

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



The [U.S. Department of Justice](#) (DOJ), [Office of Justice Programs](#) (OJP), [Bureau of Justice Statistics](#) (BJS) is seeking applications to administer the Federal Justice Statistics Program (FJSP) to collect, standardize, link, analyze, and disseminate comprehensive federal justice transaction statistics. This program furthers the Department's mission by working in partnership with federal justice agencies and sharing state-of-the-art knowledge and information. The FJSP supports innovative strategies and approaches needed to address the most pressing problems facing the federal criminal justice system.

FY 2016 Continuation of the Federal Justice Statistics Program

Applications Due: June 6, 2016

Eligibility

Eligible applicants are for-profit (commercial) organizations, nonprofit organizations (including tribal nonprofit or for-profit organizations), faith-based and community organizations, and institutions of higher education (including tribal institutions of higher education).

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

Deadline

Applicants must register with [Grants.gov](#) prior to submitting an application. All applications are due to be submitted and in receipt of a successful validation message in Grants.gov by 11:59 p.m. eastern time on June 6, 2016.

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

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

Contact Information

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

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

For assistance with any other requirements of this solicitation, contact Mark Motivans, BJS Statistician, by telephone at 202-307-0765 or by email at askbjs@usdoj.gov. Include "FJSP16" in the subject line.

Grants.gov number assigned to this announcement: BJS-2016-9580

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FY 2016 Continuation of the Federal Justice Statistics Program (CFDA # 16.734)

A. Program Description

Overview

The Bureau of Justice Statistics (BJS) is announcing a public solicitation for the continuation of the Federal Justice Statistics Program (FJSP). The FJSP is managed by BJS and serves as the national clearinghouse of administrative federal criminal case processing data.¹ Under this program, administrative data are received from six federal justice agencies each year and are standardized, maintained, linked, analyzed, and archived by the contractor (currently under Award #2013-MU-CX-K057).² The FJSP produces annual, cross-sectional data files (standard analysis files or SAFs) that represent the stages from arrest and prosecution through pretrial release, adjudication, sentencing, appeals, and corrections. The improved availability of identifiers in federal data sources allows for the systematic linking of case information across justice agencies for statistical reporting. The dyad link files are a FJSP resource that enables analysis of linked cross-sectional cohorts of suspects and defendants as their matters or cases move through the federal criminal justice system.³

The FJSP is a resource for studying a variety of topics in the federal criminal justice system. Statistics generated from the FJSP help inform and shape federal criminal justice policy, reflect the performance of federal justice agencies, and inform debates about federal criminal justice policy and budget allocation decisions. Tasks under this award will include receiving 2016 to 2020 datasets from six federal agencies, converting data into SAF format using SAS statistical software code, ensuring data quality and confidentiality standards, and updating the dyad link files to include all available data. The recipient will provide technical assistance to BJS and others who use FJSP data and will update and expand the BJS federal online query tool. The recipient will also prepare and submit public-use data files and codebooks to the National Archive of Criminal Justice Data (NACJD). For each year of the project, and with BJS's approval, the recipient of funds will produce two special reports on issues of timely substantive importance and a working paper on a methodological topic to improve the statistical

¹ Administrative data consists of information collected in the course of conducting official agency functions (i.e., it is not collected for research purposes). The clearinghouse currently contains data files from 1994 to 2013.

² The six agencies are the U.S. Marshals Service, Drug Enforcement Administration, Executive Office for U.S. Attorneys, Administrative Office of the U.S. Courts, Federal Bureau of Prisons, and United States Sentencing Commission. Standards are applied to each agency's data to increase comparability between agencies. These include a common unit of analysis (person-case), an equivalent time for reporting of events (fiscal year), and a common offense classification.

³ BJS is investigating a relatively new approach that links records at two complementary units of analysis. In the proposed Offender-Based Transaction Statistics (OBTS) structure, records are planned to be organized into person- and case- level files and merged together to reflect the entirety of an offender's experience in the federal criminal justice system. The OBTS approach is under development and public documentation is not currently available.

measurement of the federal response to crime.⁴ The successful applicant will receive all relevant data, computer code, and documentation developed to date by the FJSP to create the SAFs, dyad link files, the BJS online query tool, and files submitted to NACJD.

Program-Specific Information

The FJSP responds directly to the legislative authorization that BJS “collect, analyze, and disseminate comprehensive federal justice transaction statistics ... and to provide technical assistance to and work jointly with other federal agencies to improve the availability and quality of federal justice data” (42 U.S.C. 3732 (c) (15)).

Applying Methods to Make Annual Cross-Section Data More Uniform. Data received from participating agencies are standardized using statistical programs to create a common unit of analysis, an equivalent time period for reporting of events (fiscal year), and a common offense classification scheme. This more closely unifies federal justice statistics reporting across agencies that have different methods of data collection, processing, and reporting. Statistical programs written in SAS programming language are used under the FJSP to standardize key case processing concepts. The statistical programs are updated by recipient each year to address changes to the agency data files. In addition, personal identifying information is removed from the files prior to archiving for research and statistical purposes. The reconciled data (SAFs) are central to BJS’s capacity for reporting uniform federal criminal case processing statistics each year. The FJSP includes 24 SAFs (table 1).

⁴ BJS’s Criminal Justice Working Papers series provides preliminary analysis of substantive, technical, and methodological issues. These papers are works in progress that promote the sharing of valuable work experience and knowledge.

Table 1. 24 Standard Analysis Files (SAFs) in the FJSP by Stage of Process and Data Source		
Stage of federal process	Data source	SAFs by cohort⁵
Arrest and booking	U.S. Marshals Service Justice Detainee Information System (JDIS)	1. Federal suspects arrested and booked 2. Warrants initiated* 3. Warrants cleared*
Warrants initiated and cleared	Warrant Information Network (WIN)	
Suspects arrested by the Drug Enforcement Administration	Drug Enforcement Administration Defendant Statistical System (DSS)	4. Federal and state suspects arrested by the DEA*
Investigation and prosecution	Executive Office for U.S. Attorneys National Legal Information Office Network System (LIONS)	5. Suspects in matters investigated 6. Suspects in matters concluded 7. Defendants in cases filed 8. Defendants in cases terminated 9. Charges for defendants in cases filed 10. Charges for defendants in cases terminated
Pretrial release/detention	Administrative Office of the U.S. Courts: U.S. Probation and Pretrial Services Office Probation and Pretrial Services Automated Case Tracking System (PACTS)	11. Defendants interviewed, investigated, or otherwise entering pretrial services* 12. Defendants terminating pretrial services* 13. Defendants under active pretrial supervision at fiscal yearend*
Cases filed and terminated in U.S. district court; cases pending at fiscal yearend	Administrative Office of the U.S. Courts Case Management/ Electronic Case Files (CM/ECF)	14. Defendants in cases filed 15. Defendants in cases terminated 16. Defendants in cases pending
Defendants sentenced pursuant to the Sentencing Reform Act of 1984	United States Sentencing Commission Monitoring Data Base	17. Defendants sentenced
Criminal appeals terminated	Administrative Office of the U.S. Courts: U.S. Court of Appeals	18. Defendants in criminal appeals terminated
Offenders entering, and exiting probation, parole, and supervised release and on supervision at fiscal year-end	Administrative Office of the U.S. Courts (AOUSC): U.S. Probation and Pretrial Services Automated Case Tracking System (PACTS)*	19. Offenders entering active supervision in the community* 20. Offenders terminating active supervision* 21. Offenders under active supervision at fiscal yearend*

⁵ SAFs represent the building blocks of the FJSP. They are used together with the dyad link files to track suspects/defendants across stages in the federal criminal case process.

Offenders entering and exiting prison and in prison at fiscal yearend	Bureau of Prisons SENTRY System	22. Offenders admitted to federal prison 23. Offenders released from federal prison 24. Offenders in federal prison at fiscal yearend
* Indicates SAFs that are not made publicly available at the National Archive of Criminal Justice Data at the request of the source agency.		

Applying and Improving Methods to Link Federal Data. To improve the analytical capability of the federal data, BJS has sought the best approach to link records across the case process. Linked or longitudinal data can effectively address analytic and policy questions concerning system efficiencies, workload issues, and resource allocation decisions. Linked data can also be used to augment information that may be missing or incomplete in one agency with data from another agency. Because there is not one unique identifier collected by all agencies that would permit an automated linking of records, available identifiers in data the agencies provide to the FJSP are used by BJS to match records. The FJSP dyad link files were created in 2008 and have been updated each year through 2013. This is BJS’s current approach to link defendant-case records found in SAFs from 1994 to 2013.⁶

The dyad link files are designed to match records of person-cases across different SAFs from the FJSP database.⁷ Software programs written in SAS statistical language and C++ use personal identifiers to match records found in adjacent case processing stages or dyads. Each dyad or linked pair is made up of two agency SAFs from adjacent stages of the federal case process that have been linked. There are 10 dyad link files (table 2). The dyad link method maximizes match rates between a pair of adjacent agency cohort files at a time with attention to selected identifiers unique to each dyad. Once the link has been made, personal identifiers are removed and replaced with a sanitized identification number, which allows users to link case records using SAFs without needing confidential identifying information. Examples include records linked between arrest and prosecution, prosecution and adjudication, adjudication and sentencing commission, and sentencing commission and prison admission. Linking across multiple stages is accomplished by combining linked dyads. The clearinghouse currently contains annual SAFs and dyad link files for 1994 to 2013. SAFs and dyad link files for 2014 and 2015 are currently being processed. It is anticipated that updating of SAFs and dyad link files for 2016 to 2020 will be supported under this award.

⁶ The unit of analysis is the defendant-case or an individual defendant appearing in a case. Defendants in more than one case are counted as separate units to be matched.

⁷ See *Federal Justice Statistics Program Data Linking System*, available at <https://www.ncjrs.gov/pdffiles1/bjs/grants/239536.pdf>, which describes the dyad link file methodology. The dyad link file system currently contains 10 dyad files that permit analysis of offender cohorts as they move from arrest, prosecution, adjudication, sentencing, and admission to federal prison for fiscal years 1994 to 2013. These files are available at the NACJD: <https://www.icpsr.umich.edu/icpsrweb/NACJD/studies/30701>.

Table 2. 10 Dyad Link Files in the FJSP by Cohorts Linked
Intra-Agency Dyad Links^a
1. EOUSA Suspects in Matters Received and Suspects in Matters Concluded
2. EOUSA Suspects in Matters Concluded and Defendants in Cases Disposed
3. EOUSA Suspects in Matters Concluded and Defendants in Cases Filed
4. EOUSA Defendants in Cases Filed and Defendants in Cases Disposed
5. AOUSC Defendants in Cases Filed and Defendants in Cases Disposed
Inter-Agency Dyad Links^b
6. EOUSA Suspects in Matters Concluded and USMS Suspects Arrested and Booked
7. EOUSA Defendants in Cases Filed and AOUSC Defendants in Cases Filed
8. EOUSA Defendants in Cases Disposed and AOUSC Defendants in Cases Disposed
9. AOUSC Defendants in Cases Disposed and USSC Defendants Sentenced
10. BOP Offenders Admitted to Federal Prison and USSC Defendants Sentenced
Note: EOUSA = Executive Office for U.S. Attorneys, AOUSC = Administrative Office of the U.S. Courts, USMS = U.S. Marshals Service, USSC = United States Sentencing Commission, BOP = Bureau of Prisons.
^a Dyads link suspects/defendants within an agency's data from when the record is open to when it is closed.
^b Dyads link suspects/defendants across the data from two distinct agencies.

BJS also seeks to further an approach that links individual-level data with defendant-case information to form a comprehensive offender-based longitudinal data file. The objective is to link a person's interactions with the federal justice system over the lifespan.⁸ This reorganization of federal data is expected to be used as a basis for analyzing individual offender outcomes both within an agency's data (admission and exit) and for reporting outcomes specific to an individual (e.g., case disposition or returns to federal prison).⁹ It is anticipated that investigating the idea behind the proposed offender-based tracking system (OBTS) files will be supported under this award.

Statistical/Methodological Reports. The recipient will use the SAFs to produce and improve annual statistical tables (e.g., *Federal Justice Statistics, 2012 - Statistical Tables*, NCJ 248470, BJS web, January 2015) and periodic reports on topics of special relevance to the operation of the criminal justice system (e.g., *Drug Offenders in Federal Prisons: Estimates of Characteristics Based on Linked Data*, NCJ 248648, BJS web, October 2015). The recipient will also produce a working paper to share relevant findings and solicit feedback on methodological issues pertinent to improving federal criminal justice statistics.¹⁰

⁸ An individual identifier along with case cycle numbers permit the tracking of an offender's entire experience in the federal criminal justice system over the time period linked (i.e., linking an individual's multiple cases with the federal justice system).

⁹The proposed OBTS maximizes links among all files at once using all available (and usable) identifiers common across agencies. The OBTS is intended to enable tracking of outcomes for unique offenders over time (e.g., return to federal system) and tracking outcomes of cases as they progress across the federal criminal case process.

¹⁰An example of a BJS working paper is available at <http://www.bjs.gov/index.cfm?ty=pbdetail&iid=5432>.

BJS Federal Query Tool. The recipient will be responsible for producing data files for incorporation into the BJS online federal justice system query tool. The tool allows users to interactively query federal data and download query results as a spreadsheet (available at www.bjs.gov/fjsrc/). The tool provides statistics by stage of the federal criminal case process, including law enforcement, prosecution or courts, and incarceration. Users can also generate queries for up to three variables and by title and section of the U.S. criminal code by processing stage. The Electronic Data Dictionary (EDD) tool contains metadata that describe the underlying variable names and value labels for the SAFs.¹¹ A required task under this award will be to review and update the metadata each year to ensure the EDD is accurate and complete. The recipient will also be required to augment the current query tool with new data reflecting defendants on pretrial release (from the Administrative Office of the U.S. Courts, or AOUSC) and in pretrial detention (from the U.S. Marshals Service) as well as offenders on post-conviction supervision in the community (from the AOUSC). These latter data include offenders sentenced to terms of probation, parole, and supervised release following a term of federal imprisonment. Currently, the query tool permits querying data from 1998 to 2013. It is anticipated that updating the query tool with data for 2016 to 2020 will be supported under this award.

Public-Use Data Files. The recipient will be responsible for tasks involved in preparing analytic datasets and codebooks for public use. The tasks include removing personal identifying information or “sanitizing” the data files. The recipient will transfer the complete set of FJSP sanitized public files and codebooks to the NACJD (see <https://www.icpsr.umich.edu/icpsrweb/NACJD/index.jsp>).

Goals, Objectives, and Deliverables

Federal criminal case processing statistics help to inform and shape federal criminal justice policy. The FJSP is the only source of data that looks comprehensively across stages of the federal justice process. As such, FJSP data are crucial to BJS efforts to study important issues in the federal criminal justice system. Each participating agency’s data provides a crucial piece of the broader picture, and BJS must ensure that data are timely, accurate, and accessible by publishing statistics and making data available for secondary analysis.

Project Goals

The recipient of funds will—

- collect, standardize, maintain, and archive federal data in a timely and accurate manner
- provide technical assistance to BJS, federal agencies, and the public
- produce statistical reports and products, including accurate and timely annual statistical tables
- provide formatted data for importing into the current BJS web query tool
- expand the BJS query tool to include additional stages (pretrial/post-conviction supervision and pretrial detention)
- provide expertise in updating and expanding FJSP record linkage capabilities
- secure additional agency data for inclusion in the FJSP.

¹¹The BJS federal on-line data dictionary is available at <http://www.bjs.gov/fjsrc/datadictionary.cfm>.

BJJ expects that during the project period, needs will evolve and the content of specific tasks in the areas outlined by the objectives may be modified. The successful applicant must be organized as an entity that is responsive to changing priorities and can adapt quickly to substantive shifts in tasks. Along with a complete archive of the raw and customized data files prepared over the history of the FJSP, all existing materials (including software code and documentation) that have been produced by this project in the past will be made available to the recipient of the award in the first 3 months of the project period.

Objectives

The project's primary objectives are as follows:

Objective 1: Maintain, update, and expand core FJSP data files. Develop and adhere to a routine data delivery schedule from participating agencies. This will involve meeting in person at agency offices in Washington D.C., and over the phone with representatives from participating agencies to coordinate delivery of annual data files and to receive updates on changes to data documentation.¹²

- **Create SAFs.** The successful applicant will be responsible for processing agency data according to established FJSP protocols with 2016, 2017, 2018, 2019, and 2020 data. The existing SAS statistical programming code will be provided to the successful applicant to produce SAFs. SAFs will include both variables extracted from the source data and those computed for the FJSP statistical series. The recipient will document checks for data consistency and validity. The recipient will also be required to review the federal criminal case process to identify data quality issues and gaps in agency data.
- **Update dyad link files.** The recipient will maintain and update the library of dyad link files and will investigate how to improve link rates. All existing software code to create the dyad links will be provided to the recipient upon award. The recipient will update the dyad link files using 2015, 2016, 2017, 2018, and 2019 SAFs. Additional tasks will include an investigation and further development of the OBTS approach, which includes maintaining and updating person- and case-level files for each agency and conducting a merge to create proposed OBTS files.¹³
- **Maintain comprehensive documentation.** This includes all statistical codebooks, the *FJSP Policy and Procedures Manual*, communication with agencies, and tracking time spent on project activities.¹⁴ The recipient will maintain and update all documentation for the creation of all SAF and dyad link files, including codebooks and all computer code used in creating these deliverables. The recipient will update metadata used in the BJJ on-line data dictionary.
- **Ensure data security and confidentiality of records.** The recipient will establish and document project controls to ensure data security and confidentiality of records,

¹² Data are received from agencies at various times and can be impacted by unexpected delays. The recipient will coordinate receipt of files.

¹³ Person-level files are created by reducing an agency's records to unique individuals. Case-level files are created by reducing an agency's records to the case level.

¹⁴ The *FJSP Policy and Procedures Manual* is a comprehensive document that describes the program.

and will adhere to all applicable federal regulations regarding privacy (28 CFR Part 22 and 42 U.S.C. 3789(g)). The recipient is expected to abide by regulations, laws, and policies pertaining to data confidentiality. Several FJSP agencies require that analysts have criminal background checks. Data in the FJSP are designated Sensitive but Unclassified, and the recipient will adhere to all requirements in collecting, processing, storing, and transmitting such data.

Objective 2: Public-use datasets and documentation. The recipient will prepare SAFs for archiving to NACJD, following a protocol that removes identifying information from the files. The recipient will prepare corresponding codebook files for SAFs and dyad link files and archive them to NACJD.

Objective 3: Produce annual federal statistical tables and special reports. The recipient will produce an annual BJS statistical tables product. Statistical tables report on the number and characteristics of persons processed and the distribution of case processing outcomes at each major stage for a given fiscal year (October 1 to September 30).

Objective 4: Maintain, update, and expand the BJS federal query tool. The recipient will provide updated FJSP data files for the query tool in a timely and readily importable format. The recipient will propose enhancements that are compatible with BJS technology and software to improve the presentation of federal justice data through the BJS query tool. This includes adding data for pretrial release and detention and post conviction supervision stages. Relevant existing software code that supports the current online query tool will be made available to the recipient.

Deliverables

The FJSP is designed as a 5-year project, during which the recipient will meet the project objectives in a flexible and responsive manner. To accomplish that goal, the recipient of funds must demonstrate a capacity to manage resources effectively.

One-time tasks (performed at the beginning of the project only)

Kickoff meeting

- Convene a kickoff meeting with the BJS project manager within the first month of the project period. At this meeting, each aspect of the proposed time/task plan will be reviewed in detail. BJS and project staff will reach an agreement on the details of the initial project plan.
- Along with a project staffing and management plan, the initial project plan will identify the time frame for accomplishing each of the project's initial tasks identified by BJS at the kickoff meeting.
- A draft of the initial project plan will be delivered to BJS for review within 3 weeks of the project kickoff meeting.
- The final version of the plan is due within 2 weeks after receiving BJS comments on the draft.

Annual tasks (repeated each year)

1. Maintain and update the FJS database

- Request and receive data from each agency. Each year the recipient is required to meet with agency representatives (December to May).
- Apply algorithms to—
 - create SAFs (March to June).
 - update 10 dyad link files (June).
- Apply data consistency checks and document steps taken to ensure quality control:
 - update codebook information and ensure the *FJSP Policy and Procedures Manual* is accurate and current.
- Deliver SAF and dyad link files to BJS (July).

2. Deliver federal statistical tables product

- Produce within 3 months of the last agency data file processed by the recipient (July to September).

3. Deliver formatted data for BJS federal query tool

- Produce within 3 months of the last agency data file processed by the recipient.
- Perform data quality checks (October to December).

4. Prepare public-use data

- Prepare sanitized public data files for both SAFs and dyad link files (August to September).
- Prepare codebooks for both SAFs and dyad link files (August to September).

5. Prepare two substantive BJS reports (per funding year). BJS anticipates that the project will produce two BJS-quality reports (8 to 12 pages) each year based on analysis of FJSP data (for an example, see *Drug Offenders in Federal Prisons: Estimates of Characteristics Based on Linked Data*, available at <http://www.bjs.gov/index.cfm?ty=pbdetail&iid=5436>). Final versions of the special reports will include tables, text, verified program code, and documentation about created variables. The proposal for the first report (a 3- to 5-page description of the research questions, scope of work, and methodology) is due within 3 months of the start of the project year. BJS will review the proposals. Subject to BJS approval, the first report will be due within 6 months of the start of the project year. The proposal for the second report is due within 6 months of the start of the project year. Subject to BJS approval, the second report will be due within 9 months of the start of the project year.

6. Produce one report for the BJS Criminal Justice Working Paper (CJWP) series or Research series. The CJWP series provides preliminary analysis of substantive, technical, and methodological issues that are works in progress designed to encourage discussion, solicit constructive feedback on the research, and inform continuing work in the topic area. One topic of interest to BJS would be to compare the link methods (dyad link and OBTS) with an assessment of the strengths and weaknesses of each. The working paper proposal (a 5- to 8-page description of the research questions, scope of work, and methodology) is due within 6 months of the start of the project year. Subject to BJS approval, the working paper will be due within 9 months of the start of the project year.

- 7. Prepare and deliver special requests.** The recipient will prepare customized analyses at the request of BJS. Timelines will be established with BJS at the time of the request.

B. Federal Award Information

BJS estimates that it will make up to one award of up to \$1,000,000 for the first year of a 60-month project period, beginning on October 1, 2016. Project funding will be provided on an annual basis. Important considerations in decisions regarding supplemental funding include, among other factors, the availability of funding, strategic priorities, assessment of the quality of the management of the award (for example, timeliness and quality of progress reports), and assessment of the progress of the work funded under the award.

Applicants should assume that tasks and activities will cover a 60-month project period. The applicant should consider that project activities will begin on October 1, 2016, and continue for a 5-year period (through September 30, 2021). The applicant should provide separate annual budgets for fiscal years 2016, 2017, 2018, 2019, and 2020, and one summary 5-year budget. All proposed activities must have a planned completion date of no later than September 30, 2021.

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

Type of Award¹⁵

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

Financial Management and System of Internal Controls

Award recipients and subrecipients (including any recipient or subrecipient funded in response to this solicitation that is a pass-through entity¹⁶) must, as described in the Part 200 Uniform Requirements set out at 2 C.F.R. 200.303:

- (a) Establish and maintain effective internal control over the federal award that provides reasonable assurance that the recipient (and any subrecipient) is managing the federal award in compliance with federal statutes, regulations, and the terms and conditions of the federal award. These internal controls should be in compliance with guidance in “Standards for Internal Control in the Federal Government” issued by the Comptroller

¹⁵ 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)).

¹⁶ For purposes of this solicitation (or program announcement), “pass-through entity” includes any entity eligible to receive funding as a recipient or subrecipient under this solicitation (or program announcement) that, if funded, may make a subaward(s) to a subrecipient(s) to carry out part of the funded program.

General of the United States and the “Internal Control Integrated Framework” issued by the Committee of Sponsoring Organizations of the Treadway Commission (COSO).

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

(c) Evaluate and monitor the recipient’s (and any subrecipient’s) compliance with statutes, regulations, and the terms and conditions of federal awards.

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

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

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

Budget Information

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 (also known as Pre-award Cost) Approvals

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

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

Limitation on Use of Award Funds for Employee Compensation; Waiver

With respect to any award of more than \$250,000 made under this solicitation, recipients may not use federal funds to pay total cash compensation (salary plus cash bonuses) to any employee of the award recipient at a rate that exceeds 110% of the maximum annual salary

payable to a member of the Federal Government's Senior Executive Service (SES) at an agency with a Certified SES Performance Appraisal System for that year.¹⁷ The 2016 salary table for SES employees is available at the Office of Personnel Management [website](#). Note: A recipient may compensate an employee at a greater rate, provided the amount in excess of this compensation limitation is paid with nonfederal funds. (Any such additional compensation will not be considered matching funds where match requirements apply.) For employees who charge only a portion of their time to an award, the allowable amount to be charged is equal to the percentage of time worked times the maximum salary limitation.

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

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

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

OJP strongly encourages applicants that propose to use award funds for any conference-, meeting-, or training-related activity to review carefully—before submitting an application—the OJP policy and guidance on conference approval, planning, and reporting available at www.ojp.gov/financialguide/DOJ/PostawardRequirements/chapter3.10a.htm. OJP policy and guidance (1) encourage minimization of conference, meeting, and training costs; (2) require prior written approval (which may affect project timelines) of most conference, meeting, and training costs for cooperative agreement recipients and of some conference, meeting, and training costs for grant recipients; and (3) set cost limits, including a general prohibition of all food and beverage costs.

Costs Associated with Language Assistance (if applicable)

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

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

C. Eligibility Information

For eligibility information, see title page.

¹⁷ OJP does not apply this limitation on the use of award funds to the nonprofit organizations listed at Appendix VIII to 2 C.F.R. Part 200.

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

Limit on Number of Application Submissions

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

D. Application and Submission Information

What an Application Should Include

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

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

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

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

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

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

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

- Written for a general public audience

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

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

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

3. Program Narrative

The program narrative section of the application should not exceed 30 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 30-page limit for the narrative section. The project abstract, table of contents, appendices, and government forms do not count toward the 30-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:

- a. Statement of the Problem
- b. Project Design and Implementation
- c. Capabilities and Competencies
- d. Plan for Collecting the Data Required for this Solicitation’s Performance Measures

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

Objective	Performance Measure(s)	Data Grantee Provides
Support the continuation of the BJS Federal Justice Statistics Program, which serves as the national clearinghouse of federal case processing data.	<p>Number of hours days to complete technical assistance requests.</p> <p>Number of technical assistance requests completed.</p>	Track all special requests made with date and outcome of request.
	<p>Effective management as measured by whether significant interim project milestones were achieved, final deadlines were met, and costs remained within approved limits. Percent of project milestones and deadlines achieved.</p>	<p>Quarterly and semi-annual progress reports.</p> <p>Monthly phone meetings with BJS staff to inform of progress.</p> <p>Update <i>FJSP Policy and Procedures Manual</i> as changes occur.</p>
	<p>Percent of deliverables completed within budget.</p> <p>Percent of agencies with face-to-face meetings at least once each project year.</p>	Face-to-face meetings with agency staff (at least once each project year).
	<p><i>Percent of deliverables completed on time</i></p> <p><i>Percent of deliverables that meet expectations</i></p>	<p>Number of confidentiality agreements signed by 100% of staff who have access to data and accessible to BJS upon request.</p> <p>Face-to-face meetings with agency staff (at least once each project year).</p> <p><i>Updated and provide FJSP Policy and Procedures Manual</i> to reflects latest revisions to data process</p>

		when reviewed by BJS (upon request).
	Percent of SAFs that are completed in a comprehensive, timely, and accurate manner.	Raw agency data files. SAFs including sanitized files and formatted for archiving at NACJD. Statistical code (SAS and Stata) of programs used to generate all SAFs.
	Percent of annual statistical tables that are completed accurately.	Annual statistical tables, formatted for publication by BJS.
	Maintain 5% error rate or less (error rate = total errors in all outputs of table deliverables/total number of outputs produced in a table deliverable).	Documentation verifying verification of tables and footnotes.
	Percent of federal query tool tables that are completed accurately	Data updates to federal query tool. Accommodate pretrial and post conviction supervision outcomes data in tool. Update the EDD. Documentation verifying data and footnotes.
	Percent of dyad link files that are completed in a comprehensive, timely, and accurate manner.	Produce 10 annual dyad link files (draft and final), including dyad link files DE identified and formatted for archiving at NACJD. Provide data and documentation, including statistical code and codebook to BJS Prepare and submit dyad link files to NACJD.

		<p>Draft and final dyad link files, statistical programs, and codebook.</p> <p>Dyad link files DE identified and formatted for archiving at NACJD.</p>
<p>Improve knowledge of federal criminal justice topics, including methodological issues.</p>	<p>Percent of deliverables that meet expectations</p> <p>Percent of deliverables completed on time.</p> <p>Substantive and methodological reports that (in final form) are error free, and fully documented by program code.</p>	<p>Provide substantive and methodological reports that (in final form) are error free, and fully documented by program code. In conjunction with BJS, develop two substantive study topics and one methodological topic; and prepare concept papers for each that outline objectives and questions to be answered, table shells, and variables needed for analysis.</p> <p>Submit proposals with budget and time frames;</p> <p>Review statistical programs for errors and completeness; and provide all data, statistical code, and codebooks.</p>

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

4. Budget Detail Worksheet and Budget Narrative

a. Budget Detail Worksheet

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

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

b. Budget Narrative

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

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

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

c. Noncompetitive 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 noncompetitive procurement will exceed the simplified acquisition threshold (also known as the small purchase threshold), which is currently set at \$150,000, the application should address the considerations outlined in the [Financial Guide](#).

d. Pre-Agreement Cost Approvals

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

5. Indirect Cost Rate Agreement (if applicable)

Indirect costs are allowed only under the following circumstances:

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

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

In order to use the “de minimis” indirect rate, attach written documentation to the application that advises OJP of both the applicant’s eligibility (to use the “de minimis” rate) and its

election. If the applicant elects the “de minimis” method, costs must be consistently charged as either indirect or direct costs, but may not be double charged or inconsistently charged as both. In addition, if this method is chosen then it must be used consistently for all federal awards until such time as you choose to negotiate a federally approved indirect cost rate.¹⁸

6. Applicant Disclosure of High Risk Status

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

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

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

7. Additional Attachments.

- a. A privacy certificate and human subjects protection certification of compliance must be completed for each project proposed in an application.
 - **Privacy Certification.** The Privacy Certificate is a funding recipient’s certification of compliance with federal regulations requiring confidentiality of information identifiable to a private person, which is collected, analyzed, or otherwise used in connection with an OJP-funded research or statistical activity. The funding recipient’s Privacy Certificate includes a description of its policies and procedures to be followed to protect identifiable data. A model certificate is located at www.bjs.gov/content/pub/pdf/bjsmpc.pdf.
 - **Human Subjects Protection Certification of Compliance.** BJS requires the funding recipient to submit proper documentation to be used to determine that the research project meets the federal requirements for human subjects protections set forth in 28 CFR Part 46. A model certificate, describing the necessary information to be provided by the funding recipient, is located at www.bjs.gov/content/hscr.cfm.
- b. **Applicant Disclosure of Pending Applications**

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

¹⁸ See 2 C.F.R. § 200.414(f).

funding (e.g., applications to federal agencies) and indirect applications for such funding (e.g., applications to state agencies that will subaward federal funds).

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

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

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

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

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

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

b. Research and Evaluation Independence and Integrity

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

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

OR

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

OR

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

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

8. Financial Management and System of Internal Controls Questionnaire

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

9. Disclosure of Lobbying Activities

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

How to Apply

Applicants must register in, and submit applications through Grants.gov, a primary source to find federal funding opportunities and apply for funding. Find complete instructions on how to register and submit an application at www.Grants.gov. Applicants that experience technical difficulties during this process should call the Grants.gov Customer Support Hotline at **800-518-4726** or **606-545-5035**, 24 hours a day, 7 days a week, except federal holidays. Registering with Grants.gov is a one-time process; however, **processing delays may occur, and it can take several weeks** for first-time registrants to receive confirmation and a user password. OJP encourages applicants to **register several weeks before** the application submission deadline. In addition, OJP urges applicants to submit applications 72 hours prior to the application due date to allow time to receive validation messages or rejection notifications from Grants.gov, and to correct in a timely fashion any problems that may have caused a rejection notification.

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

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

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

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

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

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

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

All applicants are required to complete the following steps:

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

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

1. Acquire a Data Universal Numbering System (DUNS) number. In general, the Office of Management and Budget requires that all applicants (other than individuals) for federal funds include a DUNS number in their applications for a new award or a supplement to an

existing award. A DUNS number is a unique nine-digit sequence recognized as the universal standard for identifying and differentiating entities receiving federal funds. The identifier is used for tracking purposes and to validate address and point of contact information for federal assistance applicants, recipients, and subrecipients. The DUNS number will be used throughout the grant life cycle. Obtaining a DUNS number is a free, one-time activity. Call Dun and Bradstreet at 866-705-5711 to obtain a DUNS number or apply online at www.dnb.com. A DUNS number is usually received within 1–2 business days.

- 2. Acquire registration with the System for Award Management (SAM).** SAM is the repository for standard information about federal financial assistance applicants, recipients, and subrecipients. OJP requires all applicants (other than individuals) for federal financial assistance to maintain current registrations in the SAM database. Applicants must be registered in SAM to successfully register in Grants.gov. Applicants must **update or renew their SAM registration annually** to maintain an active status. SAM registration and renewal can take as long as 10 business days to complete.

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

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

- 3. Acquire an Authorized Organization Representative (AOR) and a Grants.gov username and password.** Complete the AOR profile on Grants.gov and create a username and password. The applicant organization's DUNS number must be used to complete this step. For more information about the registration process for organizations, go to www.grants.gov/web/grants/register.html. Individuals registering with Grants.gov should go to <http://www.grants.gov/web/grants/applicants/individual-registration.html>.
- 4. Acquire confirmation for the AOR from the E-Business Point of Contact (E-Biz POC).** The E-Biz POC at the applicant organization must log into Grants.gov to confirm the applicant organization's AOR. The E-Biz POC will need the Marketing Partner Identification Number (MPIN) password obtained when registering with SAM to complete this step. Note that an organization can have more than one AOR.
- 5. Search for the funding opportunity on Grants.gov.** Use the following identifying information when searching for the funding opportunity on Grants.gov. The Catalog of Federal Domestic Assistance number for this solicitation is 16.734, titled "Special Data Collection and Statistical Studies," and the funding opportunity number is BJS-2016-9580.
- 6. Submit a valid application consistent with this solicitation by following the directions in Grants.gov.** Within 24–48 hours after submitting the electronic application, the applicant should receive two notifications from Grants.gov. The first will confirm the receipt of the application and the second will state whether the application has been successfully validated, or rejected due to errors, with an explanation. It is possible to first receive a message indicating that the application is received and then receive a rejection notice a few minutes or hours later. Submitting well ahead of the deadline provides time to correct the problem(s) that caused the rejection. **Important:** OJP urges applicants to submit

applications **at least 72 hours prior** to the application due date to allow time to receive validation messages or rejection notifications from Grants.gov, and to correct in a timely fashion any problems that may have caused a rejection notification. All applications are due to be submitted and in receipt of a successful validation message in Grants.gov by 11:59 p.m. eastern time on June 6, 2016.

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

Note: Duplicate Applications

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

Experiencing Unforeseen Grants.gov Technical Issues

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

The following conditions are generally insufficient to justify late submissions:

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

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

E. Application Review Information

Selection Criteria

Selection criteria are those elements used to consider the comparative value of different proposals submitted under this solicitation. These criteria are subjectively judged by reviewers, and accordingly, they are distinct from eligibility criteria, which are an objective snapshot of a

person's or organization's status to submit this application. This section includes information on the criteria used (and assignment of percentage weight) to evaluate the applications for this solicitation.

1. Statement of the Problem (20%)

- a. Applicants should demonstrate their knowledge of BJS and the FJSP, its mission, and its statistical coverage of the federal criminal justice system.
- b. Applicants should describe their understanding of the FJSP collections, their purpose and goals, and the achievements that BJS had made with these collections.
- c. Applicants should demonstrate their knowledge of important issues in criminal justice that currently are not covered by BJS products but that could be addressed with BJS's existing FJSP data.

2. Project Design and Implementation (40%)

- a. Applicants should describe how they will achieve the project's objectives and how they will produce the deliverables.
- b. Applicants should describe how they will adapt to BJS's evolving information needs. This includes plans to expand the FJSP data resources to incorporate administrative data from additional agencies.
- c. Applicants should describe how they will manage resources in a cost-effective manner and how they will flexibly and adaptively manage project timelines to meet BJS's priorities.

3. Capabilities and Competencies (25%)

- a. Applicants should describe their capacity to provide the substantive, analytic, and methodological research services necessary to meet the objectives of the FJSP.
- b. Applicants should show how their performance on issues related to the FJSP's goals and objectives demonstrates their capability to address the goals and objectives of this project. This may include past data collection and management efforts in addition to past research experience involving the use of federal justice system data.
- c. Applicants should demonstrate knowledge of statistical programs written in SAS and Stata. Knowledge of geographical information system software (e.g., ArcView) is preferred. In addition, working knowledge of C++, Oracle, ColdFusion, and HTML is required.
- d. Applicants must demonstrate a detailed understanding of the assessment and use of administrative data, along with experience in the analysis and reporting of statistics using administrative records.
- e. Applicants must show that they can provide technical skills related to record linkage.
- f. Applicants must show evidence of substantive knowledge of the federal criminal justice system, including an awareness of areas of current research attention in government publications, academic journals, and government-funded projects.
- g. Applicants should demonstrate knowledge of federal criminal justice agency data and outline their approach to address the completeness of the data.
- h. Applicants must demonstrate a capacity to write high-quality statistical products.

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

5. Budget: Complete, Cost Effective, and Allowable (e.g., reasonable, allocable, and necessary for project activities (10%))

Budget narratives should generally demonstrate how applicants will maximize cost effectiveness of grant expenditures. Budget narratives should demonstrate cost effectiveness in relation to potential alternatives and the goals of the project.¹⁹

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 System for Award Management (SAM).

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

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

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

1. Financial stability and fiscal integrity
2. Quality of management systems and ability to meet the management standards prescribed in the Financial Guide

¹⁹ Generally speaking, a reasonable cost is a cost that, in its nature or amount, does not exceed that which would be incurred by a prudent person under the circumstances prevailing at the time the decision was made to incur the costs.

3. History of performance
4. Reports and findings from audits
5. The applicant's ability to effectively implement statutory, regulatory, or other requirements imposed on award recipients
6. Proposed costs to determine if the budget detail worksheet and budget narrative accurately explain project costs, and whether those costs are reasonable, necessary, and allowable under applicable federal cost principles and agency regulations.

Absent explicit statutory authorization or written delegation of authority to the contrary, all final award decisions will be made by the Director, who may consider factors including, but not limited to, peer review ratings, underserved populations, geographic diversity, strategic priorities, past performance under prior BJS and OJP awards, and available funding when making awards.

F. Federal Award Administration Information

Federal Award Notices

OJP sends award notification by email through GMS to the individuals listed in the application as the point of contact and the authorizing official (E-Biz POC and AOR). The email notification includes detailed instructions on how to access and view the award documents, and how to accept the award in GMS. GMS automatically issues the notifications at 9:00 p.m. eastern time on the award date (by September 30, 2016). Recipients will be required to log in; accept any outstanding assurances and certifications on the award; designate a financial point of contact; and review, sign, and accept the award. The award acceptance process involves physical signature of the award document by the authorized representative and the scanning of the fully executed award document to OJP.

Administrative, National Policy, and other Legal Requirements

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

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

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

Upon grant approval, OJP electronically transmits (via GMS) the award document to the prospective award recipient. In addition to other award information, the award document contains award terms and conditions that specify national policy requirements²⁰ with which recipients of federal funding must comply; uniform administrative requirements, cost principles, and audit requirements; and program-specific terms and conditions required based on applicable program (statutory) authority or requirements set forth in OJP solicitations and program announcements, and other requirements which may be attached to appropriated funding. For example, certain efforts may call for special requirements, terms, or conditions relating to intellectual property, data/information-sharing or -access, or information security; or audit requirements, expenditures and milestones, or publications and/or press releases. OJP also may place additional terms and conditions on an award based on its risk assessment of the applicant, or for other reasons it determines necessary to fulfill the goals and objectives of the program.

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

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

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

General Information about Post-Federal Award Reporting Requirements

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

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

This project is to 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 the development and modification of project objectives. BJS will exercise general approval over the entire project.

²⁰ 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)).

G. Federal Awarding Agency Contact(s)

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

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

H. Other Information

Provide Feedback to OJP

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

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

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

Application Checklist

FY 2016 Continuation of the Federal Justice Statistics Program

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 26)
- _____ Acquire or renew registration with SAM (see page 27)

To Register with Grants.gov:

- _____ Acquire AOR and Grants.gov username/password (see page 27)
- _____ Acquire AOR confirmation from the E-Biz POC (see page 27)

To Find Funding Opportunity:

- _____ Search for the Funding Opportunity on Grants.gov (see page 27)
- _____ Download Funding Opportunity and Application Package (see page 27)
- _____ Sign up for Grants.gov email [notifications](#) (optional) (see page 25)
- _____ Read [Important Notice: Applying for Grants in Grants.gov](#)
- _____ Read OJP policy and guidance on conference approval, planning, and reporting available at [ojp.gov/financialguide/DOJ/PostawardRequirements/chapter3.10a.htm](#) (see page 15)

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 27)

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

- _____ contact BJS regarding experiencing technical difficulties (see page 28)

General Requirements:

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

Scope Requirement:

- _____ The federal amount requested is within the allowable limit(s) of \$1 million.

Eligibility Requirement: Eligible applicants are for-profit (commercial) organizations, nonprofit organizations (including tribal nonprofit or for-profit organizations), faith-based and community organizations, and institutions of higher learning (including tribal institutions of higher education).

What an Application Should Include:

- _____ Application for Federal Assistance (SF-424) (see page 16)
- _____ Project Abstract (see page 16)
- _____ Program Narrative (see page 17)
- _____ Budget Detail Worksheet (see page 20)

- _____ Budget Narrative (see page 21)
- _____ Indirect Cost Rate Agreement (if applicable) (see page 21)
- _____ Applicant Disclosure of High Risk Status (see page 22)
- _____ Additional Attachments
 - _____ Privacy Certification (see page 22)
 - _____ Human Subjects Protection Certification of Compliance (see page 22)
 - _____ Applicant Disclosure of Pending Applications (see page 22)
 - _____ Research and Evaluation Independence and Integrity (see page 23)
- _____ Financial Management and System of Internal Controls Questionnaire (see page 25)
- _____ Disclosure of Lobbying Activities (SF-LLL) (see page 25)
- _____ Employee Compensation Waiver request and justification (if applicable) (see page 14)