

# State Justice Statistics (SJS) Program, 2006 Fiscal Year 2006 Program Announcement

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Department of Justice  
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# State Justice Statistics (SJS) Program, 2006

## Overview

This program announcement describes the guidelines and requirements of the FY 2006 State Justice Statistics (SJS) Program for Statistical Analysis Centers (SACs). Since 1972, the Bureau of Justice Statistics (BJS) and its predecessor agency, the National Criminal Justice Information and Statistics Service, have provided partial support to State and Territorial governments for the establishment and operation of Statistical Analysis Centers to collect, analyze, and report statistics on crime and justice to Federal, State, and local levels of government, and to share state-level information nationally. The information produced by SACs and their involvement in criminal justice projects has been and will continue to be critical to State, local, and Federal criminal justice agencies and community organizations as they develop programs and policies related to crime, illegal drugs, services to victims, and the administration of justice.

The State Justice Statistics (SJS) Program is designed to maintain and enhance each State's capacity to address criminal justice issues through collection and analysis of data. The SJS Program provides limited funds to each State to coordinate statistical activities within the State, conduct research as needed to estimate impacts of legislative and policy changes, and serve a liaison role in assisting BJS to gather data from respondent agencies within their States. Each application for funding under this program must identify the participating organizations in the State and the particular issues to be addressed. Each year, BJS announces specific topics for analysis and encourages applicants to give careful consideration to planning activities that fit within one or more of the designated topics (see section *Themes for 2006 SJS*). If a SAC does not feel that any of the topics are relevant to its own State, it may identify a topic or statistical activity of critical importance to its jurisdiction.

The SJS program themes are selected jointly by BJS and the Justice Research and Statistics Association (JRSA) staff and selected SAC Directors as reflective of issues of current concern and significance to criminal justice practitioners. JRSA also plays a role in publishing reports based on SJS themes and organizing an annual conference that helps SACs share results from their work. Some SJS funding priorities help build the infrastructure that allows SACs to collect and disseminate information to State, national, and international audiences.

BJS also administers the National Criminal History Improvement Program (NCHIP), which implements the grant provisions of the Brady Handgun Violence Prevention Act, the National Child Protection Act of 1993, the Stalker and Domestic Violence Reduction provisions of the Violence Against Women Act, the Crime Identification Technology Act (CITA), and related legislation. BJS encourages SAC directors to participate in their State's application for NCHIP funds, in addition to applying for funding related to crime identification technologies through the SJS program.

## **Program goals**

In the United States, most criminal justice activities take place at State and local levels of government. The systematic collection and analysis of data on these activities enable BJS to comply with its charter to publish and disseminate statistical information on crime and the operation of justice systems, giving emphasis to State and local justice system needs. State and local governments use the data for policy analysis, planning, assessing justice system operations, and evaluating programs.

BJS is specifically authorized by statute (42 U.S.C. 3732) to provide assistance in the development of State and local government justice information systems, and directed to give primary emphasis to the problems of State and local justice systems (42 U.S.C. 3731). The SACs, each established by State legislation or executive order, are one important mechanism by which BJS fulfills its mandate under this statute. Currently, there are SACs in 49 States, the District of Columbia, Puerto Rico, and the Northern Mariana Islands.

The SJS Program is designed to:

- Enhance the capabilities of the States to collect, analyze, and interpret data on justice issues relevant to the States and the Nation;
- Make maximum use of State statistical organizations and state-level data collected by BJS and other Department of Justice components;
- Provide a mechanism which supports the collection and sharing of vital justice system data among the States and between the States and the Federal Government; and
- Better serve the information needs of the States and Federal Government by providing a core body of knowledge about the administration of criminal justice in each State.

## **Support to State Statistical Analysis Centers**

All awards under the SJS Program will be made as cooperative agreements to a Statistical Analysis Center and will indicate the substantial involvement that BJS will have with each award. Applicants may transfer funds to other organizations listed in their application, and some of the theme activities may require such arrangements with other organizations. Where SACs do not have authority for such a transfer of funds, applicants should contact their BJS State monitor for guidance. The purpose of this requirement is to foster cooperation within the State among agencies working on related BJS- or OJP-funded activities.

Support is provided to SACs for:

1. Collecting, analyzing, and publishing criminal justice data;
2. Analyzing data in support of public policy, especially on the themes identified in this announcement or selected by the applicant in consultation with BJS;
3. Providing JRSA with data on highlighted themes for compilation and production of a national report;
4. Maintaining contact with BJS to ensure the efficient development and sharing of information with BJS, other States, and various users;
5. Informing BJS of the State's needs relative to statistical data;
6. Pursuant to BJS request, providing information and electronic data to the National Archive of Criminal Justice Data, or other designated recipients;
7. Establishing and maintaining contacts with State criminal justice agencies, the courts, victims organizations, and local governments and their criminal justice agencies;
8. Assisting criminal justice agencies in defining their needs for specific statistical and other information for the planning, implementation, and evaluation of criminal justice programs; and
9. Providing technical assistance in the collection, interpretation, utilization, and sharing of statistical information.

Travel funds for this program should be used primarily for activities involving data collection and analysis, providing technical assistance and training, and being a liaison to other organizations. Travel to attend the annual BJS/JRSA national conference is limited to one person each year, unless BJS specifically authorizes additional conference travel.

### **Themes for the SJS Program**

SACs applying for funds under this announcement may choose from among the themes listed. Applicants may choose any number of projects from within one theme (unless otherwise specified), or a combination of projects from more than one theme. It is recommended that not more than three topics be selected for a given project period. If a SAC chooses its own theme, it must provide persuasive documentation from its advisory committee, one or more branches of State government, or some other entity which explains and supports the decision to study this topic.

With relation to any theme or topic proposed for funding, the application should provide the background of your State's concern with the issue, a complete explanation of the methodology to be employed including databases and methods of analysis, any participation by other State or local agencies, and how conclusions and recommendations will be framed. Also, indicate political constraints (if any) which could impact the research, and what product will result. Since BJS contemplates that JRSA will assemble national reports where several States have addressed the same topic, BJS will support efforts to improve the quality of such compilations through coordination of the individual States' research and analysis.

### **Themes for FY 2006:**

#### **(1) Deaths in Police Custody Reporting - Obtaining statewide data on deaths occurring in the process of arrest or in pursuit of arrest.**

Pursuant to the Death in Custody Reporting Act of 2000 (Public Law 106-297), BJS is obtaining data on deaths occurring in prisons, jails, and juvenile detention facilities throughout the country, as well as those occurring in the process of arrest. Examples of these latter deaths include vehicular and other fatalities resulting from flight from arrest, uses of lethal force by police, suicides occurring during arrest attempts, and deaths of arrestees resulting from drug overdoses, or other medical conditions (e.g. heart attacks, strokes, seizures) or deaths occurring during transport to a holding facility, jail, or booking center. BJS continues to request assistance from State SACs to obtain specified data on these deaths and report them quarterly to BJS. The minimum data that must be collected under the Act includes: name, gender, race, ethnicity and age of the deceased; also the date, time, and location of the death and a brief description of the circumstances surrounding the death. The U.S. Department of Justice remains under an ongoing mandate to collect these data. Therefore, applicants wishing to address this theme may utilize SJS to establish a long term reporting process, rather than a one time study.

#### **(2) Prison rape and victimization in confinement facilities - improving quality of administrative data involving criminal acts within adult and juvenile facilities.**

The Prison Rape Elimination Act of 2003 (Public Law 108-79) requires BJS to develop a national data collection on the incidence and prevalence of sexual assault within correctional facilities. There have been only a few studies on the prevalence of sexual assault within correctional facilities. These studies are typically small in scale, covering only a few facilities, and generalizations to the national correctional population are not appropriate. The magnitude of sexual assault among prisoners is not currently well understood. BJS is tasked with developing reliable methods to measure the problem so that it can be addressed and eliminated. BJS is in the process of developing and testing self-report survey methodologies, including the use of Audio Computer-Assisted Self-Interviews. In addition, BJS is conducting an annual administrative records collection. BJS expects to gain an understanding of what corrections officials know, what information is recorded, how allegations and confirmed incidents are handled,

what disciplinary or administrative or legal sanctions are imposed on perpetrators, and what treatment is provided to victims of sexual assault. BJS continues to encourage SACs to examine the quality of their State administrative records and where feasible provide recommendations for the improvement of the quality and accuracy of these data.

### **(3) Civil justice statistics.**

The SAC may wish to pursue a statistical initiative that will assist the State in developing estimates of the number and characteristics of tort, contract, and real property cases and the dispositions of those cases for both adjudicated and settled civil matters. The longer term objective will be to estimate change over time within the State in the nature of case issues, judgments, and awards and to evaluate the impact of civil justice reforms such as capping punitive awards or medical malpractice mediation boards.

### **(4) Criminal Justice System Crisis Planning.**

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

- Prisoner relocation and/or alternative housing needs;
- Maintaining continuity in monitoring or tracking probationers, parolees, registered sex offenders, etc.;
- Backup records systems in the courts or other entities;
- Use of law enforcement mutual aid agreements and/or cross-jurisdictional designations; and
- Identification of vital records for the criminal justice system.

### **(5) Research involving computer related crimes (cybercrimes).**

SJS funds could be used by the SAC to initiate and maintain an ongoing statistical program focused upon the measurement of the magnitude and consequences of computer crime and identity theft and fraud. Applicants under this theme could use the funds to develop the measurement methods, definitions, and protocols to obtain uniform data on criminal activities involving computers and computer networks and the response of the criminal justice system to violations of computer crime statutes. Applicants could also consider a focus on identity theft and electronic fraud victimization and the handling of these offenses by the justice system.

### **(6) Increased Web access to data.**

SJS funds could be used by the SAC for Internet infrastructure development, enhancements, and linkages, including building a World Wide Web site, computer support, and preparing reports for dissemination via the Internet. For those SACs with established websites, BJS encourages enhancements that include downloadable

datasets and spreadsheets, online analytic capabilities, graphical presentations, and animation designed to present and explain movement of trends.

### **(7) Performance measurement.**

SJS funds could be used by the SAC to help States develop and improve performance measures and the tools available to agencies to assess progress in addressing public safety and administration of justice goals. SJS funds may be used to support these and related activities.

### **(8) Analyses utilizing a State's criminal history records.**

BJJ encourages SACs to utilize the State's criminal history records for research purposes. In particular, the SAC may wish to seek SJS funds to support studies of:

- a. Patterns of criminal behavior such as sex offending, stalking, or domestic violence;
- b. Arrests, prosecutions and convictions for firearms-related offenses;
- c. Prisoner and/or probationer recidivism, including rates of rearrest, reconviction, and return to correctional custody;
- d. The implementation and/or impact of programs such as drug courts, prisoner reentry initiatives, or specialized probation programs; or
- e. The implementation and/or impact of a State's criminal history record improvement activities.

At most one topic may be proposed in this thematic area. Funds may be requested to establish the technical capacity to conduct criminal history records-based research. The application must either state that the applicant is also the State's administrator of NCHIP funds or include a letter or memorandum of endorsement from the State agency administering NCHIP funds.

### **(9) Homicide in Schools.**

SJS funds may be used by the SAC to support the collection and analysis of timely and informative data on homicides occurring in a State's private and public elementary, middle and secondary schools.

### **(10) Research which utilizes a State's restraining or protection order records to examine domestic violence and/or stalking.**

SJS funds may be used by the SAC to support research projects utilizing the State's protection or restraining order records to examine specific issues around domestic violence and/or stalking.

**(11) Research on the impact of methamphetamine abuse on State and/or local criminal justice and public health systems.**

SJS funds may be used by the SAC to support research examining the impact of methamphetamine abuse on State or local criminal justice and public health systems. BJS encourages the development of long term data collection activities which can be utilized to monitor trends in this area on a continuing basis.

**(12) Statewide crime victimization surveys.**

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

**(13) Analysis of the uses of new or emerging biometric technologies to improve the administration of criminal justice.**

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

**(14) Research using incident-based crime data that are compatible with the National Incident-Based Reporting System (NIBRS).**

SJS funds may be used by the SAC to support development of NIBRS-compatible crime measurement and analysis. In addition, SJS funds under this theme may be used to examine the utility of linking NIBRS incident reports to a State's criminal history records for research purposes.

**(15) Research examining minority overrepresentation in the criminal or juvenile justice systems.**

SJS funds may be used by the SAC to support research examining the nature and/or extent of the overrepresentation of racial or ethnic minorities in the State's juvenile or criminal justice systems.

**(16) Any theme or topic that is identified by the SAC.**

SJS funds may be used by the SAC to support research examining another theme or topic provided the application is accompanied by persuasive documentation and



justification that the subject is a top priority for the State's Governor or criminal justice policy officials.

## **Eligibility Requirements**

The applicant SAC must be authorized by State legislation or executive order. The SAC must be a nonpartisan professional organization which serves all branches of the criminal justice system and all levels of government in the State as well as the general public. Objectivity, independence, and visibility are important considerations in determining its placement in the State government. It is desirable that the SAC not be part of an agency that has line responsibilities in criminal justice programs; if the SAC is located in such an agency (e.g. State Police, Department of Corrections, Administrative Office of the Courts), special provisions must be made to ensure the SACs broad mission, objectivity, independence, and visibility. These provisions must be documented in each application for funding. Examples of such provisions are letters of agreement from agencies that deal with other aspects of criminal justice in the State, or a SAC advisory board that includes policy-level officials of such agencies. The SAC must inform BJS of any substantive changes in these provisions, such as changes in the advisory board's structure or revisions in the scope of letters of agreement.

Applications for SAC funding must contain an explanation of the placement of the SAC within the State organization structure, including the SACs relationship to the Governor's Office, to other relevant State agencies, and any other organizations included as recipients of funds in the application.

The SAC must be staffed by professionals skilled in the application of statistical methods and techniques. Staff should be familiar with the factors, issues, and processes involved in crime and the criminal justice system. Each application must identify the SAC director and other key personnel and must provide brief summaries of their qualifications. However, a duplicate qualification summary need not be provided if it was submitted as part of an earlier application. In the case of vacant positions, job descriptions must be provided. If the SAC directorship becomes vacant after an award is made, the recipient agency must notify BJS, and submit the position description and required qualifications to be used in recruiting a replacement. When a replacement is designated, a resume of the individual's qualifications must be submitted to BJS for approval.

State Statistical Analysis Centers are the only entities eligible to apply for funds under the SJS program. General applicants must meet the requirements for a SAC as specified in these Guidelines. The Catalog of Federal Domestic Assistance (CFDA) number for the SAC program is 16.550 (Criminal Justice Statistics Development).

It is permissible for some or all of the work to be performed under the SAC's overall direction by other persons or organizations, such as other State agencies, universities, nonprofit research firms, and private consultants. If work will be performed outside of the SAC, the application must include the qualifications of those performing the work. A

SAC that wishes to apply for funds in cooperation with another organization but lacks the authority to transfer funds to the cooperating organization should contact its BJS State monitor.

## **Selection Criteria**

In making decisions to award funds under this program, BJS will be the sole judge of whether the application meets program requirements and whether it is operating satisfactorily and conforms to all applicable Federal and State requirements. The amount of the award will be based on the strength of the justification for what it is seeking to do and accomplish during the award period. Final authority on funding decisions is vested in the Director of BJS. Each application should contain a statement of the intended project's goals and objectives; and the proposed strategy for achieving them, including anticipated products.

The criteria for review and selection include:

1. Applications should be written so that each task or activity is costed separately and in priority order. Applicants are encouraged to attach a product to each task, such as a report or publication.
2. Organizational integrity, technical competence, and organizational placement of the applicant and other organizations proposed for funding;
3. Experience of applicant's personnel in similar work;
4. Technical soundness and completeness of the proposed approach;
5. Appropriateness of the project schedule and budget;
6. Past record of applicant's performance with previous awards, including quality of work, completeness, and adherence to schedules; and
7. The extent to which the program narrative addresses specific objectives of the SJS program, and the dollar resources needed to achieve them.

## **Award Information**

### ***Performance Guidelines***

To ensure compliance with these Government Performance and Results Act (GPRA) of 1993, Public Law 103-62, this solicitation notifies applicants that they are required to provide performance data used to measure the results of the programs implemented with this grant, as well as contribute to the achievements of BJS's overall statistical program. BJS's mission is to produce and disseminate accurate, objective, and independent national statistics. OJP/BJS is responsible for

measuring the relevance, utility, and accessibility of its information by the following outcomes: 1) demand for statistical data, and 2) utilization of data.

To ensure accountability of this data, for which OJP is responsible, the following performance measures are provided:

Program Objectives	Performance Measures	Data To Be Provided by Grantees
<p>1) Enhance the capabilities of the States to collect, analyze, and interpret data on justice issues relevant to the States and the nation.</p>	<p>Expand research and evaluation portfolio maintained by the State SAC</p> <p>Expand outreach to customers to provide information and technical assistance</p> <p>Increase electronic access of statistical data and online capabilities of SAC website</p>	<p>Number of studies/projects initiated and completed</p> <p>Number and type of justice-related databases compiled</p> <p>Number of reports and other publications produced (in paper and electronic formats)</p> <p>Number of information and/or technical assistance requests handled</p> <p>Number of media releases/or advisories produced</p> <p>Number of conferences and workshops attended to present findings, provide training, and exchange information</p> <p>Number of user sessions</p> <p>Number of publications and other data (i.e., spreadsheets) downloaded</p> <p>Number of databases added to interactive query systems</p>
<p>2) Provide a mechanism which supports the collection and sharing of vital justice system data among the States and between the States and the Federal Government.</p>	<p>Expand collaborative efforts and multi-state research and evaluation projects with national implications</p> <p>Expand electronic availability of SAC-conducted research and evaluation for use by other State, local and Federal agencies</p> <p>Increase accessibility of State-compiled datasets for secondary</p>	<p>Number of multi-state projects initiated and completed by SACs</p> <p>Number of reports produced presenting findings of collaborative projects</p> <p>Participation in Justice Research and Statistics Association (JRSA) studies or information inquiries</p> <p>Number of projects submitted by SAC to the Justice Research and Statistics Association's Infobase of State Activities and Research (ISAR)</p> <p>Number of SAC project datasets submitted to the National Archive</p>

	analysis by researchers and criminal justice practitioners	of Criminal Justice Data
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### ***Award Period***

Awards made under this announcement will be in the form of a cooperative agreement. Awards normally will be for 12 months, but can be longer if the applicant chooses.

No-cost extensions may be granted by BJS for good cause (for example, under-spending due to an unavoidable staff vacancy). Extensions should be requested in writing at least 30 days in advance of the award's scheduled expiration date; requests that are received later may not be approved. BJS will not approve any extension of more than 1 year beyond the original expiration date of the award.

### ***Award Amount***

While the amount of past SAC awards may be used as a guide when preparing the application, the average award per State SAC is approximately \$50,000.

### ***When to Apply***

Applications should be submitted to BJS at least 90 days before the requested starting date for the initial award to a SAC applying under this guideline.

**For funding in FY 2006, applications can be submitted anytime after publication of this Program Announcement but should be received by BJS no later than June 15, 2006. Applications received after June 15th may be deferred until the next fiscal year, beginning October 1, 2006.**

### **Protection of human subjects and Institutional Review Boards (IRBs)**

All applicants must complete and submit with their application the *Human Subjects Protection Certification of Compliance* found at <http://www.ojp.usdoj.gov/bjs/hscr.htm>. The Certification of Compliance has replaced the Human Subjects Screening Sheet.

For all research and statistical activities supported by BJS that involve human subjects, SACs are responsible for including in their application:

- (a) A certification of approval of the research project/statistical activity from an Institutional Review Board (IRB) or
- (b) A determination by an IRB that the research project/statistical activity is exempt from the Federal human subjects protections found at 28 CFR 46.101(b).

BJS is prohibited from providing funds for projects involving human subjects unless an IRB approves the project or determines that it is exempt from Federal regulations. If a

researcher believes that a proposed research project is exempt from Federal human subjects protections, the researcher must provide BJS with supporting documentation from an IRB.

Researchers utilizing U.S. Department of Justice funds are expected to design and perform their research to ensure that the dignity, welfare, and privacy of individual research subjects are protected. For more information concerning U.S. Department of Justice privacy requirements, see section *Privacy Certificate*. Researchers have an important legal and ethical responsibility to protect those human beings who serve as subjects of research. In certain cases, these legal and ethical responsibilities require that an IRB review the research project to ensure that human subjects receive all of the protections to which they are entitled under Federal regulations.

### **Is IRB approval required for all SAC research projects?**

No. There are 5 instances where IRB approval is not needed.

- IRB approval is not needed for research projects that are not designed to contribute to generalizable knowledge. Examples of projects that do not contribute to generalizable knowledge may include: projects where the results are intended for limited distribution, projects designed for internal agency use, operational activities such as program evaluation or monitoring, and web site development/improvement.
- SAC research projects that are funded entirely with State funds are not subject to the Federal human subjects protections.
- IRB approval is not needed if all of the data used that pertains to living individuals are publicly available, from public sources, commercial sources, or any other source.
- IRB approval is not needed if the researcher is not seeking private information about a human subject and no personal identifiers are obtained by the researcher at any point in the project.
- IRB approval is not needed if human subjects (including "identifiable private information" about a living person) are not involved in the research.

### **What is research involving a "human subject"?**

Federal regulations define a "human subject" in two ways (28 CFR 46.102(f)).

First, a "human subject" is defined as "a living individual about whom an investigator (whether professional or student) conducting research obtains data through intervention or interaction with the individual." Therefore, if a researcher obtains any data about a

living individual by communicating with that person, human subjects are involved in the research.

Second, if the researcher obtains "identifiable private information" about a living person, human subjects are involved in the research. The source of the identifiable private information is irrelevant. If a researcher obtains identifiable private information about a living person from any source including records about the person (e.g., criminal history records, arrest records, case files), interviews with the person, or interviews with third parties, human subjects are involved in the research.

"Identifiable information" is information where the identity of the subject may be readily ascertained. This information is "private" if the individual has a reasonable expectation that it will not be made public.

If the researcher obtains identifiable information about a living individual and the information is publicly available, human subjects are not involved in the research.

If the researcher is seeking private information about a living individual and no personal identifiers are obtained by the researcher at any point in the project, human subjects are not involved in the research.

### **How do I obtain IRB approval?**

If your agency does not currently have access to an IRB, there are two ways to obtain IRB review.

- (1) **Contact an IRB within your State.** It is common for agencies without IRBs to seek and obtain access to functioning IRBs that are affiliated with other organizations. It may be more efficient to contact an existing IRB than to devote resources and create your own IRB.

The Office for Human Research Protections, U.S. Department of Health and Human Services maintains a list of organizations in each State that operate IRBs which have been registered with the Office for Human Research Protections. Categorized by State, this list of IRBs is updated every weekday and may be found at:

<http://ohrp.cit.nih.gov/search/irstepck.asp>

- (2) **Establish your own IRB and register it with the Office for Human Research Protections, U.S. Department of Health and Human Services.** The establishment of an IRB is done by adhering to the requirements for IRB membership that are listed at 28 CFR 46.107. After the IRB members are obtained, written procedures must be developed in accordance with 28 CFR 46.103.

The IRB must be registered with the Office for Human Research Protections, U.S. Department of Health and Human Services. This registration may be completed online.

Step by step instructions for registering IRBs may be found at:  
<http://ohrp.osophs.dhhs.gov/humansubjects/assurance/registri.htm>

If you require additional assistance in the establishment of an IRB, JRSA staff are available to provide guidance. Contact Stan Orchowsky, Ph.D., JRSA Research Director at (202) 842-9330.

### **Privacy Certificate**

U.S. Department of Justice regulations require that every applicant for Federal funding from OJP submit a privacy certificate for research or statistical projects that collect information identifiable to a private person (28 CFR 22.23(a)).

BJS requires that all grantees submit a completed Privacy Certificate to ensure their compliance with all applicable Federal privacy regulations. If the research project in question does not involve information identifiable to a private person, the Privacy Certificate should so state. A Model Privacy Certificate and instructions may be found at <http://www.ojp.usdoj.gov/bjs/hscr.htm>.

### **Contact**

For further information on the SJS program, contact Stephanie L. Burroughs, SJS Program Coordinator, at (202) 514-9012, by e-mail at [Stephanie.Burroughs@usdoj.gov](mailto:Stephanie.Burroughs@usdoj.gov) or your State program manager.

### **Application Content**

The Office of Justice Programs (OJP) requires that funding applications be submitted through the OJP Grants Management System (GMS). Access through the Internet to this online application system will expedite and streamline the receipt, review, and processing of funding requests. Applications will only be accepted through the GMS online application system.

To learn how to begin the online application process, please refer to the Quick-Start Guide to using the Office of Justice Programs' Online Grants Management System (GMS). A toll-free telephone number (1-888-549-9901) has been established to provide applicants with technical assistance.

All applicants must submit:

- Standard Form 424, Application for Federal Assistance
- Assurances and Certifications
- Program Attachments:

- Attachment #1: Budget Detail Worksheet and budget narrative
- Attachment #2: Program Narrative (including an explanation of the placement of the SAC within the State organizational structure, a brief summary of the qualifications of the SAC Director and other key personnel, the status of prior year awards, and the description of tasks to be funded)
- Additional Attachments: Other Program Requirements (including the Human Subjects Protection Certification of Compliance and the Privacy Certificate)

An application checklist has been provided for your convenience.

**Application for Federal Assistance (SF-424).** The SF-424, is a standard form used by most Federal agencies. It contains 18 items that are to be completed online in the Overview, Applicant Information, and Project Information section of the OJP GMS.

**Assurances and Certificates.** Applicants are required to review, accept, and "sign off" on these assurances and certifications electronically through GMS. It is critical that the name, address, telephone number, fax number, and e-mail address of the authorizing official on these online forms are correct.

**Assurances.** The applicant must comply with the assurances in order to receive Federal funds under this program. It is the responsibility of the recipient of Federal funds to fully understand and comply with these requirements. Failure to comply may result in withholding of funds, termination of the award, or other sanctions.

**Certifications Regarding Lobbying; Debarment, Suspension, and Other Responsibility Matters; and Drug-Free Workplace.** Applicants are required to review and check off the box on the certification form included in their online application process. This form commits the applicant to compliance with the certification requirements under 28 CFR Part 69, "New Restrictions on Lobbying," and 28 CFR Part 67, "A Government-wide Debarment and Suspension (Nonprocurement) and Government-wide Requirements for a Drug-Free Workplace (Grants)."

### **Attachment #1: Budget Detail Worksheet**

Applicants must provide a detailed justification for all costs, including the basis for computation of these costs. For example, the detailed budget would include the salaries of staff involved in the project and the portion of those salaries to be paid from the award; fringe benefits paid to each staff person; travel costs related to the project; equipment to be purchased with the award funds; and supplies required to complete the project.



**Budget Narrative.** The budget narrative should detail costs included in each budget category for the Federal share. The purpose of the budget narrative is to relate items budgeted to project activities and to provide justification and explanation for budget items, including criteria and data used to arrive at the estimates for each budget category. The budget narrative should also indicate amounts to be made available to sub-recipient agencies (under Contractual/Contracts category) other than the direct award recipient. The following information is provided to assist the applicant in developing the budget narrative:

- a. *Personnel category.* List each position by title (and name of employee if available), show annual salary rate and percentage of time to be devoted to the project by the employee. Compensation paid for employees engaged in Federally assisted activities must be consistent with that paid for similar work in other activities of the applicant.
- b. *Fringe benefits category.* Indicate each type of benefit included and explain how the total cost allowable for employees assigned to the project is computed.
- c. *Travel category.* Itemize travel expenses of project personnel by purpose (e.g., faculty to training site, field interviews, advisory group meetings) and show basis or computation (e.g., "Five trips for x purpose at \$80 average cost \$50 transportation and two days per diem at \$15" or "Six people to 3-day meeting at \$70 transportation and \$45 subsistence.") In training projects where travel and subsistence for trainees is included, this should be separately listed indicating the number of trainees and the unit costs involved.
  - (1) Identify the tentative location of all training sessions, meetings, and other travel.
  - (2) Travel costs are allowable as expenses by employees who are in travel status on official business. These costs must be in accordance with the Federal or an organizationally-approved travel policy.
  - (3) Recipients may follow their own established travel rates. If a recipient does not have an established travel policy, the recipient must abide by the Federal travel policy. Sub-recipients of States must follow their State's established travel policy. If a State does not have an established travel policy, the sub-recipient must abide by the Federal travel rates.
- d. *Equipment.* List each type of equipment to be purchased or rented with unit or monthly costs.
- e. *Supplies.* List items within this category by major type (office supplies, training materials, research forms, postage) and show basis for computation. Provide unit or monthly estimates.

- f. *Contractual category.* State the selection basis for any contract, subcontract, prospective contract, or prospective subcontract (including construction services and equipment). Please note, applications that include noncompetitive contracts for the provision of specific services must contain a sole source justification for any procurement in excess of \$100,000.

For individuals to be reimbursed for personal services on a fee basis, list by name or type of consultant or service, the proposed fee (by day, week, or hour) and the amounts of time to be devoted to such services. For construction contracts and organization (including professional associations and education institutions performing professional services), indicate the type of service to be performed and the estimated contract cost data.

- g. *Construction category.* Describe construction or renovation which will be accomplished using funds awarded and the method used to calculate cost.
- h. *Other category.* Include under "other" such items as rent, reproduction, telephone, and janitorial or security services. List items by major type with basis of computation shown. (Provide square footage and cost per square foot for rent. Provide local and long distance telephone charges separately.)
- i. *Indirect charges category.* The Agency may accept an indirect cost rate previously approved for an applicant by a Federal agency. Applicants must enclose a copy of the approved rate agreement with the grant application.
- j. *Program income.* If applicable, provide a detailed estimate of the amount of program income to be generated during the grant period and its proposed application to reduce the cost of the project or to increase the scope of the project. Also, describe the source of program income, listing the rental rates to be obtained, sale prices of publications supported by grant funds, and registration fees charged for particular sessions. If scholarships (covering, for example, registration fees) are awarded by the organization to certain conference attendees, the application should identify the percentage of all attendees that are projected as "scholarship" cases and the precise criteria for their selection.

## **Attachment #2: Program Narrative**

### ***Status of Prior SJS Projects***

Applications must include the status of each award your SAC received in Fiscal Years 2003 through 2005. List by theme the project(s) and associated products you proposed to conduct/produce during the grant period. If any were significantly revised or replaced, briefly describe the revisions/replacements.

For each project, indicate the status of it by the following categories: Completed, In Process, or Revised/Replaced. For the last one, please indicate if it is Completed or In

Process. For each product, state if it has been Published, Presented at a Public Meeting, or otherwise Recognized by whatever means.

### ***Proposed projects***

The program narrative should fully describe the expected design and implementation of the proposed program. In developing the narrative, refer to the program design (permitted core and noncore activities) as described in the program announcement.

The narrative should include a timeline of activities indicating, for each proposed activity, the projected duration of the activity, expected completion date, and any products expected.

In addition, the application should include an explanation of the placement of the applicant agency within the State organization structure; a description of the roles and responsibilities of key organizational and/or functional components involved in project activities; and a list of key personnel responsible for managing and implementing the major elements of the program.

### **Additional Attachments: Other Program-related Requirements**

The following required documents should be submitted on-line through GMS as file attachments:

- Human Subjects Protection Certification of Compliance – The certification can be found at <http://www.ojp.usdoj.gov/bjs/hscr.htm>.
- Privacy Certificate - A Model Privacy Certificate and instructions may be found at <http://www.ojp.usdoj.gov/bjs/hscr.htm>.

### **Financial and Administrative Requirements**

Discretionary grants are governed by the provisions of OMB Circulars applicable to financial assistance. The circulars, in addition to the information and guidance in "OJP Financial Guide," are available from the Office of Justice Programs. The OJP Financial Guide is available on-line at <http://www.ojp.usdoj.gov/Finguide> and is designed to assist grantees in the administration of funds and includes information on allowable costs, methods of payment, audit requirements, accounting systems, and financial records.

Complete and accurate information is required relative to the application, expenditure of funds, and program performance. The consequences of failure to comply with program guidelines and requirements will be determined at the discretion of the Department of Justice.

### **Reporting Requirements**

**Semi-Annual Progress Reports.** Recipients are required to submit semi-annual progress reports online through GMS. The progress reports describe activities during the reporting period and the status or accomplishment of objectives as set forth in the approved award documents and/or subsequently approved project time lines. Progress reports must be submitted within 30 days after the end of the reporting periods, which are June 30 and December 31 for the life of the award.

A final report which provides a summary of progress toward achieving the goals of the grant, major project activities, significant results, and any products developed, is due 120 days after the end of the grant.

**Financial Status Reports.** Financial status reports (SF 269A) are due quarterly by the 45th day following the end of each calendar quarter. A report must be submitted online through GMS every full quarter that the award is active. The final report is due 120 days after the end date of the award.

Fund drawdowns and future awards may be withheld if progress and financial reports are delinquent.

### **Civil Rights Obligations**

All applicants for Federal financial assistance must review, accept, and "sign-off" on Certified Assurances that they are in compliance with the Federal laws and regulations which prohibit discrimination in any program or activity that receives such Federal funds. Section 809(c), Omnibus Crime Control & Safe Streets Act of 1968, 42 U.S.C. 3789d, provides that:

No person in any State shall on the grounds of race, color, religion, national origin, sex, [or disability]\* be excluded from participation in, be denied the benefits of, or be subjected to discrimination under, or denied employment in connection with any program or activity funded in whole or in part with funds made available under this title.

\*Section 504 of the Rehabilitation Act of 1973, and Title II of the Americans With Disabilities Act prohibit discrimination on the basis of disability.

The applicant agency must discuss how it will ensure nondiscriminatory practices as they relate to:

- (1) Delivery of Services or Benefits – to ensure that individuals will not be denied access to services or benefits under the program or activity on the basis of race, color, religion, national origin, gender, age, or disability;
- (2) Employment Practices – to ensure that its personnel in the program or activity are selected for employment without regard to race, color, religion, national

origin, gender, age, or disability; and

- (3) Program Participation – to ensure members of any planning, steering or advisory board, which is an integral part of the program or activity, are not excluded from participation on the basis of race, color, religion, national origin, gender, age or disability; and to encourage the selection of such members who are reflective of the diversity in the community to be served.

### **Audit Requirement**

On June 30, 1997, the Office of Management and Budget issued Circular A-133, "Audits of States, Local Governments and Non-Profit Organizations," which establishes regulations to implement the Single Audit Act of 1996. This Circular A-133 outlines the requirements for organizational audits which apply to BJS grantees.

Effective FY ending after December 31, 2003, non-Federal entities that expend \$500,000 or more in Federal funds (from all sources including passthrough subawards) in the organization fiscal year (12 month turnaround reporting period) shall have a single organization-wide audit conducted in accordance with the provisions of OMB Circular A-133.

Effective FY ending after December 31, 2003, non-Federal entities that expend less than \$500,000 a year in Federal awards are exempt from Federal audit requirements for that year. Records must be available for review or audit by appropriate officials including the Federal agency, pass-through entity, and General Accounting Office (GAO).

The audit reports will be due nine (9) months after the close of the recipient's fiscal year during the term of the award. The completed audit reports for State and local governments, institutions of higher learning, and non-profit institutions should be mailed to:

Federal Audit Clearinghouse  
United States Census Bureau  
1201 East 10th Street  
Jeffersonville, IN 47132

In addition, a copy of the transmittal letter should be mailed to the Office of Justice Programs at:

Office of the Comptroller  
Control Desk, Room 5303  
810 7th Street, NW  
Washington, DC 20531-0001

### **Disclosure of Federal Participation**

Section 8136 of the Department of Defense Appropriations Act (Stevens Amendment), enacted in October 1988, requires that, "when issuing statements, press releases for proposals, bid solicitations, and other documents describing projects or programs funded in whole or in part with Federal money, all grantees receiving Federal funds, including but not limited to State and local governments, shall clearly state:

- (1) the percentage of the total cost of the program or project which will be financed with Federal money; and
- (2) the dollar amount of Federal funds for the project or program."

### **Intergovernmental Review of Federal Programs**

Federal Executive Order 12372, "Intergovernmental Review of Federal Programs," allows States to establish a process for reviewing Federal programs in the State, to choose which programs they wish to review, to conduct such reviews, and to make their views known to the funding Federal agency through a State "single point of contact."

If the State has established a "single point of contact," and if the State has selected this program to be included in its review process, the applicant must send a copy of its letter or application to the State "single point of contact" at the same time that it is submitted to BJS. The letter or application submitted to BJS must indicate that this has been done. The State must complete its review within 60 days. The review period will begin on the date that the letter or application is officially received by BJS. If BJS does not receive comments from the State's "single point of contact" by the end of the review period, this will be interpreted as a "no comment" response.

If the State has not established a "single point of contact," or if it has not selected the BJS statistics development or criminal history improvement programs in its review process, this must be stated in the letter or application.

## Application Checklist State Justice Statistics Program

All applications must be electronically submitted through the Office of Justice Programs' Grants Management System (GMS), which can be accessed at <http://www.ojp.usdoj.gov/fundopps.htm>. Please use this checklist to make sure your application is complete. Your GMS application must include:

### Online Forms

\_\_\_\_\_ **Application for Federal Assistance (Standard Form 424).** This form is generated by completing the on-screen Overview, Applicant Information, and Project Information screens in GMS.

\_\_\_\_\_ **Assurances and Certifications.** The assurances and certifications must be reviewed and accepted electronically by the authorizing official or the designated authorizing official.

### Attachments (3)

\_\_\_\_\_ **Budget Detail Worksheet and Budget Summary (Attachment #1).** The Budget Detail Worksheet must present a detailed budget that itemizes all proposed costs and must include a budget narrative that provides justification for all proposed costs. A Budget Summary should also be included.

\_\_\_\_\_ **Program Narrative (Attachment #2).** The Program Narrative must include the following sections:

\_\_\_\_\_ Status of prior SJS projects

\_\_\_\_\_ Description of proposed projects

\_\_\_\_\_ Explanation of placement of the agency and key organization components involved in project activities.

\_\_\_\_\_ Key personnel

\_\_\_\_\_ **Other Program Requirements (Attachment #3).** All attachments must be in one file.

\_\_\_\_\_ Human Subjects Protection Certification of Compliance

\_\_\_\_\_ Privacy Certificate

Please refer to corresponding sections in the Program Announcement to determine specific content of each of these sections.