not involved in the research.

### **What is research involving a “human subject”?**

Federal regulations define a “human subject” in two ways (28 CFR 46.102(f)).

First, a “human subject” is defined as “a living individual about whom an investigator (whether professional or student) conducting research obtains data through intervention or interaction with the individual.” Therefore, if a researcher obtains any data about a living individual by communicating with that person, human subjects are involved in the research.

Second, if the researcher obtains “identifiable private information” about a living person, human subjects are involved in the research. The source of the identifiable private information is irrelevant. If a researcher obtains identifiable private information about a living person from any source including records about the person (e.g., criminal history records, arrest records, case files), interviews with the person, or interviews with third parties, human subjects are involved in the research.

“Identifiable information” is information from which the identity of the subject may be readily ascertained. This information is “private” if the individual has a reasonable expectation that it will not be made public.

If the researcher obtains identifiable information about a living individual and the information is publicly available, human subjects are not involved in the research.

If the researcher is seeking private information about a living individual and no personal identifiers are obtained by the researcher at any point in the project, human subjects are not involved in the research.

### **How do I obtain IRB approval?**

If your agency does not currently have access to an IRB, there are two ways to obtain IRB review.

#### **(1) Contact an IRB within your State.**

It is common for agencies without IRBs to seek and obtain access to functioning IRBs that are affiliated

with other organizations. It may be more efficient to contact an existing IRB than to devote resources and create your own IRB.

The Office for Human Research Protections, U.S. Department of Health and Human Services maintains a list of organizations in each State that operate IRBs which have been registered with the Office for Human Research Protections. Categorized by State, this list of IRBs is updated every weekday and may be found at [ohrp.cit.nih.gov/search/irstepck.asp?>](http://ohrp.cit.nih.gov/search/irstepck.asp?>).

#### **(2) Establish your own IRB and register it with the Office for Human Research Protections, U.S.**

**Department of Health and Human Services.** The establishment of an IRB is done by adhering to the requirements for IRB membership that are listed at 28 CFR 46.107. After the IRB members are obtained, written procedures must be developed in accordance with 28 CFR 46.103.

The IRB must be registered with the Office for Human Research Protections, U.S. Department of Health and Human Services. This registration may be completed online. Step by step instructions for registering IRBs may be found at: [osophs.dhhs.gov/humansubjects/assurance/regirbi.htm](http://osophs.dhhs.gov/humansubjects/assurance/regirbi.htm)>

If you require assistance to establish an IRB, JRSA staff are available to provide guidance. Contact Stan Orchowsky, Ph.D., JRSA Research Director at (202) 842-9330.

### ***L. Privacy Certificate***

U.S. Department of Justice regulations require that every applicant for federal funding from OJP submit a privacy certificate for research or statistical projects that collect information identifiable to a private person (28 CFR 22.23(a)).

BJIS requires that all grantees submit a completed Privacy Certificate to ensure their compliance with all applicable federal privacy regulations. If the research project in question does not involve information identifiable to a private person, the Privacy Certificate should so state. A Model Privacy Certificate and instructions may be found at [www.ojp.usdoj.gov/bjis/hscr.htm](http://www.ojp.usdoj.gov/bjis/hscr.htm).

### ***M. Contact***

For further information, contact Stephanie L. Evans, SJS Program Coordinator, at (202) 514-9012, by e-mail at [evans@ojp.usdoj.gov](mailto:evans@ojp.usdoj.gov), or your State program manager.

## **Application Content**

The Office of Justice Programs (OJP) now requires that funding applications be submitted through the OJP Grants Management System (GMS). Access through the Internet to this online application system will expedite and streamline the receipt, review, and processing of funding requests. Applications will only be accepted through the GMS online application system.

To learn how to begin the online application process, please refer to the Quick-Start Guide to using the Office of Justice Programs' Online Grants Management System (GMS) on page 22. A toll-free telephone number (1-888-549-9901) has been established to provide applicants with technical assistance. All applicants must submit:

- Standard Form 424, Application for Federal Assistance
- Assurances and Certifications
- Program Attachments (3)

Attachment #1: Budget Detail Worksheet and budget narrative

Attachment #2: Program Narrative (including an explanation of the placement of the SAC within the State organizational structure, a brief summary of the qualifications of the SAC Director and other key personnel, the status of prior year awards, and the description of tasks to be funded)

Attachment #3: Other Program

Attachments (including the *Human Subjects Protection Certification of Compliance* and the Privacy Certificate)

An application checklist has been provided for your convenience on page 22.

**Application for Federal Assistance (SF-424).** The SF-424, is a standard form used by most Federal agencies. It contains 18 items that are to be completed online in the Overview, Applicant Information, and Project Information section of the OJP GMS.

### **Assurances and Certificates.**

Applicants are required to review, accept, and "sign off" on these assurances and certifications electronically through GMS. Please verify that the name, address, telephone number, fax number, and e-mail address of the authorizing official on these online forms are correct.

**Assurances.** The applicant must comply with the assurances in order to receive Federal funds under this program. It is the responsibility of the recipient of Federal funds to fully understand and comply with these requirements. Failure to comply may result in withholding of funds, termination of the award, or other sanctions.

**Certifications Regarding Lobbying; Debarment, Suspension, and Other Responsibility Matters; and Drug-Free Workplace.** Applicants are required to review and check off the box on the certification form included in their online application process.



This form commits the applicant to compliance with the certification requirements under 28 CFR Part 69, "New Restrictions on Lobbying," and 28 CFR Part 67, "A Government-wide Debarment and Suspension (Nonprocurement) and Government-wide Requirements for a Drug-Free Workplace (Grants)."

### **Attachments (3)**

**Budget Detail Worksheet (Attachment #1).** Applicants must provide a detailed justification for all costs, including the basis for computation of these costs. For example, the detailed budget would include the salaries of staff involved in the project and the portion of those salaries to be paid from the award; fringe benefits paid to each staff person, travel costs related to the project; equipment to be purchased with the award funds; and supplies required to complete the project.

**Budget Narrative.** The budget narrative should detail costs included in each budget category for the Federal share. The purpose of the budget narrative is to relate items budgeted to project activities and to provide justification and explanation for budget items, including criteria and data used to arrive at the estimates for each budget category. The budget narrative should also indicate amounts to be made available to sub-recipient agencies (under Contractual/ Contracts category) other than the direct award recipient. The following information is provided to assist the applicant in developing the budget narrative:

- a. *Personnel category.* List each position by title (and name of employee if available), show annual salary rate and percentage of time to be devoted to the project by the employee. Compensation paid for employees engaged in federally assisted activities must be consistent with that paid for similar work in other activities of the applicant.
- b. *Fringe benefits category.* Indicate each type of benefit included and explain how the total cost allowable for employees assigned to the project is computed.
- c. *Travel category.* Itemize travel expenses of project personnel by purpose (e.g., faculty to training site, field interviews, advisory group meetings, etc.) and show basis or computation (e.g., "Five trips for x purpose at \$80 average cost \$50 transportation and 2 days per diem at \$15" or "Six people to 3-day meeting at \$70 transportation and \$45 subsistence.") In training projects where travel and subsistence for trainees is included, this should be separately listed indicating the number of trainees and the unit costs involved.
  - (1) Identify the tentative location of all training sessions, meetings, and other travel.
  - (2) Travel costs are allowable as expenses by employees who are in travel status on official

business. These costs must be in accordance with the Federal or an organizationally approved travel policy.

- (3) Recipients may follow their own established travel rates. If a recipient does not have an established travel policy, the recipient must abide by the Federal travel policy. Sub-recipients of States must follow their State's established travel policy. If a State does not have an established travel policy, the sub-recipient must abide by the Federal travel rates.
- d. *Equipment*. List each type of equipment to be purchased or rented with unit or monthly costs.
- e. *Supplies*. List items within this category by major type (office supplies, training materials, research forms, postage) and show basis for computation. Provide unit or monthly estimates.
- f. *Contractual category*. State the selection basis for any contract, subcontract, prospective contract or prospective subcontract (including construction services and equipment). Please note, applications that include noncompetitive contracts for the provision of specific services must contain a sole source justification for any procurement in excess of \$100,000.
- For individuals to be reimbursed for personal services on a fee basis, list by name or type of consultant or service, the proposed fee (by day, week, or hour) and the amounts of time to be devoted to such services. For construction contracts and organization (including professional associations and education institutions performing professional services), indicate the type of service to be performed and the estimated contract cost data.
- g. *Construction category*. Describe construction or renovation which will be accomplished using funds awarded and the method used to calculate cost.
- h. *Other category*. Include under "other" such items as rent, reproduction, telephone, and janitorial or security services. List items by major type with basis of computation shown. (Provide square footage and cost per square foot for rent. Provide local and long distance telephone charges separately.)
- i. *Indirect charges category*. The Agency may accept an indirect cost rate previously approved for an applicant by a Federal agency. Applicants must enclose a copy of the approved rate agreement with the grant application.
- j. *Program income*. If applicable, provide a detailed estimate of the amount of program income to be generated during the grant period

and its proposed application to reduce the cost of the project or to increase the scope of the project. Also, describe the source of program income, listing the rental rates to be obtained, sale prices of publications supported by grant funds, and registration fees charged for particular sessions. If scholarships (covering, for example, registration fees) are awarded by the organization to certain conference attendees, the application should identify the percentage of all attendees that are projected as "scholarship" cases and the precise criteria for their selection.

**Program Narrative (Attachment #2).**

The program narrative should fully describe the status of previous SAC awards and the expected design and implementation of the proposed program. In developing the narrative, refer to the program design (permitted core and noncore activities) as described in the program announcement.

The narrative should include a timeline of activities indicating, for each proposed activity, the projected duration of the activity, expected completion date, and any products expected.

In addition, the application should include an explanation of the placement of the applicant agency within the State organization structure; a description of the roles and responsibilities of key organizational and/or functional components involved in project activities; and a list of key personnel responsible for managing and

implementing the major elements of the program.

**Other Program Attachments**

**(Attachment #3).** The following required documents should be submitted on-line through GMS as a single file attachment:

- *Human Subjects Protection Certification of Compliance*, and
- Privacy Certificate

**Financial and Administrative Requirements**

Discretionary grants are governed by the provisions of OMB Circulars applicable to financial assistance. The circulars, in addition to the information and guidance in "OJP Financial Guide", are available from the Office of Justice Programs. This guideline manual, provided upon request, is intended to assist grantees in the administration of funds and includes information on allowable costs, methods of payment, audit requirements, accounting systems, and financial records.

Complete and accurate information is required relative to the application, expenditure of funds, and program performance. The consequences of failure to comply with program guidelines and requirements will be determined at the discretion of the Department of Justice.

## **Reporting Requirements**

### **Semi-Annual Progress Reports.**

Recipients are required to submit semi-annual progress reports online through GMS. The progress reports describe activities during the reporting period and the status or accomplishment of objectives as set forth in the approved award documents and/or subsequently approved project time lines. Progress reports must be submitted within 30 days after the end of the reporting periods, which are **June 30 and December 31** for the life of the award.

A final report which provides a summary of progress toward achieving the goals of the grant, major project activities, significant results, and any products developed, is due 120 days after the end of the grant.

**Financial Status Reports.** Financial status reports (SF 269A) are due quarterly by the 45th day following the end of each calendar quarter. A report must be submitted online through GMS every full quarter that the award is active. The final report is due 120 days after the end date of the award.

Fund drawdowns and future awards may be withheld if progress and financial reports are delinquent.

### **Civil Rights Obligations**

All applicants for Federal financial assistance must review, accept, and “sign-off” on Certified Assurances that they are in compliance with the Federal laws and regulations which prohibit discrimination in any program or activity

that receives such Federal funds. Section 809(c), Omnibus Crime Control & Safe Streets Act of 1968, 42 U.S.C. 3789d, provides that:

No person in any State shall on the grounds of race, color, religion, national origin, sex [or disability]\* be excluded from participation in, be denied the benefits of, or be subjected to discrimination under, or denied employment in connection with any program or activity funded in whole or in part with funds made available under this title.

\*Section 504 of the Rehabilitation Act of 1973, and Title II of the Americans With Disabilities Act prohibit identical discrimination on the basis of disability.

The applicant agency must discuss how it will ensure nondiscriminatory practices as they relate to:

- (1) Delivery of Services or Benefits — to ensure that individuals will not be denied access to services or benefits under the program or activity on the basis of race, color, religion, national origin, gender, age, or disability;
- (2) Employment Practices — to ensure that its personnel in the program or activity are selected for employment without regard to race, color, religion, national origin, gender, age, or disability; and
- (3) Program Participation — to ensure members of any planning, steering or advisory board, which is an integral part of the program or

activity, are not excluded from participation on the basis of race, color, religion, national origin, gender, age or disability; and to encourage the selection of such members who are reflective of the diversity in the community to be served.

### ***Audit Requirement***

On June 30, 1997, the Office of Management and Budget issued Circular A-133, "Audits of States, Local Governments and Non-Profit Organizations," which establishes regulations to implement the Single Audit Act of 1996. This Circular A-133 outlines the requirements for organizational audits which apply to BJS grantees.

Recipients which expend \$300,000 or more of Federal funds during the fiscal year are required to submit an organization-wide financial and compliance audit report. The audit must be performed in accordance with the U.S. general Accounting Office Government Auditing Standards.

The audit reports will be due nine (9) months after the end of the recipient's fiscal year. The completed audit reports for State and local governments, institutions of higher learning, and non-profit institutions should be mailed to:

**Federal Audit Clearinghouse  
Bureau of the Census  
1201 East 10th Street  
Jeffersonville, IN 47132**

In addition, a copy of the transmittal letter should be mailed to the Office of Justice Programs at:

**Office of the Comptroller  
Control Desk, Room 5303  
810 7<sup>th</sup> Street, NW  
Washington, DC 20531-0001**

### ***Disclosure of Federal Participation***

Section 8136 of the Department of Defense Appropriations Act (Stevens Amendment), enacted in October 1988, requires that, "when issuing statements, press releases for proposals, bid solicitations, and other documents describing projects or programs funded in whole or in part with Federal money, all grantees receiving Federal funds, including but not limited to State and local governments, shall clearly state:

- (1) the percentage of the total cost of the program or project which will be financed with Federal money, and
- (2) the dollar amount of Federal funds for the project or program."

### ***Intergovernmental Review of Federal Programs***

Federal Executive Order 12372, "Intergovernmental Review of Federal Programs," allows States to establish a process for reviewing Federal programs in the State, to choose which programs they wish to review, to conduct such reviews, and to make their views known to the funding Federal agency through a State "single point of contact."

If the State has established a "single point of contact," and if the State has selected this program to be included in its review process, the applicant must send a copy of its letter or application to the State "single point of contact" at the same time that it is submitted to BJS. The letter or application submitted to BJS must indicate that this has been done. The State must complete its review within 60 days. The review period will begin on the date that the letter or application is officially received by BJS. If BJS does not receive comments from the State's "single point of contact" by the end of the review period, this will be interpreted as a "no comment" response.

If the State has not established a "single point of contact," or if it has not selected the BJS statistics development or criminal history improvement programs in its review process, this must be stated in the letter or application.

## Quick-Start Guide to Using the Office of Justice Programs' Online Grants Management System (GMS)

**Step 1.** Using an established Internet account, go to [www.ojp.usdoj.gov/fundopps.htm](http://www.ojp.usdoj.gov/fundopps.htm). An online Applicant Procedures handbook is available on this page, and applicants may link directly to OJP's Grants Management System (GMS), which will provide online help screens. Note: Applicants without an Internet account should call the GMS Hotline at 1-888-549-9901 for assistance.

**Step 2.** Click on "Logon to the Grants Management System (GMS)"

**Step 3.** Follow the on-screen instructions. First time users should click on "New User? Register Here." Applicants who already have a GMS password should click on "GMS Sign-in." Proceed to the BJS State Justice Statistics Program for Statistical Analysis Centers Program Announcement, 2003, and begin working on it. Applicants will receive e-mail confirmation from BJS that they are eligible to submit an application within 7 days.

**Plan ahead:** Applicants can register at any time and are encouraged to do so as soon as possible.

**Please note:** Applicants must ensure that the information for the authorizing official and alternate contact is entered correctly. The authorizing official is the individual authorized to accept grant funds in your organization. If the individual applying online is not the signing authority, that individual must list the authorizing official's name and contact information where appropriate.

**Questions or Problems:** Applicants who have questions should refer to the online handbook or access applicable help screens. If the questions cannot be addressed by accessing the online GMS reference tools, call the GMS Hotline at 1-888-549-9901. Previous users should contact the GMS Hotline if they are having difficulty with their user ID and password.

**Step 4.** Complete the online Application for Federal Assistance (SF-424) by providing the required information in the Overview, Applicant Information, and Project Information screens.

**Step 5.** Complete the application by electronically "accepting" the Assurances and Certifications and submitting the three required file attachments: Budget Detail Worksheet, Program Narrative, and Other Program Attachments. (See the Application checklist on the following page and application requirements in the Program Announcement for detailed instructions about the information to include in each of these attachments.) **Please note that applicants must upload one file per attachment. Only the most current file uploaded to the appropriate attachment will be saved as part of the application.** All sections of each attachment must be completed for your application to be considered for funding.

**Submit your completed application online.** The GMS system will notify the applicant that the application has been received and sent to BJS and provide an application identification number for future reference.

**Applicants who have any questions about GMS or need technical assistance with applying online should contact the GMS Hotline at 1-888-549-9901.**

## Application Checklist

### State Justice Statistics Program for Statistical Analysis Centers, 2003

All applications must be electronically submitted through the Office of Justice Programs' Grants Management System (GMS), which can be accessed at [www.ojp.usdoj.gov/fundopps.htm](http://www.ojp.usdoj.gov/fundopps.htm). Please use this checklist to make sure your application is complete. Your GMS application must include:

#### Online Forms

\_\_\_\_\_ **Application for Federal Assistance (Standard Form 424).** This form is generated by completing the on-screen Overview, Applicant Information, and Project Information screens in GMS.

\_\_\_\_\_ **Assurances and Certifications.** The assurances and certifications must be reviewed and accepted electronically by the authorizing official or the designated authorizing official.

#### Attachments (3)

\_\_\_\_\_ **Budget Detail Worksheet and Budget Summary (Attachment #1).** The Budget Detail Worksheet must present a detailed budget that itemizes all proposed costs and must include a budget narrative that provides justification for all proposed costs. A Budget Summary should also be included.

\_\_\_\_\_ **Program Narrative (Attachment #2).** The Program Narrative must include information as described in the program announcement (see SJS Program Announcement, 2003 pg. 16 for specific information that should be included in this attachment).

\_\_\_\_\_ **Other Program Attachments (Attachment #3).** All attachments must be in one file.

\_\_\_\_\_ Human Subjects Protection Certification of Compliance

\_\_\_\_\_ Privacy Certificate

Please refer to corresponding sections in the Program Announcement to determine specific content of each of these sections.