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**Bureau of Justice Statistics**

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

*Program Application Guidelines  
Fiscal Year 2000*



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

## **Program Application Guidelines Fiscal Year 2000**

**April 2000, NCJ 180969**

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

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# Fiscal Year 2000 Application Guidelines

## ***A. Purpose***

This program announcement describes the guidelines and requirements of the Fiscal Year 2000 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 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.

During the first 3 years of the SJS Program, BJS was pleased to have the Office of Juvenile Justice and Delinquency Prevention (OJJDP) as a partner in funding SACs to research and analyze the impact of changes in juvenile justice laws and practices. 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 has encouraged 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.

BJS's goal is to maintain and enhance each State's capacity to address criminal justice issues through collection and analysis of data. The State Justice Statistics program simplifies the process by which SACs can obtain funding, possibly in partnership with other agencies, from the full spectrum of funding available through BJS and other components of the Office of Justice Programs that pass funds to BJS to enhance the SJS program. BJS also continues to support those SACs located in States with a Safe Kids-Safe Streets program, administered by OJJDP, the Weed and Seed Office, and the Violence Against Women Act grant office.

## ***B. The SJS Program***

The State Justice Statistics (SJS) Program for Statistical Analysis Centers is oriented around issues and products. 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 and products it is encouraging (Section E, below) and asks applicants to give careful consideration to planning activities that fit within one or more of the designated topics. If a SAC does not feel

that any of the topics is 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.

### ***C. Background***

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, and conducting their justice system operations and evaluations.

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, which were 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 47 States, the District of Columbia, Puerto Rico, and the Northern Mariana Islands.

#### ***1. Goals of BJS Support for Statistical Analysis Centers***

- 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.

#### ***2. Objectives of the SJS Program***

Provide support to the SACs to:

- participate in projects whose research, data collection, and analysis is coordinated across states and which results in publications;
- produce statistical reports on crime, criminal offenders, and the justice system;

- develop improved justice statistical and information systems and maintain data service functions in the State; and
- support BJS data-gathering efforts in individual States.

#### ***D. Support to Established SACs***

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 advice; the purpose of this requirement is to foster cooperation within the State among agencies working on related BJS- or OJP-funded activities, but BJS will assist applicants in avoiding cumbersome administrative arrangements. Activities in the SJS program include:

1. Collecting, analyzing, and publishing criminal justice data;
2. Analyzing data in support of public policy, especially on themes identified in Section E of 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 Justice Research and Statistics Association (JRSA), 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;
9. Providing technical assistance in the collection, interpretation, utilization, and sharing of statistical information.

Travel funds for this program should be used primarily for such activities within the State as data collection, providing technical assistance and training, liaison with other organizations, and conducting statistical analysis. Travel to attend the annual Bureau of Justice Statistics (BJS)/Justice Research and Statistics Association (JRSA) national conference is limited to one person each year, unless BJS specifically authorizes additional conference travel.

Because of the limited funds available for each State, the use of program funds for indirect costs is discouraged. All grant funds should be used to achieve specific program objectives.

### ***E. Themes for the Fiscal Year 2000 SJS Cycle***

SACs applying for funds under this announcement may choose from among the themes listed below. 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 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 will be revised each year with the issuance of the new fiscal year program announcement. In some instances, the revised list of themes may be mailed to SACs and other participating agencies separately in advance of the release of the program announcement. The new list will also be posted to the BJS World Wide Web site on the Internet ([www.ojp.usdoj.gov/bjs/](http://www.ojp.usdoj.gov/bjs/)), so SACs with access to the Internet can learn of them in that manner as well.

As other OJP budget and priority developments evolve, additional funding may be available for one or more of the theme topics. The first theme in each funding cycle's list is BJS's highlighted topic for the fiscal year; we strongly urge each State to consider this theme since BJS will be making extra efforts to generate a nationally visible document based on it. If you choose the highlighted topic and it carries additional funding, we suggest that you contact your BJS program manager for additional guidance before submitting an application.

These are the themes/topics applicable to Fiscal Year 2000 of the SJS Program:

**2000A. State and local victimization surveys which are compatible with BJS' National Crime Victimization Survey (NCVS), to include costs associated with sample selection, survey protocols, data collection, data tabulations, analysis and dissemination.**

Supplemental funding will be available for SACs to conduct state level and/or local crime victimization surveys. SACs receiving funds under this theme must agree to use the BJS developed *Crime Victimization Survey Software*, which can be easily modified to meet

State/local priorities and requirements. SACs can download and review the software by going to [www.ojp.usdoj.gov/bjs/abstract/cvs.htm](http://www.ojp.usdoj.gov/bjs/abstract/cvs.htm). Technical assistance in the application of the software can be obtained at [askevs.ncjr.org](http://askevs.ncjr.org).

BJS encourages SACs to establish partnerships with cities or counties that may wish to conduct victimization and citizen attitude surveys on their own or in cooperation with SACs. This can occur in various forms, either by having the SAC be responsible for the conduct of the survey, or by the SAC providing technical assistance in the design of the survey, providing analytical services, disseminating survey results, etc.. SACs receiving SJS funds under this theme agree to make anonymous survey data available upon request to BJS and the public.

BJS also seeks a SAC to design and produce a report-generating program which would be used by other SACs and organizations which conduct state/local victimization surveys using the CVS software. One SAC will be selected through a competitive process. SACs which wish to be considered should submit a separate application to BJS by October 31, 2000. BJS plans to make an award to the SAC for this specific project by January 15, 2001.

**2000B. Analysis of criminal history records (such as for patterns of criminal behavior or stalking), offender tracking/system flow studies, evaluation or review of the State's criminal history record improvement activities, or studies related to handgun use.** Applications choosing this topic are eligible for funding higher than the otherwise normal award amount and must show separately the budgeted expenditures for

this item. At most one topic may be proposed in this topic area. 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.

**2000C. Domestic and sexual violence data collection and analysis, including victims and offenders, the impact of arrest and arrest policies, prosecution and sentencing policies, and related patterns and trends.** Supplemental funding will be available for studies based on records/information contained in Sex Offender Registries, which can include the identification of the characteristics of sexual predators, patterns of recidivism, issues of offender mobility, especially across state boundaries, and analysis of sexual offender community notification systems. Applications choosing this topic are eligible for funding other than the otherwise normal award amount and must show separately the budgeted expenditures for this task. At most one topic may be proposed in this topic area. The application must either state that the applicant is also the State's administrator of funds awarded by BJS to establish or enhance the state's sex offender registry or include a letter or memorandum of endorsement from the State agency administering funds for establishment or enhancement of the State's sex offender registry.

**2000D. Drug control and drug abuse monitoring and studies related to drug abuse monitoring, studies related to the relationship between drugs and violent crime, gun use by offenders under the influence of drugs, driving under the influence of drugs (licit or illicit), drug courts, treatment, and evaluation of drug control programs and strategies.**



**2000E. Internet infrastructure development and linkages, including building a World Wide Web site, computer support, and preparing reports for dissemination via the Internet.** Applicants may select an existing Internet server as the location for their site; if such an arrangement is impractical, applicants should contact BJS and JRSA in preparing their applications so that appropriate Internet site locations can be made available to SACs.

It is recommended that applicants receiving funds for this theme confer with BJS staff who manage the BJS web site.

**2000F. Research using incident-based crime data that are compatible with the National Incident-Based Reporting System.** In Fiscal Year 2000, supplemental funding is available for this theme. Successful applicants agree, when asked, to participate in feedback sessions convened by BJS regarding table structures, coding conventions, and other topics related to data analysis, presentation, and dissemination.

**2000G. Corrections studies related to changing sentencing policies, including risk assessment, performance measures, truth in sentencing, and population analysis or projections.** Applications including this theme must include documentation demonstrating support and/or cooperation of the State agency that administers grants from the Office of Justice Programs' Corrections Program Office.

**2000H. Juvenile justice and violence, including offenders, interactions with the**

**adult criminal justice system, gangs, drugs and gangs, and the impact of trends.**

Applications including this theme must identify State agencies responsible for statistical data about juvenile offenders, if any, and include documentation demonstrating support and/or cooperation with such agencies.

**2000I. Any theme or topic that is identified by the SAC applicant** and is accompanied by persuasive documentation and justification that the subject is a top priority for the State's Governor or criminal justice policy officials.

### ***F. 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 (State Police, Department of Corrections, Administrative Office of the Courts, etc.), special provisions must be made to ensure the SAC's broad mission, objectivity, independence, and visibility. These provisions must be documented in each application for funding. Examples of such provisions are letters of agreement from agencies that deal with other aspects of criminal justice in the State, or a SAC advisory board that includes policy-level officials of such agencies. The SAC must inform BJS of any substantive changes in these provisions, such as changes in

the 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 SAC's 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 statistical treatment of data for policy analyses and 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.

### ***G. 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; the proposed strategy for achieving them, including anticipated products; and an evaluation of the project.

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; and
6. Past record of applicant's performance with previous awards, including quality of work, completeness, and adherence to schedules.
7. The extent to which the program narrative addresses specific objectives of the SJS program, and the dollar resources needed to achieve them.

### ***H. 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.

### ***I. Award Amount***

No minimum or maximum amount is established for an award. While the amount of past SAC awards may be used as a guide when preparing the application, sufficiently strong justification of tasks and activities could result in an award greater than that in the past; a weak justification may result in a smaller award. Each award is intended to supplement State financial support of the SAC.

### ***J. 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 2000, applications should be received by BJS ***no later than*** June 30, 2000. Applications received after June 30th may be deferred until the next fiscal year, beginning October 1, 2000.

A SAC may apply for funding at any time for a theme which carries additional dollar resources if, at the time it submitted its normal annual application, that theme had not been identified as such. This means, for example, that a SAC which submitted its application prior to the issuing of this announcement and now wants to pursue activities related to Themes 2000A, 2000B, 2000C or 2000F, may apply for a supplemental award up until such time as a new announcement is released.

### ***K. Protection of Human Subjects and Privacy Certificate***

U.S. Department of Justice Regulation 28 CFR Section 22.23 requires that a BJS Screening Sheet for Protection of Human Subjects and a Privacy Certificate be submitted to BJS as part of any application for a project in which information identifiable to a private person will be collected for research or statistical purposes. Please see Appendix C at the end of this announcement for instructions and copies of the Human Subjects Checklist and the Privacy Certificate. Please be sure that these documents are included with your application when required. Additional copies can be downloaded from [www.ojp.usdoj.gov/bjs/apply.htm](http://www.ojp.usdoj.gov/bjs/apply.htm).

### ***L. Contact***

For further information, contact Paul White, SJS Program Manager, at (202) 307-0771, or your State program manager.

# **APPENDIX A**

## **Application and Administrative Requirements**

## ***Application Content***

All applicants must submit:

- Standard Form 424, Application for Federal Assistance
- Budget Detail Worksheet (replaced the Standard Form 424A, Budget Information)
- OJP Form 4000/3 (Rev. 1-93), Assurances
- OJP Form 4061/6 Certifications

and, when necessary:

- BJS Screening Sheet for Protection of Human Subjects
- Privacy Certificate

Copies of these forms are provided in the Appendix B of this application package. Additional copies can be downloaded from [www.ojp.usdoj.gov/bjs/apply.htm](http://www.ojp.usdoj.gov/bjs/apply.htm).

Applicants are requested to submit an original and two copies of the application and certifications to the following address:

**Application Coordinator**  
**Bureau of Justice Statistics**  
**810 7th Street, NW**  
**Washington, DC 20531**  
**Phone: (202) 616-3500**

**Standard Form 424 (SF-424).** The SF-424, a 1- page sheet with 18 items, serves as a cover sheet for the entire application. This form is required for every application for Federal assistance. No application can be accepted without a completed, signed original SF-424. Directions to complete each item are included on the back of the form.

**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 to complete the project.

**Budget Narrative.** The budget narrative closely follows the content of the detailed budget. The narrative should relate the items budgeted to project activities and allowable cost categories and should provide a justification and explanation for the budgeted items including the criteria and data used to arrive at the estimates for each budget category. 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.

**Program Narrative.** All applications must include a program narrative which fully describes 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.

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.

**Assurances.** OJP Form 4000/3 (Rev 1-93) must be included in the application submission. If submitting this form separate from the SF-424, the applicant must sign and date the form to certify compliance with the Federal statutes, regulations, and requirements as cited.

**Certification Regarding Lobbying; Debarment, Suspension, and Other Responsibility Matters; and Drug-Free Workplace.** Applicants should refer to the regulations cited in OJP Form, 4061/6 to determine the certification to which they are required to attest. A copy of OJP Form 4061/6 is provided in Appendix B of this application package. Applicants

should also review the instructions for certification included in the regulations before completing this form. Signature of this form provides for compliance with certification requirements under 28 CFR Part 69, "New Restrictions on Lobbying," and 28 CFR Part 67, "Government-wide Debarment and Suspension (Nonprocurement) and Government-wide Requirements for Drug-Free Workplace (Grants)." The certifications shall be treated as a material representation of fact upon which reliance will be placed when the U.S. Department of Justice determines to award the covered transaction, grant, or cooperative agreement.

### ***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. This guideline manual, provided upon request, is intended 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. 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 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. An original and two copies of all reports must be sent to the Office of the Comptroller, Control Desk, Room 5303, 810 7th Street, NW, Washington, D.C. 20531-0001.

## ***Civil Rights Obligations***

All applicants for Federal financial assistance must sign 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 ground 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 identical 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***

State and Local Governments and Non-Profit Organizations are now governed by OMB Circular A-133, titled "Audits of States, Local Governments and Non-Profit Organizations." In July 1996, the President signed an amendment to the Single Audit Act of 1984 which:

- (1) mandates one audit circular for both State and local governments, institutions of higher education, and other non-profit organizations;
- (2) raises the audit threshold for all entities to \$300,000 of federal funds **expended** (this requirement is effective for audits conducted for fiscal years beginning on or after **July 1, 1996**); and
- (3) requires the submission of the audit report within nine (9) months from the end of the audit cycle (this requirement is effective for audits conducted for fiscal years beginning on or after **July 1, 1998**).

The completed audit reports should be

mailed to the Federal Audit Clearinghouse, Bureau of the Census, 1201 East 10th Street, Jeffersonville, IN 7132. In addition, a copy of the transmittal letter should be mailed to the Office of Justice Programs, Office of the Comptroller, Control Desk, at the address shown above.

### ***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.

# **APPENDIX B**

## **Application Forms**

# APPLICATION FOR FEDERAL ASSISTANCE

<b>1. TYPE OF SUBMISSION:</b> <i>Application</i> <input type="checkbox"/> Construction <input type="checkbox"/> Non-Construction	<i>Preapplication</i> <input type="checkbox"/> Construction <input type="checkbox"/> Non-Construction	2. DATE SUBMITTED Applicant Identifier
		3. DATE RECEIVED BY STATE State Application Identifier
		4. DATE RECEIVED BY FEDERAL AGENCY Federal Identifier

**5. APPLICANT INFORMATION**

Legal Name:	Organizational Unit:
Address (give city, county, state, and zip code):	Name and telephone number of the person to be contacted on matters involving this application (give area code)

6. EMPLOYER IDENTIFICATION NUMBER (EIN): <table style="width:100%; border-collapse: collapse;"> <tr> <td style="border: 1px solid black; width: 20px; height: 20px;"></td> <td style="border: 1px solid black; width: 20px; height: 20px;"></td> <td style="border: 1px solid black; width: 20px; height: 20px;"></td> <td style="border: 1px solid black; width: 20px; height: 20px;"></td> <td style="border: 1px solid black; width: 20px; height: 20px;"></td> <td style="border: 1px solid black; width: 20px; height: 20px;"></td> <td style="border: 1px solid black; width: 20px; height: 20px;"></td> <td style="border: 1px solid black; width: 20px; height: 20px;"></td> <td style="border: 1px solid black; width: 20px; height: 20px;"></td> <td style="border: 1px solid black; width: 20px; height: 20px;"></td> <td style="border: 1px solid black; width: 20px; height: 20px;"></td> <td style="border: 1px solid black; width: 20px; height: 20px;"></td> <td style="border: 1px solid black; width: 20px; height: 20px;"></td> <td style="border: 1px solid black; width: 20px; height: 20px;"></td> <td style="border: 1px solid black; width: 20px; height: 20px;"></td> <td style="border: 1px solid black; width: 20px; height: 20px;"></td> <td style="border: 1px solid black; width: 20px; height: 20px;"></td> <td style="border: 1px solid black; width: 20px; height: 20px;"></td> <td style="border: 1px solid black; width: 20px; height: 20px;"></td> <td style="border: 1px solid black; width: 20px; height: 20px;"></td> </tr> </table>																					7. TYPE OF APPLICANT: (enter appropriate letter in box) <input type="checkbox"/> A. State B. County C. Municipal D. Township E. Interstate F. Intermunicipal G. Special District H. Independent School Dist. I. State Controlled Institution of Higher Learning J. Private University K. Indian Tribe L. Individual M. Profit Organization N. Other (Specify): _____

8. TYPE OF APPLICATION: <input type="checkbox"/> New <input type="checkbox"/> Continuation <input type="checkbox"/> Revision  If Revision, enter appropriate letter(s) in box(es): <input type="checkbox"/> <input type="checkbox"/> A. Increase Award    B. Decrease Award    C. Increase Duration D. Decrease Duration    Other (specify): _____	9. NAME OF FEDERAL AGENCY:
-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------	----------------------------

10. CATALOG OF FEDERAL DOMESTIC ASSISTANCE NUMBER: <table style="width:100%; border-collapse: collapse;"> <tr> <td style="border: 1px solid black; width: 20px; height: 20px;"></td> <td style="border: 1px solid black; width: 20px; height: 20px;"></td> <td style="border: 1px solid black; width: 20px; height: 20px;"></td> <td style="border: 1px solid black; width: 20px; height: 20px;"></td> <td style="border: 1px solid black; width: 20px; height: 20px;"></td> <td style="border: 1px solid black; width: 20px; height: 20px;"></td> <td style="border: 1px solid black; width: 20px; height: 20px;"></td> <td style="border: 1px solid black; width: 20px; height: 20px;"></td> <td style="border: 1px solid black; width: 20px; height: 20px;"></td> <td style="border: 1px solid black; width: 20px; height: 20px;"></td> </tr> </table> TITLE:											11. DESCRIPTIVE TITLE OF APPLICANT'S PROJECT:
12. AREAS AFFECTED BY PROJECT (cities, counties, states, etc.):											

13. PROPOSED PROJECT: <table style="width:100%; border-collapse: collapse;"> <tr> <td style="border: 1px solid black; width: 30%; height: 20px;">Start Date</td> <td style="border: 1px solid black; width: 30%; height: 20px;">Ending Date</td> </tr> </table>	Start Date	Ending Date	14. CONGRESSIONAL DISTRICTS OF: a. Applicant b. Project
Start Date	Ending Date		

15. ESTIMATED FUNDING:	16. IS APPLICATION SUBJECT TO REVIEW BY STATE EXECUTIVE ORDER 12372 PROCESS?																												
<table style="width:100%; border-collapse: collapse;"> <tr> <td style="border: 1px solid black; width: 20%; padding: 2px;">a. Federal</td> <td style="border: 1px solid black; width: 10%; padding: 2px;">\$</td> <td style="border: 1px solid black; width: 10%; padding: 2px;"></td> <td style="border: 1px solid black; width: 10%; padding: 2px;">.00</td> </tr> <tr> <td style="border: 1px solid black; padding: 2px;">b. Applicant</td> <td style="border: 1px solid black; padding: 2px;">\$</td> <td style="border: 1px solid black; padding: 2px;"></td> <td style="border: 1px solid black; padding: 2px;">.00</td> </tr> <tr> <td style="border: 1px solid black; padding: 2px;">c. State</td> <td style="border: 1px solid black; padding: 2px;">\$</td> <td style="border: 1px solid black; padding: 2px;"></td> <td style="border: 1px solid black; padding: 2px;">.00</td> </tr> <tr> <td style="border: 1px solid black; padding: 2px;">d. Local</td> <td style="border: 1px solid black; padding: 2px;">\$</td> <td style="border: 1px solid black; padding: 2px;"></td> <td style="border: 1px solid black; padding: 2px;">.00</td> </tr> <tr> <td style="border: 1px solid black; padding: 2px;">e. Other</td> <td style="border: 1px solid black; padding: 2px;">\$</td> <td style="border: 1px solid black; padding: 2px;"></td> <td style="border: 1px solid black; padding: 2px;">.00</td> </tr> <tr> <td style="border: 1px solid black; padding: 2px;">f. Program Income</td> <td style="border: 1px solid black; padding: 2px;">\$</td> <td style="border: 1px solid black; padding: 2px;"></td> <td style="border: 1px solid black; padding: 2px;">.00</td> </tr> <tr> <td style="border: 1px solid black; padding: 2px;">g. TOTAL</td> <td style="border: 1px solid black; padding: 2px;">\$</td> <td style="border: 1px solid black; padding: 2px;"></td> <td style="border: 1px solid black; padding: 2px;">.00</td> </tr> </table>	a. Federal	\$		.00	b. Applicant	\$		.00	c. State	\$		.00	d. Local	\$		.00	e. Other	\$		.00	f. Program Income	\$		.00	g. TOTAL	\$		.00	a. YES. THIS PREAPPLICATION/APPLICATION WAS MADE AVAILABLE TO THE STATE EXECUTIVE ORDER 12372 PROCESS FOR REVIEW ON:  DATE _____  b. NO. <input type="checkbox"/> PROGRAM IS NOT COVERED BY E.O. 12372 <input type="checkbox"/> OR PROGRAM HAS NOT BEEN SELECTED BY STATE FOR REVIEW
a. Federal	\$		.00																										
b. Applicant	\$		.00																										
c. State	\$		.00																										
d. Local	\$		.00																										
e. Other	\$		.00																										
f. Program Income	\$		.00																										
g. TOTAL	\$		.00																										
17. IS THE APPLICANT DELINQUENT ON ANY FEDERAL DEBT? <input type="checkbox"/> Yes    If "Yes," attach an explanation. <input type="checkbox"/> No																													

18. TO THE BEST OF MY KNOWLEDGE AND BELIEF, ALL DATA IN THIS APPLICATION/PREAPPLICATION ARE TRUE AND CORRECT, THE DOCUMENT HAS BEEN DULY AUTHORIZED BY THE GOVERNING BODY OF THE APPLICANT AND THE APPLICANT WILL COMPLY WITH THE ATTACHED ASSURANCES IF THE ASSISTANCE IS AWARDED

a. Typed Name of Authorized Representative	b. Title	c. Telephone number
d. Signature of Authorized Representative		e. Date Signed

## Instructions for Completion of the Application for Federal Assistance (SF 424)

The Application for Federal Assistance is a standard form used by most Federal agencies. This form contains 18 different items, which are to be completed before submission. All applications should include a completed and signed SF 424.

Item	Instructions
1	<b>Type of Submission:</b> If this proposal is not for construction or building purposes, check “Non-Construction”.
2	<b>Date Submitted:</b> Indicate the date you sent the application to OJP. The “Application Identifier” is the number assigned by your jurisdiction, if any. If your jurisdiction does not assign an identifier number, leave this space blank.
3	<b>Date Received by State:</b> Leave blank. This block is completed by the State single point of contact, if applicable.
4	<b>Date Received by Federal Agency:</b> This item will be completed by OJP.
5	<b>Applicant Information:</b> The “Legal Name” is the unit of government of the parent organization. For example, the primary or parent organization of a law enforcement agency is the name of the city or township. Thus the city or township should be entered into the Legal Name box and the name of the law enforcement agency would be entered into the Organizational Unit box. Designate one person as the contact, and include their telephone number.
6	<b>Employer Identification Number:</b> Each employer receives an employer identification number from the Internal Revenue Service. Generally, this number can be easily obtained from your agency’s accountant or comptroller.
7	<b>Type of Applicant:</b> Enter the appropriate letter in this space. If the applicant is representing a consortium of agencies, specify by checking Block N and entering “consortium”.
8	<b>Type of Application:</b> Check either “new” or “continuation”. Check new if this will be your first award for this purpose described in the application, even if the applicant has received prior awards for other purposes. Check “continuation”, if the project will continue activities of a project, that was begun under a prior award.
9	<b>Name of Federal Agency:</b> Type in the name of the awarding agency, such as “Bureau of Justice Assistance”.
10	<b>Catalog of Federal Domestic Assistance Number:</b> This would be contained in the program announcement. An example would be 16,____.
11	<b>Descriptive Title of Applicants Project:</b> Type in the: (1) title of the program as it appears in the solicitation or announcement; (2) name of the cognizant Federal agency, ex. U. S. Department of Education; and (3) applicant’s fiscal year, i.e. twelve month audit period, ex: 10/1/95 - 9/30/96.
12	<b>Areas Affected by Project:</b> Identify the geographic area(s) of the project. Indicate “Statewide” or “National”, if applicable.
13	<b>Proposed Project Dates:</b> Fill in the proposed begin and end dates of the project.
14	<b>Congressional Districts:</b> Fill in the Congressional Districts in which the project will be located as well as the Congressional District(s) the project will serve. Indicate “Statewide” or “National”, if applicable.
15	<b>Estimated Funding:</b> In line “a,” enter the Federal funds requested, not to exceed the dollar amount allocated in the program announcement. Indicate any other resources that will available to the project and the source of those funds on lines “b-f,” as appropriate.
16	<b>State Executive Order 12372:</b> Some states require you to submit your application to a State “Single Point of Contact” (SPOC) to coordinate applications for Federal funds. If your State requires a copy of your application, indicate the date submitted. If a copy is not required, indicate the reason. (Refer to the “Administrative Requirements” section of the program announcement, for more information.) The SPOC is not responsible for forwarding your application.
17	<b>Delinquent Federal Debt:</b> This question applies to the applicant organization. Categories of debt include delinquent audit allowances, loans, and taxes.
18	<b>Authorized Representative:</b> Type the name of the person legally authorized to enter into agreements on behalf of your agency. This signature on the original application must be signed in blue ink and/or stamped as “original” to help identify the original.

### Budget Detail Worksheet

**Purpose:** The Budget Detail Worksheet may be used as a guide to assist you in the preparation of the budget and budget narrative. You may submit the budget and budget narrative using this form or in the format of your choice (plain sheets, your own form, or a variation of this form). However, all required information (including the budget narrative) must be provided. Any category of expense not applicable to your budget may be deleted.

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**A. Personnel** - List each position by title and name of employee, if available. Show the annual salary rate and the percentage of time to be devoted to the project. Compensation paid for employees engaged in grant activities must be consistent with that paid for similar work within the applicant organization.

**Name/Position**

**Computation**

**Cost**

**TOTAL** \_\_\_\_\_

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**B. Fringe Benefits** - Fringe benefits should be based on actual known costs or an established formula. Fringe benefits are for the personnel listed in budget category (A) and only for the percentage of time devoted to the project. Fringe benefits on overtime hours are limited to FICA, Workman's Compensation, and Unemployment Compensation.

<b>Name/Position</b>	<b>Computation</b>	<b>Cost</b>
		<b>TOTAL</b> _____
<b>Total Personnel &amp; Fringe Benefits</b>		_____

**C. Travel** - Itemize travel expenses of project personnel by purpose (e.g., staff to training, field interviews, advisory group meeting, etc.). Show the basis of computation (e.g., six people to 3-day training at \$X airfare, \$X lodging, \$X subsistence). In training projects, travel and meals for trainees should be listed separately. Show the number of trainees and unit costs involved. Identify the location of travel, if known. Indicate source of Travel Policies applied, Applicant or Federal Travel Regulations.

<u><b>Purpose of Travel</b></u>	<u><b>Location</b></u>	<u><b>Item</b></u>	<u><b>Computation</b></u>	<u><b>Cost</b></u>
				<b>TOTAL</b> _____

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**D. Equipment** - List non-expendable items that are to be purchased. (Note: Organization's own capitalization policy for classification of equipment should be used). Expendable items should be included in the "Supplies" category. Applicants should analyze the cost benefits of purchasing versus leasing equipment, especially high cost items and those subject to rapid technical advances. Rented or leased equipment costs should be listed in the "Contractual" category. Explain how the equipment is necessary for the success of the project. Attach a narrative describing the procurement method to be used.

<b>Item</b>	<b>Computation</b>	<b>Cost</b>
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**TOTAL** \_\_\_\_\_

**E. Supplies** - List items by type (office supplies, postage, training materials, copying paper, and



other expendable items such as books, hand held tape recorders) and show the basis for computation. Generally, supplies include any materials that are expendable or consumed during the course of the project.

Supply Items	Computation	Cost
		<b>TOTAL</b> _____

**F. Construction** - As a rule, construction costs are not allowable. In some cases, minor repairs or renovations may be allowable. Consult with the program office before budgeting funds in this category.

Purpose	Description of Work	Cost
		<b>TOTAL</b> _____

**G. Consultants/Contracts** - Indicate whether applicant's formal, written Procurement Policy or the Federal Acquisition Regulations are followed.

**Consultant Fees:** For each consultant enter the name, if known, service to be provided, hourly or

daily fee (8-hour day), and estimated time on the project. Consultant fees in excess of \$450 per day require additional justification and prior approval from OJP.

Name of Consultant	Service Provided	Computation	Cost
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Subtotal \_\_\_\_\_

**Consultant Expenses:** List all expenses to be paid from the grant to the individual consultant in addition to their fees (i.e., travel, meals, lodging, etc.)

Item	Location	Computation	Cost
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Subtotal \_\_\_\_\_

**Contracts:** Provide a description of the product or services to be procured by contract and an estimate of the cost. Applicants are encouraged to promote free and open competition in awarding contracts. A separate justification must be provided for sole source contracts in excess of \$100,000.

Item	Cost
------	------

Subtotal \_\_\_\_\_

**TOTAL** \_\_\_\_\_

**H. Other Costs** - List items (e.g., rent, reproduction, telephone, janitorial or security services, and investigative or confidential funds) by major type and the basis of the computation. For example, provide the square footage and the cost per square foot for rent, and provide a monthly rental cost and how many months to rent.

Description	Computation	Cost
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**TOTAL** \_\_\_\_\_

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**I. Indirect Costs** - Indirect costs are allowed only if the applicant has a Federally approved indirect cost rate. A copy of the rate approval, ( a fully executed, negotiated agreement), must be attached. If the applicant does not have an approved rate, one can be requested by contacting the applicant's 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 costs categories.

<b>Description</b>	<b>Computation</b>	<b>Cost</b>
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**TOTAL** \_\_\_\_\_

**Budget Summary** - When you have completed the budget worksheet, transfer the totals for each category to the spaces below. Compute the total direct costs and the total project costs. Indicate the amount of Federal requested and the amount of non-Federal funds that will support the project.

<b>Budget Category</b>	<b>Amount</b>
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- A. Personnel
- B. Fringe Benefits \_\_\_\_\_
- C. Travel \_\_\_\_\_
- D. Equipment \_\_\_\_\_
- E. Supplies \_\_\_\_\_
- F. Construction \_\_\_\_\_
- G. Consultants/Contracts \_\_\_\_\_
- H. Other \_\_\_\_\_
- Total Direct Costs** \_\_\_\_\_
- I. Indirect Costs \_\_\_\_\_
- TOTAL PROJECT COSTS** \_\_\_\_\_

**Federal Request** \_\_\_\_\_

**Non-Federal Amount** \_\_\_\_\_

## Budget Detail Worksheet

**Purpose:** The Budget Detail Worksheet may be used as a guide to assist you in the preparation of the budget and budget narrative. You may submit the budget and budget narrative using this form or in the format of your choice (plain sheets, your own form, or a variation of this form). However, all required information (including the budget narrative) must be provided. Any category of expense not applicable to your budget may be deleted.

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(Example assumes a one year budget period and 25% cash match requirement)

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**A. Personnel** - List each position by title and name of employee, if available. Show the annual salary rate and the percentage of time to be devoted to the project. Compensation paid for employees engaged in grant activities must be consistent with that paid for similar work within the applicant organization.

Name/Position	Computation	Cost
John Smith, Investigator	$(\$50,000 \times 100\%)$	\$ 50,000
2 Investigators	$(\$50,000 \times 100\% \times 2)$	\$100,000
Secretary	$(\$30,000 \times 50\%)$	<u>\$ 15,000</u>
		\$165,000
Cost of living increase	$(\$165,000 \times 2\% \times .5\text{yr.})$	\$ 1,650
Overtime per investigator	$(\$37.50/\text{hr} \times 100 \text{ hrs.} \times 3)$	\$ 11,250

The three investigators will be assigned exclusively to homicide investigations. A 2% cost of living adjustment is scheduled for all full-time personnel 6-months prior to the end of the grant. Overtime will be needed during some investigations. A half-time secretary will prepare reports and provide other support to the unit.

**TOTAL**      **\$177,900**

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**B. Fringe Benefits** - Fringe benefits should be based on actual known costs or an established formula. Fringe benefits are for the personnel listed in budget category (A) and only for the percentage of time devoted to the project. Fringe benefits on overtime hours are limited to FICA, Workman's Compensation, and Unemployment Compensation.

<b>Name/Position</b>	<b>Computation</b>	<b>Cost</b>
Employer's FICA	(\$177,900 x 7.65%)	\$ 13,609
Retirement	* (\$166,650 x 6%)	\$ 9,999
Uniform Allowance	(\$50 mo. x 12 mo. x 3)	\$ 1,800
Health Insurance	* (\$166,650 x 12%)	\$ 19,998
Workman's Compensation	(\$177,900 x 1%)	\$ 1,779
Unemployment Compensation	(\$177,900 x 1%)	\$ 1,779

\* (\$177,900 less \$11,250) **TOTAL** \$ 48,964

**Total Personnel & Fringe Benefits** \$226,864

**C. Travel** - Itemize travel expenses of project personnel by purpose (e.g., staff to training, field interviews, advisory group meeting, etc.). Show the basis of computation (e.g., six people to 3-day training at \$X airfare, \$X lodging, \$X subsistence). In training projects, travel and meals for trainees should be listed separately. Show the number of trainees and unit costs involved. Identify the location of travel, if known. Indicate source of Travel Policies applied, Applicant or Federal Travel Regulations.

<b><u>Purpose of Travel</u></b>	<b><u>Location</u></b>	<b><u>Item</u></b>	<b><u>Computation</u></b>	<b><u>Cost</u></b>
Training	Boston	Airfare	(\$150 x 2 people x 2 trips)	\$ 600
		Hotel	(\$75/night x 2 nights x 2 people x 2 trips)	\$ 600
		Meals	(\$35/day x 3 days x 2 people x 2 trips)	\$ 420
Investigations	New York City	Airfare	(\$600 average x 7)	\$4,200
		Hotel & Meals	(\$100/day average x 7 x 3 days)	\$2,100

Two of the investigators will attend training on forensic evidence gathering in Boston in October and January. The investigators may take up to seven trips to New York City to follow up investigative leads. Travel estimates are based upon applicant's formal written travel policy.

**TOTAL                    \$7,920**

**D. Equipment** - List non-expendable items that are to be purchased. (Note: Organization's own capitalization policy for classification of equipment should be used). Expendable items should be included in the "Supplies" category. Applicants should analyze the cost benefits of purchasing versus leasing equipment, especially high cost items and those subject to rapid technical advances. Rented or leased equipment costs should be listed in the "Contractual" category. Explain how the equipment is necessary for the success of the project. Attach a narrative describing the procurement method to be used.

Item	Computation	Cost
3 - 486 Computer w/CD ROM	(\$2,000 x 3 )	\$6,000
Video Camera		1,000

The computers will be used by the investigators to analyze case and intelligence information. The camera will be used for investigative and crime scene work.

**TOTAL                    \$7,000**

**E. Supplies** - List items by type (office supplies, postage, training materials, copying paper, and other expendable items such as books, hand held tape recorders) and show the basis for

computation. Generally, supplies include any materials that are expendable or consumed during the course of the project.

<b>Supply Items</b>	<b>Computation</b>	<b>Cost</b>
Office Supplies	(\$50/mo x 12 mo)	\$ 600
Postage	(\$20/mo x 12 mo)	240
Training Materials	(\$2/set x 500 sets)	1,000

Office supplies and postage are needed for general operation of the program. Training materials will be developed and used by the investigators to train patrol officers how to preserve crime scene evidence.

**TOTAL            \$1,840**

**F. Construction** - As a rule, construction costs are not allowable. In some cases, minor repairs or renovations may be allowable. Consult with the program office before budgeting funds in this category.

<b>Purpose</b>	<b>Description of Work</b>	<b>Cost</b>
Renovation	Add walls	\$5,000
	Build work tables	3,000
	Build evidence storage units	2,000

**TOTAL            \$10,000**

The renovations are needed to upgrade the forensic lab used to analyze evidence for homicide cases.

**G. Consultants/Contracts** - Indicate whether applicant's formal, written Procurement Policy or the Federal Acquisition Regulations are followed.



**Consultant Fees:** For each consultant enter the name, if known, service to be provided, hourly or daily fee (8-hour day), and estimated time on the project. Consultant fees in excess of \$450 per day require additional justification and prior approval from OJP.

Name of Consultant	Service Provided	Computation	Cost
John Doe	Forensic Specialist	(\$150/day x 30 days)	\$4,500

John Doe, Forensic Specialist, will be hired, as needed, to assist with the analysis of evidence in homicide cases.

Subtotal \$4,500

**Consultant Expenses:** List all expenses to be paid from the grant to the individual consultant in addition to their fees (i.e., travel, meals, lodging, etc.)

Item	Location	Computation	Cost
Airfare	Miami	(\$400 x 6 trips)	\$2,400
Hotel and Meals		(\$100/day x 30 days)	3,000

Joe Doe is expected to make up to 6 trips to Miami to consult on homicide cases.

Subtotal \$5,400

**Contracts:** Provide a description of the product or services to be procured by contract and an estimate of the cost. Applicants are encouraged to promote free and open competition in awarding contracts. A separate justification must be provided for sole source contracts in excess of \$100,000.

Item	Cost
Intelligence System Development	\$102,000

The State University will design an intelligence system to be used in homicide investigations. A sole source justification is attached. Procurement Policy is based on the Federal Acquisition Regulation.

Subtotal \$102,000

**TOTAL** **\$111,900**

**H. Other Costs** - List items (e.g., rent, reproduction, telephone, janitorial or security services, and investigative or confidential funds) by major type and the basis of the computation. For example, provide the square footage and the cost per square foot for rent, and provide a monthly

rental cost and how many months to rent.

<b>Description</b>	<b>Computation</b>	<b>Cost</b>
Rent	(700 sq. ft. x \$15/sq. ft.) (\$875 mo. x 12 mo.)	\$10,500
<p>This rent will pay for space for the new homicide unit. No space is currently available in city owned buildings.</p>		
Telephone	(\$100/mo. x 12)	\$ 1,200
Printing/Reproduction	(\$150/mo. x 12)	1,800
<b>TOTAL</b>		<b><u>\$13,500</u></b>

**I. Indirect Costs** - Indirect costs are allowed only if the applicant has a Federally approved indirect cost rate. A copy of the rate approval, ( a fully executed, negotiated agreement), must be attached. If the applicant does not have an approved rate, one can be requested by contacting the applicant's 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 costs categories.

<b>Description</b>	<b>Computation</b>	<b>Cost</b>
10% of personnel and fringe benefits	(\$226,864 x 10%)	\$22,686
<p>The indirect cost rate was approved by the Department of Transportation, the applicant's cognizant Federal agency on January 1, 1994. ( A copy of the fully executed, negotiated agreement is attached.)</p>		
<b>TOTAL</b>		<b><u>\$22,686</u></b>

**Budget Summary** - When you have completed the budget worksheet, transfer the totals for each category to the spaces below. Compute the total direct costs and the total project costs. Indicate the amount of Federal requested and the amount of non-Federal funds that will support the project.

<b>Budget Category</b>	<b>Amount</b>
------------------------	---------------

---

<b>A. Personnel</b>	<u>\$177,900</u>
<b>B. Fringe Benefits</b>	<u>48,964</u>
<b>C. Travel</b>	<u>7,920</u>
<b>D. Equipment</b>	<u>7,000</u>
<b>E. Supplies</b>	<u>1,840</u>
<b>F. Construction</b>	<u>10,000</u>
<b>G. Consultants/Contracts</b>	<u>111,900</u>
<b>H. Other</b>	<u>13,500</u>
<b>Total Direct Costs</b>	<u>379,024</u>
<b>I. Indirect Costs</b>	<u>22,686</u>
<b>TOTAL PROJECT COSTS</b>	<u>401,710</u>

**Federal Request**      \$301,283

**Non-Federal Amount**      100,427

## ASSURANCES

The Applicant hereby assures and certifies compliance with all Federal statutes, regulations, policies, guidelines and requirements, including OMB Circulars No. A-21, A-110, A-122, A-128, A-87; E.O. 12372 and Uniform Administrative Requirements for Grants and Cooperative Agreements—28 CFR, Part 66, Common Rule, that govern the application, acceptance and use of Federal funds for this federally-assisted project. Also the Applicant assures and certifies that:

1. It possesses legal authority to apply for the grant; that a resolution, motion or similar action has been duly adopted or passed as an official act of the applicant's governing body, authorizing the filing of the application, including all understandings and assurances contained therein, and directing and authorizing the person identified as the official representative of the applicant to act in connection with the application and to provide such additional information as may be required.
2. It will comply with requirements of the provisions of the Uniform Relocation Assistance and Real Property Acquisitions Act of 1970 P.L. 91-646) which provides for fair and equitable treatment of persons displaced as a result of Federal and federally-assisted programs.
3. It will comply with provisions of Federal law which limit certain political activities of employees of a State or local unit of government whose principal employment is in connection with an activity financed in whole or in part by Federal grants. (5 USC 1501, et seq.)
4. It will comply with the minimum wage and maximum hours provisions of the Federal Fair Labor Standards Act if applicable.
5. It will establish safeguards to prohibit employees from using their positions for a purpose that is or give the appearance of being motivated by a desire for private gain for themselves or others, particularly those with whom they have family, business, or other ties.
6. It will give the sponsoring agency or the Comptroller General, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the grant.
7. It will comply with all requirements imposed by the Federal Sponsoring agency concerning special requirements of law, program requirements, and other administrative requirements.
8. It will insure that the facilities under its ownership, lease or supervision which shall be utilized in the accomplishment of the project are not listed in the Environmental protection Agency's (EPA-list of Violating Facilities and that it will notify the Federal grantor agency of the receipt of any communication from the Director of the EPA Office of Federal Activities indicating that a facility to be used in the project is under consideration for listing by the EPA.
9. It will comply with the flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973, Public Law 93-234, 87 Stat. 975, approved December 31, 1976. Section 102(a) requires, on and after March 2, 1975, the purchase of flood insurance in communities where such insurance is available as a condition for the receipt of any Federal financial assistance for construction or acquisition purposes for use in any area that had been identified by the Secretary of the Department of Housing and Urban Development as an area having special flood hazards. The phrase "Federal financial assistance" includes any form of loan, grant, guaranty, insurance payment, rebate, subsidy, disaster assistance loan or grant, or any other form of direct or indirect Federal assistance.
10. It will assist the Federal grantor agency in its compliance with Section 106 of the National Historic Preservation Act of 1966 as amended (16 USC 470), Executive Order 11593, and the Archeological and Historical Preservation Act of 1966 (16 USC 569a-1 et seq.) by (a) consulting with the State Historic Preservation Officer on the conduct of investigations, as necessary, to identify properties listed in or eligible for inclusion in the National Register of Historic Places that are subject to adverse effects (see 36 CFR Part 800.8) by the activity, and notifying the Federal grantor agency of the existence of any such properties, and by (b) complying with all requirements established by the Federal grantor agency to avoid or mitigate adverse effects upon such properties.
11. It will comply, and assure the compliance of all its subgrantees and contractors, with the applicable provisions of Title I of the Omnibus Crime Control and Safe Streets Act of 1968, as amended, the Juvenile Justice and Delinquency Prevention Act, or the Victims of Crime Act, as appropriate; the provisions of the current edition of the Office of Justice Programs Financial and Administrative Guide for Grants, M7100.1; and all other applicable Federal laws, orders, circulars, or regulations.
12. It will comply with the provisions of 28 CFR applicable to grants and cooperative agreements including Part 18, Administrative Review Procedure; Part 20, Criminal Justice Information Systems; Part 22, Confidentiality of Identifiable Research and Statistical Information; Part 23, Criminal Intelligence Systems Operating Policies; Part 30, Intergovernmental Review of Department of Justice Programs and Activities; Part 42, Nondiscrimination/Equal Employment Opportunity Policies and Procedures; Part 61, Procedures for Implementing the National Environmental Policy Act; Part 63, Floodplain Management and Wetland Protection Procedures; and Federal laws or regulations applicable to Federal Assistance Programs.
13. It will comply, and all its contractors will comply, with the nondiscrimination requirements of the Omnibus Crime Control and Safe Streets Act of 1968, as amended, 42 USC 3789(d), or Victims of Crime Act (as appropriate); Title VI of the Civil Rights Act of 1964, as amended; Section 504 of the Rehabilitation Act of 1973, as amended; Subtitle A, Title II of the Americans With Disabilities Act (ADA) (1990); Title IX of the Education Amendments of 1972; the Age Discrimination Act of 1975; Department of Justice Non-Discrimination Regulations, 28 CFR Part 42, Subparts C, D, E, and G; and Department of Justice regulations on disability discrimination, 28 CFR Part 35 and Part 39.
14. In the event a Federal or State court or Federal or State administrative agency makes a finding of discrimination after a due process hearing on the grounds of race, color, religion, national origin, sex, or disability against a recipient of funds, the recipient will forward a copy of the finding to the Office for Civil Rights, Office of Justice Programs.
15. It will provide an Equal Employment Opportunity Program if required to maintain one, where the application is for \$500,000 or more.
16. It will comply with the provisions of the Coastal Barrier Resources Act (P.L. 97-348) dated October 19, 1982 (16 USC 3501 et seq.) which prohibits the expenditure of most new Federal funds within the units of the Coastal Barrier Resources System.

Signature

Date



## CERTIFICATIONS REGARDING LOBBYING; DEBARMENT, SUSPENSION AND OTHER RESPONSIBILITY MATTERS; AND DRUG-FREE WORKPLACE REQUIREMENTS

Applicants should refer to the regulations cited below to determine the certification to which they are required to attest. Applicants should also review the instructions for certification included in the regulations before completing this form. Signature of this form provides for compliance with certification requirements under 28 CFR Part 69, "New Restrictions on Lobbying" and 28 CFR Part 67, "Government-wide Debarment and Suspension (Nonprocurement) and Government-wide Requirements for Drug-Free Workplace (Grants)." The certifications shall be treated as a material representation of fact upon which reliance will be placed when the Department of Justice determines to award the covered transaction, grant, or cooperative agreement.

### 1. LOBBYING

As required by Section 1352, Title 31 of the U.S. Code, and implemented at 28 CFR Part 69, for persons entering into a grant or cooperative agreement over \$100,000, as defined at 28 CFR Part 69, the applicant certifies that:

(a) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the making of any Federal grant, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal grant or cooperative agreement;

(b) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal grant or cooperative agreement, the undersigned shall complete and submit Standard Form - LLL, "Disclosure of Lobbying Activities," in accordance with its instructions;

(c) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subgrants, contracts under grants and cooperative agreements, and subcontracts) and that all sub-recipients shall certify and disclose accordingly.

### 2. DEBARMENT, SUSPENSION, AND OTHER RESPONSIBILITY MATTERS (DIRECT RECIPIENT)

As required by Executive Order 12549, Debarment and Suspension, and implemented at 28 CFR Part 67, for prospective participants in primary covered transactions, as defined at 28 CFR Part 67, Section 67.510—

A. The applicant certifies that it and its principals:

(a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, sentenced to a denial of Federal benefits by a State or Federal court, or voluntarily excluded from covered transactions by any Federal department or agency;

(b) Have not within a three-year period preceding this application been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a

public (Federal, State, or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;

(c) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State, or local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and

(d) Have not within a three-year period preceding this application had one or more public transactions (Federal, State, or local) terminated for cause or default; and

B. Where the applicant is unable to certify to any of the statements in this certification, he or she shall attach an explanation to this application.

### 3. DRUG-FREE WORKPLACE (GRANTEES OTHER THAN INDIVIDUALS)

As required by the Drug-Free Workplace Act of 1988, and implemented at 28 CFR Part 67, Subpart F, for grantees, as defined at 28 CFR Part 67 Sections 67.615 and 67.620—

A. The applicant certifies that it will or will continue to provide a drug-free workplace by:

(a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;

(b) Establishing an on-going drug-free awareness program to inform employees about—

(1) The dangers of drug abuse in the workplace;

(2) The grantee's policy of maintaining a drug-free workplace;

(3) Any available drug counseling, rehabilitation, and employee assistance programs; and

(4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;

(c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);

(d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will—

(1) Abide by the terms of the statement; and

(2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;

(e) Notifying the agency, in writing, within 10 calendar days after receiving notice under subparagraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to: Department of Justice, Office of Justice Programs, ATTN: Control Desk, 633 Indiana Avenue, N.W., Washington, D.C. 20531. Notice shall include the identification number(s) of each affected grant;

(f) Taking one of the following actions, within 30 calendar days of receiving notice under subparagraph (d)(2), with respect to any employee who is so convicted—

(1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or

(2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;

(g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e), and (f).

B. The grantee may insert in the space provided below the site(s) for the performance of work done in connection with the specific grant:

Place of Performance (Street address, city, county, state, zip code)

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Check  if there are workplaces on file that are not identified here.

Section 67, 630 of the regulations provides that a grantee that is a State may elect to make one certification in each Federal fiscal year. A copy of which should be included with each application for Department of Justice funding. States and State agencies may elect to use OJP Form 4061/7.

Check  if the State has elected to complete OJP Form 4061/7.

**DRUG-FREE WORKPLACE  
(GRANTEES WHO ARE INDIVIDUALS)**

As required by the Drug-Free Workplace Act of 1988, and implemented at 28 CFR Part 67, Subpart F, for grantees, as defined at 28 CFR Part 67; Sections 67.615 and 67.620—

A. As a condition of the grant, I certify that I will not engage in the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance in conducting any activity with the grant; and

B. If convicted of a criminal drug offense resulting from a violation occurring during the conduct of any grant activity, I will report the conviction, in writing, within 10 calendar days of the conviction, to: Department of Justice, Office of Justice Programs, ATTN: Control Desk, 633 Indiana Avenue, N.W., Washington, D.C. 20531.

As the duly authorized representative of the applicant, I hereby certify that the applicant will comply with the above certifications.

1. Grantee Name and Address:

2. Application Number and/or Project Name

3. Grantee IRS/Vendor Number

4. Typed Name and Title of Authorized Representative

5. Signature

6. Date

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## **APPENDIX C**

**Screening Sheet for Protection of Human Subjects**

and

**Privacy Certification**

# **BJS** Protection of Human Subjects and Privacy Certificate Requirements For Applicants for Funding from the Bureau of Justice Statistics

The Bureau of Justice Statistics (BJS) and its fund recipients are required to comply with regulations designed to protect human subjects and ensure the confidentiality of data. Applicable regulations include the confidentiality regulation, 28 CFR Part 22, which implements 42 USC 3789g; the Common Rule, 28 CFR Part 46; and the OJP Instruction 1564.1, “Protection of Human Subjects of Research and Statistical Activities,” April 26, 1999. BJS staff and recipients of grants, cooperative agreements, contracts, and interagency agreements, including subprojects, are required to comply with both the Office of Justice Programs (OJP) confidentiality regulation and the Common Rule.

Confidentiality regulation: 28 CFR Part 22 implements 42 USC 3789g and provides for the confidentiality of any information identifiable to private persons collected by either BJS staff or fund recipients. Private persons are defined by Part 22 to include any “persons,” including any organizations other than an agency of Federal, State or local government. The regulations require a Privacy Certificate from fund applicants (28 CFR 22.23). This certificate assures that information identifiable to private persons will not be either disclosed or used improperly and describes procedures which the recipient will follow to protect identifiable information. (See attached Privacy Certificate for a model.)

The regulation also requires that data may be collected and revealed only for research or statistical activities. Respondents must be told the following: the types of information to be collected; that the data will be revealed for research or statistical activities only; and that participation is voluntary and may be terminated at any point.

Identifiable individual records are immune from legal processes and cannot be revealed to other agencies within the U.S. Department of Justice (DOJ). Identifiable information which can be revealed according to the regulation include public records, the original records from which data have been obtained, and information regarding future criminal conduct.

The Common Rule: The Common Rule is a set of core regulations, adopted by 17 Departments and Agencies in 1991, which requires that human subjects of Federally supported research and statistical activities must be protected against undue and unnecessary risks. The regulations, at 28 CFR Part 46 for DOJ, set up procedures to establish and operate an Institutional Review Board (IRB) to review human subjects research. No Federal funds may be awarded<sup>1</sup> for any research involving human subjects without IRB review and approval, unless the research is exempt.

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<sup>1</sup>BJS funds may be used for project development, but documenting compliance with the Common Rule must precede any contact with human subjects.



The Institutional Review Board (IRB): An IRB is a body of at least 5 members, representing a variety of backgrounds, which reviews research and statistical activities to protect human subjects and evaluate the risks and benefits to them. Most research institutions have an IRB.

For an IRB to be authorized to review BJS research, it must have a written document, called an assurance, which states that the institution will abide by the requirements of the Common Rule and describes the institution's IRB, including its composition and procedures (see 28 CFR Part 46, especially sections 46.103, 46.107, and 46.108.). The assurance must be approved either by the Director of BJS or the head of another government agency, including but not limited to the head of the Office for Protection from Research Risks (OPRR), Department of Health and Human Services (DHHS). The approval may be for either a single project (a single project assurance or SPA) or multiple projects (a multiple project assurance or MPA).

If an IRB has received a SPA or MPA from OPRR, DHHS, for the type of research in question, it must comply with the DHHS regulations regarding human subjects found at 45 CFR Part 46. In addition to the Common Rule, the DHHS regulations include additional parts (subparts B, C, and D), which extend beyond the Common Rule to provide extra protections for children, prisoners, pregnant women, and fetuses.

Review of research: Research is defined as any investigation contributing to generalizable knowledge. Data obtained through either intervention or interaction with individuals and data with identifiers are covered by the Common Rule. According to the Common Rule, research involving human subjects may (1) be exempt from IRB review, (2) be eligible for an expedited review, or (3) require full IRB review.

(1) The regulations provide an exemption from IRB review for research covered by a confidentiality statute and research where data cannot be identified either directly or through identifiers linked to the subjects. Specifically, exemptions from IRB review are included in the Common Rule for the following:

- (A) survey and interview procedures, educational tests, and observations of public behavior either conducted under a Federal confidentiality statute or in which subjects cannot be identified and disclosure would not put subjects at risk;
- (B) research involving existing data, documents, or records, if the data are publicly available or recorded without identifiers;
- (C) some demonstration projects studying public programs; and
- (D) some research conducted in educational settings.

(2) Expedited review is allowed for certain kinds of research involving no

more than minimal risk. Examples include studies of existing data, documents, or records. The IRB will determine if expedited review is sufficient for a particular research project. Generally, one member of an IRB can provide expedited review.

(3) Other research involving human subjects must be given full IRB review.

### *Responsibilities of BJS fund applicants*

To comply with these requirements, fund applicants must include the following in their application:

(1) a Privacy Certificate (see form in application package) if the project involves data identifiable to private persons, or documentation that the research or statistical project does not require a Privacy Certificate because no identifiable private persons are involved.

(2) BJS Screening Sheet for Protection of Human Subjects (see form in application package). This form guides applicants in applying the Common Rule to their projects.

Before funds are awarded, applicants will also provide the following:

(1) If question 12 on the BJS Screening Sheet for Protection of Human Subjects is checked "A." The project is not research or does not involve human subjects. No other documentation is needed.

(2) If question 12 is checked "B." The project may be exempt from IRB review. Must provide certification and explanation by the fund applicant, OJP's Office of General Counsel, or OJP's IRB, that the project qualifies for an exemption under 28 CFR 46.101(b).

(3) If question 12 is checked "C." The project has qualified for expedited review. Must provide the certification of review and approval of an IRB member of either the applicant's or OJP's IRB under expedited review.<sup>2</sup>

(4) If question 12 is checked "D." The project has qualified for full IRB review and approval. Must provide the certification of review and approval of either the applicant's or OJP's IRB.<sup>3</sup>

(5) If question 12 is checked "E." The project has qualified for full IRB review and approval and the applicant's IRB has approval of its assurance from OPRR,

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<sup>2</sup> Prior to the awarding of BJS funds, a paper or electronic copy of the fund applicant's IRB assurance must be in the designated OJP file or BJS must have a written agreement allowing the OJP IRB to review and approve the project.

<sup>3</sup> Prior to the awarding of BJS funds, a paper or electronic copy of the fund applicant's IRB assurance must be in the designated OJP file or BJS must have a written agreement allowing the OJP IRB to review and approve the project.

DHHS. Must provide certification of review and approval of the applicant's IRB and of compliance with subparts B, C, and D of 45 CFR Part 46, which provide extra protections for children, prisoners, pregnant women, and fetuses.<sup>4</sup>

Awards will not be made prior to the submission of adequate documentation. For cases in which the applicant is applying for an award which includes funds to be used for project development purposes, BJS will consider requests for a later deadline submission of required human subjects documentation. However, in these cases, receipt and approval of documentation must precede any contact with human subjects; funds will not be made available for these activities until all documentation is received. Questions can be addressed to the BJS Human Subjects Protection Officer, Maureen Henneberg, Associate Director, BJS, at (202) 616-3282, [Maureen.Henneberg@usdoj.gov](mailto:Maureen.Henneberg@usdoj.gov), or 810 7<sup>th</sup> Street N.W., Washington, D.C. 20531.

Attachments:

Model Privacy Certificate

BJS Screening Sheet for Protection of Human Subjects

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<sup>4</sup>Prior to the awarding of BJS funds, a paper or electronic copy of the fund applicant's IRB assurance must be in the designated OJP file.



## Screening Sheet for Protection of Human Subjects

Organization Name: \_\_\_\_\_ Vendor Number: \_\_\_\_\_

Project Title: \_\_\_\_\_

Application Number [to be completed by BJS]: \_\_\_\_\_

Please check the appropriate response.

1. Is the project research<sup>1</sup>, in whole or in part (including potential subcontracts and evaluation activities)?  
 Yes - *Continue*  
 No - *Skip to question 12, check (A)*
  
2. Does the research project include human subjects<sup>2</sup>?  
 Yes - *Continue*  
 No - *Skip to question 12, check (A)*
  
3. Does the research project obtain data through intervention<sup>3</sup> or interaction<sup>4</sup> with human subjects or observation of human subjects?  
 Yes. Data through intervention - *Skip to question 10*  
 Yes. Data through interaction - *Skip to question 6*  
 Yes. Data through observation - *Skip to question 6*  
 No - *Continue*
  
4. Does this research project use files or records containing information about individual human subjects?  
 Yes - *Continue*  
 No - *Skip to question 12, check (A)*
  
5. Does this research project include identifying information that can link data to individual subjects?  
 Yes - *Continue*  
 No - *Skip to question 12, check (A)*
  
6. Is the research extramural<sup>5</sup> to the Office of Justice Programs (OJP) or intramural?  
 Extramural to OJP only - *Continue*  
 Intramural to OJP only - *Skip to question 9*  
 Both extramural and intramural to OJP - *Continue*
  
7. Does your research organization or government agency (other than OJP) have an Institutional Review Board<sup>6</sup> (IRB)?  
 Yes - *Continue*  
 No - *Skip to question 9*

8. Has your IRB been approved by the Office for Protection from Research Risks (OPRR), Department of Health and Human Services (DHHS), or another government agency?
- OPRR - *Continue*
- A government agency other than OPRR - *Continue*
- Not approved by a government agency - *Continue*
9. Does the project include any interactions with human subjects other than survey procedures, interview procedures, or observations of public behavior?
- Yes - *Continue*
- No - *Skip to question 12. Check (B)*
10. Does the research involve children<sup>7</sup>, prisoners<sup>8</sup>, pregnant women, or fetuses?
- Yes - *If question 8 is marked "yes," skip to question 12 and check (E). Else continue*
- No - *Continue*
11. Does this research project involve more than minimal risk<sup>9</sup> to human subjects?
- Yes - *Skip to question 12. Check (D)*
- No - *Skip to question 12. Check (C)*
12. Determination. *Check only one*
- A. No further review regarding human subjects is required. There are no living human subjects involved or the study poses little or no risk to any subjects.
- B. Research probably qualifies for an exemption.
- C. Research should undergo an expedited review by an IRB. The risk of harm to human subjects is minimal.
- D. Research should undergo a full IRB review. The risk to human subjects is more than minimal.
- E. Research should undergo a full IRB review. Human subjects are involved in the research and it involves a special population. Subparts B,C, and D of 45 CFR Part 46 apply.

**Funding Recipient:**

\_\_\_\_\_  
Signature of Person Authorized to Sign

\_\_\_\_\_  
Date

\_\_\_\_\_  
Name and Title of Person Authorized to Sign

**U.S. Department of Justice, Bureau of Justice Statistics:**

\_\_\_\_\_  
Signature of BJS Representative

\_\_\_\_\_  
Date

## Endnotes: BJS Screening Sheet for Protection of Human Subjects

<sup>1</sup> Research is “a systematic investigation, including research development, testing and evaluation, designed to develop or contribute to generalizable knowledge.” 28 CFR 46.102(d)

<sup>2</sup> Human subject means a living individual about whom a researcher obtains information. 28 CFR 46.102(f)

<sup>3</sup> Intervention includes both physical procedures and manipulations of the subject or the subject’s environment for research purposes. 46 CFR 46.102(f)

<sup>4</sup> Interaction includes communication or interpersonal contact with the subject. 28 CFR 46.102(f)

<sup>5</sup> Extramural research is any research funded or supported by the Office of Justice Programs (OJP) under grants, contracts, interagency agreements, or cooperative agreements. Intramural research is research conducted by OJP employees or contract staff. BJS projects may fit both definitions; they are funded by grants, contracts, interagency agreements, or cooperative agreements and BJS staff are also involved. See OJP Instruction, “Protection of Human Subjects of Research and Statistical Activities,” April 26, 1999

<sup>6</sup> An Institutional Review Board (IRB) is an organization of at least 5 members, representing a variety of backgrounds, which reviews and approves research and statistical activities involving human subjects. Before an IRB can review and approve U.S. government-funded research, it must have been approved by a U.S. government agency, for example, the Director, BJS, or the Office for Protection from Research Risks (OPRR), DHHS. The approval is based upon review of documentation assuring that the IRB will comply with the Common Rule and describing its organization. See in particular 28 CFR sections 46.103, 46.107, and 46.108.

<sup>7</sup> Children are persons who have not attained the legal age for consent under applicable law of the jurisdiction in which the research will be conducted. 45 CFR 46.402(a)

<sup>8</sup> Prisoners include those confined or detained in a correctional facility or in a program alternative to prosecution or incarceration. 45 CFR 46.303(c)

<sup>9</sup> Minimal risk means that the probability and magnitude of harm or discomfort anticipated are not greater than those ordinarily encountered in daily life or during the performance of routine physical or psychological examinations or tests. 28 CFR 46.102(i)