



The [U.S. Department of Justice](#) (DOJ), [Office of Justice Programs](#) (OJP), [Bureau of Justice Statistics](#) (BJS) is pleased to announce that it is seeking applications from state Statistical Analysis Centers to receive funding under the 2013 State Justice Statistics (SJS) Program. This program furthers the Department's mission by supporting the collection, analysis, and dissemination of statistical information on crime and criminal justice at the state and local level. BJS is specifically authorized by federal statutes to provide assistance in the development of state and local government justice information systems, and BJS is directed to give primary emphasis to the problems of state and local justice systems (42 U.S.C. § § 3731, 3732). The state Statistical Analysis Centers (SACs), each established by state legislation or executive order, are one important mechanism by which BJS fulfills its mandate under these statutes. For the purpose of this solicitation the term "state" includes the District of Columbia and U.S. territories.

State Justice Statistics Program for Statistical Analysis Centers, 2013

Eligibility

Eligible applicants are limited to Statistical Analysis Centers (SACs) established by state legislation or executive order. (See more information in "Eligibility" section on page 4.)

Deadline

Applicants must register in [OJP's Grants Management System](#) (GMS) prior to submitting an application for this funding opportunity. Select the "Apply Online" button associated with the solicitation title. (See "How to Apply," page 20.) All registrations and applications are due by 5:00 p.m. eastern time on Wednesday, March 27, 2013. (See "Deadlines: Registration and Application," page 3.)

Contact Information

For technical assistance with submitting an application, contact the Grants Management System Support Hotline at 888-549-9901, option 3 or via e-mail at GMS.HelpDesk@usdoj.gov.

Note: The [GMS](#) Support Hotline hours of operation are Monday – Friday from 6:00 a.m. to midnight eastern time, except federal holidays.

For assistance with any other requirements of this solicitation, contact Devon B. Adams, Chief, Criminal Justice Data Improvement Program, by telephone at 202-307-0765, or by e-mail at askbis@usdoj.gov. Include SJSSAC13 in the subject line.

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State Justice Statistics Program for Statistical Analysis Centers, 2013 (CDFA # 16.550)

Overview

This program announcement describes the guidelines and requirements of the FY 2013 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 support to state and territorial governments to establish and operate SACs 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 have been, and will continue to be, critical to federal, state, and local criminal justice agencies and community organizations as they develop programs and policies related to crime, illegal drugs, victim services, and the administration of justice.

The SJS Program is designed to maintain and enhance each state's capacity to address criminal justice issues through the collection and analysis of data. The program provides limited funds to coordinate statistical activities within the state, conduct research to estimate the impacts of legislative and policy changes, and serve as a liaison role to assist BJS with gathering data from respondent agencies in their states. Each application for funding under this program must specify the participating organizations in the state and the particular issues to be addressed. Each year, BJS designates specific topics for analysis and encourages applicants to give careful consideration to planning activities that fit within one or more of the designated topics (see section SJS Program Themes). If a SAC does not feel that any of the topics are relevant to its state, then it may identify a topic or statistical activity of critical importance to its jurisdiction.

The SJS program themes are selected jointly by BJS, the Justice Research and Statistics Association (JRSA), and selected SAC directors. The themes reflect the issues of current concern and significance to criminal justice practitioners. JRSA also plays a role in publishing reports based on SJS themes and organizes an annual conference that helps SACs to share the 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.

Deadlines: Registration and Application

Applicants must register in GMS prior to submitting an application for this funding opportunity. The deadline to register in GMS is 5:00 p. m. eastern time on March 27, 2013, and the deadline to apply for funding under this announcement is 5:00 p.m. eastern time on March 27, 2013. See "How to Apply" on page 20 for details.

Eligibility

State SACs 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 applicant SAC must be authorized by state legislation or executive order. The SAC must be a nonpartisan professional organization, serving all branches of the criminal justice system and all levels of government in the state and 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 (e.g., state police, department of corrections, or administrative office of the courts), 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 structure of the advisory board 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. A current list of SAC's in each state is available at: www.jrsa.org/sac/saclist.html.

The SAC must be staffed by professionals skilled in the application of statistical methods and techniques, including a SAC director whose background includes the education and experience appropriate to the position. SAC staff should be 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.

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.

Program- Specific Information

Goals, Objectives, and Deliverables

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 authority 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 these data for policy analysis, planning, assessing justice system operations, and evaluating programs. BJS is specifically authorized by federal statutes to provide assistance in the development of state and local government justice information systems, and BJS is directed to give primary emphasis to the problems of state and local justice systems (42 U.S.C. §§ 3731, 3732). 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 50 states, the District of Columbia, Puerto Rico, and the Northern Mariana Islands.

The SJS Program is designed to—

- enhance states' capabilities to collect, analyze, and interpret data on justice issues relevant to the states and to 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 for collaboration among the states and the federal government to collect, maintain, and build data systems having common informational components, and to share state-specific information pertaining to vital justice system data;
- share research, definitions, data collection methods, survey materials and techniques, and data analysis procedures among the states and the federal government, to improve the availability, quality, and comparability of the data, and to reduce the burden on these entities to collect and disseminate this information; and
- better serve the information needs of the states and federal government by providing a core body of knowledge on the administration of criminal justice in each state.

Support to State Statistical Analysis Centers

All awards under the SJS Program will be made as cooperative agreements to SACs 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 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 among agencies in the state that are working on related BJS- or OJP-funded activities. Support is provided to SACs for—

1. collecting, analyzing, and publishing criminal justice data;
2. analyzing data in support of public policy, especially on the themes identified in this announcement or selected by the applicant in consultation with BJS;
3. providing JRSA with data on program themes for compilation and the production of a national report;

4. maintaining contact with BJS to ensure that information is developed and shared efficiently with BJS, other states, and various users;
5. informing BJS of states' needs relative to statistical data;
6. providing information and electronic data to the National Archive of Criminal Justice Data (NACJD), or other designated recipients pursuant to BJS request;
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 with defining their needs for specific statistical and other information needed to plan, implement, and evaluate criminal justice programs; and
9. providing technical assistance to collect, interpret, use, and share statistical information.

Travel funds for this program should be used primarily for in-state activities involving data collection and analysis, providing technical assistance and training, and being a liaison to other organizations.

SJS Program Themes

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 for the 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 or local 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 takes into consideration that JRSA will assemble national reports that include topics addressed by several states, BJS will support efforts to improve the quality of such compilations through coordination of the individual states' research and analysis. SJS themes for FY 2013 are—

1. Arrest-Related Deaths (ARD) Reporting - Obtaining statewide data on deaths occurring in the process of arrest or in pursuit of arrest. BJS collected data under the Death in Custody Reporting Act of 2000 (DICRA), which consists of three separate collections that collectively cover deaths of suspects and offenders from the time that suspects come in contact with law enforcement through the time that offenders are incarcerated in jail or prison. Although DICRA expired in 2006, BJS remains committed to maintaining the goals of the legislation and continues to collect data on deaths occurring in prisons, jails, and during the process of arrest. Examples of deaths that are “arrest related” include vehicular and other fatalities resulting from flight from arrest, uses of lethal force by police, suicides occurring during arrest attempts, and

deaths of arrestees resulting from drug overdoses, or other medical conditions (e.g. heart attacks, strokes, seizures) or deaths occurring during transport to a holding facility, jail, or booking center. BJS continues to request assistance from state SACs to obtain specified data on these deaths and report them annually, at minimum, to BJS. Data elements include characteristics about the decedent (name, sex, race, ethnicity, date of birth), characteristics about the interaction with law enforcement (time and date of the incident, the law enforcement agency involved, weapons or tactics used by the decedent or law enforcement), and characteristics of death (time and date of death, manner and cause of death). BJS has established this data collection as an ongoing statistical series. Therefore, applicants wishing to address this theme may use SJS program funds to establish a long term reporting process, rather than a one-time study. The role of a SAC for the ARD program is to identify all arrest-related deaths, compile information from valid sources regarding the circumstances related to the death, complete CJ-11 and CJ-11A forms, and submit data in a timely manner. Additional guidance and reporting requirements are available on the BJS website at www.bjs.gov/content/pub/pdf/ard_reporting_information.pdf.

2. Criminal justice system crisis planning. The SAC may wish to pursue research or data collection to support criminal justice system planning for dealing with major crises, disorders, or other catastrophic incidents. Among other issues, SACs may wish to examine—

- a. prisoner relocation and/or alternative housing needs;
- b. maintaining continuity in monitoring or tracking probationers, parolees, registered sex offenders, etc.;
- c. backup records systems in the courts or other entities;
- d. use of law enforcement mutual-aid agreements and/or cross-jurisdictional designations; and
- e. identification of vital records for the criminal justice system.

3. Increased access to data. SJS funds could be used by the SAC under this theme for Internet infrastructure development, enhancements, and linkages, including building a website, computer support, and preparing reports for dissemination via the Internet. BJS encourages website enhancements that include downloadable datasets and spreadsheets, online analytic capabilities, graphical presentations, and animation designed to present and explain movement of trends. The SJS funds could also be used to implement interfaces or data exchange technologies that improve access to data and systems maintained by other state or local entities, including departments of correction, prison, parole, probation, prosecutor, judicial, victim service, and law enforcement agencies.

4. Performance measurement. SJS funds may be used by the SAC to help the state develop and improve performance measures and make tools available to agencies to assess progress in addressing public safety and administration of justice goals.

5. Analyses utilizing a state's criminal history records. BJS encourages SACs to utilize the state's criminal history records for research. In particular, the SAC may wish to seek SJS funds to support studies of—

- a. patterns of criminal behavior such as sex offending, stalking, or domestic violence;
- b. arrests, prosecutions, and convictions for firearms-related offenses;

- c. prisoner and/or probationer recidivism, including rates of rearrest, reconviction, and return to custody;
- d. the implementation and/or impact of programs such as drug courts, prisoner reentry initiatives, or specialized probation programs; or
- e. the implementation and/or impact of a state's criminal history record improvement activities.

Funds may be requested to establish the technical capacity to conduct criminal history records-based research. The application must either state that the applicant is also the state's administrator of National Criminal History Improvement Program (NCHIP) funds or include a letter or memorandum of endorsement from the state agency administering NCHIP funds.

6. Statewide crime victimization surveys. SJS funds may be used by the SAC to support implementation of a statewide crime victimization survey designed to provide state-regional-, or local-level estimates of victimization in the state and allow comparison with national estimates provided by BJS' National Crime Victimization Survey.

7. Analysis of the uses of new or emerging biometric technologies to improve the administration of criminal justice. SJS funds may be used by the SAC to support research that describes and examines uses of new or emerging biometric technologies (i.e., DNA evidence collection/analysis or facial recognition) to improve the administration of criminal justice in a state.

8. Research using incident-based crime data that are compatible with the National Incident-Based Reporting System (NIBRS). SJS funds may be used by the SAC to conduct research and analysis of NIBRS-compatible incident-based data. In addition, SJS funds under this theme may be used to examine the utility of linking NIBRS incident reports to a state's criminal history records for research purposes.

9. Data collection and/or research examining a special topical area:

- a. **Minority overrepresentation in the criminal or juvenile justice systems.** SJS funds may be used by the SAC to support research examining the nature and/or extent of the overrepresentation of racial or ethnic minorities in the state's juvenile or criminal justice systems.
- b. **Civil justice.** SJS funds may be used by the SAC to develop estimates of the number and characteristics of tort, contract, and real property cases, and the dispositions of those cases for both adjudicated and settled civil matters. The longer-term objective might be to estimate changes over time within the state in the nature of case issues, judgments, and awards and to evaluate the impact of civil justice reforms, such as capping punitive awards or medical malpractice mediation boards.
- c. **Cybercrime.** SJS funds could be used by the SAC to examine the magnitude and consequences of computer crime, identity theft, and fraud. Applicants under this theme could use the funds to develop measurement methods, definitions, and protocols to obtain uniform data on criminal activities involving computers and computer networks

and the response of the criminal justice system to violations of computer crime statutes. Applicants could also consider a focus on identity theft and electronic fraud victimization and the handling of these offenses by the justice system.

- d. **Human trafficking.** SJS funds may be used by the SAC to support research examining the problem of human trafficking in the state, including its nature and extent, and the response of the justice system.
- e. **Justice issues in Indian Country.** SJS funds may be used by the SAC to examine justice related issues in Indian Country, including substance abuse, violent crime, gangs, family violence, and sex crimes.
- f. **Criminal activity in U.S. border areas.** SJS funds may be used by the SAC to study crime occurring in U.S. border areas especially as to the possible effects of illegal immigration.
- g. **Violent crime in schools.** SJS funds may be used by the SAC to examine violent crimes occurring in a state's private and public elementary, middle, and secondary schools.
- h. **The impact of substance abuse on state and/or local criminal justice and public health systems.** SJS funds may be used by the SAC for research examining the impact of substance abuse (especially methamphetamine or prescription drugs) on state or local criminal justice and public health systems. BJS encourages the development of long-term data collection activities that can be used to monitor trends in this area.
- i. **Family violence and/or stalking.** SJS funds may be used by the SAC to support studies of family violence, including domestic violence, elder abuse, child abuse, stalking, or related issues. Research projects using the state's protection or restraining order records are encouraged.

10. Evaluation of prisoner reentry initiatives and programs. SJS funds may be used by the SAC to support evaluation of state or local programs aimed at helping prisoners successfully reintegrate into their communities following their release from prison.

11. Other theme or topic identified by the SAC. SJS funds may be used by the SAC to support research examining another theme or topic, provided the application is accompanied by persuasive documentation and justification that the subject is a top priority for the state's governor or criminal justice policy officials.

Amount and Length of Awards

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

- **Award Period.** Awards made under this announcement will be in the form of a cooperative agreement. Awards normally will be for 12 months. No-cost extensions may be granted by BJS for good cause (e.g., under-spending due to an unavoidable staff vacancy). Extensions, submitted through the GMS, should be requested in writing at

least **60 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.

- **Award Amount.** While the amount of past SAC awards may be used as a guide when preparing this application, the median SAC award in FY 2012 was about \$62,000. SACs able to provide strong justification tied to the FY 2013 themes may be eligible to receive awards in excess of \$60,000. Each award is intended to supplement state financial support of the SAC.

Budget Information

Limitation on Use of Award Funds for Employee Compensation; Waiver

With respect to any award of more than \$250,000 made under this solicitation, 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. The 2012 salary table for SES employees is available at www.opm.gov/oca/12tables/indexSES.asp. 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 the Bureau of Justice Statistics 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.

Minimization of Conference Costs

OJP encourages applicants to review the OJP guidance on conference approval, planning, and reporting that is available on the OJP Web site at www.ojp.gov/funding/confcost.htm. This guidance sets out the current OJP policy, which requires all funding recipients that propose to hold or sponsor conferences (including, meetings, trainings, and other similar events) to minimize costs, requires OJP review and prior written approval of most conference costs for cooperative agreement recipients (and certain costs for grant recipients), and generally prohibits the use of OJP funding to provide food and beverages at conferences. The guidance also sets upper limits on many conference costs, including facility space, audio/visual services, logistical planning services, programmatic planning services, and food and beverages (in the rare cases where food and beverage costs are permitted at all).

Prior review and approval of conference costs can take time (see the guidance for specific deadlines), and applicants should take this into account when submitting proposals. Applicants also should understand that conference cost limits may change and that they should check the guidance for updates before incurring such costs.

Note on food and beverages: OJP may make exceptions to the general prohibition on using OJP funding for food and beverages, but will do so only in rare cases where food and beverages are not otherwise available (e.g., in extremely remote areas); the size of the event and capacity of nearby food and beverage vendors would make it impractical to not provide food and beverages; or a special presentation at a conference requires a plenary address where conference participants have no other time to obtain food and beverages. Any such exception requires OJP’s prior written approval. The restriction on food and beverages does not apply to water provided at no cost, but does apply to any and all other refreshments, regardless of the size or nature of the meeting. Additionally, this restriction does not affect direct payment of per diem amounts to individuals in a travel status under your organization’s travel policy.

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.

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. Performance measures for this solicitation are as follows:

Objective	Performance Measure(s)	Data Grantee Provides
1) Enhance the capabilities of states to collect, analyze, and interpret data on justice issues relevant to the states and the nation.	<p>The number of scheduled data collection series and special analyses conducted.</p> <p>Number of outreach activities to respondents of BJS surveys to provide information and technical assistance.</p> <p>Number of products made available to customers (print and online).</p>	<p>Number of studies/projects initiated and completed.</p> <p>Number of information and/or technical assistance requests handled.</p> <p>Number of conferences and workshops attended to present findings, provide training, and exchange information.</p> <p>Number and type of justice-related databases compiled.</p> <p>Number of reports and other publications produced (in paper and electronic formats).</p>

		<p>Number of media releases or advisories produced.</p> <p>Number of website user sessions.</p> <p>Number of publications and other data (i.e., spreadsheets) downloaded.</p> <p>Number of databases added to interactive query systems.</p>
2) Provide a mechanism that supports the collection and sharing of vital justice system data among the states and between the states and the Federal Government.	The number of scheduled data collection series and special analyses to be conducted.	<p>Number of multi-state projects initiated and completed by SACs.</p> <p>Number of reports produced presenting findings of collaborative projects.</p> <p>Number of JRSA studies or information inquiries.</p> <p>Number of projects submitted by SAC to the Justice Research and Statistics Association's Infobase of State Activities and Research (ISAR).</p> <p>Number of SAC project datasets submitted to the National Archive of Criminal Justice Data.</p>

OJP does not require applicants to submit performance measures data with their applications. Instead, applicants should discuss in their application their proposed methods for collecting data for performance measures. Refer to the section "What an Application Should Include" on page 13 for additional information.

Note on Project Evaluations

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

Research, for the purposes of human subjects protections for OJP-funded programs, is defined as, "a systematic investigation, including research development, testing, and evaluation, designed to develop or contribute to generalizable knowledge" 28 C.F.R. § 46.102(d). For additional information on determining whether a proposed activity would constitute research, see the decision tree to assist applicants on the "Research and the Protection of Human Subjects" section of the OJP "Other Requirements for OJP Applications" Web page (www.ojp.usdoj.gov/funding/other_requirements.htm). Applicants whose proposals may involve

a research or statistical component also should review the “Confidentiality” section on that Web page.

Notice of Post-Award FFATA Reporting Requirement

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

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

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 negatively affect 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.

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

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

The SF-424 is a required standard form used as a cover sheet for submission of pre-applications, applications, and related information. Grants.gov and 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).

2. Program Narrative

The Program Narrative should include the following sections:

- **Status of prior SJS projects.** Applications should include the status of each award your SAC received in Fiscal Years 2008 through 2011. 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. For each project, indicate the status of it by the following

categories: completed, in process, or revised/replaced. For each product, state if it has been published, presented at a public meeting, or otherwise recognized by whatever means.

- **Proposed projects.** The program narrative should fully describe the expected design and implementation of the proposed project(s). In developing the narrative, refer to the program design and themes described in the solicitation.
- **Timeline.** 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.
- **SAC description and staffing.** The narrative should include: 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, 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.
- **Plan for Collecting the Data Required for this Solicitation's Performance Measures.** Submission of performance measures data is not required for the application. Performance measures are included as an alert that successful applicants will be required to submit specific data to BJS as part of their reporting requirements. For the application, the applicant should indicate an understanding of these requirements and discuss how the applicant will gather the required data, should the applicant receive funding

3. Budget Detail Worksheet and Budget Narrative

a. Budget Detail Worksheet

A sample Budget Detail Worksheet can be found at www.ojp.gov/funding/forms/budget_detail.pdf. Applicants that submit their budget in a different format should include the budget categories listed in the sample budget worksheet.

For questions pertaining to budget and examples of allowable and unallowable costs, see the OJP Financial Guide at www.ojp.usdoj.gov/financialguide/index.htm.

b. Budget Narrative

The Budget Narrative should thoroughly and clearly describe every category of expense listed in the Budget Detail Worksheet. 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 mathematically sound 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.

4. Indirect Cost Rate Agreement (if applicable)

Indirect costs are allowed only if the applicant has a federally approved indirect cost rate. (This requirement does not apply to units of local government.) 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. If DOJ is the cognizant federal agency, obtain information needed to submit an indirect cost rate proposal at www.ojp.usdoj.gov/funding/pdfs/indirect_costs.pdf.

5. Additional Attachments. The following required documents should be submitted online as file attachments:

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, which is collected, analyzed, or otherwise used in connection with an OJP-funded research or statistical activity. The funding recipient's Privacy Certificate includes a description of its policies and procedures to be followed to protect identifiable data. A model certificate is located at www.bjs.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, describing the necessary information to be provided by the funding recipient, can be accessed at www.bjs.gov/content/hscr.cfm.

a. Applicant disclosure of pending applications.

Applicants are to disclose whether they have pending applications for federally funded assistance 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 be subawarding federal funds).

OJP seeks this information to help avoid any inappropriate duplication of funding. Leveraging multiple funding sources in a complementary manner to implement comprehensive programs or projects is encouraged and is not seen as inappropriate duplication.

Applicants that have pending applications as described above are to provide the following information about pending applications submitted within the last 12 months:

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

Federal or State Funding Agency	Solicitation Name/Project Name	Name/Phone/E-mail for Point of Contact at Funding Agency
DOJ/COPS	COPS Hiring Program	Jane Doe, 202/000-0000; jane.doe@usdoj.gov
HHS/ Substance Abuse & 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] does not have pending applications submitted within the last 12 months for federally funded assistance 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 rating under the selection criteria, in order to receive funds, the applicant’s proposal must demonstrate research/evaluation independence, including appropriate safeguards to ensure research/evaluation objectivity and integrity.

For purposes of this solicitation, research and evaluation independence and integrity pertains to ensuring that the design, conduct, or reporting of research/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 the investigators responsible for the

research/evaluation or on the part of the applicant organization. Conflicts can be either actual or apparent. Examples of potential investigator (or other personal) conflict situations may include where an investigator would be in a position to evaluate a spouse's work product (actual conflict), or where an investigator would be in a position to evaluate the work of a former colleague (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 project, 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/evaluation project are objective and reliable. Any outside personal or financial interest that casts doubt on that objectivity and reliability is a problem.

In the attachment dealing with research and evaluation independence and integrity, the applicant should explain the process and procedures that the applicant has 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. It should also identify any potential organizational conflicts of interest on the part of the applicant with regard to the proposed research/evaluation. If the 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.

Where potential personal or organizational conflicts of interest exist, in the attachment, the applicant should identify the safeguards the applicant has or will put in place to eliminate, mitigate, explain, or otherwise address those conflicts of interest.

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

6. Other Standard Forms

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

- a. [Standard Assurances](#)*
Applicants must read, certify, and submit this form in GMS prior to the receipt of any award funds.
- b. [Certifications Regarding Lobbying; Debarment, Suspension and Other Responsibility Matters; and Drug-Free Workplace Requirements](#)*
Applicants must read, certify, and submit in GMS prior to the receipt of any award funds.

- c. [Accounting System and Financial Capability Questionnaire](#) Any applicant (other than an individual) that is a non-governmental entity and that has not received any award from OJP within the past 3 years, must download, complete, and submit this form.

*These OJP Standard Assurances and Certifications are forms which applicants accept in GMS. They are not additional forms to be uploaded at the time of application submission.

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. 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. Awards will be based on the following review criteria:

1. Statement of the Problem as Described in the Program Narrative

- The extent to which the program narrative addresses specific objectives of the SJS program, and the dollar resources needed to achieve them.

2. Project/Program Design and Implementation

- Applications should be written so that each task or activity is priced separately and in priority order. Applicants are encouraged to attach a product to each task, such as a report or publication.
- Technical soundness and completeness of the proposed approach.
- Privacy and human subject's certification forms must be submitted for each proposed activity.

3. Capabilities/Competencies

- Experience of applicant's personnel in similar work;
- Organizational integrity, technical competence, and organizational placement of the applicant and other organizations proposed for funding; and
- Past record of applicant's performance with previous awards, including quality of work, completeness, and adherence to schedules.

4. Plan for Collecting the Data Required for this Solicitation's Performance Measures

- Applicants should indicate an understanding of these requirements (pgs.11-12) and discuss how the applicant will gather the required data, should the applicant receive funding.

5. Budget

- Provide a proposed budget for the entire project period that is complete, reasonable and allowable, cost effective, and necessary for project activities.
- Appropriateness of the project schedule and budget.

6. Relevance

- The extent to which the proposed project addresses the specific objectives of the SJS program.
- The extent to which the proposed project responds to one or more of the SJS themes.

Review Process

OJP is committed to ensuring a fair and open process for awarding grants. The Bureau of Justice Statistics reviews the application to make sure that the information presented is reasonable, understandable, measurable, and achievable, as well as consistent with the solicitation.

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

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

Additional Requirements

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

- Civil Rights Compliance
- Civil Rights Compliance Specific to State Administering Agencies
- Faith-Based and Other Community Organizations
- Confidentiality
- Research and the Protection of Human Subjects

- Anti-Lobbying Act
- Financial and Government Audit Requirements
- National Environmental Policy Act (NEPA)
- DOJ Information Technology Standards (if applicable)
- Single Point of Contact Review
- Non-Supplanting of State or Local Funds
- Criminal Penalty for False Statements
- Compliance with [Office of Justice Programs Financial Guide](#)
- Suspension or Termination of Funding
- Nonprofit Organizations
- For-profit Organizations
- Government Performance and Results Act (GPRA)
- Rights in Intellectual Property
- Federal Funding Accountability and Transparency Act of 2006 (FFATA)
- Awards in Excess of \$5,000,000 – Federal Taxes Certification Requirement
- Policy and Guidance for Conference Approval, Planning, and Reporting
- OJP Training Guiding Principles for Grantees and Subgrantees

How to Apply

Applicants must submit applications through the Grants Management System ([GMS](#)), which provides cradle to grave support for the application, award, and management of awards at OJP. Applicants **must register in GMS for each specific funding opportunity**. Although the registration and submission deadlines are the same, OJP urges applicants to **register promptly**, especially if this is their first time using the system. Complete instructions on how to register and submit an application in GMS can be found at www.ojp.usdoj.gov/gmscbt/. Applicants that experience technical difficulties during this process should e-mail GMS.HelpDesk@usdoj.gov or call 888-549-9901 (option 3), Monday – Friday from 6:00 a.m. to midnight eastern time, except federal holidays. OJP recommends that applicants **register promptly** to prevent delays in submitting an application package by the deadline.

All applicants should complete the following steps:

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 application 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. A DUNS number is usually received within 1-2 business days.
2. **Acquire registration with the System for Award Management (SAM). SAM replaces the Central Contractor Registration (CCR) database** as the repository for standard information about federal financial assistance applicants, recipients, and subrecipients. OJP requires that all applicants (other than individuals) for federal financial assistance maintain current registrations in the SAM database. Applicants must **update or renew their SAM registration annually** to maintain an active status.

Applicants that were previously registered in the CCR database must, at a minimum:

- Create a SAM account;
- Log in to SAM and migrate permissions to the SAM account (all the entity registrations and records should already have been migrated).

Applicants that were not previously registered in the CCR database must register in SAM prior to registering in Grants.gov. Information about SAM registration procedures can be accessed at www.sam.gov.

3. **Acquire a GMS username and password.** New users must create a GMS profile by selecting the “First Time User” link under the sign-in box of the [GMS](http://www.gms.gov) home page. For more information on how to register in GMS, go to www.ojp.usdoj.gov/gmscbt/.
4. **Verify the SAM registration in GMS, formerly CCR registration.** OJP requests that all applicants verify their SAM registration in GMS. Once logged into GMS, click the “CCR Claim” link on the left side of the default screen. Click the submit button to verify the SAM (formerly CCR) registration.
5. **Search for the funding opportunity on GMS.** After logging into GMS or completing the GMS profile for username and password, go to the “Funding Opportunities” link on the left side of the page. Select the Bureau of Justice Statistics and the State Justice Statistics Program for Statistical Analysis Centers, 2013.
6. **Register by selecting the “Apply Online” button associated with the solicitation title.** The search results from step 5 will display the solicitation title along with the registration and application deadlines for this funding opportunity. Select the “Apply Online” button in the “Action” column to register for this solicitation and create an application in the system.

7. **Complete the Disclosure of Lobbying Activities.** All applicants must complete this information and submit the form in GMS. Applicants that expend any funds for lobbying activities must provide the detailed information requested on the form, *Disclosure of Lobbying Activities* (SF-LLL). Applicants that do not expend any funds for lobbying activities should enter “N/A” in the required highlighted fields. Access the form at www.ojp.gov/funding/forms/disclosure.pdf.
8. **Follow the directions in GMS to submit an application consistent with this solicitation.** Once submitted, GMS will display a confirmation screen stating the submission was successful. **Important:** In some instances, applicants must wait for GMS approval before they can submit an application. OJP urges applicants to submit the application **at least 72 hours prior** to the due date of the application.

Note: 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.”

Note: Duplicate Applications

If an applicant submits multiple versions of an application, BJS will review the most recent version submitted.

Experiencing Unforeseen GMS Technical Issues

Applicants that experience unforeseen GMS technical issues beyond their control that prevent them from submitting their application by the deadline, must e-mail the BJS contact identified in the Contact Information section on page 1 **within 24 hours after the application deadline** and request approval to submit their application. The e-mail 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 GMS Help Desk or SAM tracking number(s). **Note: BJS does not automatically approve requests.** After the program office reviews the submission, and contacts the GMS 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 the technical issues reported cannot be validated, the application will be rejected as untimely.

The following conditions are not valid reasons to permit late submissions: (1) failure to register in sufficient time, (2) failure to follow GMS instructions on how to register and apply as posted on its Web site, (3) failure to follow each instruction in the OJP solicitation, and (4) technical issues with the applicant’s computer or information technology environment, including firewalls.

Notifications regarding known technical problems with GMS, if any, are posted at the top of the OJP funding Web page at www.ojp.usdoj.gov/funding/solicitations.htm.

Provide Feedback to OJP on This Solicitation

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. Feedback may be provided to OJPSolicitationFeedback@usdoj.gov.

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

If you are interested in being a reviewer for other OJP grant applications, please email your resume to ojppeerreview@lmbps.com. 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

State Justice Statistics Program for Statistical Analysis Centers, 2013

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

Eligibility Requirement:

_____ State/Territory Statistical Analysis Center designated by the governor

What an Application Should Include:

- _____ Application for Federal Assistance (SF-424) (see page 13)
- _____ Program Narrative (see page 13)
- _____ Budget Detail Worksheet (see page 14)
- _____ Budget Narrative (see page 14)
- _____ Disclosure of Lobbying Activities (SF-LLL) (see page 22)
- _____ Indirect Cost Rate Agreement (if applicable) (see page 15)
- _____ Additional Attachments
 - _____ Privacy Certification (see page 15)
 - _____ Human Subjects Screening Sheet (see page 15)
 - _____ Disclosure of Pending Applications (see page 15)
 - _____ Research and Evaluation Independence and Integrity (see page 16)
- _____ Other Standard Forms as applicable (see page 17), including:
 - _____ Accounting System and Financial Capability Questionnaire (if applicable)