

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



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The [U.S. Department of Justice](#) (DOJ), [Office of Justice Programs](#) (OJP), [Bureau of Justice Statistics](#) (BJS) is seeking applications from state Statistical Analysis Centers (SACs) to receive funding under the 2018 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 levels. 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 (34 U.S.C. §§ 10131-32). Established by state legislation or executive order, SACs are an important mechanism by which BJS fulfills its mandate under these statutes. For the purpose of this solicitation, "state" includes the District of Columbia and U.S. territories.

## **State Justice Statistics Program for Statistical Analysis Centers, 2018**

**Applications Due: March 29, 2018**

### **Eligibility**

Eligible applicants are limited to Statistical Analysis Centers established by state legislation or executive order. For information on eligibility, see [Section C. Eligibility Information](#).

All recipients and subrecipients (including any for-profit organization) must forgo any profit or management fee.

BJS welcomes applications under which two or more entities would carry out the federal award; however, only one entity may be the applicant. Any others must be proposed subrecipients (subgrantees).<sup>1</sup> The applicant must be the entity that would have primary responsibility for carrying out the award, including administering the funding and managing the entire program. Under this solicitation only one application by any particular applicant entity will be considered. An entity may, however, be proposed as a subrecipient (subgrantee) in more than one application.

### **Deadline**

Applicants must register in the OJP Grants Management System (GMS) at <https://grants.ojp.usdoj.gov/> prior to submitting an application under this solicitation. All

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<sup>1</sup> For additional information on subawards, see "Budget and Associated Documentation" under [Section D. Application and Submission Information](#).

applicants must register, even those that previously registered in GMS. Select the “Apply Online” button associated with the solicitation title. All registrations and applications are due by 5:00 p.m. eastern time on March 29, 2018.

For additional information, see [How to Apply](#) in [Section D. Application and Submission Information](#).

## Contact Information

For technical assistance with submitting an application, contact the Grants Management System Support Hotline at 888-549-9901, option 3, or via email at [GMS.HelpDesk@usdoj.gov](mailto:GMS.HelpDesk@usdoj.gov). The GMS Support Hotline operates 24 hours a day, 7 days a week, including on federal holidays.

An applicant that experiences unforeseen GMS technical issues beyond its control that prevent it from submitting its application by the deadline must email the BJS contact identified below **within 24 hours after the application deadline** in order to request approval to submit its application after the deadline. For information on reporting technical issues, see “Experiencing Unforeseen GMS Technical Issues” under [How to Apply](#) in [Section D. Application and Submission Information](#).

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 email at [askbjs@usdoj.gov](mailto:askbjs@usdoj.gov). Include “SJSSAC18” in the subject line.

Release date: January 26, 2018

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# **State Justice Statistics Program for Statistical Analysis Centers, 2018 (CDFA # 16.550)**

## **A. Program Description**

### **Overview**

This program announcement describes the guidelines and requirements of the fiscal year (FY) 2018 State Justice Statistics (SJS) Program for Statistical Analysis Centers (SACs). The information produced by SACs and their involvement in criminal justice projects are 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.

### **Statutory Authority**

The Bureau of Justice Statistics (BJS) is specifically authorized by statute to provide assistance in the development of state and local government justice information systems and is directed to give primary emphasis to the problems of state and local justice systems (34 U.S.C. §§ 10131-32).

### **Program-Specific Information**

#### **Goals, Objectives, and Deliverables**

In the United States, most criminal justice activities are addressed at the state and local levels of government. Through the systematic collection and analysis of data on these activities, BJS is able 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.

Since 1972, BJS and its predecessor agency, the National Criminal Justice Information and Statistics Service, have provided funding to state and territorial governments for the establishment and operation of state 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 SACs, which are established by state legislation or executive order, are one important mechanism by which BJS fulfills its mission. Currently, there are SACs in the 48 states, the District of Columbia, the Northern Mariana Islands and the U. S. Virgin Islands.

The Justice Research and Statistics Association (JRSA) is the professional membership association of SAC directors. In addition to the SJS SAC program, for many years BJS also provided funding to JRSA to deliver technical assistance and training to the SACs, to coordinate the dissemination of SAC research reports, and to help coordinate special multistate research projects of interest to BJS. The SJS technical assistance and training efforts are designed to:

- help 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 DOJ 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
- better serve the information needs of the states and the federal government by providing a core body of knowledge on the administration of criminal justice in each state.

### **FY 2018 SJS Program Focus**

**The FY 2018 SJS program will continue to concentrate on building the core capacities of the state SAC and improving the sharing of state-level information nationally.** The emphasis of the SJS program is on enhancing the SAC's capabilities to collect, analyze, and publish statistical data that support the state's strategic criminal justice planning needs and BJS and national priorities. SACs are strongly encouraged to collaborate with their State Administering Agency (SAA) on developing FY 2018 SJS program projects. Additionally, SACs are encouraged to explore possible collaborations with foundations, academic intuitions, and others potential sources of support for building SAC capacities.

BJS will provide funds for core capacity-building projects and special-emphasis capacity-building projects focused on specific capacities. Under the first category, BJS emphasizes the enhancement of the SAC's capabilities to collect, analyze, and publish statistical data that support the state's strategic criminal justice planning and program evaluation needs:

- Core capacity-building projects may include (a) carrying out research and analyses using incident-based crime data that are compatible with the FBI's National Incident-Based Reporting System (NIBRS); (b) measuring criminal justice system performance; (c) increasing public access to statistical information, including administrative or operational data; or (d) other capacity-building project identified by the SAC.

Under the second category, BJS emphasizes the development or enhancement of the SAC's capabilities to collect, analyze, and publish statistical data on criminal justice issues relevant to the states and to the nation, particularly those that enhance, complement, or expand specific BJS collections and priorities:

- Special-emphasis capacity-building projects should support core BJS and national priorities and may include (a) using administrative criminal justice data for research or (b) conducting targeted analyses that uses the state's criminal history records.

## SJS Program Areas

### I. Core Capacity-Building Projects

Projects in the following areas are seen as priority capacity-building activities. Core capacity-building projects should focus on enhancing or building access to new sources of data and improving analytic capability to collect, analyze, and interpret data on criminal justice issues, rather than maintaining current efforts. For example, funds should not be requested to update annual or reoccurring reports unless it involves a substantial revision in methods or new sources of data.

- A. Carrying out research using incident-based crime data that are compatible with NIBRS.** The SAC may use SJS funds to conduct research and analysis of NIBRS-compatible incident-based data that will reflect the utility of these data for studying criminal justice issues. Topical areas of interest for BJS include studies involving hate crime; crimes committed on tribal lands; drug-related arrests especially those involving opioid possession, trafficking, and/or distribution.

Analyses of this sort support the National Crime Statistics Exchange (NCS-X) Initiative, a joint BJS and FBI undertaking to expand the number of law enforcement agencies submitting incident-based crime data to the FBI's NIBRS. **A necessary component of such a project must be an assessment and review of the data quality of the incident-based data used. Final reports must include a thorough discussion of data quality. Results of the analysis may help the state's crime reporting program focus training/outreach activities to improve data quality. These analyses must also result in a publishable quality report that will be disseminated nationally.**

One goal of the NCS-X Initiative is to assess the quality and completeness of incident-based crime data being reported by local law enforcement agencies to the FBI's NIBRS. To support this goal, BJS is particularly interested in analyses that will:

- Examine how law enforcement agencies have recorded the relationship(s) between the victim(s) and the offender(s) for violent offenses reported to that state's incident-based reporting (IBR) program and/or to NIBRS, to look at changes over time in the types of relationships identified, to determine if reporting practices differ across reporting units, and where applicable, to assess the crosswalk from state IBR relationship categories to the federal NIBRS relationship categories.
- Provide analysis and evaluation of state IBR and/or NIBRS data for understanding property crimes, both personal and commercial, including an assessment over time and across reporting units of the quality and completeness of data elements that record property type and value, how fraud offenses are categorized, and clearance information. If the state IBR program has different reporting requirements for property crimes than the federal program, the analysis should include a comparison of the state and federal requirements.
- Examine the reporting of simple and aggravated assaults to the state IBR program and/or NIBRS to assess for differences in how local law enforcement agencies have recorded assault over time and across reporting units, and to determine if any correlation exists between clearance rates for assaults and changes in recording practices across the years, controlling for other contextualizing factors.

- Compare IBR practices across reporting units in the state over time to understand changes in the use of different incident-based data codes (e.g., different values for victim-offender relationship, use of bias-motivation data element) and the impact of changes to the IBR reporting requirements on data provided by local law enforcement agencies.

In addition, SJS funds under this priority area may also be used to examine the utility of linking incident-based crime reports to a state's criminal history records for research purposes and be conducted in partnership with the state's criminal history record repository. Of particular interest to BJS are studies that examine the disposition of court cases involving domestic violence arrests. **Similarly, a necessary component of such a project must be an assessment and review of the quality of the criminal history record information used.**

- B. Measuring criminal justice system performance.** The SAC may use SJS funds to help the state develop and improve criminal justice performance measures and make analytical tools available to agencies to assess performance and conduct evaluations in addressing public safety and administration of justice goals. For example, a SAC could use SJS funds for data collection or research that helps inform or otherwise plan for the justice programs such as, Justice Reinvestment, Second Chance, victim services, law enforcement initiatives, etc. The SAC may also use or leverage other federal funds to carry out evaluations or evaluable assessments of drug courts, mental health courts, or other federally funded state initiatives.
- C. Increasing access to statistical data.** The SAC may use SJS funds for electronic infrastructure development, enhancements, and linkages, including: developing or using new sources of data; building or enhancing 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, Application Programming Interfaces (APIs), graphical presentations, and animation designed to present and explain movement of trends. For the purposes of this funding, enhancements should go beyond incrementally adding a new year's worth of data to existing files and tables.
- D. Other capacity-building project identified by the SAC.** The SAC may use SJS funds to support research examining another topic, provided that the project builds the SAC's capacity to collect, analyze, and report on criminal justice statistics and to share state-level information nationally. The application must also be accompanied by persuasive documentation and justification that the subject is a top priority for the state's governor or criminal justice policy officials and use of federal funds is appropriate to support the work.

If a SAC seeks funding under the core capacity-building area, the application **must** include a specific justification for each proposed project that fully explains exactly how the project will respond to capacity-building needs identified by the SAC. **This explanation should, in effect, be a long-range plan that includes (1) an assessment of the SAC's current data collection, analysis, and publication capabilities, including staff analytical capabilities; (2) a description of how the project(s) proposed will enhance those capabilities; and (3) a description of how the capacity built will be maintained after the conclusion of the SJS award.** The strength of the justification and plan included will be an important consideration for BJS in making a final award decision on the SAC's application. The intent is for federal funds to

build new or enhance current capacities as opposed to simply maintaining current efforts. A maximum of \$75,000 annually may be sought for core capacity-building projects; the timeframe may range from 12 to 36 months based on the nature of the proposed project(s) and the quality of the supporting strategic plan. At the end of the project period, final deliverables must be submitted to BJS as part of the final progress report (including but not limited to any other final reports, evaluations, and website enhancements). Applications may also include travel funds for up to two people to attend a SJS-focused conference/workshop/meeting approved by BJS. Travel costs can be separate from the funding cap on core capacity-building or special-emphasis projects.

## II. Special-Emphasis Capacity-Building Projects

A SAC may also apply for funding to support special-emphasis projects that support projects of particular interest to BJS or national priorities in these specific areas:

- A. Using administrative or operational criminal justice data for research.** SACs are encouraged to seek SJS funds to implement new or enhance existing interfaces or data exchange technologies that improve statistical and research access to data and systems maintained by other state or local entities, including departments of correction and prison, parole, probation, prosecutor, indigent defense, judicial, victim service, and law enforcement agencies.

For example, funds may be requested to establish the SAC's technical capacity to conduct criminal history records-based research. Funds may also be requested to help establish data exchanges that would provide the SAC with data on—

- admissions, exits, and stock populations for jails, probation, and/or parole
- state court or prosecutor statistics including criminal case initiations, pre-trial activities, bail, bond, plea bargains, dispositions, and sentences
- employment and/or wages/benefits earned (e.g. Social Security Administration (SSA), Supplemental Nutrition Assistance Program (SNAP))
- emergency room admissions data to support research on violent injuries, drug abuse, elder abuse, human trafficking, and other relevant issues.

Proposed projects may include: (1) the establishment of the data exchange capacity, if one does not currently exist; and/or (2) the use of this capacity in the form of a targeted research project. The project must also include a systematic assessment of the quality of these data, which will be incorporated as a project deliverable. **This assessment should follow a standardized approach, such as through use of the data quality assessment tool developed by the Federal Committee on Statistical Methodology or a similar tool that considers all aspects of quality from a statistical perspective.**<sup>2</sup> A letter of cooperation or support from the operational agency or agencies involved should be included with the application.

- B. Conducting targeted analyses that use the state's criminal history records.** BJS encourages SACs to use the state's criminal history records for research. A SAC may also use SJS funds to support analyses of—

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<sup>2</sup> See *Data Quality Assessment Tool for Administrative Data* by a working group of the Federal Committee on Statistical Methodology, available at <https://www.bls.gov/osmr/datatool.pdf>.



- patterns of criminal behavior, such as sex offending, stalking, or domestic violence
- arrests, prosecutions, and convictions for firearms-related offenses
- the effect of indigent defense on criminal case outcomes
- prisoner or community corrections recidivism, including rates of rearrest, reconviction, and return to custody
- the implementation or impact of programs such as drug courts, prisoner reentry initiatives, or specialized probation programs on recidivism
- the linkage of criminal history records to other data sources to explore factors that may affect patterns of offending or recidivism.

BJS is particularly interested in analyses that will—

- Evaluate the accuracy and completeness of the state's criminal history records for the purpose of identifying statewide record improvement strategies, in partnership with the state's criminal history record repository or National Criminal History Improvement Program (NCHIP) administering agency. Areas explored may include the extent to which arrest information is followed by prosecutor or court disposition information, how probation or parole violations are reflected on records, how law enforcement practices around warrant arrests may affect data quality, and how the use of free text or unstructured data fields may affect the use of records.
- Explore the feasibility of using the state's criminal history records as a source of statewide arrest or booking statistics, in collaboration with the state's criminal history record repository or NCHIP administering agency. Areas explored may include the uniformity of reporting practices by law enforcement, courts, and corrections agencies in a state; and the correlation between criminal history data and other sources of arrest, prosecution, and court case processing data.
- Explore the quality of court and sentencing data to examine felony case processing, in partnership with the state's court administrative office, sentencing commission, or similar agency. Areas explored may include the extent to which these records can support analysis of criminal case processing time, analysis of charge or plea bargaining, and analysis of case outcomes of domestic violence arrests.
- Examine the recidivism patterns of convicted sex offenders using longer observation periods than the traditional 3- or 5-year studies (e.g., 8-, 10-, or 15-year follow-up periods). Areas explored may include the recidivism patterns for specific types of sex offenders (e.g., sex offenses against an adult, sex offenses against a child, or statutory rape) and analyses that includes different covariates related to recidivism outcomes.

SAC grants that may support such analyses will be awarded with the condition that the research documents (including but not limited to basic research questions, methodology, sampling procedures, instrumentation (if any), and analysis plan) will be submitted to BJS for review and approval, if they are not included with the SAC application. Because BJS is very interested in uniformity across states in such analytical areas, collaboration between states or a multi-SAC approach is encouraged.

**If a SAC seeks funding under the special-emphasis project area, the application must include an impact statement that provides additional justification for each proposed**

**project regarding how each project will directly support or enhance BJS and national priorities.** The strength of the impact statement will be an important consideration for BJS in making a final award decision on the SAC's application. For example, the national impact statement should address areas such as how the project will support the sharing of state-level information nationally; enhance the state's capability to collect, analyze, and interpret data on criminal justice issues relevant to the states and the nation; support or enhance specific BJS collections by, for example, increasing access to the new data sources, improving coverage, reducing respondent burden, and/or improving or implementing uniformity across states in analytical efforts; if and how the state will make maximum use of state-level data collected by BJS and/or other DOJ components to conduct analyses; and/or how the project findings will be used to influence state criminal justice policy and practice, including describing who is interested in the data and its intended uses, and how the resulting work will be shared with other state entities, other state SACs, and the general public.

BJS also encourages collaboration among the SACs (i.e., multi-SAC projects), particularly in projects that may leverage one SAC's expertise in another SAC's proposed project to help build capacity. At the end of the special-emphasis project period, final deliverables must be submitted to BJS as part of the final progress report (including final reports, evaluations, and website enhancements). Up to \$150,000 annually may be sought for a special-emphasis project; the timeframe may range from 12 to 36 months based on the nature of the proposed project(s) and quality of the supporting justification, although funding may not be available for the full duration of the project in FY 2017. BJS anticipates making up to 15 awards for special-emphasis projects based on strength of the proposal and availability of funds.

The Goals, Objectives, and Deliverables are directly related to the performance measures that demonstrate the results of the work completed, as discussed in [Section D. Application and Submission Information](#), under Program Narrative.

### **Evidence-Based Programs or Practices**

OJP strongly emphasizes the use of data and evidence in policy making and program development in criminal justice, juvenile justice, and crime victim services. OJP is committed to:

- improving the quantity and quality of evidence OJP generates;
- integrating evidence into program, practice, and policy decisions within OJP and the field;
- improving the translation of evidence into practice.

OJP considers programs and practices to be evidence-based when their effectiveness has been demonstrated by causal evidence, generally obtained through one or more outcome evaluations. Causal evidence documents a relationship between an activity or intervention (including technology) and its intended outcome, including measuring the direction and size of a change, and the extent to which a change may be attributed to the activity or intervention. Causal evidence depends on the use of scientific methods to rule out, to the extent possible, alternative explanations for the documented change. The strength of causal evidence, based on the factors described above, will influence the degree to which OJP considers a program or practice to be evidence-based.

The OJP [CrimeSolutions.gov](http://CrimeSolutions.gov) website is one resource that applicants may use to find information about evidence-based programs in criminal justice, juvenile justice, and crime victim services.

## B. Federal Award Information

BJA expects to make approximately 40 awards ranging from \$75,000 to \$225,000 for an estimated total of \$5 million. BJA expects to make awards for a 12- to 36-month period of performance, to begin no earlier than August 1, 2018.

BJA may, in certain cases, provide additional funding in future years to awards made under this solicitation, through continuation awards. In making decisions regarding continuation awards, OJP will consider, among other factors, the availability of appropriations, when the program or project was last competed, OJP's strategic priorities, and OJP's assessment of both the management of the award (for example, timeliness and quality of progress reports), and the progress of the work funded under the award.

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

### Type of Award

BJA expects to make any award under this solicitation in the form of a cooperative agreement, which is a type of award that provides for OJP to have substantial involvement in carrying out award activities. See [Administrative, National Policy, and Other Legal Requirements](#), under [Section F. Federal Award Administration Information](#), for a brief discussion of what may constitute substantial federal involvement.

### Financial Management and System of Internal Controls

Award recipients and subrecipients (including recipients or subrecipients that are pass-through entities<sup>3</sup>) must, as described in the Part 200 Uniform Requirements<sup>4</sup> as set out at 2 C.F.R. 200.303:

- (a) Establish and maintain effective internal control over the Federal award that provides reasonable assurance that [the recipient (and any subrecipient)] is managing the Federal award in compliance with Federal statutes, regulations, and the terms and conditions of the Federal award. These internal controls should be in compliance with guidance in "Standards for Internal Control in the Federal Government" issued by the Comptroller General of the United States and the "Internal Control Integrated Framework", issued by the Committee of Sponsoring Organizations of the Treadway Commission (COSO).
- (b) Comply with Federal statutes, regulations, and the terms and conditions of the Federal awards.
- (c) Evaluate and monitor [the recipient's (and any subrecipient's)] compliance with statutes, regulations, and the terms and conditions of Federal awards.
- (d) Take prompt action when instances of noncompliance are identified including noncompliance identified in audit findings.

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<sup>3</sup> For purposes of this solicitation, the phrase "pass-through entity" includes any recipient or subrecipient that provides a subaward (subgrant) to a subrecipient (subgrantee) to carry out part of the funded award or program. Additional information on proposed subawards is listed under [What an Application Should Include](#), Section 4c of this solicitation.

<sup>4</sup> The "Part 200 Uniform Requirements" means the DOJ regulation at 2 C.F.R Part 2800, which adopts (with certain modifications) the provisions of 2 C.F.R. Part 200.

- (e) Take reasonable measures to safeguard protected personally identifiable information and other information the Federal awarding agency or pass-through entity designates as sensitive or [the recipient (or any subrecipient)] considers sensitive consistent with applicable Federal, state, local, and tribal laws regarding privacy and obligations of confidentiality.

To help ensure that applicants understand the applicable administrative requirements and cost principles, OJP encourages prospective applicants to enroll, at no charge, in the DOJ Grants Financial Management Online Training, available at <https://ojpfgm.webfirst.com/>. (This training is required for all OJP award recipients.)

Also, applicants should be aware that OJP collects information from applicants on their financial management and systems of internal controls (among other information), which is used to make award decisions. Under [Section D. Application and Submission Information](#), applicants may access and review a questionnaire—the [OJP Financial Management and System of Internal Controls Questionnaire](#)—that OJP requires **all** applicants (other than an individual applying in his/her personal capacity) to download, complete, and submit as part of the application.

## **Budget Information**

### **Cost Sharing or Matching Requirement**

This solicitation does not require a match. However, if a successful application proposes a voluntary match amount, and OJP approves the budget, the total match amount incorporated into the approved budget becomes mandatory and subject to audit.

### **Pre-agreement Costs (also known as Pre-award Costs)**

Pre-agreement costs are costs incurred by the applicant prior to the start date of the period of performance of the federal award.

OJP does **not** typically approve pre-agreement costs; an applicant must request and obtain the prior written approval of OJP for all such costs. All such costs incurred prior to award and prior to approval of the costs are incurred at the sole risk of the applicant. (Generally, no applicant should incur project costs *before* submitting an application requesting federal funding for those costs.) Should there be extenuating circumstances that make it appropriate for OJP to consider approving pre-agreement costs, the applicant may contact the point of contact listed on the title page of this solicitation for the requirements concerning written requests for approval. If approved in advance by OJP, award funds may be used for pre-agreement costs, consistent with the recipient's approved budget and applicable cost principles. See the section on Costs Requiring Prior Approval in the DOJ Grants Financial Guide at <https://ojp.gov/financialguide/doj/index.htm> for more information.

### **Limitation on Use of Award Funds for Employee Compensation; Waiver**

With respect to any award of more than \$250,000 made under this solicitation, a recipient may not use federal funds to pay total cash compensation (salary plus cash bonuses) to any employee of the recipient at a rate that exceeds 110 percent of the maximum annual salary payable to a member of the federal government's Senior Executive Service (SES) at an agency with a Certified SES Performance Appraisal System for that year.<sup>5</sup> The 2018 salary table for SES employees is available on the Office of Personnel Management website at

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<sup>5</sup> OJP does not apply this limitation on the use of award funds to the nonprofit organizations listed in Appendix VIII to 2 C.F.R. Part 200.

<https://www.opm.gov/policy-data-oversight/pay-leave/salaries-wages/salary-tables/18Tables/exec/html/ES.aspx>. 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. (Non-federal funds used for any such additional compensation will not be considered matching funds, where match requirements apply.) If only a portion of an employee's time is charged to an OJP award, the maximum allowable compensation is equal to the percentage of time worked times the maximum salary limitation.

The Director of the Bureau of Justice Statistics may exercise discretion to waive, on an individual basis, this limitation on compensation rates allowable under an award. An applicant that requests a waiver should include a detailed justification in the budget narrative of its application. An applicant that does not submit a waiver request and justification with its application should anticipate that BJS will require the applicant to adjust and resubmit the budget.

The justification should address, in the context of the work the individual would do under the award, the particular qualifications and expertise of the individual, the uniqueness of a service the individual will provide, the individual's specific knowledge of the proposed program or project, and a statement that explains whether and how the individual's salary under the award would be commensurate with the regular and customary rate for an individual with his/her qualifications and expertise, and for the work he/she would do under the award.

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

OJP strongly encourages every applicant that proposes to use award funds for any conference-, meeting-, or training-related activity (or similar event) to review carefully—before submitting an application—the OJP and DOJ policy and guidance on approval, planning, and reporting of such events, available at

<https://www.ojp.gov/financialguide/doj/PostawardRequirements/chapter3.10a.htm>. OJP policy and guidance (1) encourage minimization of conference, meeting, and training costs; (2) require prior written approval (which may affect project timelines) of most conference, meeting, and training costs for cooperative agreement recipients, as well as some conference, meeting, and training costs for grant recipients; and (3) set cost limits, which include a general prohibition of all food and beverage costs.

#### **Costs Associated with Language Assistance (if applicable)**

If an applicant proposes a program or activity that would deliver services or benefits to individuals, the costs of taking reasonable steps to provide meaningful access to those services or benefits for individuals with limited English proficiency may be allowable. Reasonable steps to provide meaningful access to services or benefits may include interpretation or translation services, where appropriate.

For additional information, see the "Civil Rights Compliance" section under "[Overview of Legal Requirements Generally Applicable to OJP Grants and Cooperative Agreements - FY 2017 Awards](#)" in the OJP Funding Resource Center at <https://ojp.gov/funding/index.htm>.

## **C. Eligibility Information**

State SACs are the only entities eligible to apply for funds under the SJS program. 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 that serves all branches of the criminal justice system, 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, and 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, other relevant state agencies, and any other organizations included as recipients of funds in the application. A current list of SACs in each state is available at [www.jrsa.org/sac/saclist.html](http://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. Job descriptions must be provided for vacant positions. 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.

Some or all of the work may 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 grant manager.

BJS welcomes applications under which two or more entities would carry out the federal award; however, only one entity may be the applicant. Any others must be proposed subrecipients (subgrantees).<sup>6</sup> The applicant must be the entity that would have primary responsibility for carrying out the award, including administering the funding and managing the entire project. **Under this solicitation, only one application by any particular applicant entity will be considered.** An entity may, however, be proposed as a subrecipient (subgrantee) in more than one application.

For information on cost sharing or match requirements, see [Section B. Federal Award Information](#).

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<sup>6</sup> For information on subawards (including the details on proposed subawards that should be included in the application), see "Budget and Associated Documentation" under [Section D. Application and Submission Information](#).

## D. Application and Submission Information

### What an Application Should Include

This section describes in detail what an application should include. An applicant should anticipate that if it fails to submit an application that contains all of the specified elements, it may negatively affect the review of its application; and, should a decision be made to make an award, it may result in the inclusion of award conditions that preclude the recipient from accessing or using award funds until the recipient satisfies the conditions and OJP makes the funds available.

Moreover, an applicant should anticipate that an application that OJP determines is nonresponsive to the scope of the solicitation, or that OJP determines does not include the application elements that BJS has designated to be critical. For this solicitation, BJS has designated the following application elements as critical: Program Narrative and Budget Detail Worksheet.

**NOTE:** OJP has combined the Budget Detail Worksheet and Budget Narrative in a single document collectively referred to as the Budget Detail Worksheet. See “Budget Information and Associated Documentation” below for more information about the Budget Detail Worksheet and where it can be accessed.

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

Please review the “Note on File Names and File Types” under [How to Apply](#) to be sure applications are submitted in permitted formats.

### 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. GMS takes 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).

To avoid processing delays, an applicant must include an accurate legal name on its SF-424. On the SF-424, current OJP award recipients, when completing the field for “Legal Name” (box 5), should use the same legal name that appears on the prior year award document (which is also the legal name stored in OJP’s financial system). Also, these recipients should enter the Employer Identification Number (EIN) in box 6 exactly as it appears on the prior year award document. An applicant with a current, active award(s) must ensure that its GMS profile is current. If the profile is not current, the applicant should submit a Grant Adjustment Notice updating the information on its GMS profile prior to applying under this solicitation.

A new applicant entity should enter its official legal name and address in box 5, and its EIN and Data Universal Numbering System (DUNS) numbers in box 6 of the SF-424. A new applicant entity should attach official legal documents to its application (e.g., articles of

incorporation, 501(c)(3) status documentation, organizational letterhead, etc.) to confirm the legal name, address, and EIN entered into the SF-424. OJP will use the System for Award Management (SAM) to confirm the legal name and DUNS number entered in GMS; therefore, an applicant should ensure that the information entered in the SF-424 matches its current registration in SAM. See the [How to Apply](#) section for more information on SAM and DUNS numbers.

**Intergovernmental Review:** This solicitation ("funding opportunity") is subject to [Executive Order 12372](#). An applicant may find the names and addresses of State Single Points of Contact (SPOCs) at the following website: <https://ojp.gov/funding/Apply/Resources/eo12372spoc.pdf>. If the State appears on the SPOC list, the applicant must contact the State SPOC to find out about, and comply with, the State's process under E.O. 12372. In completing the SF-424, an applicant whose State appears on the SPOC list is to make the appropriate selection in response to question 16 once the applicant has complied with its State E.O. 12372 process. (An applicant whose State does not appear on the SPOC list should answer question 16 by selecting the response that the: "Program is subject to E.O. 12372 but has not been selected by the State for review.")

## 2. Project Abstract

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

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

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

## 3. Program Narrative

The main body of the program narrative should describe the proposed project in depth. The statement of the problem and project design sections of the narrative are limited to 10 pages for core capacity-building projects and 15 pages for special-emphasis projects. If the program narrative fails to comply with these length-related restrictions, BJS may consider such noncompliance in peer review and in final award decisions.

The following sections should be included as part of the program narrative:<sup>7</sup>

- **Section a: Statement of the Problem - Background and Identification of Needs.** The narrative should include an explanation of the SAC's placement 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.

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<sup>7</sup> For information on subawards (including the details on proposed subawards that should be included in the application), see "Budget and Associated Documentation" under [Section D. Application and Submission Information](#).



- **Section b: Project Design and Implementation.** 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 focus areas described in the solicitation. This section must include a specific justification for each proposed project that explains exactly how the project will respond to capacity-building needs identified by the SAC. This explanation should, in effect, be a long-range plan that includes (1) an assessment of the SAC's current data collection, analysis, and publication capabilities; (2) a description of how the project(s) proposed will enhance those capabilities; and (3) a description of how the capacity built will be maintained after the conclusion of the SJS award. The strength of the justification and plan included will be a consideration for BJS in making a final award decision on the SAC's application.
- **Section c: Impact Statement (for special-emphasis projects).** The program narrative should include an impact statement to describe specifically how each project will support or enhance BJS or national priorities. 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.
- **Section d: Capabilities and Competencies - Status of Prior SJS Projects.** Applications should include the status of each award your SAC received from FY 2014 through FY 2017. List by theme the project(s) and associated products that 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 its status 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.
- **Section e: Deliverables and Dissemination Plan.** Applications should include the expected deliverables resulting from the proposed project and include information on how the results will be disseminated with other state entities, other state SACs, and the general public.
- **Section f: Plan for Collecting the Data Required for this Solicitation's Performance Measures.** OJP will require each successful applicant to submit regular performance data that demonstrate the results of the work carried out under the award (see "[General Information about Post-Federal Award Reporting Requirements](#)" in [Section F. Federal Award Administration Information](#)). The performance data directly relate to the goals, objectives, and deliverables identified under "[Goals, Objectives, and Deliverables](#)" in [Section A. Program Description](#).

Applicants should visit OJP's performance measurement page at [www.ojp.gov/performance](http://www.ojp.gov/performance) to view the specific reporting requirements for this grant program.

The application should demonstrate the applicant's understanding of the performance data reporting requirements for this grant program and detail how the applicant will gather the required data should it receive funding.

Please note that applicants are **not** required to submit performance data with the application. Performance measures information is included as an alert that successful applicants will be required to submit performance data as part of the reporting requirements under an award.

<b>Objective</b>	<b>Performance Measure(s)</b>	<b>Data Recipient Provides</b>
<p>Enhance the capabilities of states to collect, analyze, and interpret data on justice issues relevant to the states and the nation.</p>	<p>Percent increase in new response rate.</p> <p>Number of outreach activities to respondents of BJS surveys to provide information and technical assistance.</p>	<p>Number of new respondents participating in BJS surveys.</p> <p>Number of respondents participating in BJS surveys.</p> <p>Decrease in respondent burden realized for BJS surveys.</p> <p>Number of information and/or technical assistance requests handled by the grantee.</p> <p>Number of conferences and workshops attended to present findings, provide training, and exchange information.</p>
	<p>Number of products made available to customers (print and online).</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 publications and other data (i.e., spreadsheets) downloaded.</p> <p>Number of databases added to interactive query systems.</p> <p>Number and type of justice-related databases compiled.</p>
	<p>Number of users with data records access.</p>	<p>Number of website user sessions.</p>
<p>Provide a mechanism that supports the collection and sharing of vital justice</p>	<p>Number of scheduled data collection series and special analyses to be conducted.</p>	<p>Number of studies/projects initiated and completed.</p>

<p>system data among the states and between the states and the federal government.</p>		<p>Number of new data sources identified for BJS use.</p> <p>Number of multistate projects initiated and completed by SACs.</p> <p>Number of reports produced presenting findings of collaborative projects.</p> <p>Number of projects submitted by SAC to the JRSA's Infobase of State Activities and Research (ISAR).</p> <p>Number of JRSA studies or information inquiries.</p> <p>Number of SAC project datasets submitted to the National Archive of Criminal Justice Data.</p> <p>Number of new data use agreements signed allowing the SAC to access to new sources of state and local data.</p> <p>Number of new data collection, analysis, and/or information strategies created.</p>
	<p>Quality of project management as measured by whether significant interim project milestones were achieved, final deadlines were met, and costs were maintained within approved funds.</p>	<p>Semi-annual progress reports, final datasets for archiving, project plans, regular communication with BJS, quarterly financial statements, and ad hoc analysis results.</p>

**4. Budget and Associated Documentation**

The Budget Detail Worksheet and the Budget Narrative are now combined in a single document collectively referred to as the Budget Detail Worksheet. The Budget Detail

Worksheet is a user-friendly, fillable, Microsoft Excel-based document designed to calculate totals. Additionally, the Excel workbook contains worksheets for multiple budget years that can be completed as necessary. All applicants should use the Excel version when completing the proposed budget in an application, except in cases where the applicant does not have access to Microsoft Excel or experiences technical difficulties. If an applicant does not have access to Microsoft Excel or experiences technical difficulties with the Excel version, then the applicant should use the 508-compliant accessible Adobe Portable Document Format (PDF) version.

Both versions of the Budget Detail Worksheet can be accessed at <https://ojp.gov/funding/Apply/Forms/BudgetDetailWorksheet.htm>.

**a. Budget Detail Worksheet**

The Budget Detail Worksheet should provide the detailed computation for each budget line item, listing the total cost of each and showing how it was calculated by the applicant. For example, costs for personnel should show the annual salary rate and the percentage of time devoted to the project for each employee paid with grant funds. The Budget Detail Worksheet should present a complete itemization of all proposed costs.

For questions pertaining to budget and examples of allowable and unallowable costs, see the DOJ Grants Financial Guide at <https://ojp.gov/financialguide/doj/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).

An applicant should demonstrate in its budget narrative how it will maximize cost effectiveness of award 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 budget narrative should be mathematically sound and correspond clearly 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 those costs are necessary 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 describe costs by year.

**c. Information on Proposed Subawards (if any), as well as on Proposed Procurement Contracts (if any)**

Applicants for OJP awards typically may propose to make *subawards*. Applicants also may propose to enter into procurement *contracts* under the award.

Whether an action – for federal grants administrative purposes – is a subaward or procurement contract is a critical distinction as significantly different rules apply to subawards and procurement contracts. If a recipient enters into an agreement that is a subaward of an OJP award, specific rules apply – many of which are set by federal

statutes and DOJ regulations; others by award conditions. These rules place particular responsibilities on an OJP recipient for any subawards the OJP recipient may make. The rules determine much of what the written subaward agreement itself must require or provide. The rules also determine much of what an OJP recipient must do both before and after it makes a subaward. If a recipient enters into an agreement that is a procurement contract under an OJP award, a substantially different set of federal rules applies.

OJP has developed the following guidance documents to help clarify the differences between subawards and procurement contracts under an OJP award and outline the compliance and reporting requirements for each. This information can be accessed online at <https://ojp.gov/training/training.htm>.

- [Subawards under OJP Awards and Procurement Contracts under Awards: A Toolkit for OJP Recipients.](#)
- [Checklist to Determine Subrecipient or Contractor Classification.](#)
- [Sole Source Justification Fact Sheet and Sole Source Review Checklist.](#)

In general, the central question is the relationship between what the third-party will do under its agreement with the recipient and what the recipient has committed (to OJP) to do under its award to further a public purpose (e.g., services the recipient will provide, products it will develop or modify, research or evaluation it will conduct). If a third party will provide some of the services the recipient has committed (to OJP) to provide, will develop or modify all or part of a product the recipient has committed (to OJP) to develop or modify, or will conduct part of the research or evaluation the recipient has committed (to OJP) to conduct, OJP will consider the agreement with the third party a *subaward* for purposes of federal grants administrative requirements.

This will be true **even if** the recipient, for internal or other nonfederal purposes, labels or treats its agreement as a procurement, a contract, or a procurement contract. Neither the title nor the structure of an agreement determines whether the agreement --for purposes of federal grants administrative requirements -- is a *subaward* or is instead a procurement *contract* under an award. The substance of the relationship should be given greater consideration than the form of agreement between the recipient and the outside entity.

## **1. Information on proposed subawards**

A recipient of an OJP award may not make subawards (subgrants) unless the recipient has specific federal authorization to do so. Unless an applicable statute or DOJ regulation specifically authorizes (or requires) subawards, a recipient must have authorization from OJP before it may make a subaward.

A particular subaward may be authorized by OJP because the recipient included a sufficiently detailed description and justification of the proposed subaward in the Program Narrative, Budget Detail Worksheet, and Budget Narrative as approved by OJP. If, however, a particular subaward is not authorized by federal statute or regulation, and is not approved by OJP, the recipient will be required, post-award, to request and obtain written authorization from OJP before it may make the subaward.

If an applicant proposes to make one or more subawards to carry out the federal award and program, the applicant should-- (1) identify (if known) the proposed subrecipient(s), (2) describe in detail what each subrecipient will do to carry out the federal award and federal program, and (3) provide a justification for the subaward(s), with details on pertinent matters such as special qualifications and areas of expertise. Pertinent information on subawards should appear not only in the Program Narrative, but also in the Budget Detail Worksheet and Budget Narrative.

## **2. Information on proposed procurement contracts (with specific justification for proposed noncompetitive contracts over \$150,000)**

Unlike a recipient contemplating a subaward, a recipient of an OJP award generally does not need specific prior federal authorization to enter into an agreement that -- for purposes of federal grants administrative requirements -- is considered a procurement contract, **provided that** (1) the recipient uses its own documented procurement procedures and (2) those procedures conform to applicable federal law, including the Procurement Standards of the (DOJ) Part 200 Uniform Requirements (as set out at 2 C.F.R. 200.317 - 200.326). The Budget Detail Worksheet and Budget Narrative should identify proposed procurement contracts. (As discussed above, subawards must be identified and described separately from procurement contracts.)

The Procurement Standards in the Part 200 Uniform Requirements, however, reflect a general expectation that agreements that (for purposes of federal grants administrative requirements) constitute procurement "contracts" under awards will be entered into on the basis of full and open competition. All noncompetitive (sole source) procurement contracts must meet the OJP requirements outlined at <https://ojp.gov/training/subawards-procurement.htm>. If a proposed procurement contract would exceed the simplified acquisition threshold -- currently, \$150,000 -- a recipient of an OJP award may not proceed without competition unless and until the recipient receives specific advance authorization from OJP to use a noncompetitive approach for the procurement. An applicant that (at the time of its application) intends -- without competition -- to enter into a procurement contract that would exceed \$150,000 should include a detailed justification that explains to OJP why, in the particular circumstances, it is appropriate to proceed without competition.

If the applicant receives an award, sole source procurements that do not exceed the Simplified Acquisition Threshold (currently \$150,000) must have written justification for the noncompetitive procurement action maintained in the procurement file. If a procurement file does not have the documentation that meets the criteria outlined in 2 C.F.R. 200, the procurement expenditures may not be allowable. Sole source procurement over the \$150,000 Simplified Acquisition Threshold must have prior approval from OJP using a Sole Source Grant Adjustment Notice (GAN). Written documentation justifying the noncompetitive procurement must be submitted with the GAN and maintained in the procurement file.

### **d. Pre-Agreement Costs**

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

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

Indirect costs may be charged to an award only if:

- (a) The recipient has a current (unexpired), federally approved indirect cost rate; or
- (b) The recipient is eligible to use, and elects to use, the “de minimis” indirect cost rate described in the Part 200 Uniform Requirements, as set out at 2 C.F.R. 200.414(f).

An applicant with a current (unexpired) federally approved indirect cost rate is to attach a copy of the indirect cost rate agreement to the application. An applicant that does not have a current federally approved rate may request one through its cognizant federal agency, which will review all documentation and approve a rate for the applicant entity, or, if the applicant’s accounting system permits, applicants may propose to allocate costs in the direct cost categories.

For assistance with identifying the appropriate cognizant federal agency for indirect costs, please contact the Office of the Chief Financial Officer (OCFO) Customer Service Center at 1-800-458-0786 or at [ask.ocfo@usdoj.gov](mailto:ask.ocfo@usdoj.gov). If DOJ is the cognizant federal agency, applicants may obtain information needed to submit an indirect cost rate proposal at <https://www.ojp.gov/funding/Apply/Resources/IndirectCosts.pdf>.

Certain OJP recipients have the option of electing to use the “de minimis” indirect cost rate. An applicant that is eligible to use the “de minimis” rate that wishes to use the “de minimis” rate should attach written documentation to the application that advises OJP of both (1) the applicant’s eligibility to use the “de minimis” rate, and (2) its election to do so. If an eligible applicant elects the “de minimis” rate, costs must be consistently charged as either indirect or direct costs, but may not be double charged or inconsistently charged as both. The “de minimis” rate may no longer be used once an approved federally negotiated indirect cost rate is in place. (No entity that ever has had a federally approved negotiated indirect cost rate is eligible to use the “de minimis” rate.) For additional eligibility requirements, please see Part 200 Uniform Requirements, as set out at [https://www.ecfr.gov/cgi-bin/text-idx?node=se2.1.200\\_1414&rqn=div8](https://www.ecfr.gov/cgi-bin/text-idx?node=se2.1.200_1414&rqn=div8).

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

A tribe, tribal organization, or third party that proposes to provide direct services or assistance to residents on tribal lands should include in its application a resolution, letter, affidavit, or other documentation, as appropriate, that demonstrates (as a legal matter) that the applicant has the requisite authorization from the tribe(s) to implement the proposed project on tribal lands. In those instances when an organization or consortium of tribes applies for an award on behalf of a tribe or multiple specific tribes, the application should include appropriate legal documentation, as described above, from all tribes that would receive services or assistance under the award. A consortium of tribes for which existing consortium bylaws allow action without support from all tribes in the consortium (i.e., without an authorizing resolution or comparable legal documentation from each tribal governing body) may submit, instead, a copy of its consortium bylaws with the application.

## **7. Financial Management and System of Internal Controls Questionnaire (including applicant disclosure of high-risk status)**

Every OJP applicant (other than an individual applying in his or her personal capacity) is required to download, complete, and submit the OJP Financial Management and System of Internal Controls Questionnaire (Questionnaire) at <https://ojp.gov/funding/Apply/Resources/FinancialCapability.pdf> as part of its application. The Questionnaire helps OJP assess the financial management and internal control

systems, and the associated potential risks of an applicant as part of the pre-award risk assessment process.

The Questionnaire should only be completed by financial staff most familiar with the applicant's systems, policies, and procedures in order to ensure that the correct responses are recorded and submitted to OJP. The responses on the Questionnaire directly impact the pre-award risk assessment and should accurately reflect the applicant's financial management and internal control system at the time of the application. The pre-award risk assessment is only one of multiple factors and criteria used in determining funding. However, a pre-award risk assessment that indicates that an applicant poses a higher risk to OJP may affect the funding decision and/or result in additional reporting requirements, monitoring, special conditions, withholding of award funds, or other additional award requirements.

Among other things, the form requires each applicant to disclose whether it currently is designated "high risk" by a federal grant-making agency outside of DOJ. For purposes of this disclosure, high risk includes any status under which a federal awarding agency provides additional oversight due to the applicant's past performance, or other programmatic or financial concerns with the applicant. If an applicant is designated high risk by another federal awarding agency, the applicant must provide the following information:

- The federal awarding agency that currently designates the applicant high risk
- The date the applicant was designated high risk
- The high-risk point of contact at that federal awarding agency (name, phone number, and email address)
- The reasons for the high-risk status, as set out by the federal awarding agency

OJP seeks this information to help ensure appropriate federal oversight of OJP awards. An applicant that is considered "high-risk" by another federal awarding agency is not automatically disqualified from receiving an OJP award. OJP may, however, consider the information in award decisions, and may impose additional OJP oversight of any award under this solicitation (including through the conditions that accompany the award document).

## **8. Disclosure of Lobbying Activities**

Each applicant must complete and submit this information. An applicant that expends any funds for lobbying activities is to provide all of the information requested on the form Disclosure of Lobbying Activities (SF-LLL) posted at <https://ojp.gov/funding/Apply/Resources/Disclosure.pdf>. An applicant that does not expend any funds for lobbying activities is to enter "N/A" in the text boxes for item 10 ("a. Name and Address of Lobbying Registrant" and "b. Individuals Performing Services").

## **9. Additional Attachments**

The following required documents should be submitted online as a single file attachment or as separate attachments:

- a. A Privacy Certificate and Human Subjects Protection Certification of Compliance.**  
These documents 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 information. Applicants must specify in the Privacy Certificate the specific controls used to safeguard directly identifiable information against unauthorized disclosure. All project staff, including information technology personnel, subcontractors, and/or consultants, with access to identifiable data collected in conjunction with the BJS-funded activities are required to sign a Privacy Certificate to affirm their understanding of and agreement to comply with the terms of access and privacy requirements. Award recipients are responsible for maintaining an updated list of individuals with access to identifiable information and for ensuring that new staff who gain access to such information during the project period sign a Privacy Certificate. A model certificate is located at <https://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, is located at [www.bjs.gov/content/hscr.cfm](http://www.bjs.gov/content/hscr.cfm).

**b. Applicant Disclosure of Pending Applications**

Each applicant is to disclose whether it has (or is proposed as a subrecipient under) any pending applications for federally funded grants or cooperative agreements that (1) include requests for funding to support the same project being proposed in the application under this solicitation, and (2) would cover any identical cost items outlined in the budget submitted to OJP as part of the application under this solicitation. The applicant is to disclose applications made directly to federal awarding agencies, and also applications for subawards of federal funds (e.g., applications to state agencies that will subaward ("subgrant") 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.

Each applicant that has one or more pending applications as described above is 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 federal or State funding agency

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

Each applicant should include the table as a separate attachment to its application. The file should be named “Disclosure of Pending Applications.” The applicant Legal Name on the application must match the entity named on the disclosure of pending applications statement.

Any applicant that does not have any pending applications as described above is to submit, as a separate attachment, a statement to this effect: “[Applicant Name on SF-424] does not have (and is not proposed as a subrecipient under) any pending applications submitted within the last 12 months for federally funded grants or cooperative agreements (or for subawards under federal grants or cooperative agreements) that request funding to support the same project being proposed in this application to OJP and that would cover any identical cost items outlined in the budget submitted as part of in this application.”

**c. Research and Evaluation Independence and Integrity**

If an application proposes research (including research and development) and/or evaluation, the applicant must demonstrate research/evaluation independence and integrity, including appropriate safeguards, before it may receive award funds. The applicant must demonstrate independence and integrity regarding both this proposed research and/or evaluation, and any current or prior related projects.

Each application should include an attachment that addresses **both** i. and ii. below.

- i. For purposes of this solicitation, each applicant is to document research and evaluation independence and integrity by including one of the following two items:
  - a. A specific assurance that the applicant has reviewed its application to identify any actual or potential apparent conflicts of interest (including through review of pertinent information on the principal investigator, any co-principal investigators, and any subrecipients), and that the applicant has identified no such conflicts of interest – whether personal or financial or organizational (including on the part of the applicant entity or on the part of staff, investigators, or subrecipients) – that could affect the independence or integrity of the research, including the design, conduct, and reporting of the research.

OR

- b. A specific description of actual or potential apparent conflicts of interest that the applicant has identified – including through review of pertinent information on the principal investigator, any co-principal investigators, and any subrecipients – that could affect the independence or integrity of the research, including the design, conduct, or reporting of the research. These conflicts may be personal (e.g., on the part of investigators or other staff), financial, or organizational (related to the applicant or any subrecipient entity). Some examples of potential investigator (or other personal) conflict situations are those in which an investigator would be in a position to evaluate a spouse's work product (actual conflict), or an investigator would be in a position to evaluate the work of a former or current colleague (potential apparent conflict). With regard to potential organizational conflicts of interest, as one example, generally an organization would not be given an award to evaluate a project, if that organization had itself provided substantial prior technical assistance to that specific project or a location implementing the project (whether funded by OJP or other sources), because the organization in such an instance might appear to be evaluating the effectiveness of its own prior work. The key is whether a reasonable person understanding all of the facts would be able to have confidence that the results of any research or evaluation project are objective and reliable. Any outside personal or financial interest that casts doubt on that objectivity and reliability of an evaluation or research product is a problem and must be disclosed.
- ii. In addition, for purposes of this solicitation, each applicant is to address possible mitigation of research integrity concerns by including, at a minimum, one of the following two items:
    - a. If an applicant reasonably believes that no actual or potential apparent conflicts of interest (personal, financial, or organizational) exist, then the applicant should provide a brief narrative explanation of how and why it reached that conclusion. The applicant also is to include an explanation of the specific processes and procedures that the applicant has in place, or will put in place, to identify and prevent (or, at the very least, mitigate) any such conflicts of interest pertinent to the funded project during the period of performance. Documentation that may be helpful in this regard may include organizational codes of ethics/conduct and policies regarding organizational, personal, and financial conflicts of interest. There is no guarantee that the plan, if any, will be accepted as proposed.

OR

- b. If the applicant has identified actual or potential apparent conflicts of interest (personal, financial, or organizational) that could affect the independence and integrity of the research, including the design, conduct, or reporting of the research, the applicant must is to provide a specific and robust mitigation plan to address each of those conflicts. At a minimum, the applicant is expected to explain the specific processes and procedures that the applicant has in place, or will put in place, to identify and eliminate (or, at the very least, mitigate) any such conflicts of interest pertinent to the funded project during

the period of performance. Documentation that may be helpful in this regard may include organizational codes of ethics/conduct and policies regarding organizational, personal, and financial conflicts of interest. There is no guarantee that the plan, if any, will be accepted as proposed.

OJP will assess research and evaluation independence and integrity based on considerations such as the adequacy of the applicant's efforts to identify factors that could affect the objectivity or integrity of the proposed staff and/or the applicant entity (and any subrecipients) 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.

#### **d. Disclosure of Process Related to Executive Compensation**

An applicant that is a nonprofit organization may be required to make certain disclosures relating to the processes it uses to determine the compensation of its officers, directors, trustees, and key employees.

Under certain circumstances, a nonprofit organization that provides unreasonably high compensation to certain persons may subject both the organization's managers and those who receive the compensation to additional federal taxes. A rebuttable presumption of the reasonableness of a nonprofit organization's compensation arrangements, however, may be available if the nonprofit organization satisfied certain rules set out in Internal Revenue Service (IRS) regulations with regard to its compensation decisions.

Each applicant nonprofit organization must state at the time of its application (question 9c in the "OJP Financial Management and System of Internal Controls Questionnaire" located at <https://ojp.gov/funding/Apply/Resources/FinancialCapability.pdf> and mentioned earlier) whether or not the applicant entity believes (or asserts) that it currently satisfies the requirements of 26 C.F.R. 53.4958-6 (which relate to establishing or invoking a rebuttable presumption of reasonableness of compensation of certain individuals and entities).

A nonprofit organization that states in the questionnaire that it believes (or asserts) that it has satisfied the requirements of 26 C.F.R. 53.4958-6 must then disclose, in an attachment to its application (to be titled "Disclosure of Process Related to Executive Compensation"), the process used by the applicant nonprofit organization to determine the compensation of its officers, directors, trustees, and key employees (together, "covered persons").

At a minimum, the disclosure must describe in pertinent detail: (1) the composition of the body that reviews and approves compensation arrangements for covered persons; (2) the methods and practices used by the applicant nonprofit organization to ensure that no individual with a conflict of interest participates as a member of the body that reviews and approves a compensation arrangement for a covered person; (3) the appropriate data as to comparability of compensation that is obtained in advance and relied upon by the body that reviews and approves compensation arrangements for covered persons; and (4) the written or electronic records that the applicant organization maintains as concurrent documentation of the decisions with respect to compensation of covered persons made by the body that reviews and

approves such compensation arrangements, including records of deliberations and of the basis for decisions.

For purposes of the required disclosure, the following terms and phrases have the meanings set out by the IRS for use in connection with 26 C.F.R. 53.4958-6: officers, directors, trustees, key employees, compensation, conflict of interest, appropriate data as to comparability, adequate documentation, and concurrent documentation.

Applicant nonprofit organizations should note that following receipt of an appropriate request, OJP may be authorized or required by law to make information submitted to satisfy this requirement available for public inspection. Also, a recipient may be required to make a prompt supplemental disclosure after the award in certain circumstances (e.g., changes in the way the organization determines compensation).

### **How to Apply**

An applicant must submit its application through the [Grants Management System \(GMS\)](#), which provides support for the application, award, and management of awards at OJP. Each applicant entity **must register in GMS for each specific funding opportunity** and should **register immediately** to meet the GMS registration deadline for this funding opportunity, especially if this is the first time the applicant is using the system. Find complete instructions on how to register and submit an application in GMS at [www.ojp.gov/gmscbt/](http://www.ojp.gov/gmscbt/). An applicant that experiences technical difficulties during this process should email [GMS.HelpDesk@usdoj.gov](mailto:GMS.HelpDesk@usdoj.gov) or call 888-549-9901 (option 3), available 24 hours a day, 7 days a week, including on federal holidays. OJP recommends that each applicant **register immediately** to prevent delays in submitting an application package by the deadline.

**Note on File Types: GMS does not accept executable file types as application attachments.** These disallowed file types include, but are not limited to, the following extensions: “.com,” “.bat,” “.exe,” “.vbs,” “.cfg,” “.dat,” “.db,” “.dbf,” “.dll,” “.ini,” “.log,” “.ora,” “.sys,” and “.zip.” GMS may reject applications with files that use these extensions. It is important to allow time to change the type of file(s) if the application is rejected.

### **Unique Entity Identifier (DUNS Number) and System for Award Management (SAM)**

Every applicant entity must comply with all applicable System for Award Management (SAM) and unique entity identifier (currently, a Data Universal Numbering System [DUNS] number) requirements. SAM is the repository for certain standard information about federal financial assistance applicants, recipients, and subrecipients. A DUNS number is a unique nine-digit identification number provided by the commercial company Dun and Bradstreet. More detailed information about SAM and the DUNS number is in the numbered sections below.

If an applicant entity has not fully complied with the applicable SAM and unique identifier requirements by the time OJP makes award decisions, OJP may determine that the applicant is not qualified to receive an award, and may use that determination as a basis for making an award to a different applicant.

If the applicant entity already has an Employer Identification Number (EIN), the SAM registration will take **up to two weeks to process**. If the entity does not have an EIN, then **the applicant should allow two to five weeks for obtaining the information from IRS when requesting the EIN via phone, fax, mail or Internet**. For more information about EIN, visit <https://www.irs.gov/individuals/international-taxpayers/taxpayer-identification-numbers-tin>.

## Registration and Submission Steps

All applicants should complete the following steps:

1. **Acquire a unique entity identifier (currently, a DUNS number).** In general, the Office of Management and Budget requires every applicant for a federal award (other than an individual) to include a "unique entity identifier" in each application, including an application for a supplemental award. Currently, a DUNS number is the required unique entity identifier.

This unique entity identifier is used for tracking purposes, and to validate address and point of contact information for applicants, recipients, and subrecipients. It will be used throughout the life cycle of an OJP award. Obtaining a DUNS number is a free, one-time activity. Call Dun and Bradstreet at 866-705-5711 to obtain a DUNS number or apply online at [www.dnb.com](http://www.dnb.com). A DUNS number is usually received within 1-2 business days.

2. **Acquire or maintain registration with SAM.** All applicants for OJP awards (other than individuals) must maintain current registrations in the SAM database. Applicants will need the authorizing official of the organization and an Employer Identification Number (EIN). An applicant must be registered in SAM to successfully register in Grants.gov. Each applicant must **update or renew its SAM registration at least annually** to maintain an active status. SAM registration and renewal can take as long as 10 business days to complete (2 more weeks to acquire an EIN).

Information about SAM registration procedures can be accessed at [www.sam.gov](http://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](#) home page. For more information on how to register in GMS, go to [www.ojp.gov/gmscbt](http://www.ojp.gov/gmscbt). Previously registered applicants should ensure, prior to applying, that the user profile information is up-to-date in GMS (including, but not limited to, address, legal name of agency and authorized representative) as this information is populated in any new application.
4. **Verify the SAM (formerly CCR) registration in GMS.** OJP requires each applicant to verify its 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 in to GMS or completing the GMS profile for username and password, go to the "Funding Opportunities" link on the left side of the page. Select Bureau of Justice Statistics and the State Justice Statistics Program for Statistical Analysis Centers, 2018.
6. **Register by selecting the "Apply Online" button associated with the funding opportunity title.** The search results from step 5 will display the "funding opportunity" (solicitation) title along with the registration and application deadlines for this solicitation. Select the "Apply Online" button in the "Action" column to register for this solicitation and create an application in the system.
7. **Follow the directions in GMS to submit an application consistent with this solicitation.** Once the application is submitted, GMS will display a confirmation screen stating the submission was successful. **Important:** In some instances, applicants must wait

for GMS approval before submitting an application. OJP urges each applicant to submit its application **at least 72 hours prior** to the application due date.

### **Note: Application Versions**

If an applicant submits multiple versions of the same application, OJP will review **only** the most recent system-validated version submitted.

### **Experiencing Unforeseen GMS Technical Issues**

An applicant that experiences unforeseen GMS technical issues beyond its control that prevent it from submitting its application by the deadline must contact the [GMS Help Desk](#) or the SAM Help Desk (Federal Service Desk) at <https://www.fsd.gov/fsd-gov/home.do> to report the technical issue and receive a tracking number. The applicant must email the BJS contact identified in the Contact Information section on page 2 **within 24 hours after the application deadline** to request approval to submit its application after the deadline. The applicant's email must describe the technical difficulties and must include a timeline of the applicant's submission efforts, the complete application, the applicant's DUNS number, and any GMS Help Desk or SAM tracking number(s).

**Note: OJP does not automatically approve requests to submit a late application.** After OJP reviews the applicant's request, and contacts the GMS Help Desk to verify the reported technical issues, OJP will inform the applicant whether the request to submit a late application has been approved or denied. If OJP determines that the untimely application submission was due to the applicant's failure to follow all required procedures, OJP will deny the applicant's request to submit their application.

The following conditions generally are insufficient to justify late submissions:

- Failure to register in SAM or GMS in sufficient time (SAM registration and renewal can take as long as 10 business days to complete)
- Failure to follow GMS instructions on how to register and apply as posted on the GMS website
- Failure to follow each instruction in the OJP solicitation
- Technical issues with the applicant's computer or information technology environment, such as issues with firewalls

## **E. Application Review Information**

### **Review 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 the SAC 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. Awards will be based on the following review criteria:

### **Capacity-Building Needs as Described in the Program Narrative**

- The extent to which the Program Narrative portion of the application addresses the specific objectives of the SJS program.
- The extent to which the capacity-building needs of the SAC justify the proposed project activities.

### **Project/Program Design and Implementation**

- The extent to which the proposed projects are explained and justified consistent with the guidance contained in this solicitation (i.e., long-range plan and/or impact assessment).
- The extent to which the application clearly and concisely describes each task or activity such that it logically connects to the proposed project and is associated with a product or deliverable to each task, such as a report or publication.
- The technical and methodological soundness of the proposed project(s).
- Privacy and human subjects certification forms must be submitted for each proposed data collection or research activity.

### **Capabilities and 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.
- Past record of applicant's performance with previous awards, including quality of work, completeness, and adherence to schedules.
- Evidence of collaboration or communication with the SAA in the development of the application.
- Evidence of collaboration or communication with other entities as appropriate for the project, including—
  - the state's central repository of criminal history records
  - other SACs
  - the JRSA
  - BJS or other OJP component.
- Extent of multiagency collaboration involved in the proposed project(s).

### **Plan for Collecting the Data Required for this Solicitation's Performance Measures**

Applicants should indicate an understanding of these requirements (pages 19-20) and discuss how the applicant will gather the required data, should the applicant receive funding.

### **Budget**

- Provide a proposed budget for the entire project period that is complete, cost effective, and allowable (e.g., reasonable, allocable, and necessary for project activities). Budget narratives should demonstrate generally how applicants will maximize cost effectiveness of grant expenditures. Budget narratives should demonstrate cost effectiveness in relation to potential alternatives and the goals of the project.<sup>8</sup>
- The appropriateness of the project schedule and budget.

### **Relevance**

- The extent to which the proposed project addresses the specific objectives of the SJS program.

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<sup>8</sup> Generally speaking, a reasonable cost is a cost that, in its nature or amount, does not exceed that which would be incurred by a prudent person under the circumstances prevailing at the time the decision was made to incur the costs.



## Review Process

OJP is committed to ensuring a fair and open process for making awards. BJS reviews the application to make sure that the information presented is reasonable, understandable, measurable, and achievable, as well as consistent with the solicitation.

Although specific requirements may vary, the following are common requirements applicable to all solicitations for funding under OJP programs:

- The application must be submitted by an eligible type of applicant
- The application must request funding within programmatic funding constraints (if applicable)
- The application must be responsive to the scope of the solicitation
- The application must include all items designated as “critical elements”
- The applicant must not be identified in SAM as excluded from receiving federal awards

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

Pursuant to the Part 200 Uniform Requirements, before award decisions are made, OJP also reviews information related to the degree of risk posed by applicant. Among other things to help assess whether an applicant that has one or more prior federal awards has a satisfactory record with respect to performance, integrity, and business ethics, OJP checks whether the applicant is listed in SAM as excluded from receiving a federal award.

In addition, if OJP anticipates that an award will exceed \$150,000 in federal funds, OJP also must review and consider any information about the applicant that appears in the non-public segment of the integrity and performance system accessible through SAM (currently, the Federal Awardee Performance and Integrity Information System, (FAPIS)).

**Important note on FAPIS:** An applicant, at its option, may review and comment on any information about itself that currently appears in FAPIS and was entered by a federal awarding agency. OJP will consider any such comments by the applicant, in addition to the other information in FAPIS, in its assessment of the risk posed by the applicant.

The evaluation of risks goes beyond information in SAM, however. OJP itself has in place a framework for evaluating risks posed by applicants for competitive awards. OJP takes into account information pertinent to matters such as --

1. Applicant financial stability and fiscal integrity
2. Quality of the management systems of the applicant, and the applicant’s ability to meet prescribed management standards, including those outlined in the DOJ Grants Financial Guide
3. Applicant’s history of performance under OJP and other DOJ awards (including compliance with reporting requirements and award conditions), as well as awards from other federal agencies
4. Reports and findings from audits of the applicant, including audits under the Part 200 Uniform Requirements
5. Applicant’s ability to comply with statutory and regulatory requirements, and to effectively implement other award requirements.

Absent explicit statutory authorization or written delegation of authority to the contrary, all final award decisions will be made by the Assistant Attorney General, who may take into account not only BJS recommendations, but also other factors as indicated in this section.

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

### **Federal Award Notices**

Award notifications will be made by September 30, 2018. OJP sends award notifications by email through GMS to the individuals listed in the application as the point of contact and the authorizing official (E-Biz POC and AOR). The email notification includes detailed instructions on how to access and view the award documents, and steps to take in GMS to start the award acceptance process. GMS automatically issues the notifications at 9:00 p.m. eastern time on the award date.

For each successful applicant, an individual with the necessary authority to bind the applicant will be required to log in; execute a set of legal certifications and a set of legal assurances; designate a financial point of contact; thoroughly review the award, including all award conditions; and sign and accept the award. The award acceptance process requires physical signature of the award document by the authorized representative and the scanning and submission of the fully executed award document to OJP.

### **Administrative, National Policy, and Other Legal Requirements**

If selected for funding, in addition to implementing the funded project consistent with the OJP-approved application, the recipient must comply with all award conditions, as well as all applicable requirements of federal statutes and regulations (including applicable requirements referred to in the assurances and certifications executed in connection with award acceptance). OJP strongly encourages prospective applicants to review information on post-award legal requirements and common OJP award conditions **prior** to submitting an application.

Applicants should consult the “[Overview of Legal Requirements Generally Applicable to OJP Grants and Cooperative Agreements - FY 2017 Awards](#),” available in the OJP Funding Resource Center at <https://ojp.gov/funding/index.htm>. In addition, applicants should examine the following two legal documents, as each successful applicant must execute both documents before it may receive any award funds. (An applicant is not required to submit these documents as part of an application.)

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

The webpages accessible through the “[Overview of Legal Requirements Generally Applicable to OJP Grants and Cooperative Agreements - FY 2017 Awards](#)” are intended to give applicants for OJP awards a general overview of important statutes, regulations, and award conditions that apply to many (or in some cases, all) OJP grants and cooperative agreements awarded in FY 2018. Individual OJP awards typically also will include additional award conditions. Those additional conditions may relate to the particular statute or program, or solicitation under which the award is made; to the substance of the funded application; to the recipient’s performance under other federal awards; to the recipient’s legal status (e.g., as a for-profit entity); or to other pertinent considerations.

As stated above, BJS expects that it will make any award under this solicitation in the form of a cooperative agreement. Cooperative agreements include a condition in the award document that sets out the nature of the “substantial federal involvement” in carrying out the award and program. Generally stated, under OJP cooperative agreement awards, responsibility for the day-to-day conduct of the funded project rests with the recipient. OJP, however, may have substantial involvement in matters such as substantive coordination of technical efforts and site selection, as well as review and approval of project work plans, research designs, data collection instruments, and major project-generated materials. In addition, OJP often indicates in the award terms and conditions that it may redirect the project if necessary.

In addition to an award condition that sets out the nature of the anticipated “substantial federal involvement” in the award, cooperative agreements awarded by OJP include an award condition that requires specific reporting in connection with conferences, meetings, retreats, seminars, symposia, training activities, or similar events funded under the award.

### **Cooperative Agreement for SJS Program**

This project is to be funded as a cooperative agreement. The basis for using a cooperative agreement is the substantial involvement of BJS in providing information, guidance, and direction relative to criminal justice information and statistical systems development and modification in the state. BJS will exercise general approval over the entire project. In addition, the substantial involvement of BJS will include, but not be limited to:

- a. Assisting the recipient in determining the types of statistical information that will be useful to state and local agencies in planning, implementing, and evaluating criminal justice programs.
- b. Identifying Federal information resources and determining appropriate means of making them available to the recipient or providing access to them.
- c. Providing technical assistance to the recipient in the interpretation and utilization of Federal statistical data.
- d. In consultation with the recipient, defining the needs of BJS for information pertaining to justice system topics and operations in the state, determining the availability of such information, and having the recipient provide BJS access to them.

### **Reports to BJS and Use of ISAR**

Copies of any published reports funded in whole or in part by this cooperative agreement must be provided directly to BJS and JRSA. The recipient will enter complete and accurate information regarding activities funded by this agreement in the online Infobase of State Activities and Research (ISAR) that is maintained by JRSA.

### **Provide Automated Datasets to BJS and JRSA**

When requested by BJS, the recipient agrees to provide to the Justice Research and Statistics Association (JRSA) and BJS information on automated data sets that are maintained by the recipient, or which are maintained by other agencies in the state and have been used successfully by the recipient in the past 2 years for analytic or statistical purposes. The information to be provided for each data set is indicated on the Infobase of State Activities and

Research (ISAR) data collection form. To the extent that they are readily available, lists of data elements and/or code books also should be provided. If the recipient already has provided BJS or JRSA with this information, submission will cover only new data sets and the updating of previous data.

### **Assist in Evaluation Efforts Associated with SJS**

In order to ensure that the State Justice Statistics Program for Statistical Analysis Centers (SAC's) is realizing its objectives in the most productive manner, the recipient agrees to assist in any evaluation efforts associated with this program. Such evaluation activities should not result in any significant or unreasonable costs or burdens on the recipient that would interfere with the performance of this cooperative agreement.

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

In addition to the deliverables described in [Section A. Program Description](#), any recipient of an award under this solicitation will be required to submit the following reports and data.

Required reports. Recipients typically must submit quarterly financial reports, semiannual progress reports, final financial and progress reports, and, if applicable, an annual audit report in accordance with the Part 200 Uniform Requirements or specific award conditions. Future awards and fund drawdowns may be withheld if reports are delinquent. (In appropriate cases, OJP may require additional reports.)

Awards that exceed \$500,000 will include an additional condition that, under specific circumstances, will require the recipient to report (to FAPIIS) information on civil, criminal, and administrative proceedings connected with (or connected to the performance of) either the OJP award or any other grant, cooperative agreement, or procurement contract from the federal government. Additional information on this reporting requirement appears in the text of the award condition posted on the OJP webpage at <https://ojp.gov/funding/FAPIIS.htm>.

Data on performance measures. In addition to required reports, each award recipient also must provide data that measure the results of the work done under the award. To demonstrate program progress and success, as well as to assist DOJ in 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, OJP will require any award recipient, post award, to provide performance data as part of regular progress reporting. Successful applicants will be required to access OJP's performance measurement page at [www.ojp.gov/performance](http://www.ojp.gov/performance) to view the specific reporting requirements for this grant program.

## G. Federal Awarding Agency Contact(s)

For OJP contact(s), see the title page.

For contact information for GMS, see the title page.

## H. Other Information

### Freedom of Information Act and Privacy Act (5 U.S.C. 552 and 5 U.S.C. 552a)

All applications submitted to OJP (including all attachments to applications) are subject to the federal Freedom of Information Act (FOIA) and to the Privacy Act. By law, DOJ may withhold information that is responsive to a request pursuant to FOIA if DOJ determines that the responsive information either is protected under the Privacy Act or falls within the scope of one of nine statutory exemptions under FOIA. DOJ cannot agree in advance of a request pursuant to FOIA not to release some or all portions of an application.

In its review of records that are responsive to a FOIA request, OJP will withhold information in those records that plainly falls within the scope of the Privacy Act or one of the statutory exemptions under FOIA. (Some examples include certain types of information in budgets, and names and contact information for project staff other than certain key personnel.) In appropriate circumstances, OJP will request the views of the applicant/recipient that submitted a responsive document.

For example, if OJP receives a request pursuant to FOIA for an application submitted by a nonprofit or for-profit organization or an institution of higher education, or for an application that involves research, OJP typically will contact the applicant/recipient that submitted the application and ask it to identify -- quite precisely -- any particular information in the application that the applicant/recipient believes falls under a FOIA exemption, the specific exemption it believes applies, and why. After considering the submission by the applicant/recipient, OJP makes an independent assessment regarding withholding information. OJP generally follows a similar process for requests pursuant to FOIA for applications that may contain law-enforcement sensitive information.

### Provide Feedback to OJP

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

**IMPORTANT:** This email is for feedback and suggestions only. OJP does **not** reply from this mailbox to messages it receives in this mailbox. Any prospective applicant that has specific questions on any program or technical aspect of the solicitation **must** use the appropriate telephone number or email listed on the front of this document to obtain information. These contacts are provided to help ensure that prospective applicants can directly reach an individual who can address specific questions in a timely manner.

If you are interested in being a reviewer for other OJP grant applications, please email your résumé to [ojppeerreview@l-secb.com](mailto:ojppeerreview@l-secb.com). (Do not send your résumé to the OJP Solicitation Feedback email account.) **Note:** Neither you nor anyone else from your organization or entity can be a peer reviewer in a competition in which you or your organization/entity has submitted an application.

## Application Checklist

### State Justice Statistics Program for Statistical Analysis Centers, 2018

This application checklist has been created as an aid in developing an application.

#### What an Applicant Should Do:

##### *Prior to Registering in GMS:*

- Acquire a DUNS Number (see page 30)
- Acquire or renew registration with SAM (see page 30)

##### *To Register with GMS:*

- For new users, acquire a GMS username and password\* (see page 30)
- For existing users, check GMS username and password \*  
to ensure account access\* (see page 30)
- Verify SAM registration in GMS (see page 30)
- Search for correct funding opportunity in GMS (see page 30)
- Select correct funding opportunity in GMS (see page 30)
- Register by selecting the "Apply Online" button associated with the funding opportunity  
(see page 30)
- Read OJP policy and guidance on conference approval, planning, and reporting  
available at [ojp.gov/financialguide/DOJ/PostawardRequirements/chapter3.10a.htm](http://ojp.gov/financialguide/DOJ/PostawardRequirements/chapter3.10a.htm)  
(see page 13)
- If experiencing technical difficulties in GMS, contact BJS (see page 31)

\*Password Reset Notice – GMS users are reminded that while password reset capabilities exist, this function is only associated with points of contacts POCs designated within GMS at the time the account was established. Neither OJP nor the GMS Help Desk will initiate a password reset unless requested by the authorized official nor a designated point of contact associated with an award or application.”

#### Overview of Post-Award Legal Requirements:

- Review the "Overview of Legal Requirements Generally Applicable to OJP Grants and Cooperative Agreements - FY 2017 Awards" in the OJP Funding Resource Center at <https://ojp.gov/funding/index.htm>.

#### Scope Requirement:

- The Federal amount requested is within the allowable limit(s) as stated in the solicitation  
(see page 11)

#### Eligibility Requirement:

- Eligible applicants are limited to Statistical Analysis Centers (SACs) established by state legislation or executive order

## What an Application Should Include:

_____	Application for Federal Assistance (SF-424)	(see page 15)
_____	Intergovernmental Review	(see page 16)
_____	Project Abstract	(see page 16)
_____	Program Narrative	(see page 16)
_____	_____ Long Range Plan for Capacity Building	
_____	_____ National Impact Assessment for Special Emphasis	
_____	Budget Detail Worksheet	(see page 20)
_____	Budget Narrative	(see page 20)
_____	Indirect Cost Rate Agreement (if applicable)	(see page 22)
_____	Tribal Authorizing Resolution (if applicable)	(see page 23)
_____	Financial Management and System of Internal Controls Questionnaire	(see page 23)
_____	Disclosure of Lobbying Activities ( <a href="#">SF-LLL</a> ) (if applicable)	(see page 24)
_____	Additional Attachments	
_____	_____ Privacy Certification	(see page 25)
_____	_____ Human Subjects Protection Certification of Compliance	(see page 25)
_____	_____ Applicant Disclosure of Pending Applications	(see page 25)
_____	_____ Research and Evaluation Independence and Integrity	(see page 26)
_____	_____ Disclosure of Process related to Executive Compensation	(see page 28)
_____	Request and Justification for Employee Compensation; Waiver (if applicable)	(see page 12)