

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



The [U.S. Department of Justice](#) (DOJ), [Office of Justice Programs](#) (OJP), [Bureau of Justice Statistics](#) (BJS) is seeking applicants for the Survey of Prison Inmates Statistical Support Center (SPISSC), a project that will provide statistical analysis, methodological research, and reporting and dissemination of findings for its Survey of Prison Inmates (SPI). This project furthers the Department's mission to identify the most pressing issues confronting the justice system and to provide critical information and further existing knowledge to support innovative strategies and approaches for dealing with these challenges.

Survey of Prison Inmates Statistical Support Center (SPISSC)

Applications Due: June 10, 2016

Eligibility

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

BJS welcomes applications that involve two or more entities that will carry out the funded Federal award activities; however, one eligible entity must be the applicant and the other(s) must be proposed as subrecipient(s). The applicant must be the entity with primary responsibility for administering the funding and managing the entire project. Only one application per lead applicant will be considered; however, a subrecipient may be part of multiple proposals.

BJS may elect to make awards for applications submitted under this solicitation in future fiscal years, depending on, among other considerations, the merit of the applications and the availability of appropriations.

Deadline

Applicants must register with [Grants.gov](#) prior to submitting an application. All applications are due to be submitted and in receipt of a successful validation message in Grants.gov by 11:59 p.m. eastern time on June 10, 2016.

All applicants are encouraged to read this [Important Notice: Applying for Grants in Grants.gov](#).

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

Contact Information

For technical assistance with submitting an application, contact the Grants.gov Customer Support Hotline at 800-518-4726 or 606-545-5035, or via email to support@grants.gov. The [Grants.gov](#) Support Hotline hours of operation are 24 hours a day, 7 days a week, except federal holidays.

Applicants that experience unforeseen Grants.gov technical issues beyond their control that prevent them from submitting their application by the deadline must email the BJS contact identified below **within 24 hours after the application deadline** and request approval to submit their application. Additional information on reporting technical issues is found under “Experiencing Unforeseen Grants.gov Technical Issues” in the [How to Apply](#) section.

For assistance with any other requirements of this solicitation, contact Lauren Glaze, Statistician, by telephone at 202-305-9628 or by email at Lauren.Glaze@usdoj.gov. Include “SPISSC” in the subject line.

Grants.gov number assigned to this announcement: BJS-2016-9840

Release date: April 19, 2016

Contents

A. Program Description	4
Overview	4
Project-Specific Information	4
Goals, Objectives, and Deliverables	5
Evidence-Based Programs or Practices	24
B. Federal Award Information	24
Type of Award	25
Financial Management and System of Internal Controls	25
Budget Information	26
Cost Sharing or Matching Requirement	26
Pre-Agreement Cost (also known as Pre-award Cost) Approvals	26
Limitation on Use of Award Funds for Employee Compensation; Waiver	26
Prior Approval, Planning, and Reporting of Conference/Meeting/Training Costs	27
Costs Associated with Language Assistance (if applicable)	27
C. Eligibility Information	27
Limit on Number of Application Submissions	27
D. Application and Submission Information	27
What an Application Should Include	27
How to Apply	40
E. Application Review Information	44
Selection Criteria	44
Review Process	45
F. Federal Award Administration Information	47
Federal Award Notices	47
Administrative, National Policy, and other Legal Requirements	47
General Information about Post-Federal Award Reporting Requirements	49
G. Federal Awarding Agency Contact(s)	49
H. Other Information	49
Provide Feedback to OJP	49
Application Checklist	51

Survey of Prison Inmates Statistical Support Center (SPISSC) (CFDA #16.734)

A. Program Description

Overview

The Bureau of Justice Statistics' (BJS) Survey of Prison Inmates (SPI), formerly known as the Survey of Inmates in State and Federal Correctional Facilities, collects and analyzes data from state and federal prisoners and produces national statistics of the U.S. prison population. BJS is seeking an agent to implement the Survey of Prison Inmates Statistical Support Center (SPISSC) project. The SPISSC will provide scientific and technical support for statistical and methodological research, statistical analyses, data linkage, documentation, and dissemination services in support of the SPI. It will also enhance the utility and relevance of BJS's statistical reporting program from the SPI and other federal sources of data that complement the SPI; increase the use of SPI data by various stakeholders, including by researchers to focus on key challenges in the correctional field and strategies for dealing with them; and provide nonstatistical audiences with translational products to increase the use of these statistics by the larger community of stakeholders and practitioners. The SPISSC will assist BJS in expanding its capacity to analyze SPI data and leverage administrative records to supplement the survey data, document the analyses and expand on the survey documentation, and increase the understanding and use of the SPI data by the broader research and stakeholder communities, therefore increasing the breadth of substantive issues that the SPI addresses.

BJS is authorized to issue this solicitation under 42 U.S.C. § 3732(c).

Project-Specific Information

Background

To fulfill part of its mission, BJS has periodically fielded national omnibus surveys of state prisoners since 1974 and federal prisoners since 1991. Since the federal prisoner component was added in 1991, the survey has been conducted among state and federal prisoners concurrently through a single administration using the same questionnaire and data collection protocols. Prior to 2016, it was called the Survey of Inmates in State and Federal Correctional Facilities, although the BJS website presents the information on the state (see <http://www.bjs.gov/index.cfm?ty=dcdetail&iid=275>) and federal (see <http://www.bjs.gov/index.cfm?ty=dcdetail&iid=273>) components separately.¹ In early 2016, BJS fielded the survey again but changed its name to the Survey of Prison Inmates; BJS also refers to prior survey iterations as SPI. The 2016 SPI implementation is the seventh national study of its kind among state prisoners and the fourth among federal prisoners. The 2016 SPI is being

¹ The state and federal prisoner components are presented separately on the BJS website because some features of the sample designs were different.

conducted through a separate cooperative agreement with RTI International, which serves as the data collection agent on behalf of BJS.

The SPI's primary objective is to produce national statistics of the U.S. prison population across a variety of domains. This information, collected through personal interviews with state and federal prisoners, is critical to understanding the composition of the U.S. prison population and the changes that occur over time; factors related to the changes observed, including the impact of corrections policy and practice reforms; the risk prisoners pose to correctional agencies and for recidivism; and the challenges prisoners face when they return to the community. The 2016 SPI is also designed to produce subnational estimates of jurisdictions with large prison populations, or those holding 100,000 or more prisoners. Some of the previous SPI iterations were also designed to produce some subnational estimates.

The 2016 SPI survey, which was designed to yield about 23,000 completed interviews, builds on prior iterations and is organized around the concepts of harms, risk, and reentry. Domains related to the severity of the offense, characteristics of the incident that led to the offense (e.g., injuries to victims), and criminal history are designed to measure harms that inmates have caused to society. Domains related to harm elements and additional factors such as the extent of connections to mainstream institutions of social integration (e.g., pre-prison employment in the labor market) or prosocial connections (e.g., ties to family and friends and to the community) are designed to capture dynamic risk elements of recidivism. Other domains, such as programs or treatment that inmates participated in and their motivation to participate, are designed to understand factors intended to mitigate risk. Finally, domains related to substance abuse, mental health, and physical health are designed to address reentry challenges.

The primary vehicles BJS has used to disseminate substantive products from the SPI collections have been special reports that address topical issues (e.g., *Parents in Prison and Their Minor Children*, *Medical Problems of Prisoners*, or *Veterans in State and Federal Prisons* at <http://bjs.gov/index.cfm?ty=pbo>); tomes that report on the entire correctional population (<http://www.bjs.gov/index.cfm?ty=pbdetail&iid=691>); and the National Archive of Criminal Justice Data (NACJD) at the University of Michigan, where BJS archives and makes available the public versions of the data collected and the documentation developed through the SPI.

More information on the 2016 SPI, including survey materials, is available at http://www.reginfo.gov/public/do/PRAViewlCR?ref_nbr=201505-1121-001. Information on prior SPI iterations is available at <http://www.bjs.gov/index.cfm?ty=dcdetail&iid=275>, <http://www.bjs.gov/index.cfm?ty=dcdetail&iid=273>, and www.icpsr.umich.edu/NACJD/ (see Survey of Inmates in State and Federal Correctional Facilities).

Goals for the SPISSC

BJS considers the SPISSC to be complementary to and supportive of SPI efforts. The SPISSC will help BJS increase the value of the SPI, both internally and externally. It will also assist BJS in developing a more active statistical research program in corrections, specifically on incarceration and prisoners. The work conducted through this project will focus on three main goals in support of the SPI:

- enhance the utility of SPI data by conducting substantive analyses and methodological research to implement the SPISSC research agenda

- leverage administrative records to supplement and enhance the 2016 SPI data and conduct future studies of prisoners
- enhance the understanding and use of the SPI data by the broader research and stakeholder communities.

The SPISSC will use SPI data to address key issues in corrections, information gaps, and enhancements to the substantive, methodological, and data linkage reports and products that are published. While the products BJS has relied on in the past to release substantive findings from the SPI have been useful to the field, they have not fully exploited the amount of information available from the SPI collections and only utilized the special reports line as the primary vehicle for dissemination. Through the SPISSC, BJS intends to expand and enhance these substantive products and their utility to various stakeholders. To achieve these goals, efforts will focus on a wider range of topical reports, more in-depth analysis on particular topics, development of new report product lines to reach various audiences, support of research fellowships to enhance the use of SPI data by researchers and the topics addressed by the SPI, and the development of an online data analysis tool.

Through the SPISSC, BJS will also focus on improving the technical and methodological understanding of the SPI collections. Current gaps and concerns include unit and item imputation strategies, linking SPI collections over time, consideration of developing and using small area techniques, assessment of mode effects when measuring sensitive topics, the SPI's ability to provide reliable statistics on small subpopulations, estimating the potential for survey bias due to hard-to-reach populations, and understanding the implications of various data collection techniques on data quality.

Finally, in recent years, BJS has undertaken efforts to utilize administrative records as one way to expand and enhance its data collection portfolio and its statistical reporting practices, which was recommended by the Committee on National Statistics of the National Academies in its report on BJS titled *Ensuring the Quality, Credibility, and Relevance of U.S. Justice Statistics*, available at www.nap.edu/catalog.php?record_id=12671. One goal of the 2016 SPI is to rely on administrative records to supplement inmate self-report data as a way to expand the breadth and depth of substantive issues that can be addressed through the study and to conduct future studies of prisoners. As part of the verbal consent process to participate in the 2016 SPI study, prisoners are informed of the intent to obtain their criminal history records (i.e., records of arrest and prosecution, or RAP sheets) and records that other federal government agencies retain (e.g., employment, income, and beneficiary records) at some point during the 5 years after the interview (see Objective 3 for more information). However, use of administrative data for statistical purposes creates a greater demand for assessing the validity and reliability of systems that store the data and the "fitness for use" of the data in generating national statistics. A core component of the SPISSC will be to assess these aspects of administrative data for statistical purposes. Based on the results, appropriate reporting plans and reliable statistical indicators will be developed.

Applicants should recognize and acknowledge that a cooperative agreement such as the SPISSC denotes that the BJS project director and other BJS staff will be actively involved. In addition, applicants should anticipate that BJS's needs may evolve throughout the course of the project; therefore, the timing and content of some tasks outlined in the objectives may need to be modified, and additional staff with particular expertise may need to be identified and retained. In light of the conditions of this agreement, an effective and efficient management and communications strategy will be essential to ensure that the goals of the SPISSC are achieved,

while minimizing costs and project delays to the extent possible (see Objective 6 for more information).

Objectives (and tasks) for the SPISSC

The tasks outlined in this scope of work are designed to achieve the following primary objectives:

1. Identify and retain affiliates who can provide substantive and methodological expertise to implement the SPISSC research agenda.
2. Assist with the production of substantive and methodological products in support of the SPISSC research agenda.
3. Undertake methodological research to assess the quality and reliability of administrative records to expand on the 2016 SPI data for statistical purposes and develop consistent and reliable statistical indicators.
4. Establish and maintain a SPI center for data and resources.
5. Support BJS-sponsored research fellowship programs using SPI data.
6. Develop an efficient and effective project management strategy.

The tasks required to achieve these objectives are identified and described below.

Objective 1. Identify and retain affiliates who can provide substantive and methodological expertise to implement the SPISSC research agenda

The scope of the SPISSC requires a project team with a variety of knowledge and skills. BJS does not expect an applicant to have staff with all of the qualifications required to perform the work, and the SPISSC project does not provide sufficient funds to hire full-time staff with particular expertise. Rather, BJS expects the applicant to demonstrate that they are sufficiently knowledgeable and integrated into the corrections and statistical methods communities to be able to draw upon expertise as needed by establishing a network of affiliates for specific tasks.

Applicants must demonstrate the ability to obtain and retain subject-matter experts on topics specific to corrections, including an understanding of areas of current research attention in government publications, academic journals, and government-funded projects. The use of affiliates who can provide expertise as needed is encouraged. In addition, applicants must show that they can provide technical skills related to records linkage, analysis of administrative records and complex survey data, imputation, estimation, and data file construction. The capacity to write high-quality statistical products is also essential to the SPISSC. BJS expects that applicants can demonstrate coverage of the array of skills necessary through some combination of their own staff and use of affiliates.

Based on their knowledge of BJS, the goals and objectives of this solicitation, and an assessment of their organizational capacity, applicants should outline a plan to identify the types of experts that will be needed to fill potential methodological or substantive gaps in their capacity. The applicant's plan should discuss how it will identify, retain, and use affiliates to address the scope of the SPISSC's objectives. Because affiliates will be compensated, BJS expects that the plan will minimize project costs while maximizing expertise. Given the scope of work and timeframes outlined in the deliverables section, BJS expects that no more than two affiliates will be needed for a single project task. For many tasks, the core staff alone or the core staff and one affiliate will likely suffice.

Objective 2. Assist with the production of substantive and methodological products in support of the SPISSC research agenda

The tasks outlined for this objective are intended to support the development, production, and dissemination of high-quality, timely, and reliable statistical products on topics relevant to corrections and to the needs of BJS, policymakers, researchers, and other stakeholders. A critical first step in this task is the development of a SPISSC research agenda that builds on existing statistical products on prisoners (published by BJS) and that addresses relevant topics in corrections. Applicants should demonstrate their knowledge of the content of these existing statistical products, the important issues and challenges facing the correctional field relative to incarceration and prisoners, and how the SPI can fill information gaps and further the understanding of the issues. Applicants should also demonstrate that they are aware of the recommendations of the National Academy of Sciences' (NAS) Committee on National Statistics in their review of BJS relative to its corrections programs (*Ensuring the Quality, Credibility, and Relevance of U.S. Justice Statistics*) and the recommendations of the NAS Committee on Causes and Consequences of High Rates of Incarceration resulting from their assessment of existing research gaps related to corrections and incarceration and the implications for public policy (see *The Growth of Incarceration in the United States*, available at <http://www.nap.edu/catalog/18613/the-growth-of-incarceration-in-the-united-states-exploring-causes>). Applicants should consider how the SPISSC research agenda can be designed to address some of the NAS recommendations.

The primary focus of the SPISSC will be to create BJS topical reports using the SPI data, although the use of additional sources of federal data is also encouraged. While BJS's primary vehicle for dissemination is the release of substantive findings as special reports, BJS has also expanded its product line. Other report options now include statistical (or issue) briefs, which are shorter products that focus on a single topic with a limited set of research questions, a limited amount of information, and graphs or tables. In addition, statistical tables address a particular criminal justice population, a special offender population, or a specific topic, and include an abundance of results presented as tables or figures with a limited amount of text that only highlights the most important findings. Finally, BJS is interested in developing a product line that will serve as a translational report for nonstatistical audiences. These products can present BJS statistics in a manner that is more useful for practitioners and policymakers, and they can also be released through other outlets such as trade journals or newsletters.

The types of statistical products developed through the SPISSC will depend on the topic that needs to be addressed, the audience, the complexity of the issue, and whether a product describes patterns and trends in a key construct, a topic in more detail, or a combination of both. The current 2016 SPI plans propose to generate substantive reports covering the following topics:

Statistical tables

- *Education and Employment Background of Prisoners*
- *Parents in Prison and Their Minor Children*
- *Substance Use and Dependence among State and Federal Prisoners*
- *Inmate Misconduct*

Statistics brief

- *Prisoners Never to Be Released*

- *Medical Problems of State and Federal Prisoners*
- *Indicators of Mental Illness among Prisoners*
- *Women in Prison: Changes in the Female Prison Population*
- *Longitudinal Analysis of Cigarette Use among Prisoners*
- *Incarcerated Veterans: Physical and Behavioral Health Problems*

Special report

- *Severity of Attributes of Criminal Victimization Incidents that are Punished by Incarceration*
- *Explaining Imprisonment Rates in Relation to Socioeconomic Status and Criminal Involvement*
- *Drug Offenders Sentenced to Serve Time in Prison*
- *Prisoner Reentry: Soon-to-be-Released Inmates*
- *Racial Disparities in Imprisonment: Extent to which Attributes of Offenders Explain Racial Disparities*
- *Lifetime Likelihood of Incarceration*
- *Family Background and Structure of Prisoners over Time*
- *Prisoner Programming: Inmate Participation and Motivation*

To further demonstrate their understanding of the relevant issues in corrections, applicants should propose product types along with the topics they recommend for inclusion in the SPISSC research agenda.

The SPISSC will also be used to release a limited number of BJS technical or methodological reports related to the SPI which may also rely on additional sources of federal data. Topics include, but are not limited to, mode effects, small area estimation, estimation of small subpopulations, and other topics that stem from the efforts undertaken in Objective 3. While these types of papers are typically methodological in nature, BJS is also interested in technical papers that provide substantive contributions to corrections and to prisoners in particular. These reports can also be used to educate users on the feasibility of particular uses of the SPI data and its limitations, and to inform the design and operations of future BJS inmate surveys. The current 2016 SPI plans propose to generate technical or methodological reports covering the following topics, among others:

- *Mode Effects Administering the K6 Distress Scale to a Prison Population*
- *Effects of Survey Mode on Reporting of Race/Hispanic Origin in a Prison Population*
- *Assessing the Ability of the SPI Sample to Capture Characteristics of Small Subpopulations of Inmates*
- *Measurement of Gender Identity in Inmate and Household Surveys*
- *Comparison of Self-Reports and Administrative Records for Measuring Criminal Histories*
- *Feasibility of Using Administrative Records to Measure Benefits, Housing, and Employment of Inmates Pre- and/or Post-Incarceration*

Applicants should demonstrate their understanding of the goals of the SPISSC, their technical knowledge of the SPI, and their expertise in statistics and survey methodology by proposing topics that could be addressed through BJS technical or methodological papers that will advance the SPISSC research agenda.

BJS also encourages applicants to propose other topics and outlets for publishing research undertaken through this project, such as peer-reviewed journals, BJS's Working Papers series (see <http://www.bjs.gov/workingpaper.cfm>), or BJS's Research and Development Papers series (see <http://www.bjs.gov/researchdevelopment.cfm>). BJS will determine the feasibility of proceeding with these papers through the SPISSC depending on their relevance to the research agenda, the extent to which they enhance the value of the SPI, and the availability of funding.

BJS retains the authority to make final decisions on all statistical products that will be produced through the SPISSC to meet this objective and BJS's broader priorities and needs. However, BJS anticipates working jointly with the SPISSC project team to produce the reports. BJS and the SPISSC staff will work collaboratively to prioritize topics, develop an abstract, outline research questions and potential table shells for a report, obtain final approval from the BJS SPISSC project director to move forward, develop slides for a presentation to BJS senior staff for approval, develop a schedule for producing the reports, and work to adhere to the schedule. BJS will rely on the SPISSC team to conduct the analyses and populate the table shells, and BJS and SPISSC will work together to complete the writing of the report, if necessary. SPISSC staff should also expect to receive and address comments on draft reports from BJS senior staff. All BJS products derived from this solicitation must be prepared in accordance with BJS data quality guidelines (see <http://www.bjs.gov/content/dataquality/dataquality.cfm>), and the SPISSC team should plan to work with BJS to follow these guidelines and meet reporting standards. Final versions of all reports (to be delivered by the SPISSC agent) will include tables, text, verified program code, documentation about created variables (if applicable), newly created analytic data files developed through linking (delivered as SPSS, SAS, and ASCII files), and the methodology used to produce estimates.

Applicants should adequately describe their approach to developing a substantive agenda that can be addressed through the proposed SPISSC reports. This section of the application will allow BJS to assess an applicant's substantive knowledge of the SPI statistical program and the opportunities to address important and pressing topics and policy issues with the SPI data and potentially other sources of federal data.

See the deliverables section for the number of substantive and technical products BJS expects to produce throughout the course of the SPISSC and the timing of those products. The research agenda can be filled with any combination of substantive reports, as the topic and complexity will dictate the product type. For planning purposes, applicants can consider that a special report will be 12 to 20 pages with 20 to 30 tables or a combination of tables and graphs, a statistical (or issue) brief will be 4 to 6 pages with 4 to 6 tables or a combination of tables and figures, and statistical tables will include 15 to 25 tables or a combination of tables and graphs. Technical reports can be shorter (e.g., 8 to 10 pages) or longer (e.g., 20 to 40 pages), depending on the complexity of the issue and can vary in the number of tables and figures. The SPISSC research agenda and BJS's needs will determine the final types of products to be released; however, BJS will consider two longer reports to be equivalent to four to six shorter reports or vice versa.

Applicants will use the existing SPI data that BJS has made publicly available at NACJD, including the 2016 SPI data once the collection has been completed, and any other BJS data that are available through NACJD. In addition, the administrative data outlined in Objective 3 are a viable source of federal data to advance the SPISSC research agenda. For reports requiring access to restricted-use files or data with personally identifiable information, applicants must

demonstrate that they can maintain BJS data securely and in accordance with BJS disclosure principles, and that they can meet the requirements explained in Objective 3. The SPISSC agent will need to develop and demonstrate this capacity during the first year of the project to facilitate the methodological work described under Objective 3 that will start during the first year of the project.

Objective 3: Undertake methodological research to assess the quality and reliability of administrative records to expand on the 2016 SPI data for statistical purposes and develop consistent and reliable statistical indicators

In recent years, BJS has begun to explore ways to use administrative records for statistical purposes. The goals of these efforts are to increase the breadth and depth of substantive issues confronting the criminal justice system that BJS can address through its statistical programs, and to minimize burden and costs to the public. However, the use of administrative records introduces a set of data quality issues that must be addressed. Broadly, data quality can be construed as “fit for use,” and the challenge with administrative records, which are used for operational purposes, is their fitness for use in a federal statistical system.

To assess the fitness for use of the administrative records included in the SPISSC, the SPISSC project team will need to conduct assessments of the records to determine their feasibility for statistical purposes in support of the 2016 SPI.² These assessments, which are similar to the work other federal statistical agencies are conducting in this area, encompass two broad dimensions: (1) a source-specific quality assessment and (2) a product-specific assessment. These assessments are also intended to ensure that the SPISSC agent develops a working knowledge of the strengths and limitations of the administrative records relative to the goals and objectives of the SPISSC.

A source-specific quality assessment focuses on an agency’s data system to address issues such as—

- the quality of the metadata about the administrative data, including legal or administrative framework giving rise to the data, definitions, methods of collection, etc.
- administrative issues, such as definitions of population units, procedures used to collect and maintain the data, types of reports the source agencies produce from the data, and evaluation of the data collection and maintenance procedures
- the extent of coverage of a population in the administrative dataset and an assessment of coverage errors
- a set of definitions of the population units included in the data
- reference periods and updates to the data systems, focusing on fields that may be overwritten with updates and how this affects the timing for obtaining extracts
- completeness and error in the data files, including errors related to measurement and nonresponse
- the agency’s policies and practices regarding data quality control (i.e., the extent of: data-focused training and outreach, systematic auditing focused on the reliability of data input, and internal auditing focused on data handling procedures)
- limitations associated with statutory or regulatory requirements, restrictions, and other structural factors that affect administrative record systems.

² This work relative to the SPI will be limited to the 2016 SPI because it is the only iteration for which BJS has obtained consent from prisoners to use administrative records to supplement the data they provide through the survey.

A product-specific assessment identifies a specific statistical use of the administrative data and assesses whether the data can be used to meet that need, such as developing a sampling frame, providing a way to address missing data, or generating a consistent and reliable statistical indicator. Such an assessment should, at a minimum—

- identify the statistical purpose or use for the data
- assess coverage and unit-of-analysis issues
- determine completeness and error
- address missing data and imputation issues
- determine external validity criteria and assess reliability of estimates
- if records linkage is pursued, assess the match and congruency rates (if applicable).

The SPISSC project team will be expected to undertake these assessments of administrative records during the course of the project. The scope of the effort will be tied to the SPISSC research agenda that BJS and the SPISSC staff will address. In general, the intent is to supplement the 2016 SPI data to expand on the statistics it can provide on prisoners and to conduct a future recidivism study of released prisoners. BJS will provide the data necessary to complete the reviews if they are not available at NACJD. The following plans will be developed and implemented to assess the quality and reliability of—

- a. RAP sheets to supplement the criminal history statistics of prisoners beyond those collected through the 2016 SPI and to conduct a future recidivism study of a release cohort of prisoners in the 2016 SPI sample (after a 3-year follow-up period).
- b. records from other federal sources, (such as beneficiary data, unemployment insurance (UI) wage data, or tax returns) to expand on the statistics produced through the SPI on pre-prison employment, earnings, and benefits, and to provide a basis for determining the eligibility of benefits for soon-to-be released prisoners.
- c. records from BJS's National Corrections Reporting Program (NCRP) to supplement the 2016 SPI statistics, such as the criminal justice status, offense, and sentence of prisoners.

BJS expects that the SPISSC project team will submit plans for the assessments and costs to BJS for review and approval prior to beginning each assessment. For sources that are deemed to be viable based on the results of the assessments and other work BJS is conducting in this area, the SPISSC project team will design reporting plans and determine costs to identify and develop the relevant statistical indicators, per source, to include in the BJS statistical products that will be published through the SPISSC.

a. RAP sheets

As part of the verbal consent process to participate in the 2016 SPI study, prisoners are informed of the intent to obtain their criminal history records/RAP sheets at some point during the 5 years after the interview. For the prisoners who consent, the SPI self-report data will be linked to RAP sheets using biometrically based identifiers (such as the state ID) to a state-based fingerprint identification variable, or the FBI number (also known as the Universal Control Number), to the national-based fingerprint identification variable. This work will rely on the partnerships (e.g., Nlets, FBI), infrastructure, and software systems BJS has developed to obtain, process, and standardize RAP sheets from all 50 states and the federal system to convert them into research databases that can be used to study prisoner recidivism. These new methods have modernized BJS's recidivism statistical series and will allow BJS to conduct a

variety of cost-effective recidivism studies on a more routine basis and eventually produce national recidivism rates.

Through the SPISSC, the goal of using criminal history records is to provide more detailed information on the criminal histories of prisoners beyond the indicators that can be constructed through the 2016 survey data, as the questionnaire was scaled back to minimize burden and maximize response. In addition, through the SPISSC, BJS plans to conduct a prospective recidivism study among the cohort of prisoners in the 2016 SPI sample who are released during the 3-year follow-up period after the collection. While the SPI serves as a rich source of information that is not available through RAP sheets or other BJS collections on prisoners, such as the National Prisoners Statistics Program or the NCRP, these two sources of data provide an opportunity to inform the criminal justice field, policymakers, and other stakeholders about recidivism at a national level beyond static factors like demographic, offense, and prior criminal history. The SPI also addresses dynamic risk factors, such as prosocial connections, pre-prison employment, and mental health and substance abuse problems, and factors intended to mitigate risk, such as educational or job skills programs and treatment for mental health or substance abuse disorders.

Applicants should demonstrate their knowledge of state criminal history repositories and the FBI's Interstate Identification Index (or Triple-I) and outline their approach to addressing the quality of the RAP sheets to expand on the statistics available through the 2016 SPI and creating reliable recidivism statistics for a prospective recidivism study. While much has already been learned about the quality of the arrest data through BJS's recent recidivism study of a 2005 prisoner release cohort, BJS expects that the project-specific assessment will focus more on the lesser known disposition, sentencing, and custody data. Throughout the course of the SPISSC, BJS will work with the SPISSC project team to inform them of the results of related work currently underway that could advance these efforts through the SPISSC.

The preliminary project-specific assessment will begin during the first year of the SPISSC and will involve a sample of about 250 prisoners from the 2013 SPI Pilot Study for which RAP sheets will be obtained. This sample will be used to begin to determine the feasibility of using the RAP sheets to meet the SPISSC goals, including assessing the match rate of the data linkage and the congruency rates, and beginning to develop the reporting plans for the 2016 national sample. BJS expects that the SPISSC agent will expand on and update the project-specific assessment with each cohort of prisoners. During the second year of the SPISSC, the project-specific assessment will be expanded to include linkage to the approximately 23,000 prisoners in the 2016 SPI sample. The final reporting plans for the national sample will be determined based on the results. During the fourth year of the project, the project-specific assessment will be updated to include the 3-year follow-up recidivism study, and the final reporting plans for that study will be determined based on the results.

For each of the three cohorts for which RAP sheets will be obtained, the SPISSC staff should plan to work with BJS to validate the accuracy of the electronically parsed criminal history records before analyzing them. For planning purposes, applicants should assume that BJS will rely on another project to standardize the electronically parsed criminal history records into a relational database to increase efficiencies. Applicants should assume that the work to develop the relational databases will be conducted based on the timeline to complete the project-specific assessments outlined above, as this will be necessary before the SPISSC agent can analyze the records to complete the project assessments and develop the statistical indicators and reporting plans. The SPISSC agent will need to generate high-quality analytic data files for each

of the three cohorts based on the best design determined by BJS and the SPISSC staff through the work on the previous cohorts and knowledge gained from the assessments about the quality of the administrative data. During the course of the SPISSC, BJS will determine whether other projects can be used to complete some of the tasks. Any existing SPISSC funds for these tasks would then be reallocated to other tasks in the SPISSC.

All applicants should demonstrate the ability to provide a secure computing environment that includes the hardware and software needed for processing large data files. BJS will work with the SPISSC project team to review the data security protocols required to protect the confidentiality and integrity of the criminal history record information during exchange, processing, and storage. SPISSC staff must be able to guarantee the confidentiality of the data and ensure that all human subjects concerns will be addressed. The FBI will likely require criminal background checks on all project personnel with access to raw RAP sheets or the data obtained from RAP sheets. Soon after the SPISSC project begins and once the SPISSC agent has established the necessary security protocols to store and process BJS data, BJS will work with the SPISSC team to establish the data transfer and security agreements needed to obtain access to the criminal history record information and any other data needed for this project.

b. Other federal sources of administrative data

Through the 2016 SPI consent process, prisoners are also informed of the intent to obtain records that other government agencies retain at some point during the 5 years after the interview. This will be pursued through the SPISSC, and the goal of this effort is to supplement the 2016 survey data with detailed information on pre-prison employment, earnings, benefits received and eligibility, and other external factors that could contribute to the understanding of incarceration and community reentry. Through an expansion of an existing interagency agreement with the U.S. Census Bureau, BJS and SPISSC staff will work with the Center for Administrative Records Research and Applications (CARRA) at the Census Bureau's Center for Economic Studies (CES) to assist with the records linkage. The 2016 SPI data for each consenting prisoner will be linked to the Social Security Administration's (SSA) Numident file behind the Census Bureau's secure firewall, which will allow analysts in the CARRA group to assign a personal identification key (PIK) to each prisoner and delete all personal information. The PIK will allow the 2016 SPI data to be linked to a number of other federal datasets, such as records of receipt of supplemental security income, Temporary Assistance for Needy Families, public housing and rental assistance history, Department of Housing and Urban Development-insured mortgage loans, SSA's Death Master File, enrollment in Medicare; and any listing in the Census Bureau's decennial census or American Community Survey. With additional approval, the data can also be linked to unemployment insurance wage data that CES collects through the Longitudinal Employer-Household Dynamics and tax returns from the Internal Revenue Service.

Applicants should demonstrate their knowledge of CARRA and the opportunities it presents to enhance the SPISSC research agenda. Applicants should also outline their approach to addressing the quality and reliability of the records available through CARRA to expand on the statistics that can be produced from the 2016 SPI. The SPISSC project team will need to provide source-specific and project-specific quality assessments for each data source. BJS is also pursuing this effort through other statistical programs, such as the NCRP. If the results of these efforts can advance the work of the SPISSC, BJS will inform SPISSC staff. BJS will make decisions as needed if it is determined through these efforts that particular sources are not viable. Any existing SPISSC funds for these tasks would then be reallocated to other tasks in the SPISSC.

Applicants should assume that some SPISSC staff will need to obtain Special Sworn Status from the Census Bureau. This will involve a background investigation, including fingerprinting and an investigation interview, and special training (online) related to data stewardship and the assurances, protections, legal obligations, and penalties under Titles 13 and 26 of the U.S. Code. This will allow SPISSC staff to use the linked data files provided by CARRA to create high-quality analytic data files of the viable sources, including relevant statistical indicators, and to conduct the necessary analysis behind the Census Bureau's firewall, including the Census Bureau's 22 Research Data Centers (RDC) (see <http://www.census.gov/about/adrm/fsrdc/locations.html>). Applicants should determine whether RDCs will charge for the use of a seat at particular locations and account for that cost in their proposed budgets. BJS expects that SPISSC staff will work with BJS to develop a plan to meet these analytic goals while minimizing travel costs. If special permission is needed to access particular files, BJS will make the request for the SPISSC staff.

c. NCRP records

The SPISSC will use NCRP records, which include criminal history information, to supplement the 2016 survey data. NCRP records provide detailed information on prisoners' criminal justice status at the time of admission (e.g., time in the community prior to the current incarceration), their current offense (e.g., counts, new court commitments, probation/parole violators), and their sentence (e.g., indeterminate or determinate). This records and survey data linkage will allow BJS to further examine and increase knowledge about recidivism and reentry, such as additional risk factors that are associated with time to failure when prisoners are released to the community and the impact of factors intended to mitigate negative outcomes.

Applicants should demonstrate their knowledge of the NCRP and how the program can enhance the value of the SPI. Applicants should also outline their approach to addressing the quality of the NCRP records to expand on the statistics that can be reported on prisoners through the SPISSC. As part of the preliminary project-specific assessment, the SPISSC project team will link the self-report data of consenting prisoners in the 2013 SPI Pilot Study with their NCRP records. A final assessment of the NCRP records will be conducted using the 2016 SPI national sample. This will be used to further assess the feasibility of data linkage to the NCRP to advance the SPISSC research agenda. In addition to providing BJS with recommendations (based on the results of the assessments) on using the NCRP to expand on the SPI statistics (i.e., reporting plans), the SPISSC agent will create the statistical indicators that are determined to be important, consistent, and reliable.

The methodological work described in this section should be guided by substantive questions about corrections and more specifically prisoners. BJS is looking for applicants to identify research questions that will guide their assessments of the quality of these administrative data.

Objective 4: Establish and maintain a SPI center for data and resources

A SPI center for data and resources is essential for implementing the SPISSC research agenda and enhancing the awareness and use of the SPI data for various stakeholders. As part of this effort, the project team will need to obtain, organize, and securely maintain all publicly available versions of SPI datasets and documentation through 1986 for state prisoners and through 1991 for federal prisoners. This is critical to facilitate the research projects described in this solicitation and other tasks that may arise during this project. The files should be organized to allow for their efficient use in research. This may require restructuring the files to facilitate

longitudinal analysis, trend files that take account of changes in the data file and questionnaire design over time, and other types of analyses. Data file construction should be based on research objectives agreed upon by BJS and the SPISSC project team. This effort should begin at the start of the project to facilitate development of the substantive products that will be released during the first year. If any materials (such as enhanced survey documentation) developed under the current 2016 SPI project can advance these efforts, BJS will provide them. Applicants should demonstrate knowledge of the SPI public-use data files and restricted-use data files and the requirements for using them for research. They should also describe their approach to obtaining, organizing, managing, and documenting their use of the public-use files and other project data for statistical purposes in the SPISSC.

All data must be maintained in accordance with regulations that address personally identifiable information. The SPISSC agent is required to implement procedures to ensure that all data are maintained securely and that all data security procedures comply with 28 CFR Part 22. Upon request, the SPISSC agent will provide a copy of the data security procedures and copies of forms signed by staff indicating their compliance with 28 CFR Part 22. Applicants should demonstrate that they have the capacity to establish and maintain a secure data center that complies with federal regulations and Institutional Review Board (IRB) requirements for its data centers.

Some of the administrative data sources outlined in Objective 3 may require additional data security protocols to protect the confidentiality and integrity of the data. BJS will work with the SPISSC agent to review those protocols and establish the necessary data transfer and security agreements before exchanging the data with the SPISSC agent for processing, storage, and analysis. However, the SPISSC agent must first be able to guarantee data confidentiality and that all human subjects concerns will be addressed. Applicants must also demonstrate that they have the necessary hardware and software for processing large data files.

The SPISSC will involve efforts to improve the understanding and use of the SPI data for internal and external users. This will include the development of a user's manual that provides general guidance about the SPI data and enhancements to the SPI technical documentation that is available to the public at NACJD. To complete this work, the SPISSC will need to review existing documentation available at NACJD and on the BJS website ([http://www.bjs.gov/index.cfm?ty=dcdetail&iid=275#Changes over time](http://www.bjs.gov/index.cfm?ty=dcdetail&iid=275#Changes%20over%20time)) or through BJS publications (e.g., *Parents in Prison and Their Minor Children*). A potential model is the user's manual and documentation enhancements for the National Crime Victimization Survey (NCVS), available at <http://www.bjs.gov/index.cfm?ty=dcdetail&iid=245> (see Documentation). Any enhancements made to the technical documentation that result from the current 2016 SPI project will be shared with the SPISSC agent, who will be expected to expand on the enhancements through the SPISSC to further facilitate the understanding and use of SPI data. The SPISSC staff should expect to consult with BJS to determine the appropriate content and format(s) for documentation. This work is expected to begin during the first year of the project.

Implementing the SPISSC research agenda will result in new constructed variables. Annually, the SPISSC agent will consolidate the code for the new variables included in BJS products published through this project into files for each survey year (i.e., 1986, 1991, 1997, 2004, and 2016, if applicable) to facilitate archiving. To further enhance the utility of the SPI, other documentation that the SPISSC project team will also need to maintain is a crosswalk of key constructs from the SPI. At the beginning of the project, BJS will deliver to the SPISSC agent a crosswalk of 50 key variables or constructs that have been measured over time since the 1986

SPI. With each survey administration, the questionnaire has evolved to address both the long-term issues and emerging concerns in the criminal justice system, and with prisoners in particular. The crosswalk is designed to facilitate trend analyses of the SPI data by serving as a reference point to locate the same or similar variables or constructs from one iteration of the survey to another. It is also intended to help users learn about the measurement changes of particular variables or constructs over time to better understand the potential limitations of particular analyses. For planning purposes, applicants should expect to expand the existing SPI crosswalk (of 50 variables or constructs) with up to 50 additional variables or constructs by the end of the project.

The restructured data files and improved documentation should be delivered to BJS annually for archiving at NACJD. The documentation developed through the SPISSC should take into account other methods of dissemination besides NACJD, such as the BJS website and other electronic means. All documentation should be designed for printing as .pdf files. Applicants should describe their strategies to expand the documentation to improve the knowledge of SPI for internal and external users and to facilitate their research.

The SPISSC will develop and implement a dynamic data analysis tool to increase the awareness and accessibility of the SPI data to a less research-oriented audience. The SPISSC project team will design a tool to provide static tables that present key national statistics on the prison population and that allow users to conduct analyses to produce custom tables with national statistics. Up to 10 static tables will be provided and will include trends from the 1991 (state prisoners only), 1997, 2004, and 2016 SPI iterations, if applicable. The SPISSC agent will design the custom portion of the analysis tool to allow users to select the survey year(s), the key variable of interest, and the option to break out the key characteristic by one additional variable if the sample size is large enough. Users will have the option to select two types of statistics, either numbers or percentages, and both will be accompanied by standard errors. The tool will be designed to allow the static and custom tables to be downloaded as Excel files. For planning purposes, applicants should expect to include up to 50 variables in the tool for analysis along with sections about the SPI methodology, definitions, and additional supporting documentation, such as an analysis tool user's guide. A potential model is the data analysis tool for the NCVS, available at <http://www.bjs.gov/index.cfm?ty=nvat>.

The development of the tool will begin with the most recent year of data, starting with the 2016 SPI, and the project team will work back through the years until all four iterations of the survey data are included. The SPISSC project team will begin this work in the first year of the project. BJS expects the analysis tool to be fully operational with at least the 2016 SPI data by the end of the second year. By the end of the third year, the tool should be completed and fully functional with all four iterations of SPI data. If determined feasible by BJS and the Office of Justice Programs' Office of the Chief Information Officer (OCIO), the SPISSC agent will host and maintain the data analysis tool throughout the project. BJS retains all rights to the source code, content, and structure of the tool regardless of where it is hosted. Upon project completion, the SPISSC team will deliver to BJS all of the source code, a description of the tool's functionality, installation instructions, SPI data files used to populate the tables, survey documentation included in the tool, and all other supporting materials necessary to easily and rapidly install the analysis tool and ensure it is fully functional. Unless otherwise specified, applicants should assume that the tool must be capable of operating within a SharePoint environment. The SPISSC staff will be expected to verify the functionality of the tool, including the data and information presented, and will also need to communicate with BJS staff, BJS contractors, and OCIO to ensure the query tool is maintained properly and securely throughout

the project. Applicants should describe their plans to design and implement a dynamic SPI data analysis tool and the procedures that will be established to ensure data accuracy and the tool's functionality.

If determined feasible by BJS and OCIO, the SPISSC team should be prepared to host and maintain an online query tool of SPI questionnaires through 1986 for state prisoners and through 1991 for federal prisoners. If approved, BJS will deliver the source code, a description of the tool's functionality, and installation instructions to the SPISSC agent. This effort should begin after the work on the data analysis tool is underway so that the questionnaire tool will be available for use when the data analysis tool is operational, and ongoing throughout the course of the project. The tool is intended to increase the audience for SPI data and knowledge about the content of the survey. It is designed in a way that gives users different search options, including the ability to search on the question category, the question text, a specific year or range of years, and through a question index, which would provide a list of domains that could be narrowed down to specific constructs and specific questions within constructs. SPISSC staff will be expected to verify the functionality of the tool and the information presented. They will also need to communicate with BJS staff, BJS contractors, and OCIO to ensure the query tool is maintained properly throughout the course of the project. Any changes to the original code and the impact of those potential changes on the functionality of the tool must be documented and delivered to BJS when the project ends. If BJS and OCIO determine that it is not feasible to host the questionnaire tool offsite, BJS will host it to run on a SharePoint platform. In this case, the SPISSC agent will still be responsible for working with BJS staff, BJS contractors, and OCIO to ensure the ongoing functionality of the query tool and to verify the accuracy and presentation of the information. Applicants should demonstrate their ability to host this online query tool for SPI questionnaires and their strategy to ensure that it functions properly throughout the project, regardless of where it is hosted.

SPISSC staff will be responsible for developing routine statistical tabulations for internal and external requests involving the use of SPI data. This requires work on a variety of ad hoc tasks in response to internal and external requests, special analytic needs, or technical materials on specialized issues. Requests for information typically involve statistics that do not appear in BJS publications and therefore require special analyses of SPI data. This usually involves producing distributions or rates, including standard errors, for a few variables or constructs, or trends in a few variables or constructs over time. The deliverable will typically be in the form of tables, and the SPISSC agent may be expected to create the table shells to be populated. Applicants should expect that this will require assembling information for up to 15 requests annually that generally require no more than 8 hours each. These responses typically need to be prepared in comparatively short timeframes, often less than 2 days, and the SPISSC agent must verify that the data conform to BJS data quality guidelines.

Objective 5: Support BJS-sponsored research fellowship programs using SPI data

BJS sponsors programs that enable graduate research students, new criminal justice faculty, and others to carry out small-scale research projects that utilize BJS data. While these fellowship programs are independent projects administered separately from the SPISSC, the SPISSC agent will exploit them to increase the pool of researchers who use the SPI data to extend the SPI's scientific value. The use of these research fellowships as they relate to the SPI is intended to result in publishable quality papers that provide critical information to enhance corrections knowledge, practice, and/or policy beyond or in more depth than the topics that will be addressed through the BJS statistical products that result from the SPISSC research

agenda. BJS will work with the agents that administer the fellowship programs, if applicable, and with the SPISSC agent to determine if any of the SPI products developed through the fellowship programs will be disseminated as a BJS working paper or report.

The SPISSC agent will be expected to support such sponsored projects that propose to use SPI data. This will involve working directly with the BJS SPISSC staff, other BJS staff, agents of the fellowship programs if necessary, and researchers. The nature of the support that the SPISSC agent will provide is expected to include—

- proposing small-scale policy-relevant research projects utilizing SPI data, which can be highlighted in BJS fellowship programs
- increasing SPI awareness and understanding, such as through webinars and other opportunities, to encourage the use of SPI data through the fellowship programs
- assisting BJS in determining the feasibility of projects that propose to use SPI data, which includes recommending SPI projects to include in fellowship programs or participating in peer review panels
- providing technical assistance to researchers who utilize SPI data, which includes facilitating access to the data and addressing any access issues, providing survey and technical documentation as necessary, evaluating completeness or coverage in the data being examined, providing other guidance on potential limitations of specific analyses, and answering SPI-related questions.

Applicants should describe their strategies to support BJS fellowship programs to increase the research community's use of SPI data. Strategies should include, but are not limited to, small-scale studies that could be conducted through the fellowship programs to complement the SPISSC research agenda, methods to enhance researchers' understanding of the SPI so they will use the SPI data, and procedures to facilitate access to the SPI data and provide other types of technical assistance and guidance. Applicants should demonstrate their ability to ensure timely guidance and assistance, and to communicate with multiple relevant parties so research projects remain on schedule without delaying other critical tasks of this solicitation.

Objective 6: Develop an efficient and effective project management strategy

The scope of work in the SPISSC and the involvement of multiple BJS staff requires an efficient and effective management strategy that fosters communication about expectations, priorities, and progress. While the BJS project director will be the main contact, other BJS staff will be actively involved and will take the lead on some tasks (for example, a report on a specific topic). BJS requests that applicants, to the extent possible, clarify the roles they propose for SPISSC staff and the types of efforts that could require more BJS involvement. Applicants should also describe their strategy to communicate with and involve BJS to achieve the SPISSC goals.

Applicants should anticipate that BJS's needs may evolve throughout the course of the project and that the timing and content of some specific tasks described in the objectives may need to be modified. Because of potential emerging or changing priorities, applicants should demonstrate flexibility in the SPISSC organization and management, and the ability to quickly adapt to substantive or methodological shifts in work. Applicants must demonstrate the ability to manage these shifts while maintaining an ongoing operation to produce timely statistical reports.

To accomplish the project objectives in a flexible and responsive manner, the project team must demonstrate a capacity to manage resources effectively. As part of the management strategy, the SPISSC project staff will develop and submit to BJS for review and approval a short

proposal for each requested or proposed task before it begins. Each proposal must state the goals, objectives, deliverables, timeframes, staff allocations, and costs for each proposed task.

Before beginning any work, key BJS and SPISSC project staff will attend a kickoff meeting in Washington, D.C., to discuss the overall project goals and objectives. Following that meeting, the SPISSC project team will provide BJS with a project management plan. The plan should identify the timeframes for accomplishing each project deliverable (see the deliverables section) throughout the project. The management plan will include a project communications plan that aims to maximize understanding of the project goals and objectives while minimizing costs. Travel for project meetings is allowable but should be minimized and must first be approved by BJS. The SPISSC agent should plan to provide BJS with at least semi-annual summaries of project expenditures and remaining funds by project task, and should also be prepared to provide this information to BJS upon request. BJS will work with the SPISSC agent at the start of the project to determine the final format and content of these reports.

Deliverables for the SPISSC

The SPISSC is designed as a 5-year project. Except for substantive and technical reports, the list that follows gives general timeframes for the primary tasks by the year they should start. Some project tasks will continue in subsequent years due to their scope (e.g., administrative records assessments and reporting plans, which include developing statistical indicators; support of BJS fellowship programs related to the SPI). Table 1 shows the schedule of deliverables by year and indicates when tasks need to be completed to produce the deliverables on time. As indicated in this solicitation, the SPISSC priorities are subject to change according to BJS's needs and interests.

- Year 1: Identify and retain affiliates; prepare preliminary NCRP and RAP sheet assessments, including the 2013 SPI Pilot Study data and preliminary recommendations for reporting plans; establish SPI center for data and resources.
- Year 2: Expand on administrative records assessments (i.e., RAP sheets, NCRP, and other federal sources through CARRA), including national 2016 SPI data, development of reporting plans, and creation of statistical indicators; provide support to BJS fellowship programs related to the SPI.
- Year 4: Conduct 3-year follow-up SPI recidivism study.
- Annually beginning in year 1: Maintain SPI center for data and resources; and conduct project management activities.

Table 1. SPISSC deliverable schedule

Objective and task	Deliverable	Due date
Year 1		
<i>Objective 1</i> Identify/retain affiliates	Draft and final plan	Within 1 month of BJS approval of project plan
<i>Objective 2</i> Substantive reports	Eight reports	Two reports each quarter
<i>Objective 4</i> Expand SPI crosswalk	Crosswalk with up to 50 new variables from reports	Annual with final crosswalk at end of project for archiving
Organize and maintain public-use files (1986 to present) and supporting documentation to facilitate research agenda	Restructured public-use files (SPSS and ASCII) and supporting documentation	Annual with final versions at end of project for archiving
Organize code for all new variables used in BJS products into files for each survey year for archiving	Files with code (for each survey year if applicable)	Annual with final versions at end of project for archiving
<i>Objective 6</i> Manage project	Draft and final project management plan	Draft plan 3 weeks after kickoff meeting and final plan 5 weeks later
Year 2		
<i>Objective 2</i> Substantive reports	Five reports, including two translational reports	Three reports by middle of year; two reports by end of year
<i>Objective 3</i> Preliminary assessments of NCRP and RAP sheets (including linking to 2013 SPI Pilot Study data)	Assessment plans (and costs); results of NCRP and RAP sheet assessments; preliminary recommendations for reporting plans and costs; analytic data file (SPSS and ASCII)	By middle of year
<i>Objective 4</i> Develop data analysis tool	Analysis tool and supporting documentation, to include at least 2016 data	By end of year

Develop technical documentation	SPI user's manual and technical documentation	By end of year
<i>Objective 5</i> Identify small-scale, policy-relevant research studies utilizing SPI data	Provide a list of studies and short description of each to BJS	Early in year 2
Encourage use and improve understanding of SPI	Slides for up to five webinars and materials for other methods	Ongoing as determined by BJS
Determine feasibility of proposed projects	Recommendations to BJS or peer review summaries for up to 15 potential SPI research projects	Ongoing as determined by BJS
Provide technical assistance to facilitate SPI research	Project-specific evaluations or recommendations related to intended use of data/analysis if provided through technical assistance; project-specific analytic data files	Ongoing as determined by BJS
Year 3		
<i>Objective 2</i> Substantive reports	Four reports, including one translational report	Two reports by middle of year, including indicators from RAP sheets; two reports by end of year
Technical reports	Two reports	By end of year
<i>Objective 3</i> Final assessments of NCRP and RAP sheets (including linking to 2016 SPI national data)	Results of assessments; final reporting plans and costs; analytic data files (SPSS and ASCII)	NCRP deliverables by middle of year; RAP sheets by end of year
<i>Objective 4</i> Complete data analysis tool	Analysis tool and supporting documentation, to	By end of year

	include remaining years of data (through 1991)	
Year 4		
<i>Objective 2</i> Substantive reports	Two reports	One report by middle of year, including indicators from RAP sheets; one report by end of year
Technical report	One report	By end of year
<i>Objective 3</i> Assessments of federal administrative data from CARRA	Assessment plans (and costs); results of assessments for each source; reporting plans for each source and costs; analytic data file with all sources (SPSS and ASCII)	By middle of year
Year 5		
<i>Objective 2</i> Substantive reports	Two reports	Report including indicators from other federal sources (CARRA) by middle of year; recidivism report by end of project
Technical report	One report	By end of project
<i>Objective 3</i> Assessments of RAP sheets and federal administrative data (CARRA) for recidivism study	Revised assessment plans and costs; results of assessments for each source; reporting plans for each source and costs; analytic data files with all sources (SPSS and ASCII)	By middle of year
Annually		
<i>Objective 4</i> Routine statistics	Up to 15 per year	Ongoing as determined by BJS
<i>Objective 6</i> Manage project	Revised project schedule	As determined by BJS and modifications to project
Monitor expenditures	Report by project task	Semi-annual and upon BJS request

In addition to the deliverables listed above, the SPISSC agent will provide an overview of the work conducted under this project at least 90 days before the project ends for BJS review and comment. The final overview, which will be no longer than 10 pages, will be submitted to BJS at least 30 days before the project ends. For more information, see “Draft and Final Summary Overview of the Work Conducted under the Award” in Section “F. Federal Award Administration Information.”

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 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

Amount and Length of Award

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

BJS estimates that it will make one award for this 5-year period, which will begin on October 1, 2016, and end on September 30, 2021. The award for the initial 12-month period (fiscal year 2016) will not exceed \$1 million. **Applicants should submit separate annual budgets for fiscal years 2016, 2017, 2018, 2019, and 2020, and one summary 5-year budget (not to exceed \$4 million).**

BJS may, in certain cases, provide supplemental funding in future years to awards under this solicitation. Important considerations in decisions regarding supplemental funding include, among other factors, the availability of funding, strategic priorities, assessment of the quality of the management of the award (for example, timeliness and quality of progress reports), and assessment of the progress of the work funded under the award.

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

Type of Award³

BJS expects that it will make any award from this solicitation in the form of a cooperative agreement, which is a particular type of grant used if BJS expects to have ongoing substantial involvement in award activities. Substantial involvement includes direct oversight and involvement with the grantee organization in implementation of the grant, but does not involve day-to-day project management. See [Administrative, National Policy, and other Legal Requirements](#), under [Section F. Federal Award Administration Information](#), for details regarding the federal involvement anticipated under an award from this solicitation.

Financial Management and System of Internal Controls

Award recipients and subrecipients (including any recipient or subrecipient funded in response to this solicitation that is a pass-through entity⁴) must, as described in the Part 200 Uniform Requirements 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.
- (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.

In order to better understand administrative requirements and cost principles, applicants are encouraged to enroll, at no charge, in the Department of Justice Grants Financial Management Online Training available [here](#).

³ See generally 31 U.S.C. §§ 6301-6305 (defines and describes various forms of federal assistance relationships, including grants and cooperative agreements (a type of grant)).

⁴ For purposes of this solicitation (or program announcement), “pass-through entity” includes any entity eligible to receive funding as a recipient or subrecipient under this solicitation (or program announcement) that, if funded, may make a subaward(s) to a subrecipient(s) to carry out part of the funded program.

Budget Information

What will not be funded:

- Proposals primarily to purchase equipment, materials, or supplies. A budget may include these items if they are absolutely necessary to carry out the proposed program and are thoroughly justified as demonstrated in the application.
- Proposals that are not responsive to this specific solicitation.

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 Cost (also known as Pre-award Cost) Approvals

Pre-agreement costs are costs incurred by the applicant prior to the start date of the period of performance of the grant 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. If approved, pre-agreement costs could be paid from grant funds consistent with a grantee's approved budget, and under applicable cost standards. However, all such costs prior to award and prior to approval of the costs are incurred at the sole risk of an applicant. Generally, no applicant should incur project costs *before* submitting an application requesting federal funding for those costs. Should there be extenuating circumstances that appear to be appropriate for OJP's consideration as pre-agreement costs, the applicant should contact the point of contact listed on the title page of this announcement for details on the requirements for submitting a written request for approval. See the section on Costs Requiring Prior Approval in the [Financial Guide](#), for more information.

Limitation on Use of Award Funds for Employee Compensation; Waiver

With respect to any award of more than \$250,000 made under this solicitation, recipients may not use federal funds to pay total cash compensation (salary plus cash bonuses) to any employee of the award recipient at a rate that exceeds 110% of the maximum annual salary payable to a member of the Federal Government's Senior Executive Service (SES) at an agency with a Certified SES Performance Appraisal System for that year.⁵ The 2016 salary table for SES employees is available at the Office of Personnel Management [website](#) Note: A recipient may compensate an employee at a greater rate, provided the amount in excess of this compensation limitation is paid with non-federal funds. (Any such additional compensation will not be considered matching funds where match requirements apply.) For employees who charge only a portion of their time to an award, the allowable amount to be charged is equal to the percentage of time worked times the maximum salary limitation.

The Director of BJS may exercise discretion to waive, on an individual basis, the limitation on compensation rates allowable under an award. An applicant requesting a waiver should include a detailed justification in the budget narrative of the application. Unless the applicant submits a

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

waiver request and justification with the application, the applicant should anticipate that OJP will request the applicant to adjust and resubmit the budget.

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

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

OJP strongly encourages applicants that propose to use award funds for any conference-, meeting-, or training-related activity to review carefully—before submitting an application—the OJP policy and guidance on conference approval, planning, and reporting available at www.ojp.gov/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 and of some conference, meeting, and training costs for grant recipients; and (3) set cost limits, including a general prohibition of all food and beverage costs.

Costs Associated with Language Assistance (if applicable)

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

For additional information, see the "Civil Rights Compliance" section under "Solicitation Requirements" in the [OJP Funding Resource Center](#).

C. Eligibility Information

For eligibility information, see title page.

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

Limit on Number of Application Submissions

If an applicant submits multiple versions of the same application, BJS will review only the most recent system-validated version submitted. For more information on system-validated versions, see [How to Apply](#).

D. Application and Submission Information

What an Application Should Include

Applicants should anticipate that if they fail to submit an application that contains all of the specified elements, it may negatively affect the review of their application; and, should a decision be made to make an award, it may result in the inclusion of special conditions that preclude the recipient from accessing or using award funds pending satisfaction of the conditions.

Moreover, applicants should anticipate that applications that are determined to be nonresponsive to the scope of the solicitation, or that do not include the application elements that BJS has designated to be critical, will neither proceed to peer review nor receive further consideration. Under this solicitation, BJS has designated the following application elements as critical: Program Narrative, Budget Detail Worksheet, Budget Narrative, and resumes/curriculum vitae of key personnel. Applicants may combine the Budget Narrative and the Budget Detail Worksheet in one document. However, if an applicant submits only one budget document, it must contain **both** narrative and detail information. Please review the “Note on File Names and File Types” under [How to Apply](#) to be sure applications are submitted in permitted formats.

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

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

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

Intergovernmental Review: This funding opportunity (program) is **not** subject to [Executive Order 12372](#). (In completing the SF-424, applicants are to make the appropriate selection in response to question 19 to indicate that the “Program is not covered by E.O. 12372.”)

2. Project Abstract

The project abstract is a very important part of the application, and serves as an introduction to the proposed project. BJS uses the project abstract for a number of purposes, including the possible assignment of the application to an appropriate review panel. If the application is funded, the project abstract typically will become public information and be used to describe the project.

Applications should include a high-quality project abstract that summarizes the proposed project in 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.

All project abstracts should follow the detailed template available at ojp.gov/funding/Apply/Resources/ProjectAbstractTemplate.pdf.

3. Program Narrative

This section should describe how the applicant will address the project's goals and objectives and meet the deliverables, as well as address the selection criteria. The narrative should present a clear understanding of BJS, its mission, the SPI, and the strengths and limitations of the SPI collections and statistical products. The narrative should describe the applicant's research agenda for the SPISSC and demonstrate the applicant's capabilities to complete the tasks in a timely manner. The applicant's discussion of capabilities should address the following points:

- substantive expertise about corrections and the prison population in particular, survey methodology, estimation, and the SPI
- knowledge of the coverage and gaps in BJS's portfolio of products on corrections and prisoners in particular
- implications of the SPISSC research agenda for criminal justice policy and practice in the United States
- demonstrated capacity to conduct methodological research on administrative records
- understanding of the SPI's value, and the importance of and ability to increase awareness and use of SPI data among stakeholders
- demonstrated capacity to maintain project data securely and according to federal regulations and IRB requirements
- demonstrated capacity to meet BJS data quality guidelines.

The first two sections of the program narrative (sections a and b in the list below) should not exceed 35 pages with line spacing of no less than 1.5 lines, with a font size no smaller than 12-point (Times New Roman), with no less than 1-inch margins all around. These limitations apply to tables and figures included in sections a and b within the narrative.

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.

a. Statement of Problem

- i. Applicants should demonstrate their knowledge of BJS and the SPI, BJS's mission, and its statistical coverage of corrections and prisoners in particular.
- ii. Applicants should demonstrate their knowledge of important issues in corrections that currently are not covered by BJS products but that could be addressed with SPI data collections.
- iii. Applicants should describe their understanding of SPI collections, their purpose and goals, and BJS's achievements in regard to these collections.

b. Project Design and Implementation

- i. Applicants should describe how they will flexibly and adaptively manage the goals and objectives of the project to meet BJS's priorities.
- ii. Applicants should describe how they will manage the need to obtain resources in a timely and cost-effective manner.
- iii. Applicants should describe how they will improve the understanding and use of SPI in the broader research and stakeholder communities.

c. Capabilities and Competencies

- i. Applicants should describe their capacity to provide substantive, analytic, and methodological research services necessary to meet the SPISSC objectives.
- ii. Applicants should describe how they intend to supplement their own capacities in cost-effective ways.
- iii. Applicants should show how their performance on issues directly related to the SPISSC goals and objectives demonstrates their capacity to address the project goals and objectives. This may include past research reports, past projects (with references), and current research projects.

d. Plan for Collecting the Data Required for this Solicitation’s Performance Measures

To demonstrate program progress and success, as well as to assist the Department with fulfilling its responsibilities under the Government Performance and Results Act of 1993 (GPRA), Public Law 103-62, and the GPRA Modernization Act of 2010, Public Law 111-352, applicants that receive funding under this solicitation must provide data that measure the results of their work done under this solicitation. OJP will require any award recipient, post award, to provide the data requested in the “Data Grantee Provides” column so that OJP can calculate values for the “Performance Measures” column. Performance measures for this solicitation are as follows:

Objective	Performance Measure(s)	Data Grantee Provides
Identify and retain affiliates who can provide substantive and methodological expertise to implement the SPISSC research agenda.	Number of partnerships established to complete specialized tasks.	Number of research affiliates, relevant to project need, assisting BJS and the SPISSC to produce statistical products.
Assist with the production of substantive and methodological products in support of the SPISSC research agenda.	Number of times BJS data are used or referenced in academic journals, publications, and mass media outlets.	<p>Number of BJS topical reports produced, either in collaboration with BJS or independently, that address substantive issues in corrections.</p> <p>Number of statistical research papers published by BJS as technical reports or other methodological reports stemming from the work of the SPISSC.</p>
	Number of times other outlets are used to publish BJS data.	Number of translational reports produced and published through other outlets (e.g., trade journals or newsletters) in addition to publication by BJS.

		Number of different outlets used to publish translational products.
Undertake methodological research to assess the quality and reliability of administrative records to expand on the 2016 SPI data for statistical purposes, and develop consistent and reliable statistical indicators.	Number of new statistical methods or approaches used.	Number of statistical products reflecting data quality assessments. Number of consistent and reliable statistical indicators developed. Number of statistical products that, in final form, are of high quality and fully documented by program code and methodology.
	Number of research projects linking survey data with other sources.	Number of research projects involving linked data in the production of BJS reports, including: Number of sources of administrative records assessed for statistical purposes. Number of data quality assessments. Number of high-quality analytic data files, including statistical indicators, produced from administrative records.
Establish and maintain a SPI center for data and resources.	Number of deliverables completed on time. Number of deliverables that meet expectations.	Number of new variables and program code developed through the SPISSC to implement the research agenda, to include: Provide expanded crosswalk with up to 50 new constructed variables. Files with code for new variables per survey year.

		<p>Provide reconstructed data files and supporting documentation.</p> <p>Provide evidence that the required center for data and resources complies with data security protocols specified in 28 CFR Part 22.</p> <p>Number of tools and supporting documentation to enhance the understanding and use of SPI data by internal and external users, to include:</p> <p>SPI user's manual and enhanced technical documentation.</p> <p>Data analysis tool and user's manual.</p> <p>Number of static tables available in data analysis tool.</p> <p>Number of survey years available in data analysis tool.</p> <p>Number of variables available for custom analysis in tool.</p>
	<p>Percent of staff in compliance with federal regulations.</p>	<p>Number of SPISSC staff in compliance with 28 CFR Part 22.</p> <p>Number of SPISSC staff.</p>
	<p>Percentage of data requests for routine statistics that are completed on time and adhere to quality standards.</p>	<p>Number of requests for routine statistics.</p> <p>Number of responses to requests for routine statistics.</p> <p>Number of responses to requests for routine statistics that are completed on time and conform to BJS's data quality standards.</p>

<p>Support BJS-sponsored research fellowship programs using SPI data.</p>	<p>Number of deliverables completed on time.</p> <p>Number of deliverables that meet expectations.</p>	<p>Number of small-scale SPI studies identified, to include:</p> <p>A list of studies and a short description of each one.</p> <p>Number of studies that address key substantive issues in corrections and advance the SPISSC research agenda.</p> <p>Number of studies that are feasible.</p> <p>Number of methods to encourage use of SPI data through fellowships and increase understanding, to include:</p> <p>Number of SPI webinars conducted.</p> <p>Number of other methods recommended and implemented by the SPISSC agent.</p> <p>Number of SPI research projects proposed through the research fellowships.</p>
	<p>Quality of technical assistance provided to researchers as measured through relevance to their needs, specificity, and timeliness as determined by BJS</p>	<p>Number of project-specific data files constructed.</p> <p>Number of project-specific evaluations conducted to provide technical guidance to address data quality or limitations of specific analyses.</p> <p>Number of responses to questions from researchers.</p> <p>Number of feasible SPI research projects completed on time through the fellowships.</p>

Develop an efficient and effective project management strategy.	Quality of effective management as measured by whether significant interim project milestones were achieved, final deadlines were met, and costs remained within approved limits.	A management plan, along with a communications strategy that includes expectations, priorities, deadlines, and progress. Number of changes to management plan based on changes in project plans. Number of semi-annual expenditure reports by project objective.
	Number of meetings and/or conference calls.	Number of meetings and/or conference calls by task/subject matter as part of the management and communications strategy

BJS does not require applicants to submit performance measures data with their application. Performance measures are included as an alert that BJS will require successful applicants to submit specific data as part of their reporting requirements. For the application, applicants should indicate an understanding of these requirements and discuss how they will gather the required data, should they receive funding.

Note on Project Evaluations

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

Research, for the purposes of human subjects protections for OJP-funded programs, is defined as, “a systematic investigation, including research development, testing, and evaluation, designed to develop or contribute to generalizable knowledge” 28 C.F.R. § 46.102(d). For additional information on determining whether a proposed activity would constitute research, see the decision tree to assist applicants on the “Research and the Protection of Human Subjects” section of the www.ojp.gov/funding/Explore/SolicitationRequirements/EvidenceResearchEvaluationRequirements.htm). Applicants whose proposals may involve a research or statistical component also should review the “Data Privacy and Confidentiality Requirements” section on that web page.

e. Appendices

- Bibliography/references.

- Curriculum vitae or resumes of the principal investigator and any and all co-principal investigators. In addition, curriculum vitae, resumes, or biographical sketches of all other individuals (regardless of investigator status) who will be significantly involved in substantive aspects of the proposal (including, for example, individuals such as statisticians serving as consultants to conduct proposed data analysis).
- List (to the extent known) of all proposed project staff members, including those affiliated with the applicant organization or any proposed subrecipient organization(s), any proposed affiliates, consultant(s) and contractors (whether individuals or organizations), and any proposed members of an advisory board for the project (if applicable). The list should include, for each individual and organization: name, title (if applicable), employer or other organizational affiliation, and roles and responsibilities proposed for the project.
- Proposed project timeline and expected milestones.
- A privacy certificate and human subjects protection certification of compliance must be completed for each project proposed in an application.
 - **Privacy Certification.** The Privacy Certificate is a funding recipient's certification of compliance with federal regulations requiring confidentiality of information identifiable to a private person that is collected, analyzed, or otherwise used in connection with an OJP-funded research or statistical activity. The funding recipient's Privacy Certificate includes a description of its policies and procedures to be followed to protect identifiable data. A model certificate is located at www.bjs.gov/content/pub/pdf/bjsmpc.pdf.
 - **Human Subjects Protection Certification of Compliance.** BJS requires the funding recipient to submit proper documentation to be used to determine that the research project meets the federal requirements for human subjects protections set forth in 28 CFR Part 46. A model certificate that describes the necessary information to be provided by the funding recipient is located at www.bjs.gov/content/hscr.cfm.
- List of any previous and current BJS awards to applicant organization and investigator(s), including the BJS-assigned award numbers and a brief description of any scholarly products that resulted in whole or in part from work funded under the BJS award(s).

4. Budget Detail Worksheet and Budget Narrative

Please note that applicants should submit separate annual budgets for fiscal years 2016, 2017, 2018, 2019, and 2020, and one summary 5-year budget. See "Amount and Length of Award" in section "B. Federal Award Information" for more information. **Each budget should include a detail worksheet and budget narrative.**

a. Budget Detail Worksheet

A sample Budget Detail Worksheet can be found at www.ojp.gov/funding/Apply/Resources/BudgetDetailWorksheet.pdf. Applicants that submit their budget in a different format should include the budget categories listed in the sample budget worksheet. The Budget Detail Worksheet should be broken down by year.

For questions pertaining to budget and examples of allowable and unallowable costs, see the Financial Guide at <http://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).

Applicants should demonstrate in their budget narratives how they will maximize cost effectiveness of grant expenditures. Budget narratives should generally describe cost effectiveness in relation to potential alternatives and the goals of the project. For example, a budget narrative should detail why planned in-person meetings are necessary, or how technology and collaboration with outside organizations could be used to reduce costs, without compromising quality.

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

IMPORTANT NOTE: BJS requires that applications include a separate Budget Detail Worksheet and Budget Narrative for each proposed subcontractor or subrecipient of funds associated with the project.

c. Non-Competitive Procurement Contracts In Excess of Simplified Acquisition Threshold

If an applicant proposes to make one or more non-competitive procurements of products or services, where the non-competitive procurement will exceed the simplified acquisition threshold (also known as the small purchase threshold), which is currently set at \$150,000, the application should address the considerations outlined in the [Financial Guide](#).

d. Pre-Agreement Cost Approvals

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

5. Indirect Cost Rate Agreement (if applicable)

Indirect costs are allowed only under the following circumstances:

- (a) The applicant has a current, federally approved indirect cost rate; or
- (b) The applicant 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).

Attach a copy of the federally approved indirect cost rate agreement to the application. Applicants that do not have an approved rate may request one through their cognizant federal agency, which will review all documentation and approve a rate for the applicant organization, or, if the applicant's accounting system permits, costs may be allocated in the direct cost categories. For the definition of Cognizant Federal Agency, see the "Glossary of Terms" in the [Financial Guide](#). For assistance with identifying your cognizant agency, please contact the Customer Service Center at 1-800-458-0786 or at ask.ocfo@usdoj.gov. If DOJ is the cognizant federal agency, applicants may obtain information needed to submit an indirect cost rate proposal at <http://www.ojp.gov/funding/Apply/Resources/IndirectCosts.pdf>.

In order to use the "de minimis" indirect rate, attach written documentation to the application that advises OJP of both the applicant's eligibility (to use the "de minimis" rate) and its election. If the applicant elects the "de minimis" method, costs must be consistently charged as either indirect or direct costs, but may not be double charged or inconsistently charged as both. In addition, if this method is chosen then it must be used consistently for all federal awards until such time as you choose to negotiate a federally approved indirect cost rate.⁶

6. Tribal Authorizing Resolution (if applicable)

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

7. Applicant Disclosure of High Risk Status

Applicants are to disclose whether they are currently designated high risk by another federal grant making agency. This includes any status requiring additional oversight by the federal agency due to past programmatic or financial concerns. If an applicant is designated high risk by another federal grant making agency, you must email the following information to OJPComplianceReporting@usdoj.gov at the time of application submission:

- The federal agency that currently designated the applicant as high risk
- Date the applicant was designated high risk
- The high risk point of contact name, phone number, and email address, from that federal agency
- Reasons for the high risk status

OJP seeks this information to ensure appropriate federal oversight of any grant award. Disclosing this high risk information does not disqualify any organization from receiving an OJP award. However, additional grant oversight may be included, if necessary, in award documentation.

⁶ See 2 C.F.R. § 200.414(f).

8. Additional Attachments

a. Applicant Disclosure of Pending Applications

Applicants are to disclose whether they have pending applications for federally funded grants or subgrants (including cooperative agreements) that include requests for funding to support the same project being proposed under this solicitation and will cover the identical cost items outlined in the budget narrative and worksheet in the application under this solicitation. The disclosure should include both direct applications for federal funding (e.g., applications to federal agencies) and indirect applications for such funding (e.g., applications to State agencies that will subaward federal funds).

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

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

- The federal or state funding agency
- The solicitation name/project name
- The point of contact information at the applicable funding agency

Federal or State Funding Agency	Solicitation Name/Project Name	Name/Phone/Email for Point of Contact at Funding Agency
DOJ/COPS	COPS Hiring Program	Jane Doe, 202/000-0000; jane.doe@usdoj.gov
HHS/ Substance Abuse & Mental Health Services Administration	Drug Free Communities Mentoring Program/ North County Youth Mentoring Program	John Doe, 202/000-0000; john.doe@hhs.gov

Applicants should include the table as a separate attachment to their application. The file should be named "Disclosure of Pending Applications."

Applicants that do not have pending applications as described above are to include a statement to this effect in the separate attachment page (e.g., "[Applicant Name on SF-424] does not have pending applications submitted within the last 12 months for federally funded grants or subgrants (including cooperative agreements) that include requests for funding to support the same project being proposed under this solicitation and will cover the identical cost items outlined in the budget narrative and worksheet in the application under this solicitation.").

b. Research and Evaluation Independence and Integrity

If a proposal involves research and/or evaluation, regardless of the proposal's other merits, in order to receive funds, the applicant must demonstrate research/evaluation independence, including appropriate safeguards to ensure research/evaluation objectivity and integrity, both in this proposal and as it may relate to the applicant's other current or prior related projects. This documentation may be included as an attachment to the application which addresses BOTH i. and ii. below.

- i. For purposes of this solicitation, applicants must document research and evaluation independence and integrity by including, at a minimum, one of the following two items:
 - a. A specific assurance that the applicant has reviewed its proposal to identify any research integrity issues (including all principal investigators and subrecipients) and it has concluded that the design, conduct, or reporting of research and evaluation funded by BJS grants, cooperative agreements, or contracts will not be biased by any personal or financial conflict of interest on the part of its staff, consultants, and/or subrecipients responsible for the research and evaluation or on the part of the applicant organization;

OR

- b. A specific listing of actual or perceived conflicts of interest that the applicant has identified in relation to this proposal. These conflicts could be either personal (related to specific staff, consultants, and/or subrecipients) or organizational (related to the applicant or any subgrantee organization). Examples of potential investigator (or other personal) conflict situations may include, but are not limited to, those in which an investigator would be in a position to evaluate a spouse's work product (actual conflict), or an investigator would be in a position to evaluate the work of a former or current colleague (potential apparent conflict). With regard to potential organizational conflicts of interest, as one example, generally an organization could not be given a grant to evaluate a project if that organization had itself provided substantial prior technical assistance to that specific project or a location implementing the project (whether funded by OJP or other sources), as the organization in such an instance would appear to be evaluating the effectiveness of its own prior work. The key is whether a reasonable person understanding all of the facts would be able to have confidence that the results of any research or evaluation project are objective and reliable. Any outside personal or financial interest that casts doubt on that objectivity and reliability of an evaluation or research product is a problem and must be disclosed.
- ii. In addition, for purposes of this solicitation applicants must address the issue of possible mitigation of research integrity concerns by including, at a minimum, one of the following two items:
 - a. If an applicant reasonably believes that no potential personal or organizational conflicts of interest exist, then the applicant should provide a

brief narrative explanation of how and why it reached that conclusion. Applicants MUST also include an explanation of the specific processes and procedures that the applicant will put in place to identify and eliminate (or, at the very least, mitigate) potential personal or financial conflicts of interest on the part of its staff, consultants, and/or subrecipients for this particular project, should that be necessary during the grant period. Documentation that may be helpful in this regard could include organizational codes of ethics/conduct or policies regarding organizational, personal, and financial conflicts of interest.

OR

- b. If the applicant has identified specific personal or organizational conflicts of interest in its proposal during this review, the applicant must propose a specific and robust mitigation plan to address conflicts noted above. At a minimum, the plan must include specific processes and procedures that the applicant will put in place to eliminate (or, at the very least, mitigate) potential personal or financial conflicts of interest on the part of its staff, consultants, and/or subrecipients for this particular project, should that be necessary during the grant period. Documentation that may be helpful in this regard could include organizational codes of ethics/conduct or policies regarding organizational, personal, and financial conflicts of interest. There is no guarantee that the plan, if any, will be accepted as proposed.

Considerations in assessing research and evaluation independence and integrity will include, but are not limited to, the adequacy of the applicant's efforts to identify factors that could affect the objectivity or integrity of the proposed staff and/or the organization in carrying out the research, development, or evaluation activity; and the adequacy of the applicant's existing or proposed remedies to control any such factors.

9. Financial Management and System of Internal Controls Questionnaire

In accordance with the Part 200 Uniform Requirements as set out at 2 C.F.R. 200.205, Federal agencies must have in place a framework for evaluating the risks posed by applicants before they receive a Federal award. To facilitate part of this risk evaluation, **all** applicants (other than an individual) are to download, complete, and submit this [form](#).

10. Disclosure of Lobbying Activities

All applicants must complete this information. Applicants that expend any funds for lobbying activities are to provide the detailed information requested on the form Disclosure of Lobbying Activities (SF-LLL). Applicants that do not expend any funds for lobbying activities are to enter "N/A" in the text boxes for item 10 ("a. Name and Address of Lobbying Registrant" and "b. Individuals Performing Services").

How to Apply

Applicants must register in, and submit applications through Grants.gov, a primary source to find federal funding opportunities and apply for funding. Find complete instructions on how to register and submit an application at www.Grants.gov. Applicants that experience technical difficulties during this process should call the Grants.gov Customer Support Hotline at **800-518-4726** or **606-545-5035**, 24 hours a day, 7 days a week, except federal holidays. Registering with Grants.gov is a one-time process; however, **processing delays may occur, and it can take several weeks** for first-time registrants to receive confirmation and a user password. OJP

encourages applicants to **register several weeks before** the application submission deadline. In addition, OJP urges applicants to submit applications 72 hours prior to the application due date to allow time to receive validation messages or rejection notifications from Grants.gov, and to correct in a timely fashion any problems that may have caused a rejection notification.

BJS strongly encourages all prospective applicants to sign up for Grants.gov email [notifications](#) regarding this solicitation. If this solicitation is cancelled or modified, individuals who sign up with Grants.gov for updates will be automatically notified.

Browser Information: Grants.gov was built to be compatible with Internet Explorer. For technical assistance with Google Chrome, or another browser, contact Grants.gov Customer Support.

Note on Attachments. Grants.gov has two categories of files for attachments: mandatory and optional. OJP receives all files attached in both categories. Please ensure all required documents are attached in the mandatory category.

Note on File Names and File Types: Grants.gov only permits the use of certain specific characters in names of attachment files. Valid file names may include only the characters shown in the table below. Grants.gov is designed to reject any application that includes an attachment(s) with a file name that contains any characters not shown in the table below.

Characters	Special Characters		
Upper case (A – Z)	Parenthesis ()	Curly braces { }	Square brackets []
Lower case (a – z)	Ampersand (&)	Tilde (~)	Exclamation point (!)
Underscore (_)	Comma (,)	Semicolon (;)	Apostrophe (‘)
Hyphen (-)	At sign (@)	Number sign (#)	Dollar sign (\$)
Space	Percent sign (%)	Plus sign (+)	Equal sign (=)
Period (.)	When using the ampersand (&) in XML, applicants must use the “&amp;” format.		

Grants.gov is designed to forward successfully submitted applications to the OJP Grants Management System (GMS).

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

All applicants are required to complete the following steps:

OJP may not make a federal award to an applicant organization until the applicant organization has complied with all applicable DUNS and SAM requirements. Individual applicants must comply with all Grants.gov requirements. If an applicant has not fully complied with the requirements by the time the federal awarding agency is ready to make a federal award, the federal awarding agency may determine that the applicant is not qualified to receive a federal award and use that determination as a basis for making a federal award to another applicant.

Individual applicants should search Grants.gov for a funding opportunity for which individuals are eligible to apply. Use the Funding Opportunity Number (FON) to register. Complete the registration form at <https://apply07.grants.gov/apply/IndCPRegister> to create a username and password. Individual applicants should complete all steps except 1, 2, and 4.

- 1. Acquire a Data Universal Numbering System (DUNS) number.** In general, the Office of Management and Budget requires that all applicants (other than individuals) for federal funds include a DUNS number in their applications for a new award or a supplement to an existing award. A DUNS number is a unique nine-digit sequence recognized as the universal standard for identifying and differentiating entities receiving federal funds. The identifier is used for tracking purposes and to validate address and point of contact information for federal assistance applicants, recipients, and subrecipients. The DUNS number will be used throughout the grant life cycle. Obtaining a DUNS number is a free, one-time activity. Call Dun and Bradstreet at 866-705-5711 to obtain a DUNS number or apply online at www.dnb.com. A DUNS number is usually received within 1-2 business days.
- 2. Acquire registration with the System for Award Management (SAM).** SAM is the repository for standard information about federal financial assistance applicants, recipients, and subrecipients. OJP requires all applicants (other than individuals) for federal financial assistance to maintain current registrations in the SAM database. Applicants must be registered in SAM to successfully register in Grants.gov. Applicants must **update or renew their SAM registration annually** to maintain an active status. SAM registration and renewal can take as long as 10 business days to complete.

Applications cannot be successfully submitted in Grants.gov until Grants.gov receives the SAM registration information. Once the SAM registration/renewal is complete, **the information transfer from SAM to Grants.gov can take up to 48 hours.** OJP recommends that the applicant register or renew registration with SAM as early as possible.

Information about SAM registration procedures can be accessed at www.sam.gov.

- 3. Acquire an Authorized Organization Representative (AOR) and a Grants.gov username and password.** Complete the AOR profile on Grants.gov and create a username and password. The applicant organization's DUNS number must be used to complete this step. For more information about the registration process for organizations, go to www.grants.gov/web/grants/register.html. Individuals registering with Grants.gov should go to <http://www.grants.gov/web/grants/applicants/individual-registration.html>.
- 4. Acquire confirmation for the AOR from the E-Business Point of Contact (E-Biz POC).** The E-Biz POC at the applicant organization must log into Grants.gov to confirm the applicant organization's AOR. The E-Biz POC will need the Marketing Partner Identification Number (MPIN) password obtained when registering with SAM to complete this step. Note that an organization can have more than one AOR.
- 5. Search for the funding opportunity on Grants.gov.** Use the following identifying information when searching for the funding opportunity on Grants.gov. The Catalog of Federal Domestic Assistance number for this solicitation is 16.734, titled "FY2016 Survey of Prison Inmates Statistical Support Center (SPISSC)," and the funding opportunity number is BJS-2016-9840.

6. Submit a valid application consistent with this solicitation by following the directions in Grants.gov. Within 24–48 hours after submitting the electronic application, the applicant should receive two notifications from Grants.gov. The first will confirm the receipt of the application and the second will state whether the application has been successfully validated, or rejected due to errors, with an explanation. It is possible to first receive a message indicating that the application is received and then receive a rejection notice a few minutes or hours later. Submitting well ahead of the deadline provides time to correct the problem(s) that caused the rejection. **Important:** OJP urges applicants to submit applications **at least 72 hours prior** to the application due date to allow time to receive validation messages or rejection notifications from Grants.gov, and to correct in a timely fashion any problems that may have caused a rejection notification. All applications are due to be submitted and in receipt of a successful validation message in Grants.gov by 11:59 p.m. eastern time on June 10, 2016.

Click [here](#) for further details on DUNS, SAM, and Grants.gov registration steps and timeframes.

Note: Duplicate Applications

If an applicant submits multiple versions of the same application, BJS will review only the most recent system-validated version submitted. See Note on File Names and File Types under [How to Apply](#).

Experiencing Unforeseen Grants.gov Technical Issues

Applicants that experience unforeseen Grants.gov technical issues beyond their control that prevent them from submitting their application by the deadline must contact the Grants.gov [Customer Support Hotline](#) or the [SAM Help Desk](#) (Federal Service Desk) to report the technical issue and receive a tracking number. Then applicants must email the BJS contact identified in the Contact Information section on page 2 **within 24 hours after the application deadline** and request approval to submit their application. The email must describe the technical difficulties, and include a timeline of the applicant's submission efforts, the complete grant application, the applicant's DUNS number, and any Grants.gov Help Desk or SAM tracking number(s). **Note: BJS does not automatically approve requests.** After the program office reviews the submission, and contacts the Grants.gov or SAM Help Desk to validate the reported technical issues, OJP will inform the applicant whether the request to submit a late application has been approved or denied. If OJP determines that the applicant failed to follow all required procedures, which resulted in an untimely application submission, OJP will deny the applicant's request to submit their application.

The following conditions are generally insufficient to justify late submissions:

- Failure to register in SAM or Grants.gov in sufficient time (SAM registration and renewal can take as long as 10 business days to complete. The information transfer from SAM to Grants.gov can take up to 48 hours.)
- Failure to follow Grants.gov instructions on how to register and apply as posted on its website
- Failure to follow each instruction in the OJP solicitation
- Technical issues with the applicant's computer or information technology environment, including firewalls, browser incompatibility, etc.

Notifications regarding known technical problems with Grants.gov, if any, are posted at the top of the OJP funding web page at <http://ojp.gov/funding/index.htm>.

E. Application Review Information

Selection Criteria

The following criteria will be used in peer-reviewing applications. (See the subsequent section, "Review Process," which follows.) The weights (in parentheses) reflect the contribution to an application's total score of each selection criterion.

1. Statement of the Problem (20%)

- Demonstrated understanding of BJS, its mission, its corrections collections, the SPI, and SPI's utility for research on incarceration and corrections in general.
- Capacity to articulate a substantive research agenda for the SPI that addresses gaps in BJS statistical reports that should be addressed through the product lines described in this solicitation.
- Depth of understanding of the SPI, its capabilities, and potential uses.
- Awareness of the need to enhance the understanding of SPI to stakeholders to increase their use of the data.
- Understanding of how the project goals will assist BJS in addressing stakeholders' needs for statistical information.
- Understanding of other federal data sources related to the criminal justice system that can enhance the utility of BJS data:
 - Demonstration of knowledge of RAP sheet data, NCRP data, and other federal administrative data available through CARRA.
 - Demonstrated knowledge of the scope and content of these administrative data sources and their potential utility for statistical purposes.

2. Project Design and Implementation (25%)

- Understanding of the relationship between the components of the project's objectives to achieve the project's goals.
- Coordination of effort among project objectives in ways that ensure efficient use of resources while achieving the project's research goals.
- Innovation in methods used to produce the research projects outlined in the solicitation.
- Breadth, depth, and quality of the components of the proposed research agenda.
- The extent to which the relationship between the research agenda outlined in the application aligns with the organization of project resources to achieve the research goals.

3. Capabilities and Competencies (35%)

- Qualifications and experience of proposed project staff (principal investigator, any and all co-principal investigators, and all other individuals and organizations identified in the application (regardless of investigator status) who will be significantly involved in substantive and methodological aspects of the project.)
- Understanding of, and experience in, using BJS data and administrative records for statistical research.
- Demonstrated capacity to manage large data files in a secure environment to achieve research objectives in a timely manner.

- Demonstrated capacity and experience in delivering high-quality research reports targeted to appropriate audiences in a timely manner.
- Capacity to attract, retain, and manage a group of research affiliates and ensure that they can produce high-quality research products in a timely manner.
- Demonstrated capacity to establish and maintain a data and resource center that maintains all data securely and to ensure that all data security procedures comply with federal regulations and IRB requirements.
- Demonstrated capacity to cover the substantive, methodological, analytic, and technical issues described in the project.
- Demonstrated capacity to produce data products for the end user (e.g., consumers of BJS reports) and to document all work done to complete project tasks.
- Capacity to develop procedures to increase understanding of the SPI among stakeholders and to increase use of the data through a variety of technologies and methods.
- Demonstrated past performance on issues directly related to the SPISSC goals and objectives, such as research reports, past projects (with references), and current research projects. Note that the materials related to past performance are not to be included within the 35-page limitation for the program narrative.

4. Plan for Collecting the Data Required for this Solicitation’s Performance Measures (5%)

- Efficiency of the data collection activities required to demonstrate the project’s performance in a low-cost manner and as part of the project organization.

5. Budget: Complete, Cost Effective, and Allowable (e.g. reasonable, allocable, and necessary for project activities) (15%)

Budget narratives should generally demonstrate how applicants will maximize cost effectiveness of project expenditures. Budget narratives should demonstrate cost effectiveness in relation to potential alternatives and the goals of the project.⁷

Applications’ budgets will be assessed to determine—

- Preparation of five annual budgets and one 5-year summary budget, including an annual staff loading chart, by project task, showing the role and number of hours committed by proposed staff (including identified and nonidentified affiliates).
- The total cost of the project relative to the perceived benefits (cost effectiveness).
- Appropriateness of the budget relative to the level effort and deliverables.
- Extent to which staff resources allocated in the budget are appropriate for the project tasks and the evolving demands of the SPISSC.

Review Process

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

⁷ 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.

Peer reviewers will review the applications submitted under this solicitation that meet basic minimum requirements. For purposes of assessing whether applicants have met basic minimum requirements, OJP screens applications for compliance with specified program requirements to help determine which applications should proceed to further consideration for award. Although program requirements may vary, the following are common requirements applicable to all solicitations for funding under OJP grant programs:

- Applications must be submitted by an eligible type of applicant
- Applications must request funding within programmatic funding constraints (if applicable)
- Applications must be responsive to the scope of the solicitation
- Applications must include all items designated as “critical elements”
- Applicants will be checked against the System for Award Management (SAM)

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

BJS may use internal peer reviewers, external peer reviewers, or a combination, to assess applications meeting basic minimum requirements on technical merit using the solicitation’s selection criteria. An external peer reviewer is an expert in the subject matter of a given solicitation who is not a current DOJ employee. An internal reviewer is a current DOJ employee who is well-versed or has expertise in the subject matter of this solicitation. A peer review panel will evaluate, score, and rate applications that meet basic minimum requirements. Peer reviewers’ ratings and any resulting recommendations are advisory only, although their views are considered carefully. In addition to peer review ratings, considerations for award recommendations and decisions may include, but are not limited to, underserved populations, geographic diversity, strategic priorities, past performance under prior BJS and OJP awards, and available funding.

OJP reviews applications for potential discretionary awards to evaluate the risks posed by applicants before they receive an award. This review may include but is not limited to the following:

1. Financial stability and fiscal integrity
2. Quality of management systems and ability to meet the management standards prescribed in the Financial Guide
3. History of performance
4. Reports and findings from audits
5. The applicant's ability to effectively implement statutory, regulatory, or other requirements imposed on award recipients
6. Proposed costs to determine if the Budget Detail Worksheet and Budget Narrative accurately explain project costs, and whether those costs are reasonable, necessary, and allowable under applicable federal cost principles and agency regulations

All final award decisions will be made by the Director of the Bureau of Justice Statistics. Peer reviewers’ ratings and any resulting recommendations are advisory only, although their views are considered carefully. In addition to peer review ratings, considerations for award recommendations and decisions may include, but are not limited to, recommended SPISSC products, proposed budgets, past performance under prior BJS and OJP awards, research independence and integrity, strategic priorities, and available funding when making awards.

F. Federal Award Administration Information

Federal Award Notices

OJP sends award notification 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 how to accept the award in GMS. GMS automatically issues the notifications at 9:00 p.m. eastern time on the award date (by September 30, 2016). Recipients will be required to log in; accept any outstanding assurances and certifications on the award; designate a financial point of contact; and review, sign, and accept the award. The award acceptance process involves physical signature of the award document by the authorized representative and the scanning of the fully executed award document to OJP.

Administrative, National Policy, and other Legal Requirements

If selected for funding, in addition to implementing the funded project consistent with the agency-approved project proposal and budget, the recipient must comply with award terms and conditions, and other legal requirements, including but not limited to OMB, DOJ, or other federal regulations which will be included in the award, incorporated into the award by reference, or are otherwise applicable to the award. OJP strongly encourages prospective applicants to review the information pertaining to these requirements **prior** to submitting an application. To assist applicants and recipients in accessing and reviewing this information, OJP has placed pertinent information on its [Solicitation Requirements](#) page of the [OJP Funding Resource Center](#).

Please note in particular the following two forms, which applicants must accept in GMS prior to the receipt of any award funds, as each details legal requirements with which applicants must provide specific assurances and certifications of compliance. Applicants may view these forms in the Apply section of the [OJP Funding Resource Center](#) and are strongly encouraged to review and consider them carefully prior to making an application for OJP grant funds.

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

Upon grant approval, OJP electronically transmits (via GMS) the award document to the prospective award recipient. In addition to other award information, the award document contains award terms and conditions that specify national policy requirements⁸ with which recipients of federal funding must comply; uniform administrative requirements, cost principles, and audit requirements; and program-specific terms and conditions required based on applicable program (statutory) authority or requirements set forth in OJP solicitations and program announcements, and other requirements which may be attached to appropriated funding. For example, certain efforts may call for special requirements, terms, or conditions relating to intellectual property, data/information-sharing or -access, or information security; or audit requirements, expenditures and milestones, or publications and/or press releases. OJP also may place additional terms and conditions on an award based on its risk assessment of the

⁸ See *generally* 2 C.F.R. 200.300 (provides a general description of national policy requirements typically applicable to recipients of Federal awards, including the Federal Funding Accountability and Transparency Act of 2006 (FFATA)).

applicant, or for other reasons it determines necessary to fulfill the goals and objectives of the program.

Prospective applicants may access and review the text of mandatory conditions OJP includes in all OJP awards, as well as the text of certain other conditions, such as administrative conditions, via the [Mandatory Award Terms and Conditions](#) page of the [OJP Funding Resource Center](#).

As stated above, BJS anticipates that it will make any award from this solicitation in the form of a cooperative agreement. Cooperative agreement awards include standard “federal involvement” conditions that describe the general allocation of responsibility for execution of the funded program. Generally stated, under cooperative agreement awards, responsibility for the day-to-day conduct of the funded project rests with the recipient in implementing the funded and approved proposal and budget, and the award terms and conditions. Responsibility for oversight and redirection of the project, if necessary, rests with BJS.

In addition to any “federal involvement” condition(s), OJP cooperative agreement awards include a special condition specifying certain reporting requirements required in connection with conferences, meetings, retreats, seminars, symposia, training activities, or similar events funded under the award, consistent with OJP policy and guidance on conference approval, planning, and reporting.

BJS awards under this type of solicitation will typically include a number of special conditions, including, among others, the following:

- The project will be funded as a cooperative agreement. The basis for using a cooperative agreement is BJS’s substantial involvement in identifying priorities and providing information, guidance, and direction relative to the development of statistical studies and products. BJS will exercise general approval over the entire project subject to the recipient’s rights to disclose and publish certain information after review and comment by BJS, as set forth in this solicitation.
- The award recipient will agree that no funds provided may be used to author or prepare reports, journal articles, speeches or studies, other publications, or presentations without the prior review and written approval of BJS, regardless of whether the data used in the publications or other releases are publicly available.
- BJS will retain all rights to exclusive use of the data until BJS releases the public use dataset, which will be available to the public via the Internet and at the NACJD at the University of Michigan. The award recipient will not be able to release or disclose any data collected through this cooperative agreement without prior written BJS approval or until the dataset has been released to the public. This includes, but is not limited to, presentations at professional conferences and meetings, press releases, and/or grant applications. Unauthorized release of the data by the recipient or its associates may result in immediate commencement of termination or suspension proceedings in accordance with 28 CFR Part 18.
- BJS will retain exclusive rights to methodological information. Within certain limitations, BJS may grant the recipient exclusive use of any methodological findings derived from the project funded through this cooperative agreement. The recipient must have obtained prior review and written approval by BJS, including mutual

agreement on the representation of BJS's methodologies, before disclosing methodological information or experiential findings derived from the project before the dataset is released. Any such disclosures of the recipient's or BJS's methodologies must be public in nature and contribute meaningfully to the development and/or advancement of social science research. Public disclosure may include, but is not limited to, presentations at professional conferences and meetings, articles appearing in widely distributed publications, and postings on the Internet or in similar outlets that constitute a broad public release of the methodological information. Unauthorized release of the data by the recipient or its associates may result in immediate commencement of termination or suspension proceedings in accordance with 28 CFR Part 18.

General Information about Post-Federal Award Reporting Requirements

Recipients must submit quarterly financial reports, semi-annual progress reports, final financial and progress reports, and, if applicable, an annual audit report in accordance with the Part 200 Uniform Requirements. Future awards and fund drawdowns may be withheld if reports are delinquent.

Special Reporting requirements may be required by OJP depending on the statutory, legislative, or administrative obligations of the recipient or the program.

Draft and Final Summary Overview of the Work Conducted under this Award

The overview is expected to provide an overall summary of the work performed under, and the results of, the project funded by BJS under this solicitation. Among other things, the summary overview should address the purpose of the project, project design and methods, data analysis, assessments of administrative records, data linkage, project findings and statistical products produced, and implications for criminal justice policy and practice in the United States.

A draft summary overview no longer than 10 double-spaced pages must be submitted 90 days prior to the end of the project for BJS review and comment.

G. Federal Awarding Agency Contact(s)

For Federal Awarding Agency Contact(s), see title page.

For contact information for Grants.gov, see title page.

H. Other Information

Provide Feedback to OJP

To assist OJP in improving its application and award processes, we encourage applicants to provide feedback on this solicitation, the application submission process, and/or the application review/peer review process. Provide feedback to OJPSolicitationFeedback@usdoj.gov.

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

If you are interested in being a reviewer for other OJP grant applications, please email your resume to ojppeerreview@lmsolas.com. The OJP Solicitation Feedback email account will not forward your resume. **Note:** Neither you nor anyone else from your organization can be a peer reviewer in a competition in which you or your organization have submitted an application.

Application Checklist

Survey of Prison Inmates Statistical Support Center (SPISSC)

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

What an Applicant Should Do:

Prior to Registering in Grants.gov:

- _____ Acquire a DUNS Number (see page 42)
- _____ Acquire or renew registration with SAM (see page 42)

To Register with Grants.gov:

- _____ Acquire AOR and Grants.gov username/password (see page 42)
- _____ Acquire AOR confirmation from the E-Biz POC (see page 42)

To Find Funding Opportunity:

- _____ Search for the Funding Opportunity on Grants.gov (see page 42)
- _____ Download Funding Opportunity and Application Package (see page 42)
- _____ Sign up for Grants.gov email [notifications](#) (optional) (see page 41)
- _____ Read [Important Notice: Applying for Grants in Grants.gov](#)
- _____ Read OJP policy and guidance on conference approval, planning, and reporting available at [ojp.gov/financialguide/DOJ/PostawardRequirements/chapter3.10a.htm](#) (see page 27)

After Application Submission, Receive Grants.gov Email Notifications That:

- _____ (1) application has been received,
- _____ (2) application has either been successfully validated or rejected with errors (see page 42)

If No Grants.gov Receipt, and Validation or Error Notifications are Received:

- _____ contact BJS regarding experiencing technical difficulties (see page 43)

General Requirements:

- _____ Review the [Solicitation Requirements](#) in the OJP Funding Resource Center.

Scope Requirement:

- _____ The federal amount requested is within the allowable limit(s) as stated in the solicitation (see page 24).

Eligibility Requirement:

_____ Eligible applicants are national, regional, state, or local public and private entities, including for-profit (commercial) and nonprofit organizations (including tribal nonprofit and for-profit organizations), faith-based and community organizations, institutions of higher learning (including tribal institutions of higher learning), and federally recognized Indian tribal governments as determined by the Secretary of the Interior, and units of local government that support initiatives to improve the functioning of the criminal justice system. For-profit organizations must agree to forgo any profit or management fee.

What an Application Should Include:

_____	Application for Federal Assistance (SF-424)	(see page 28)
_____	Project Abstract	(see page 28)
_____	Program Narrative	(see page 29)
_____	Appendices	(see page 34)
_____	Budget Detail Worksheets	(see page 35)
_____	Budget Narratives	(see page 36)
_____	Indirect Cost Rate Agreement (if applicable)	(see page 36)
_____	Tribal Authorizing Resolution (if applicable)	(see page 37)
_____	Applicant Disclosure of High Risk Status	(see page 37)
_____	Additional Attachments	
_____	_____ Applicant Disclosure of Pending Applications	(see page 38)
_____	_____ Research and Evaluation Independence and Integrity	(see page 39)
_____	Financial Management and System of Internal Controls Questionnaire	(see page 40)
_____	Disclosure of Lobbying Activities (SF-LLL)	(see page 40)
_____	Employee Compensation Waiver request and justification (if applicable)	(see page 26)