



The [U.S. Department of Justice](#) (DOJ), [Office of Justice Programs](#) (OJP), [Bureau of Justice Statistics](#) (BJS) is seeking applications for the collection, analysis, and dissemination activities of its Annual Surveys of Probation and Parole, 2015–2018. This program furthers the Department’s mission by working in partnership with the justice community to identify the most pressing challenges confronting the justice system and to provide state-of-the-art knowledge and information to support innovative strategies and approaches for dealing with these challenges.

Annual Surveys of Probation and Parole, 2015–2018

Eligibility

Eligible applicants are national, regional, state, or local public and private entities, including for-profit and nonprofit organizations, (including tribal nonprofit or 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.

Under section 302 of the Omnibus Crime Control and Safe Streets Act, BJS is authorized to make grants to, or enter into contracts or cooperative agreements with, states (including territories), units of local government, federally recognized Indian tribal governments as determined by the Secretary of the Interior, nonprofit and for-profit organizations (including tribal nonprofit or for-profit organizations), institutions of higher education (including tribal institutions of higher education), and certain qualified individuals. For-profit organizations must agree to forgo any profit or management fee. Foreign governments, foreign organizations, and foreign institutions of higher education are not eligible to apply.

BJS welcomes applications that involve two or more entities; however, one eligible entity must be the applicant and the other(s) must be proposed as subrecipient(s). The applicant must be the entity with primary responsibility for conducting and leading the proposed project. If successful, the applicant will be responsible for monitoring and appropriately managing any subrecipients or, as applicable, for administering any procurement subcontracts that would receive federal program funds from the applicant under the award. Only one application per lead applicant will be considered; however, subrecipients may be part of multiple proposals.

BJS may elect to make awards for applications submitted under this solicitation in future fiscal years, dependent on the merit of the applications and on the availability of appropriations. For additional eligibility information, see Section [C. Eligibility Information](#).

Deadline

Applicants must register with Grants.gov prior to submitting an application. All applications are due to be submitted and in receipt of a successful validation message in Grants.gov by 11:59 p.m. eastern time on May 18, 2015.

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

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

Contact Information

For technical assistance with submitting an application, contact the Grants.gov Customer Support Hotline at 800-518-4726 or 606-545-5035, or via e-mail to support@grants.gov. 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 Laura Maruschak, BJS Statistician and Program Manager, by telephone at 202-307-0765, or by email at askbjs@usdoj.gov. Include "ASPP" in the subject line.

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Contents

| | |
|--|----|
| A. Program Description | 4 |
| Overview | 4 |
| Program-Specific Information | 4 |
| Goals, Objectives, Deliverables, and Expected Scholarly Products | 8 |
| B. Federal Award Information..... | 14 |
| Type of Award | 15 |
| Financial Management and System of Internal Controls | 15 |
| Budget Information | 16 |
| Cost Sharing or Match Requirement..... | 16 |
| Pre-Agreement Cost Approvals | 16 |
| Limitation on Use of Award Funds for Employee Compensation; Waiver..... | 16 |
| Prior Approval, Planning, and Reporting of Conference/Meeting/Training Costs | 17 |
| Costs Associated with Language Assistance (if applicable)..... | 17 |
| C. Eligibility Information..... | 17 |
| Eligibility | 17 |
| Cost Sharing or Match Requirement..... | 17 |
| Limit on Number of Application Submissions | 17 |
| D. Application and Submission Information | 17 |
| What an Application Should Include | 17 |
| How to Apply | 29 |
| E. Application Review Information..... | 32 |
| Selection Criteria | 32 |
| Review Process..... | 33 |
| F. Federal Award Administration Information | 34 |
| Federal Award Notices | 34 |
| Administrative, National Policy, and other Legal Requirements | 34 |
| General Information About Post-Federal Award Reporting Requirements | 36 |
| G. Federal Awarding Agency Contact(s) | 37 |
| H. Other Information..... | 37 |
| Provide Feedback to OJP..... | 37 |
| Application Checklist | 38 |

Annual Surveys of Probation and Parole, 2015–2018

(CFDA # 16.734)

A. Program Description

Overview

The Bureau of Justice Statistics (BJS) seeks an applicant to conduct the collection, analysis, and dissemination activities for the Annual Surveys of Probation and Parole (ASPP) for the collection years 2015 through 2018.

The ASPP are two separate data collections, independently referred to as the Annual Probation Survey and Annual Parole Survey. Since 1980, the ASPP have collected aggregate data on the number of persons supervised on probation or parole (i.e., post-custody community supervision), together referred to as the community supervision population. The ASPP obtain aggregated data from administrative records maintained by state probation and/or parole agencies; local agencies (municipal, county, or court); and the federal system. The ASPP are core BJS data collections and are the only national data collections that describe the size, change, movements, outcomes, and characteristics of the community supervision populations at the national, federal, and state levels. Together with data from the National Prisoner Statistics (NPS) Program, which collects counts of persons incarcerated in federal and state prisons, and data from the Annual Survey of Jails, which collects counts of persons held in local jails, ASPP data are used to estimate the total number of persons supervised by the adult correctional systems in the United States. Collectively, these data collections are also critical for tracking the level and change in the correctional populations over time and enhancing the understanding of the flow of offenders through and eventually out of the criminal justice system.

Because of the needs for and uses of the ASPP data, it is imperative that these data are reliable, of high quality, and are representative of the entire targeted population. Therefore, through this award, BJS intends to enhance these aspects of the ASPP.

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

Authorizing Legislation: Under section 302 of the Omnibus Crime Control and Safe Streets Act, BJS is authorized to “make grants to, or enter into cooperative agreements or contracts with public agencies, institutions of higher education, private organizations, or private individuals” for purposes of collecting and analyzing criminal justice statistics.

Program-Specific Information

The ASPP collection is BJS’s most comprehensive source of information about persons under community supervision, which accounts for the largest segment of the adult correctional population in the United States. At yearend 2013, more than 4.75 million adults were under community supervision in the United States, including 3.9 million probationers and more than 850,000 parolees. About 7 in 10 persons under correctional supervision in the United States lived in the community in 2013, compared to 3 in 10 who were incarcerated in prison or jail. The ASPP collection fills a valuable role by measuring the number of persons under community supervision each year, the change in this number and factors associated with the change (such

as movements onto and off community supervision), the characteristics of this population, and outcomes of supervision. These surveys collect information from both large and small agencies, which are located at various levels and branches of government and have highly diverse data record systems and resources.

The Annual Probation Survey has a mixture of respondents that vary by state. Some states have one respondent while others have multiple respondents, and the number of respondents in a state is not always consistent with the level of government at which probation is administered. BJS collects data from state-level respondents in an effort to reduce burden whenever possible. BJS uses the term “central reporter” for respondents who are in a state-level agency and correspond to one of the following:

- are supervising agencies responsible for all felony and misdemeanor probation supervision in the state (consequently they report the state’s total probation population to BJS through the Annual Probation Survey).
- are supervising agencies responsible for a portion of probation supervision in the state, such as felony probation, and report the state’s entire felony probation population to BJS through the Annual Probation Survey.
- are not supervising agencies but are located in a state-level agency that collects data from all locally operated probation agencies.

In a few states in addition to the central reporter, BJS also obtains data directly from local probation agencies to ensure that the collection accounts for the state’s entire probation population, including both felons and misdemeanants. In response to burden and the inability of some local probation agencies to report all of the data in the Annual Probation Survey, BJS created a shorter version of the survey instrument (known as the “short form”). BJS sent the 2013 Annual Probation Survey to 468 respondents—33 central state reporters and 435 separate state, county, or court agencies, including the state probation agency in Pennsylvania, which also provided data for 65 counties in Pennsylvania; the District of Columbia; and the federal system. Among the 435 separate state, county, or court agencies, 161 received the short form.

Because parole is typically a state function (i.e., administered at the state level), population data on adult parole supervision are obtained by the Annual Parole Survey from a central state reporter for most states. BJS sent the 2013 Annual Parole Survey to 54 respondents—50 central state reporters; 1 municipal agency in Alabama; the state parole agency in Pennsylvania, which also provided data for 65 counties in Pennsylvania; the District of Columbia; and the federal system.

BJS collects data on persons under community supervision in the federal system through its Federal Justice Statistics Program (FJSP). This program obtains its data annually from the Office of Probation and Pretrial Services, Administrative Office of the United States Courts. BJS sends the FJSP data collection agent the surveys and coordinates data submission, therefore the recipient of funds will not be responsible to collecting these data.

Over the years, the ASPP data have been subject to data quality issues, including limitations of data comparability across years, unit and item nonresponse, and undetected changes in the reporting of information. One such problem stems from differences that have been observed in the reported January 1 population of the current data cycle compared to the reported

December 31 population of the previous year's data cycle (e.g., the 1-day discrepancy between December 31, 2013, and January 1, 2014). These discrepancies are due in part to changes in reporting methods within jurisdictions. These changes in reporting methods can be due to a variety of circumstances, including changes in software or programs that track probationers and parolees, jurisdictions failing to report or over reporting particular types of offenders from one year to the next, and switching from reporting cases to reporting individuals or vice versa. For some jurisdictions, the differences occur simply because the information systems are updated after data are submitted to BJS.

Similar to many other surveys, the ASPP experience nonresponse both at the unit and item levels. BJS has implemented imputation methods for items on the surveys that BJS has deemed critical (beginning year population, total entries to supervision, total exits from supervision, and yearend population counts), but has not developed imputation methods for other missing variables.

Another problem lies in the discrepancies between years in the detailed data that respondents provide. For example, in a given year a respondent may report counts by exit type and in the following year, the same respondent is unable to report by type of exit. Data quality checks are imperative to identify and correct these issues as they arise during the data collection cycle.

Addressing these data quality issues and developing imputation methods is important for producing reliable and high-quality data that can be used for trend analyses. Imputation methods that can be applied to the data for the current collection year and previous years, and that produce high-quality and reliable ASPP data, need to be developed and implemented.

Although BJS has collected data through the ASPP to describe the populations under community supervision, data that describe the organization and operations of probation agencies have not been collected in more than 20 years; this type of data has not been collected from parole agencies in more than 8 years. To address this information gap among probation agencies, in 2011 BJS began work on the Census of Adult Probation Supervising Agencies (CAPSA), and the data collection was fielded in the summer of 2014. Data from CAPSA will be used to fill information gaps about the organization, structure, and function of probation agencies, and also to assess the extent of potential coverage error and improve the frame of the Annual Probation Survey. Because CAPSA focuses on agencies that supervise felons, additional work will be necessary to identify agencies that supervise only misdemeanor probationers. This work will ensure maximum coverage in the Annual Probation Survey, enhance the overall reliability of ASPP statistics and be used to develop additional data collections for filling important information gaps identified by the community corrections field.

In addition, the enhanced roster could serve as the universe from which to draw a sample of agencies for conducting additional studies of agencies. In discussions with the community corrections field, BJS has learned that there are gaps in information that is important for understanding and improving the efficiency and effectiveness of agency operations, and for minimizing the risk of recidivism while enhancing public safety. Research and development work is needed to develop an implementation plan for future community corrections surveys. These additional surveys need to be analyzed in conjunction with the ASPP population data so that contextual information can be used to better understand changes in the ASPP population, such as how population changes and outcomes of supervision are related to the operations and practices of probation and parole agencies. This plan needs to consider the burden on agencies and the capacity for agencies to provide data.

Copies of data collection instruments for the 1999 to 2013 ASPP can be found at <http://www.bjs.gov/index.cfm?ty=dcdetail&iid=271>.

Data from the ASPP collection have been published in an annual series of bulletins with the name “Probation and Parole in the United States, [year]” (<http://www.bjs.gov/index.cfm?ty=pbse&sid=42>). See the Methodology section of *Probation and Parole in the United States, 2013*, for additional information on the respondent universe for the surveys (<http://www.bjs.gov/index.cfm?ty=pbdetail&iid=5135>.)

ASPP data from 1994–2012 have been archived for public use at the National Archive of Criminal Justice Data (NACJD; <http://www.icpsr.umich.edu/icpsrweb/content/NACJD/guides/asp.html>). In addition, 2010–2012 ASPP data populate the parole portion of the Corrections Statistical Analysis Tool on the BJS website (<http://www.bjs.gov/parole/>). While not yet available online, a similar tool for probation data is currently under development.

Data collection documentation related to the 2006 Census of State Parole Supervising Agencies can be found at <http://www.bjs.gov/index.cfm?ty=dcdetail&iid=258>.

Information related to the Census of Adult Probation Supervising Agencies, 2014, can be found at <http://www.bjs.gov/content/capsa.cfm>.

BJS anticipates awarding one project to cover the data collection, processing, and analysis activities for four reference years of ASPP data, 2015–2018. The project will begin October 1, 2015, and end September 30, 2019. Table 1 shows the relationship between the ASPP project year and the reporting year. Each project year will run for 12 months, beginning October 1 and ending on September 30 of the following year.

Table 1. Project years and reference years of annual ASPP collection

| Project year | Reference year |
|----------------------------------|----------------|
| 1. Oct. 1, 2015 – Sept. 30, 2016 | 2015 |
| 2. Oct. 1, 2016 – Sept. 30, 2017 | 2016 |
| 3. Oct. 1, 2017 – Sept. 30, 2018 | 2017 |
| 4. Oct. , 2018 – Sept. 30, 2019 | 2018 |

The general schedule for the ASPP is as follows:

- November 15 – Data collection agent sends prenotification of survey launch
- December 15 – Data collection agent sends survey launch letter
- December to April – Data collection period
- January to April – Data collection agent notify respondents of impending due dates, nonresponse follow-up, and thank-you letters
- February to April– Data cleaning, editing, verification, and final callbacks
- May 30 – Data collection agent delivers analytic data files
- June 15 – Data collection agent delivers core state-level statistical tables
- August 30 – Data collection agent delivers final updated longitudinal respondent and state-level data files, notes, and other documentation for archiving and the web tool.

A more complete description of the ASPP collection is available in the documentation archived at the NACJD (<http://www.icpsr.umich.edu/NACJD/>). Currently, the NACJD only provides individual-year, state-level files. It is anticipated that in addition to these annual files, BJS will

archive longitudinal respondent-level and state-level data files and notes that are updated annually with information from the most recent data collection year and any necessary revisions for prior years.

Goals, Objectives, Deliverables, and Expected Scholarly Products

During this 4-year project, the recipient of funds will complete ASPP data collection activities and analytic work annually, improve data quality and produce high-quality data on the community supervision populations, enhance the ASPP frame, and make significant progress in the development of strategies for implementing additional community corrections data collections related to the organization, practices, and policies of probation and parole agencies.

Applicants should address how they would meet the following goals and objectives:

1. *Ensure a timely launch of the data collection for 2015 and subsequent years.* Review ASPP materials provided by BJS, including respondents' contact information, data collection forms, datasets, data file specifications, data quality management procedures, and other related materials. The data collection agent will be responsible for reviewing and organizing these materials to determine how to use them in ongoing activities associated with annual data collections.
2. *Develop, test, and implement a web-based data-collection tool that minimizes burden in data submission.* The tool should—
 - a. Implement a user-friendly interface for the survey that is based on proven methods for enhancing responses and reducing burden.
 - b. Provide respondents with a web-based format for reporting data that is based on state-of-the-art approaches to web collection of establishment survey data.
 - c. Build in server-based error-checking mechanisms that minimize the need for follow-up contact on critical items and that simplify data submission.
 - d. Ensure that upon completing data entry, users can obtain a PDF version of the completed survey form that reflects their data as entered.
 - e. Be an integral component of a data management system that provides for the storage and maintenance of longitudinal data (including notes) and preparation of standard and ad hoc statistical tables.
 - f. Have the capacity to export all data elements, including agency identification numbers, respondents' names and contact information, and all substantive data variables directly into a variety of data formats (e.g., SAS datasets, SPSS system files, Excel, XML).
 - g. Be written using nonproprietary software and entirely implemented on a website that can be readily transferred to BJS or its designated data collection agent. It is important that the software selected and programming style used to develop the web collection tool allow for easy and rapid modification without the need for extensive testing to ensure reliability. The data collection tool must be able to readily adapt to changes in one or more of the data collection instruments. These include common changes such as the addition, deletion, or rearrangement of items; the insertion, deletion, and modification of notes to users that are closely associated with particular items; and the display of data from the previous year. The website should include all necessary software needed to implement the web-based data collection tool.

3. *Develop and implement efficient data collection mechanisms.* The current survey format for ASPP does not take advantage of information system capacities to share data using various formats, such as XLM or other exchange models. BJS is committed to adopting these methods (where appropriate) to reduce the burden on respondents and to facilitate the sharing of information among agencies.
4. *Develop, test, and implement a survey management system that will maintain the ASPP data and meta-data, and provide ongoing, real-time status of the current year's collection.*
 - a. Real-time tracking systems that allow for efficient allocation of follow-up efforts, imputation for missing data, and assessments of data quality.
 - b. Within the database, include current information about response modes, initial and final submission dates, follow-up response contacts, and other specific information that can be used to reduce the burden on respondents. Information should be accessible to the BJS project manager at all times.
 - c. As survey responses are received, complete the review, assessment, data entry, and edit check for each survey within 2 weeks of receiving the response. This should include a report that highlights major changes in responses to survey items that can be used during callbacks to document the reasons for changes in reporting. Within that period, address survey response issues such as clarifying discrepancies in responses, correcting data entry errors, and addressing item nonresponse. Use the database to provide BJS with data quality information, such as item nonresponse and other information to be determined in conjunction with the BJS project manager. Maintain electronic copies of notes from survey respondents that address issues related to their data submission.
 - d. Provide a real-time platform for BJS to generate and store ad hoc statistical tables and methodological notes using the full longitudinal database.
 - e. Via appropriate means (e.g., web-based downloads, FTP), provide BJS with ongoing ability to download Excel data files containing survey responses and notes.
 - f. At the end of the collection, provide BJS with a final, analytic version of the dataset that includes reported and imputed data. Imputed or estimated items should be flagged and so denoted, and complete documentation of missing values should be provided.
5. *Ensure accurate respondent information and enhance the ASPP frame.*
 - a. Maintain an accurate and up-to-date contact list of the survey respondents by verifying and continually updating respondents' names, titles, addresses, and contact information, including telephone and fax numbers and email addresses.
 - b. Continually update the ASPP frame by documenting new, closed, and merged agencies. Develop a frame tracking system that will allow BJS to monitor these changes.
 - c. Use existing information on probation agencies and perform additional work to identify probation agencies that supervise misdemeanants only, and produce a roster of all adult supervising agencies.
6. *Improve the timeliness of submitting and delivering the ASPP data to BJS.* Minimize the lag time between the ASPP reference year and the release of data from the ASPP without compromising data quality.

- a. Prepare correspondence that will inform respondents about the launch of the ASPP collection and encourage them to provide data by expressing the importance of these data. Correspondence should start prior to launching the data collection and continue through data collection closeout.
 - b. Develop and implement strategies for data retrieval to maximize a timely and complete response while minimizing respondent burden. Provide follow-up as needed for respondents who need assistance, clarification, or encouragement to complete the survey. Develop and implement strategies for follow-up based on knowledge of response patterns, respondent behavior, and respondent preferences for follow-up while minimizing the burden on respondents associated with completing the data collection. Use cost-effective methods for follow-up contact.
7. *Enhance the quality and reliability of the ASPP data.* Balancing timeliness and the need for high-quality and reliable data is critical to the ASPP. Applicants should describe their approaches and recommendations for enhancing quality and reliability, including:
- a. Develop and implement strategies to minimize both unit and item nonresponse, with the objective of obtaining 100% participation by identified agencies, reducing burden on respondents, decreasing item nonresponse, and reducing the time to complete the collection.
 - b. Implement quality control methods to ensure internal consistencies in the data submitted. Such methods could include, but are not limited to—
 - i. Monitor notes provided by respondents suggesting that the current data may not be consistent with previously provided data.
 - ii. Create a program(s) to help identify large discrepancies in data by item from year to year and for 1-day differences between yearend and beginning-year population counts.
 - iii. Develop and implement reliable estimation/adjustment methods if data cannot be obtained or reconciled through data retrieval. Estimation/adjustment methods for missing data should include but not be limited to four critical items on both the probation and parole surveys: beginning-year population, total number of entries, total number of exits, and yearend population. BJS is interested in various approaches to imputation that explore methods for adjustments using internal and/or external sources. These methods will be applied to data from both the current year and previous years, and will be reevaluated annually.
8. *Prepare ASPP data files for delivery to BJS on an annual basis.* Per BJS specifications, the data collection and analysis agent will prepare annual state and respondent-level data files and all accompanying documentation, including—
- a. Respondent-level longitudinal dataset, one each for probation and parole, from 1994 through the most recent reference year, including only original submitted data with any revisions made by respondents during the follow-up period, which may include revisions for previous years.
 - b. State-level longitudinal dataset, one each for probation and parole, from 1994 through the most recent reference year, including only original submitted data with any revisions made by respondents during the follow-up period as well as revisions for previous years.

- c. Respondent-level longitudinal dataset, one each for probation and parole, from 1994 through the most recent reference year, including all original and estimated data (and flagged as such) using approved imputation methods.
- d. State-level longitudinal dataset, one each for probation and parole, from 1994 through the most recent reference year, including all original and estimated data (and flagged as such) using approved imputation methods.
- e. Comprehensive codebooks, one each for probation and parole, listing the data variables, variable labels, value labels, and missing value codes for 1994 through the most recent reference year. In addition, include frequencies, value ranges, means and medians, and rate of missing data for each variable.
- f. A blank electronic version of each data collection instrument for the most recent reference year
- g. Manual, electronic, or other data collection protocols for the most recent reference year.
- h. Respondent-level jurisdiction notes for the most recent reference year, one each for probation and parole, summarizing the respondents' notes, changes in reporting, and any other relevant information for users.
- i. State-level jurisdiction notes for the most recent reference year, one each for probation and parole, summarizing the respondents' notes, changes in reporting, and any other relevant information for users.

Based on BJS and NACJD staff review of the materials submitted for archiving the ASPP data, the data collection agent may need to provide additional datasets or documentation. Release or use of the data (including presentations and publications) prior to the release of the public use dataset is not allowed without BJS's written permission.

9. *Deliver a core set of state-level tables.* See *Probation and Parole in the United States, 2010* (<http://www.bjs.gov/index.cfm?ty=pbdetail&iid=2239>) for the set of appendix tables to be produced. Use replicable and flexible methods for generating the tables. Ensure that all tables meet BJS data quality guidelines.
10. *Continually strive to improve the data collection process.* Review and assess the ASPP collection activities and provide BJS a summary of the review annually. The review should also propose enhancements to the ASPP collection that address all aspects of the collection, including but not limited to the design of the survey content; methods to be used for administration, data collection, nonresponse adjustment, and for engaging stakeholder participation; and statistical reports to be developed from the collections.
11. *Conduct research and development for future community corrections data collections.* Propose strategies for the implementation of additional data collections with the goal of linking agency characteristics to the probation and parole populations and outcomes.
12. *Redesign the ASPP questionnaires.* Develop core ASPP questionnaires to be implemented by 2017 or sooner, if possible. Provide input on the design of these questionnaires, proposing ideas for a core set of data elements to be collected. These data elements will allow BJS to continue to report key statistics on the probation and parole populations that meet BJS's mission, are important to the community corrections field, and align with other BJS data collections that measure similar concepts. Develop and implement an approach to obtain respondent input on the redesign of the new core ASPP.

13. *Add to the body of literature on community corrections.* Propose ideas for and assist in preparing BJS reports based on the ASPP and other community corrections data collected under this solicitation. The BJS project manager will review all proposed topics; if a topic is selected, the report will be a collaborative effort between BJS staff and the data collection agent.

- a. Propose new ideas for the annual probation and parole report and help write the report, including but not limited to the methodology section and the parole and probation explanatory notes.
- b. Propose ideas for up to two technical reports on newly developed methodologies aimed at improving the overall design of the ASPP and the quality of the ASPP data, and/or statistical techniques that enhance the reliability of the data by correcting for a known data problem(s).
- c. Propose ideas for up to two reports using published ASPP data and potentially other published BJS community corrections data or external data sources.

14. *Obtain OMB clearance for administration of the ASPP collection.*

- a. Assist BJS in the preparation of the OMB clearance package for the 2017–2019 ASPP. Work will include background research on how external community corrections practitioners and researchers use the ASPP, analysis of ASPP data to produce tables necessary for inclusion in the OMB package, and documentation of changes proposed to the instrument.
- b. Assist BJS with an OMB modification application to the 2014–2016 ASPP approved collection for implementing the redesigned core ASPP questionnaires.

Applicants can review the current clearance for the ASPP collection at www.reginfo.gov/public/do/PRAViewCR?ref_nbr=200808-1121-003.

15. *Undertake ad hoc data analysis of the ASPP as requested by BJS.* BJS may request additional analyses of the ASPP data to better understand patterns of nonresponse and correlations of data elements within the surveys that could be used to improve data quality. The data collection and analysis agent should expect to conduct three of these short-turnaround (an average of 2 days) analyses per year.

16. *Foster strong working relationships with data providers and community corrections stakeholders.*

- a. Maintain strong working relationships with ASPP data providers and implement procedures that foster information sharing among providers. BJS expects the data collection and analysis agent to engage respondents at appropriate venues to discuss data collection issues and usability, and to use these forums to enhance participation in the collection.
- b. Participate with BJS in major conferences or meetings of a major association of probation and parole or corrections professionals to present on issues related to ASPP. Propose topics and roles that the applicant's staff will play during these events.

17. *Maintain good communication with the BJS program manager.* This should include participating in weekly telephone meetings to discuss progress and issues with project

activities, convening annual kick-off meetings at BJS, providing monthly written progress reports and monthly expenditures, that include a cost to complete financial worksheet, by task to the BJS program manager, and meeting all OJP reporting deadlines.

Deliverables for year 1 of the project include—

1. web-based survey
2. survey management system
3. correspondence with respondents
4. data retrieval protocol
5. estimation model for unit and item nonresponse
6. core state-level tables for the 2015 ASPP
7. analyst- and archive-ready data files and documentation.

Because funding is on a year-to-year basis with this award, deliverables for years 2 through 4 will be identified in each subsequent year of funding.

BJS seeks an applicant that encompasses a team of experts in which the survey director has a primary role and the methodologist or statistician and programmers are involved with project work from the beginning. These individuals should work together to successfully implement the ASPP data collection, improve data quality and imputation methods, improve data management, and enhance the utility of data collected. The applicant must demonstrate a strong commitment to the project goals and possess knowledge and understanding of:

- survey methodology to develop and implement procedures to expand community corrections data collections that meet project goals, streamline ASPP collection and processing efforts, identify and overcome challenges related to surveying community corrections agencies, propose ideas for methodological reports, and assist in the development of those reports
- statistics to enhance the reliability of the estimates produced, develop sampling designs to produce national and subnational estimates for future collection efforts, propose ideas for technical reports, and assist in the development of those reports
- community corrections to enhance the utility of the data produced, including identifying additional information gaps or emerging issues that need to be addressed, and to propose ideas for additional statistical products using community corrections data collected as well as external data sources, and assist in the development of the reports.

The team will be expected to work collaboratively with BJS in setting priorities to better achieve the project goals.

Entities submitting proposals in response to this solicitation should describe the approaches and methods they would adopt to work with BJS in meeting these goals. BJS welcomes innovative ideas and recommendations for developmental work to improve the overall design of the ASPP and achieve the additional goals of expanding our community corrections statistics. Entities should also integrate the description of these activities into their discussion of the proposed efforts to address the objectives for this project.

In addition to required datasets, a draft and final summary overview of research results, and interim and final progress and financial reports,¹ BJS may expect scholarly products to result from an award under this solicitation, taking the form of one or more published, peer-reviewed, scientific journal articles, and/or (if appropriate) law review journal articles, book chapter(s) or book(s) in the academic press, technological prototypes, or similar scientific products.

B. Federal Award Information

This is a 4-year project with annually obligated funding conditional upon satisfactory performance and funding availability.

BJS anticipates that it will make one award for this 4-year period. The award for the initial 12-month project period will be up to \$500,000. **Applicants should submit two budgets in support of this solicitation: a 1-year budget for the initial 12-month project period (not to exceed \$500,000) and a 4-year budget to cover the entire project period (not to exceed \$2 million).**

To allow time for, among other things, any necessary post-award review, modification, and clearance by OJP of the proposed budget, applicants should propose an award start date of October 1, 2015.

If the applicant is proposing a project that reasonably could be conducted in discrete phases, with each phase resulting in completion of one or more significant, defined milestones, then BJS strongly recommends that the applicant structure the application—specifically including the narrative, expected scholarly products, timelines/milestones, and budget detail worksheet and budget narrative—to clearly set out each phase. (This is particularly the case if the applicant proposes a project that will exceed—in cost or length of project period—the amount or length anticipated for an individual award (or awards) under this solicitation.) Given limitations on the availability to BJS of funds for its statistical mission, this information will assist BJS in considering whether partial funding of applications that would not receive full funding would be productive. (If BJS elects to fund only certain phases of a proposed project in FY 2015, the expected scholarly products from the partial-funding award may, in some cases, vary from those previously described.)

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

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

¹ See "Federal Award Administration" ("General Information About Post-Federal Award Reporting Requirements") section of this solicitation, below, for additional information.

Type of Award²

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](#), for details regarding the federal involvement anticipated under an award from this solicitation.

As discussed [later in the solicitation](#), important rules (including limitations) apply to any conference/meeting/training costs under cooperative agreements.

Please note: Any recipient of an award under this solicitation will be required to comply with Department of Justice regulations on confidentiality and human subjects' protection. See "Evidence, Research, and Evaluation Guidance and Requirements" under "Solicitation Requirements" in the [OJP Funding Resource Center](#).

Financial Management and System of Internal Controls

If selected for funding, the award recipient must—

(a) Establish and maintain effective internal control over the federal award that provides reasonable assurance that the non-federal entity is managing the federal award in compliance with federal statutes, regulations, and the terms and conditions of the federal award. These internal controls should be in compliance with guidance in "Standards for Internal Control in the Federal Government" issued by the Comptroller General of the United States and the "Internal Control Integrated Framework," issued by the Committee of Sponsoring Organizations of the Treadway Commission (COSO).

(b) Comply with federal statutes, regulations, and the terms and conditions of the federal awards.

(c) Evaluate and monitor the non-federal entity's compliance with statute, regulations, and the terms and conditions of federal awards.

(d) Take prompt action when instances of noncompliance are identified including noncompliance identified in audit findings.

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

² 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)).

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

Budget Information

What will not be funded:

- Proposals primarily to purchase equipment, materials, or supplies. (A budget may include these items if they are necessary to conduct data collection, research, development, demonstration, evaluation, or analysis.)
- Proposals that are not responsive to this specific solicitation.

Cost Sharing or Match Requirement

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

Pre-Agreement Cost Approvals

OJP does not typically approve pre-agreement costs; an applicant must request and obtain the prior written approval of OJP for all such costs. If approved, pre-agreement costs could be paid from grant funds consistent with a grantee's approved budget, and under applicable cost standards. However, all such costs prior to award and prior to approval of the costs are incurred at the sole risk of an applicant. Generally, no applicant should incur project costs *before* submitting an application requesting federal funding for those costs. Should there be extenuating circumstances that appear to be appropriate for OJP's consideration as pre-agreement costs, the applicant should contact the point of contact listed on the title page of this announcement for details on the requirements for submitting a written request for approval. See the section on Costs Requiring Prior Approval in the [Financial Guide](#), for more information.

Limitation on Use of Award Funds for Employee Compensation; Waiver

With respect to any award of more than \$250,000 made under this solicitation, recipients may not use federal funds to pay total cash compensation (salary plus cash bonuses) to any employee of the award recipient at a rate that exceeds 110% of the maximum annual salary payable to a member of the Federal Government's Senior Executive Service (SES) at an agency with a Certified SES Performance Appraisal System for that year.³ The 2015 salary table for SES employees is available at the Office of Personnel Management [website](#). Note: A recipient may compensate an employee at a greater rate, provided the amount in excess of this compensation limitation is paid with non-federal funds. (Any such additional compensation will not be considered matching funds where match requirements apply.)

The director of BJS may exercise discretion to waive, on an individual basis, the limitation on compensation rates allowable under an award. An applicant requesting a waiver should include a detailed justification in the budget narrative of the application. Unless the applicant submits a waiver request and justification with the application, the applicant should anticipate that OJP will request the applicant to adjust and resubmit the budget.

³ This limitation on use of award funds does not apply to the non-profit organizations specifically named at Appendix VIII to 2 C.F.R. part 200.

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

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

OJP strongly encourages applicants that propose to use award funds for any conference-, meeting-, or training-related activity to review carefully – before submitting an application – the OJP policy and guidance on “conference” approval, planning, and reporting available at www.ojp.gov/funding/confcost.htm. OJP policy and guidance (1) encourage minimization of conference, meeting, and training costs; (2) require prior written approval (which may affect project timelines) of most such costs for cooperative agreement recipients and of some such costs for grant recipients; and (3) set cost limits, including a general prohibition of all food and beverage costs.

Costs Associated with Language Assistance (if applicable)

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

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

C. Eligibility Information

Eligibility

For additional eligibility information, see Title page.

Cost Sharing or Match Requirement

For additional information on cost sharing and match requirement, see Section [B. Federal Award Information](#).

Limit on Number of Application Submissions

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

D. Application and Submission Information

What an Application Should Include

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

Moreover, applicants should anticipate that applications determined to be nonresponsive to the scope of the solicitation, or that do not include the application elements that BJS has designated to be critical, will neither proceed to peer review nor receive further consideration. Under this solicitation, BJS has designated the following application elements as critical: Program Narrative, Budget Detail Worksheet, Budget Narrative, and resumes/curriculum vitae of key personnel. For purposes of this solicitation, “key personnel” means the principal investigator, and any and all co-principal investigators. Please review the “Note on File Names and File Types” under [How to Apply](#) to be sure applications are submitted in permitted formats.

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

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

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

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

2. Project Abstract

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

Applications should include a high-quality project abstract that summarizes the proposed project in 250-400 words. Project abstracts should be—

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

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

3. Program Narrative

The program narrative section of the application should not exceed 40 double-spaced pages in 12-point font with 1-inch margins. If included in the main body of the program narrative, tables, charts, figures, and other illustrations count toward the 40-page limit for the narrative section. The project abstract, table of contents, appendices, and government forms do not count toward the 40-page limit.

If the program narrative fails to comply with these length-related restrictions, BJS may consider such noncompliance in peer review and in final award decisions.

The following sections should be included as part of the program narrative.⁴

Program Narrative Guidelines:

a. Title Page (not counted against the 40-page program narrative limit).

The title page should include the title of the project, submission date, funding opportunity number, and the name and complete contact information (that is, address, telephone number, and email address) for both the applicant organization and the principal investigator.

b. Resubmit Response (if applicable) (not counted against the 40-page program narrative limit).

If an applicant is resubmitting a proposal presented previously to BJS, but not funded, the applicant should indicate this. A statement should be provided, no more than two pages, addressing: (1) the title, submission date, and BJS-assigned application number of the previous proposal, and (2) a brief summary of revisions to the proposal, including responses to previous feedback received from BJS.

c. Table of Contents and Figures (not counted against the 40-page program narrative limit).

d. Main Body

The main body of the program narrative should describe the proposed project in depth. The narrative should provide a detailed timeline and budget for project activities and should demonstrate the applicant's knowledge of survey methodology and capabilities to handle a national collection of criminal justice data.

The following sections should be included as part of the program narrative:

- Statement of the Problem.
- Project Design and Implementation.
- Potential Impact.
- Capabilities/Competencies.

⁴ As noted earlier, if the proposed program or project reasonably could be conducted in discrete phases, with each phase resulting in completion of one or more significant, defined milestones, then BJS strongly recommends that the applicant structure the application – specifically including the narrative, expected scholarly products, timelines/milestones, and budget detail worksheet and budget narrative – to set out each phase clearly. (In appropriate cases, the expected scholarly product(s) from a particular phase may vary from those described above.) See generally, “Goals, Objectives, Deliverables, and Expected Scholarly Products” under “Program-Specific Information,” above.

Within these sections, the narrative should address:

- Purpose, goals, and objectives.
- Review of relevant literature.
- Detailed description of research design and methods, such as research questions, hypotheses, description of sample, and analysis plan.
- Planned Scholarly Products (See [Goals, Objectives, Deliverables, and Expected Scholarly Products](#) under [Program-Specific Information](#), above, for a discussion of expected scholarly products.)
- Implications for criminal justice policy and practice in the United States.
- Management plan and organization.
- Plan for Dissemination to Broader Audiences (if applicable to the proposed project). Applicants should identify plans (if any) to produce or to make available to broader interested audiences – such as criminal/juvenile justice practitioners or policymakers – summary information from the planned scholarly products of the proposed project (such as summaries of articles in peer-reviewed scientific journals), in a form designed to be readily accessible and useful to those audiences. (Such dissemination might include, for example, trade press articles and webinars.)

All BJS-funded research requires development of a data management plan (DMP) that guides data management activities throughout the agreement and ensures the timely release of the project's data and derived products after project completion. Applications must include a preliminary (two-page limit) data management plan that explains how data products will be developed, documented, formatted, and delivered to BJS in a manner that ensures optimal utility. Following funding of a proposal, the applicant will coordinate with an identified BJS data steward to develop a comprehensive data management plan that will be periodically reviewed and enhanced as the project evolves. Although data management plans will differ according to the specific requirements of each project, the DMP is expected to address the following, at a minimum:

- The roles, rights, and responsibilities of all project participants
- Expected data and metadata
- Data formats, organization, and dissemination approach
- Data retention and release timelines
- Data security, confidentiality protection, and other policy requirements
- Data archiving and preservation of access

At project completion, all data and complete metadata descriptions must be provided to the BJS data steward. In addition, BJS requires the recipients of an award under this solicitation to submit to the NACJD at the University of Michigan

(through BJS), all datasets that result in whole or in part from the work funded by BJS, along with associated files and any documentation necessary to allow others to reproduce the project’s findings and/or to extend the scientific value of the dataset through secondary analysis. All datasets and necessary documentation are to be submitted 90 days prior to the end of the project period. For more information, see the “Program Narrative” section of “What an Application Should Include.” For information BJS has previously agreed would not be made publicly available for a period of time or that is undergoing review, data will be placed in a secure area until the period of exclusivity or review period has expired.

e. Performance Measures

To assist the Department with fulfilling its responsibilities under the Government Performance and Results Act of 1993 (GPRA), Public Law 103-62, and the GPRA Modernization Act of 2010, Public Law 111-352, applicants that receive funding under this solicitation must provide data that measure the results of their work done under this solicitation. OJP will require any award recipient, post award, to provide the data requested in the “Data Grantee Provides” column so that OJP can calculate values for the “Performance Measures” column. (Submission of performance measures data is not required for the application.) Performance measures for this solicitation are as follows:

| Objective | Performance Measure(s) | Data Grantee Provides |
|--|---|--|
| Administer the Annual Surveys on Probation and Parole, while collecting and maintaining timely, complete and accurate ASPP data. | Number of scheduled data collection series and special analysis to be conducted . | Completion of the annual ASPP. |
| | Number of completed data collection on time. | |
| | Achieve a X% survey response rate. | Number of agencies that responded to the survey. |
| | | Number of agencies submitting data in a timely manner. |
| | Percent of records in the database that are complete and accurate. | |

| | | |
|---|---|---|
| Disseminate ASPP data to external researchers to expand community corrections body of literature and inform stakeholders using ASPP and other corrections data. | Number of published reports using ASPP and other community corrections data. | Number of presentations at professional or academic conferences. Proposals, drafts of papers, and final articles or presentations. |
| | Number of times BJS data are used or reference in academic journals, publications, and mass media outlets. | Number of published papers using ASPP data (both BJS and external publications). |
| Provide statistical support to BJS to strengthen research and data collection activities, including enhancing ASPP. | <p>Percentage of deliverables (including final reports and data files) that are completed on time.</p> <p>Percentage of deliverables (including final reports and data files) that meet BJS's expectations for depth, breadth, scope, quality of study, and pertinence.</p> | <p>Project plans, quarterly financial reports, monthly and semi-annual progress reports, and survey nonresponse progress reports; core state-level tables, original submitted data, analyst-ready data files, archive ready data files, and archive documents and notes files.</p> <p>Breadth and depth of the report and the quality of the recommendations for improving the ASPP collection.</p> <p>Number of data files that meet reporting standards and are delivered on schedule to BJS each year.</p> <p>All applicable deliverables, as outlined in Goals, Objectives, Expected Scholarly Products section, including final reports and grantee statistical documents authored/co-authored with BJS.</p> |

f. **Appendices** (not counted against the 40-page program narrative limit) include:

- Bibliography/references.

- Any tools/instruments, questionnaires, tables/charts/graphs, or maps pertaining to the proposed project that are supplemental to such items included in the main body of the narrative.
- Curriculum vitae or resumes of the principal investigator and any and all co-principal investigators. In addition, curriculum vitae, resumes, or biographical sketches of all other individuals (regardless of “investigator” status) who will be significantly involved in substantive aspects of the proposal (including, for example, individuals such as statisticians serving as consultants to conduct proposed data analysis).
- List (to the extent known) of all proposed project staff members, including those affiliated with the applicant organization or any proposed subrecipient organization(s), any proposed consultant(s) and contractors (whether individuals or organizations), and any proposed members of an advisory board for the project (if applicable). The list should include, for each individual and organization: name, title (if applicable), employer or other organizational affiliation, and roles and responsibilities proposed for the project.
- Proposed project timeline and expected milestones.
- A privacy certificate and human subjects protection certification of compliance must be completed for each project proposed in an application.
 - **Privacy Certification.** The Privacy Certificate is a funding recipient’s certification of compliance with federal regulations requiring confidentiality of information identifiable to a private person that is collected, analyzed, or otherwise used in connection with an OJP-funded research or statistical activity. The funding recipient’s Privacy Certificate includes a description of its policies and procedures to be followed to protect identifiable data. A model certificate is located at www.bjs.gov/content/pub/pdf/bjsmpc.pdf.
 - **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). (See “Goals, Objectives, Deliverables, and Expected Scholarly Products” under “Program-Specific Information,” above, for definition of “scholarly products.”)
- Letters of cooperation/support or administrative agreements from organizations collaborating in the project, such as law enforcement and correctional agencies (if applicable).

- List of other agencies, organizations, or funding sources to which this proposal has been submitted (if applicable).
- Data archiving plan. Applicants should anticipate that BJS will require (through special award conditions, including a partial withholding of award funds) that datasets resulting in whole or in part from projects funded under this solicitation be submitted to BJS for archiving with the NACJD.

Applications should include as an appendix a brief plan – labeled “Data Archiving Plan” – to comply with data archiving requirements. The plan should provide brief details about proposed data management and archiving, including submission to BJS (through NACJD) of **all files and documentation** necessary to allow for future efforts by others to reproduce the project’s findings and/or to extend the scientific value of the dataset through secondary analysis. Pertinent files and documentation include, among other things, qualitative and quantitative data produced, instrumentation and data collection forms, codebook(s), any specialized programming code necessary to reproduce all constructed measures and the original data analysis, description of necessary de-identification procedures, and (when required) a copy of the privacy certificate and informed consent protocols.

The plan should be one or two pages in length and include the level of effort associated with meeting archiving requirements.

Note that required datasets are to be submitted 90 days before the end of the project period.

4. **Budget Detail Worksheet and Budget Narrative**

Please note that applicants should submit **two budgets** in support of this solicitation: a 1-year budget to cover the initial 12 months of work and a separate 4-year budget to cover multiyear efforts described in the proposal. **Each budget should include a detail worksheet and budget narrative.**

a. **Budget Detail Worksheet**

A sample Budget Detail Worksheet can be found at www.ojp.gov/funding/Apply/Resources/BudgetDetailWorksheet.pdf. Applicants that submit their budget in a different format should include the budget categories listed in the sample budget worksheet. (Work associated with satisfying data archiving requirements should be reflected.) BJS expects applicants to provide a thorough narrative to each section of the Budget Detail Worksheet.

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

b. **Budget Narrative**

The budget narrative should thoroughly and clearly describe every category of expense listed in the Budget Detail Worksheet. OJP expects proposed budgets to be complete, cost effective, and allowable (e.g., reasonable, allocable, and necessary for project activities).

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

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

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

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

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

d. Pre-Agreement Cost Approvals

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

5. Indirect Cost Rate Agreement (if applicable)

Indirect costs are allowed only if the applicant has a current federally approved indirect cost rate. (This requirement does not apply to units of local government.) Attach a copy of the federally approved indirect cost rate agreement to the application. Applicants that do not have an approved rate may request one through their cognizant federal agency, which will review all documentation and approve a rate for the applicant organization, or, if the applicant's accounting system permits, costs may be allocated in the direct cost categories. For the definition of Cognizant Federal Agency, see the "Glossary of Terms" in the [OJP Financial Guide](#). For assistance with identifying your cognizant agency, please contact the Customer Service Center at 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 www.ojp.gov/funding/Apply/Resources/IndirectCosts.pdf.

6. Tribal Authorizing Resolution (if applicable)

Tribes, tribal organizations, or third parties proposing to provide direct services or assistance to residents on tribal lands should include in their applications a resolution, a letter, affidavit, or other documentation, as appropriate, that certifies that the applicant has the legal authority from the tribe(s) to implement the proposed project on tribal lands. In those instances when an organization or consortium of tribes applies for a grant on behalf of a tribe or multiple specific tribes, the application should include appropriate legal documentation, as described above, from all tribes that would receive services or assistance

under the grant. A consortium of tribes for which existing consortium bylaws allow action without support from all tribes in the consortium (i.e., without an authorizing resolution or comparable legal documentation from each tribal governing body) may submit, instead, a copy of its consortium bylaws with the application.

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. Unlike the Excluded Parties List, this high risk information does not disqualify any organization from receiving an OJP award. However, additional grant oversight may be included, if necessary, in award documentation.

8. Additional Attachments

a. Applicant disclosure of pending applications⁵

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.

⁵ Typically, the applicant is not the principal investigator; rather, the applicant, most frequently, is the institution, organization, or company in which the principal investigator is employed.

| Federal or State Funding Agency | Solicitation Name/Project Name | Name/Phone/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 and Mental Health Services Administration | Drug Free Communities Mentoring Program/ North County Youth Mentoring Program | John Doe, 202/000-0000; john.doe@hhs.gov |

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

b. Research and Evaluation Independence and Integrity

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

- i. For purposes of this solicitation, applicants must document research and evaluation independence and integrity by including, at a minimum, one of the following two items:
 - a. A specific assurance that the applicant has reviewed its proposal to identify any research integrity issues (including all principal investigators and subrecipients) and it has concluded that the design, conduct, or reporting of data collected, research, and evaluation funded by BJS grants, cooperative agreements, or contracts will not be biased by any personal or financial conflict of interest on the part of 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 [2 CFR 200.205](#), federal agencies must have in place a framework for evaluating the risks posed by applicants before they receive a federal award. To facilitate part of this risk evaluation, **all** applicants (other than an individual) are to download, complete, and submit this [form](#).

10. Disclosure of Lobbying Activities

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

How to Apply

Applicants must register in, and submit applications through Grants.gov, a “one-stop storefront” to find federal funding opportunities and apply for funding. Find complete instructions on how to register and submit an application at www.Grants.gov. 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.

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

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

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

All applicants are required to complete the following steps:

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

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

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

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

- 3. Acquire an Authorized Organization Representative (AOR) and a Grants.gov username and password.** Complete the AOR profile on Grants.gov and create a username and password. The applicant organization’s DUNS number must be used to complete this step. For more information about the registration process, go to www.grants.gov/web/grants/register.html.
- 4. Acquire confirmation for the AOR from the E-Business Point of Contact (E-Biz POC).** The E-Biz POC at the applicant organization must log into Grants.gov to confirm the applicant organization’s AOR. Note that an organization can have more than one AOR.

5. **Search for the funding opportunity on Grants.gov.** Use the following identifying information when searching for the funding opportunity on Grants.gov. The Catalog of Federal Domestic Assistance number for this solicitation is 16.734, titled “Special Data Collections and Statistical Studies” and the funding opportunity number is BJS-2015-4155.
6. **Submit a valid application consistent with this solicitation by following the directions in Grants.gov.** Within 24–48 hours after submitting the electronic application, the applicant should receive two notifications from Grants.gov. The first will confirm the receipt of the application and the second will state whether the application has been successfully validated, or rejected due to errors, with an explanation. It is possible to first receive a message indicating that the application is received and then receive a rejection notice a few minutes or hours later. Submitting well ahead of the deadline provides time to correct the problem(s) that caused the rejection. **Important:** OJP urges applicants to submit applications **at least 72 hours prior** to the application due date to allow time to receive validation messages or rejection notifications from Grants.gov, and to correct in a timely fashion any problems that may have caused a rejection notification.

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

Note: Duplicate Applications

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

Experiencing Unforeseen Grants.gov Technical Issues

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

The following conditions are generally insufficient to justify late submissions:

- Failure to register in SAM or Grants.gov in sufficient time.
- Failure to follow Grants.gov instructions on how to register and apply as posted on its website.
- Failure to follow each instruction in the OJP solicitation.
- Technical issues with the applicant’s computer or information technology environment, including firewalls.

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

E. Application Review Information

Selection Criteria

Applications that meet basic minimum requirements will be evaluated by peer reviewers using the following review criteria.

Statement of the Problem (Understanding of the problem and its importance) – 10%

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

Project Design and Implementation (Quality and technical merit) – 40%

1. Soundness of methods and analytic and technical approach to addressing the stated aim(s) of the proposed project.
2. Feasibility of proposed project.
3. Awareness of potential pitfalls of proposed project design and feasibility of proposed actions to minimize and/or mitigate them.

Potential Impact – 10%

Potential for a significant scientific or technical advance(s) that will improve criminal/juvenile justice in the United States, such as—

- Potential for significantly improved understanding of the stated criminal/juvenile justice problem.
- Potential for innovative solution to address (all or a significant part of) the stated criminal/juvenile justice problem.

Capabilities/Competencies (Capabilities, demonstrated productivity, and experience of the applicant organization and proposed project staff) – 30%

1. Qualifications and experience of proposed project staff (that is, the principal investigator, any and all co-principal investigators, and all other individuals (and organizations) identified in the application (regardless of “investigator” status) who will be significantly involved in substantive aspects of the proposal).
2. Demonstrated ability of the applicant organization to manage the effort.
3. Relationship between the capabilities/competencies of the proposed project staff (including the applicant organization) and the scope of the proposed project.

Budget – 10%

Peer reviewers will consider and may comment on the following additional items in the context of scientific and technical merit.

1. Total cost of the project relative to the perceived benefit (cost effectiveness).
2. Appropriateness of the budget relative to the level of effort.
3. Use of existing resources to conserve costs.
4. Proposed budget alignment with proposed project activities.

Plan for Dissemination to Broader Audiences (if applicable to the proposed project)

Peer reviewers may comment – in the context of scientific and technical merit – on the proposed plan (if any) to produce or to make available to broader interested audiences, such as criminal/juvenile justice practitioners or policymakers, summary information from the planned scholarly products of the project.

Review Process

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

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

- Applications must be submitted by an eligible type of applicant.
- Applications must request funding within programmatic funding constraints (if applicable).
- Applications must be responsive to the scope of the solicitation.
- Applications must include all items designated as “critical elements.”
- Applicants will be checked against the General Services Administration’s Excluded Parties List.

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

BJS may use internal peer reviewers, external peer reviewers, or a combination, to assess applications meeting basic minimum requirements on technical merit using the solicitation’s selection criteria. An external peer reviewer is an expert in the subject matter of a given solicitation who is not a current DOJ employee. An internal reviewer is a current DOJ employee who is well-versed or has expertise in the subject matter of this solicitation. A peer review panel will evaluate, score, and rate applications that meet basic minimum requirements.

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

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

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

F. Federal Award Administration Information

Federal Award Notices

OJP award notification will be sent from GMS. Recipients will be required to login; accept any outstanding assurances and certifications on the award; designate a financial point of contact; and review, sign, and accept the award. The award acceptance process involves physical signature of the award document by the authorized representative and the scanning of the fully-executed award document to OJP.

Administrative, National Policy, and other Legal Requirements

If selected for funding, in addition to implementing the funded project consistent with the agency-approved project proposal and budget, the recipient must comply with award terms and conditions, and other legal requirements, that are included in the award, incorporated into the award by reference, or are otherwise applicable to the award. OJP strongly encourages prospective applicants to review the information pertaining to these requirements **prior** to submitting an application. To assist applicants and recipients in accessing and reviewing this information, OJP has placed it on its [Solicitation Requirements](#) page of the [OJP Funding Resource Center](#).

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

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

- [Standard Assurances](#)

Upon grant approval, OJP electronically transmits (via GMS) the award document to the prospective award recipient. In addition to other award information, the award document contains award terms and conditions that specify national policy requirements⁶ with which recipients of federal funding must comply; uniform administrative requirements, cost principles, and audit requirements; and program-specific terms and conditions required based on applicable program (statutory) authority or requirements set forth in OJP solicitations and program announcements. For example, certain efforts may call for special requirements, terms, or conditions relating to intellectual property, data/information-sharing or -access, or information security; or audit requirements, expenditures and milestones, or publications and/or press releases.

OJP also may place additional terms and conditions on an award based on its risk assessment of the applicant, or for other reasons it determines necessary to fulfill the goals and objectives of the program.

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

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

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

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

- First, the project will be funded as a cooperative agreement. The basis for using a cooperative agreement is BJS's substantial involvement in providing information, guidance, and direction relative to special data collections and the development of statistical studies. BJS will exercise general approval over the entire project subject to the recipient's rights to disclose and publish certain information after review and comment by BJS, as set forth in this solicitation.

⁶ 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)).

- Second, the award recipient will agree that no funds provided may be used to author or prepare reports, journal articles, speeches or studies, or other publications without the prior written approval of BJS, regardless of whether the data used in the publications or other releases are publicly available.
- Third, BJS will retain all rights to exclusive use of the data until BJS releases the public use dataset, which will be available to the public via the Internet and at the NACJD at the University of Michigan. The award recipient will not be able to release or disclose any data collected through this cooperative agreement without prior written BJS approval or until the dataset has been released to the public. This includes, but is not limited to, presentations at professional conferences and meetings, press releases, and/or grant applications. BJS-protected data include all data collected by BJS for which BJS has not yet made a public release of the data, but does not include aggregate results derived from the data by the recipient provided that such results do not contain any confidential, proprietary, or personally identifiable information.
- Fourth, the award recipient will retain nonexclusive use of any methodological findings derived by the recipient or BJS from the project subject to the following condition: Only with the prior review and written comment by BJS, which includes the mutual agreement on the representation of BJS's methodologies, may the recipient publicly disclose its or BJS's methodologies derived from the project prior to the release of the dataset. Such review and comment period shall not exceed 45 days of receipt of the proposed publication. Any such disclosures of recipient's or BJS's methodologies must be public in nature and contribute meaningfully to the development and/or advancement of social science research. Public disclosure may include, but is not limited to, presentations at professional conferences and meetings, articles appearing in widely distributed publications, and Internet postings or similar outlets that constitute a broad public release of the methodological information.

General Information About Post-Federal Award Reporting Requirements

Recipients must submit quarterly financial reports, semi-annual progress reports, a final progress report, and, if applicable, an annual audit report in accordance with 2 CFR Part 200. Applicants should anticipate that progress reports will be required to follow the non-budgetary components of the Research Performance Progress Report (RPPR) template/format. General information on RPPRs may be found at www.nsf.gov/bfa/dias/policy/rppr/. Future awards and fund drawdowns may be withheld if reports are delinquent.

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

As indicated earlier in this solicitation, BJS recognizes that scholarly products may result from an award under this solicitation. Applicants should review the [Goals, Objectives, Deliverables, and Expected Scholarly Products](#) segment of the "Program-Specific Information" section of this solicitation, as well as the "Performance Measures" section.

In addition to any specific expectation of scholarly products, successful applicants under this solicitation will be required to submit the following deliverables regarding the work funded by the BJS award.

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

The overview is expected to provide an overall summary of the work under, and results of, the project funded by BJS under this solicitation. Among other things, the summary overview should address the purpose of the project, project subjects (if applicable), project design and methods, data analysis, project findings, and implications for criminal justice policy and practice in the United States.

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

Required Datasets and Associated Files and Documentation

As discussed earlier, BJS requires recipients of an award under this solicitation to submit to NACJD all datasets that result in whole or in part from the work funded by BJS, along with the final Data Management Plan, associated files, and any documentation necessary to allow for future efforts by others to reproduce the project's findings and/or to extend the scientific value of the dataset through secondary analysis. All datasets and necessary documentation are to be submitted 90 days prior to the end of the project period. For more information, see the "Program Narrative" section of [What an Application Should Include](#).

G. Federal Awarding Agency Contact(s)

For additional Federal Awarding Agency Contact(s), see the Title page.

For additional contact information for Grants.gov, see the Title page.

H. Other Information

Provide Feedback to OJP

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

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

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

Application Checklist

Annual Surveys of Probation and Parole, 2015–2018

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 30)

_____ Acquire or renew registration with SAM (see page 30)

To Register with Grants.gov:

_____ Acquire AOR and Grants.gov username/password (see page 30)

_____ Acquire AOR confirmation from the E-Biz POC (see page 30)

To Find Funding Opportunity:

_____ Search for the funding opportunity on Grants.gov (see page 31)

_____ Download Funding Opportunity and Application Package (see page 31)

_____ Sign up for Grants.gov [email](#) notifications (optional) (see page 30)

_____ Read [Important Notice: Applying for Grants in Grants.gov](#)

After application submission, receive Grants.gov email notifications that:

_____ (1) application has been received

_____ (2) application has either been successfully validated or rejected with errors
(see page 31)

If no Grants.gov receipt, and validation or error notifications are received:

_____ contact BJS regarding experiencing technical difficulties

(see page 31)

General Requirements:

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

What an Application Should Include:

_____ Application for Federal Assistance (SF-424) (see page 18)

_____ Project Abstract (see page 18)

_____ Program Narrative (see page 18)

_____ Appendices (see page 22)

_____ Budget Detail Worksheet (see page 24)

_____ Budget Narrative (see page 24)

_____ Employee Compensation Waiver request and justification (if applicable) (see page 16)

_____ Read OJP policy and guidance on “conference” approval, planning, and reporting available at www.ojp.gov/funding/confcost.htm

(see page 17)

_____ Disclosure of Lobbying Activities (SF-LLL) (see page 29)

_____ Indirect Cost Rate Agreement (if applicable) (see page 25)

_____ Tribal Authorizing Resolution (if applicable) (see page 25)

_____ Applicant Disclosure of High Risk Status (see page 26)

- _____ Additional Attachments
- _____ Applicant Disclosure of Pending Applications (see page 26)
- _____ Research and Evaluation Independence and Integrity (see page 27)
- _____ Financial Management and System of Internal Controls Questionnaire (if applicable)
(see page 29)