



Revised 5/22/09

The U.S. Department of Justice (DOJ), Office of Justice Programs (OJP), Bureau of Justice Statistics (BJS) is pleased to announce that it is seeking applications to obtain a collection agent through a Cooperative Agreement to design and field test the Survey of Inmates in Prisons and Local Jails (SIPLJ) and to prepare a national implementation plan for fielding the SIPLJ in 2012. As the statistical arm of the U.S. Department of Justice, BJS is responsible for the collection, analysis, publication, and dissemination of statistical information on crime, criminal offenders, victims of crime, and the operations of criminal justice systems at all levels of government. This survey, a component of the BJS Criminal Justice Statistics Program, furthers the mission of the Department and the Office of Justice Programs by obtaining national level estimates of the characteristics of prison and jail inmates. This information is utilized by practitioners, researchers, and legislators in describing the inmate population and determining budget and programmatic needs for inmates.

Survey of Inmates in Prisons and Local Jails: Design and Testing Phase Solicitation

Eligibility

Applications for funds may be submitted by both for profit and nonprofit organizations.
(See "Eligibility" on page 3)

Deadline

Registration with Grants.gov is required prior to submitting the application.
(See "Deadline: Registration" on page 3)

All applications are due by 5:00 p.m. eastern time on May 29, 2009.
(See "Deadline: Application" on page 3)

Contact Information

For assistance with the requirements of this announcement, contact Lauren Glaze, Statistician or Laura Maruschak, Statistician at 202-307-0765 or email askbjs@usdoj.gov. Include "siplj09" in the subject line.

This application must be submitted through OJP's Grants Management System. For technical assistance with submitting the application, call the Grants Management System Support Hotline at 1-888-518-4726, option 3. GMS Support Hotline hours of operation are Monday – Friday from 7:00 a.m. to 9:00 p.m. eastern time.

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Survey of Inmates in Prisons and Local Jails: Design and Testing Phase CDFA Number 16.734

Overview

The purpose of this award is to provide funding for a collection agent to design and field test a survey for administration to inmates in a national sample of prison and jail facilities, hereafter known as the Survey of Inmates in Prisons and Local Jails (SIPLJ), and to prepare a national implementation plan to field the SIPLJ in 2012.

The Bureau of Justice Statistics (BJS), the statistical agency of the U.S. Department of Justice, has periodically collected information through personal interviews with inmates in jails and prisons since the 1970s (see *Survey of Inmates in State and Federal Correctional Facilities and Survey of Inmates in Local Jails* at <http://www.ojp.usdoj.gov/bjs/correct.htm#Programs>). BJS seeks to create a single instrument that is adaptable to inmates housed in prison and jail settings and administered using an Audio Computer-Assisted Self Interview (ACASI) mode. It is anticipated that ACASI will enhance the precision of its estimates; increase sample size where feasible through group administration; minimize collection costs; and minimize the disruption to prison and jail facilities during the survey. The instrument will be modular based with separate substantive domains delivered to inmates in a manner to maximize the content covered by the surveys while minimizing the costs of administration. The recipient will also design and test an alternative mode of administration for use in facilities where ACASI is not feasible.

BJS will announce a separate solicitation for national implementation of SIPLJ upon completion of the activities listed here.

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

Deadline: Registration

Applicants must register with GMS prior to submitting their application. The deadline to register is 5:00 p.m. eastern time on Friday, May 29, 2009.

Deadline: Application

The deadline to submit an application for funding under this announcement is 5:00 p.m. eastern time on May 29, 2009.

Eligibility

Both profit-making and nonprofit organizations may apply for funds. However, consistent with OJP fiscal requirements, for-profit organizations are not allowed to make a profit as a result of this award or to charge a management fee for the performance of this award.

Faith-Based and Other Community Organizations: Consistent with Executive Order 13279, dated December 12, 2002, and 28 C.F.R. Part 38, faith-based and other community organizations that statutorily qualify as eligible applicants under DOJ programs are invited and encouraged to apply for assistance awards to fund eligible grant activities. Faith-based and other community organizations will be considered for awards on the same basis as other eligible applicants and, if they receive assistance awards, will be treated on an equal basis with all other grantees in the administration of such awards. No eligible applicant or grantee will be

discriminated for or against on the basis of its religious character or affiliation, religious name, or the religious composition of its board of directors or persons working in the organization.

Faith-based organizations receiving DOJ assistance awards retain their independence and do not lose or have to modify their religious identity (e.g., remove religious symbols) to receive assistance awards. DOJ grant funds, however, may not be used to fund any inherently religious activity, such as prayer or worship. Inherently religious activity is permissible, although it cannot occur during an activity funded with DOJ grant funds; rather, such religious activity must be separate in time or place from the DOJ-funded program. Further, participation in such activity by individuals receiving services must be voluntary. Programs funded by DOJ are not permitted to discriminate in the provision of services on the basis of a beneficiary's religion.

If your organization is a faith-based organization that makes hiring decisions on the basis of religious belief, it may be entitled, under the Religious Freedom Restoration Act, 42 U.S.C. § 2000bb, to receive federal funds and yet maintain that hiring practice, even if the law creating the funding program contains a general ban on religious discrimination in employment. For the circumstances under which this may occur, and the certifications that may be required, please see the section titled, "Funding to Faith-Based Organizations" on the Other Requirements for OJP Applications" webpage at http://www.ojp.usdoj.gov/funding/other_requirements.htm.

American Indian Tribes and Alaska Native Tribes and/or Tribal Organizations: Applicants are limited to for-profit (commercial) organizations, nonprofit organizations, faith-based and community organizations, institutions of higher learning, and consortiums with demonstrated organization and community-based experience working with American Indian and Alaska Native communities, including tribal commercial and nonprofit organizations, tribal colleges and universities, and tribal consortiums.

All tribal applications must be accompanied by a current authorizing resolution of the governing body of the tribal entity or other enactment of the tribal council or comparable government body. If the grant will benefit more than one tribal entity, a current authorizing resolution or other enactment of the tribal council or comparable government body from each tribal entity must be included. If the grant application is being submitted on behalf of a tribal entity, a letter or similar document authorizing the inclusion of the tribal entity named in the application must be included.

Applicants are also encouraged to review the "Civil Rights Compliance" section on the "Other Requirements for OJP Applications" webpage, which can be found at the web address shown above.

Project-Specific Information

The omnibus surveys of prison and jail inmates that BJS has conducted periodically since the early 1970s have become flagship collections for the BJS Corrections Statistics Program. The primary purposes of these omnibus surveys are to generate nationally-representative estimates of the characteristics of prison and jail inmates and to track changes in these characteristics over time; to conduct studies of inmates on special topics; and to identify policy-relevant changes in prison and jail populations. Previously known as the Survey of Inmates in Local Jails (SILJ), the Survey of Inmates in State Correctional Facilities (SISCF), and the Survey of Inmates in Federal Correctional Facilities (SIFCF), the interviews provide the data necessary to make national level estimates about jail and prison inmates in the following domains:

- Individual characteristics
- Current offenses (current offenses and detention status for jail inmates)

- Pretrial release and trial
- Current sentence
- Incident characteristics
- Criminal history
- Socioeconomic characteristics
- Alcohol and Drug Use and Treatment
- Medical conditions, mental health, and disabilities
- Facility programs and activities

Data from these interviews, in addition to providing a profile of prison and jail inmate characteristics, have also been culled for special topical reports by BJS, including but not limited to: *Parents in Prison and Their Minor Children*, *Medical Problems of Prisoners*, *Medical Problems of Jail Inmates*, *Veterans in State and Federal Prison*, and *Mental Health Problems of Prison and Jail Inmates*. All BJS reports are available on the BJS website at www.ojp.usdoj.gov/bjs. These reports are regularly utilized by practitioners, researchers, legislators, and other decision-makers in corrections. Additional information about prior versions of SILJ, SISCF, and SIFCF can be found at the National Archive of Criminal Justice Data (NACJD) at the University of Michigan at <http://www.icpsr.umich.edu/NACJD/>. Applicants are encouraged to review prior versions of these surveys, especially SILJ, 2002 and the combined SISCF/SIFCF, 2004.

BJS seeks a single, adaptable modular instrument and data collection operation that can be used to gather data from separate nationally-representative samples of jail inmates and prison inmates. The instrument should continue to obtain data included in the 10 domains covered in prior versions of the jail and prison inmate surveys, but be revised to attempt to obtain some data previously collected by personal interview through administrative records, and expand the number of domains to include current issues such as reentry, recidivism and the probation and parole revocation process, and facility environment, with a focus on safety and security issues.

BJS also requires an alternative mode of collection for facilities not allowing ACASI. BJS expects that both the ACASI and alternative mode(s) of data collection retain the high response rates achieved by the prior Computer-Assisted Personal Interview (CAPI) methodology (90% - 95% response rates) and improve item response rates.

Scope of Work

The objectives of this project are to (1) provide a timeline for all activities; (2) review literature that used data from the prior inmate surveys conducted by BJS and review other national surveys that cover domains comparable to those to be included in the SIPLJ; (3) design the current instrument with appropriate modules tailored for use by federal and state prisoners and local jail inmates and explore legal, ethical, and practical considerations related to the collection of criminal history information from administrative records; (4) design an instrument to collect facility-level characteristics; (5) explore sampling methodologies for producing separate and reliable national estimates for prison and jail inmates; (6) obtain Institutional Review Board (IRB) approval for the testing of the instrument; (7) conduct a field test of the SIPLJ instrument in a sample of jails and prisons; (8); revise the instrument based upon test results; (9) deliver field test data and documentation to BJS; (10) provide an implementation plan for the national data collection to begin in 2012; and (11) schedule meetings and progress reports as needed.

Specifically, the recipient of funds will:

1. Develop a detailed timetable for each task in the project. The field test of the SIPLJ instrument should begin within approximately 12 months of the project start and be completed within 18 months. All deliverables are due within 24 months. After the BJS Project Manager (PM) has agreed to the timetable, all work must be completed as scheduled.

2. Provide the findings from an in-depth review of literature that used previous BJS prison and jail inmate surveys. The review should focus on how these surveys have been used to describe inmate populations, to examine criminological theories, or to guide the development of other surveys. The review shall address the research questions covered in the studies, the studies' assessments of the strengths and weaknesses of the BJS inmate survey data in addressing the research questions, and the studies' assessments of information gaps that could be addressed by the SIPLJ.

The review shall address issues related to prison and jail facility characteristics in understanding prison and jail inmate populations, including coverage issues, non-response adjustment issues, programmatic issues that condition estimates of inmates' participation, and other relevant topics about facilities. The review of facility characteristics should also yield recommendations for the facility-level survey described in item 4 below.

BJS is also interested in adapting the inmate survey modules to be consistent with other national surveys measuring similar characteristics or behaviors in the general population, to the extent possible. The review effort should identify other surveys that ask questions similar to those in the current instrument and assess the feasibility of using a common format in asking questions.

3. Create the modules for the SIPLJ using the existing instruments as a baseline, incorporating knowledge gained from the compiled literature review, and considering the desire to compare inmate characteristics to those of the general population estimated from other national surveys. The recipient shall design the instrument in collaboration with the PM. The SIPLJ instrument shall be available in English and Spanish. The instrument must maximize respondent cooperation and confidentiality, be easily understood by a respondent with a 6th grade education, and impose an average respondent burden from 45 to 60 minutes. The instrument shall be tailored for use by male and female inmates in both prison and jail facilities, and adapt as needed to the terms and questions for the differing contexts of these populations.

While designing the instrument, the recipient will also —

- Explore using or incorporating administrative data with survey data for variables such as current charge(s), probation/parole status, sentencing information, and criminal history. This effort is intended to decrease respondent burden and/or may be used to verify inmate provided information. If inmate level information from administrative data is linked electronically to specific inmate interviews, inmate consent may be necessary. The recipient shall explore the practicality of pursuing this endeavor.
- Explore the feasibility of using a core set of modules for all inmates and rotating the remaining modules to maximize the content covered by the survey and maintain the ability to make national estimates of inmate behaviors and characteristics. This method of administration may be necessary if the timing of the total instrument exceeds the 60 minute cap.
- Design an alternative mode of collection in facilities not permitting ACASI. The instrument content should be consistent with the ACASI instrument.

The instrument shall be created from non-proprietary software commonly available to government and industry, in compliance with the government's desire for portability in

applications. BJS retains all rights to the source code used to produce the instrument. Authoring software must be capable of producing a hard copy version of the SIPLJ interview instrument and the associated audio files. The recipient shall make available to the PM a working version of the SIPLJ instrument for evaluation within 6 months of the project start.

4. Based on the review completed in item 2, propose designs for a brief survey that focuses on selected characteristics, operations, and programs of the facilities sampled for the SIPLJ, and work collaboratively with the PM to identify facility variables that provide contextual data for interpreting estimates from inmate survey data. The primary purpose of the facility survey is to provide contextual data for the inmate survey data, not to provide national estimates of facility characteristics. BJS' Census of State and Federal Correctional Facilities and Census of Local Jail Facilities provide examples of attributes collected previously by BJS. See <http://www.ojp.usdoj.gov/bjs/correct.htm#Programs>. Data from prior censuses of jails and correctional facilities are archived at NACJD. The facility survey should be concise and focus on medical and mental health services offered at the facility.

5. Make recommendations for sampling designs for the national implementation of the SIPLJ. The sampling designs for prior inmate surveys studies are described in the documentation for these collections and are archived at NACJD. The documentation for SILJ-2002 can be found under study number 4359, and the documentation for the 2004 surveys of state and federal prison inmates can be found under study number 4572. Unless otherwise specified by BJS during the performance of the project, the sampling design work will exclude the Federal Bureau of Prisons.

The sampling designs used in the prior inmate surveys have proven to be effective in generating national-level data on inmates. However, these designs also have limitations that BJS aims to overcome. For example, the jail inmate survey provides reliable estimates for the cross-section of inmates but does not adequately capture the flow of inmates entering and leaving jail. BJS estimates that local jails nationwide admit and release between 12 million and 13 million inmates per year, while the average daily jail population stands at about 774,000. (See *Jail Inmates at Midyear 2007*, <http://www.ojp.usdoj.gov/bjs/abstract/jim07.htm>.) Analogously, with current interest in prisoner reentry issues, the prison inmate surveys could be enhanced by sampling to take into account soon-to-be-released inmates.

BJS is interested in alternative sampling designs for the SIPLJ that can be used to help BJS to better address these or other substantive issues arising from the review of the literature while retaining the surveys' capacities to produce reliable estimates for the cross-sections of inmates. In addition, BJS has an interest in ACASI and the possible group administration of surveys. BJS is looking for design options that could result in a boost in sample size, allow for random assignment of instrument modules to subsets of inmates, take advantage of opportunities arising from possible overlap in the administration of the jail and prison inmate surveys such as clustering of facilities, incorporate the use of other modes of administration in locations in which ACASI is not possible, and work within BJS overall cost parameters for the SIPLJ.

As these final cost parameters are unknown, a starting point for this effort is with a review of the designs used for the prior jail and prison inmate surveys. Using these designs and sample sizes as a starting point, and assuming these sizes as the constraints for the SIPLJ, the recipient will consult with the PM about the sampling plan used in previous surveys and modify the specifications to offer alternative sample designs that meet the following objectives:

- Provide for reliable national-level estimates for characteristics of both state prison and local jail inmates.

- Provide for state-level estimates for prison inmate characteristics in at least 6 of the 10 states containing the largest prison population as of 2012 for the state prison portion of the SIPLJ.
- Take into account potential clustering of jail and prison sites to minimize field costs.
- Address the optimal manner and timing for which to draw the inmate sample. This may be different for the prison and jail samples.
- Oversample for state prison inmates expected to be released within 6 months or within 1 year of the interview date.
- Balance the opportunity of group administration with the facility's ability to provide appropriate space for group interviewing.
- Provide for sufficient sample to make national estimates based on randomization of modules and if necessary, to keep the maximum survey administration time under 60 minutes.
- Address non-response issues associated with segments of inmate populations that are hard to reach such as death-row inmates, high-risk inmates, and inmates housed in administrative segregation or mental health wards.

For this exercise, information about the sampling frames can be found in Census of Jail Inmates, 2005, and Census of State and Federal Correctional Facilities, 2005. These data collections are archived at NACJD.

6. Obtain approval from an Institutional Review Board (IRB) for the inmate survey and protocols. BJS is willing to accept the certification of the recipient's IRB. The recipient will complete work on the inmate and facility survey instruments and field test protocols, and provide BJS with documentation necessary to submit to the Office of Management and Budget (OMB) review for approval; the necessary materials will be provided within 6 months of the project start and after IRB approval. The recipient will work with the PM to compile an OMB pretest clearance package.

7. Conduct a methodological field test of the SIPLJ instrument and facility survey in a sample of jail and prison facilities. The primary purposes of the field test are (1) to assess the feasibility of implementation of the revised survey instruments on a national level and (2) to assess item non-response arising from the use of ACASI. The PM will provide to the recipient a list of up to 10 facilities of various types and sizes to be used in the field test. BJS will initiate contact with each facility. The recipient shall coordinate logistics with each facility. The recipient must ensure that all field staff comply with all facility regulations.

The field test shall include—

Within approximately 12 months of the project start, a cognitive test of the SIPLJ instrument, scope and location to be determined by the recipient and the PM. Within approximately 1 month upon completion of the cognitive test, the recipient shall provide to the PM an item-specific analysis of the instrument. The analysis should address the comprehension of the items by inmates as well as the validity and reliability of the instrument as pertaining to the goals of the survey. The recipient shall work in collaboration with the PM to revise the instrument as necessary.

Within approximately 14 months of the project start, a field test of the SIPLJ instrument, facility survey, and protocols shall occur in up to 10 jail and prison facilities, to be determined in collaboration with the PM. Within each facility, the recipient shall plan to conduct between 50 and 200 interviews, dependent upon facility size. The total target sample for testing is 1,500 interviews. The recipient will conduct the field test in several facilities and evaluate the results to determine if instrument or protocol changes (such as

sampling, consent, or group administration procedures) are necessary before visiting additional facilities. The field test will take no more than 6 months to complete.

Within 2 months upon completion of the field test, the recipient shall provide to the PM a full electronic data file which has been appropriately cleaned and weighted. Within 24 months of the project start the recipient shall also provide to the PM a written report consisting of an analysis of all aspects of the survey administration including: case management, training of field staff, facility coordination, respondent cooperation, and other details related to the full field management of the survey.

8. Modify the SIPLJ instrument and facility survey, in collaboration with the PM, utilizing results from the field test to produce the final instruments for use in the 2012. All changes will be documented.

9. Deliver to BJS electronic versions of the field test data in both raw and final forms, field test documentation, and the final instrument on diskette and in ASCII file format. Field test documentation should include, but is not limited to, a comprehensive codebook detailing variable positions, data coding, variable and value labels, any recoding implemented during the data cleaning process, methods used for dealing with missing data, any data allocations, weights, imputation, or non-response adjustment, and copies of all program code used to generate data or published statistics. All data and source code generated by this project belong to BJS. Publication, presentation, or dissemination of the data in any form, prior to official release by BJS, is prohibited.

10. Develop plans for the national implementation of the 2012 SIPLJ in collaboration with the PM. The national implementation plan must address all aspects of the data collection including, but not limited to—

- sample design options, including first- and second-stage sampling plans
- mode of data collection, that is, primarily ACASI with an alternative mode as a backup
- contact procedures for facilities selected into the sample
- protocols for coordinating the data collection within sampled facilities
- methods for obtaining rosters, administrative records, and completion of facility surveys
- optimal requirements for group administration and possible adaptations for facilities with limited space and resources
- techniques for obtaining high rates of participation by sampled facilities
- respondent selection and sampling procedures within sampled facilities
- techniques for obtaining high rates of cooperation from sampled respondents
- case management
- steps to ensure data and respondent confidentiality
- methodology to address item and unit non-response, post-survey weighting specifications to produce national-level estimates, and standard errors
- cost parameters for each stage or alternative of the national implementation plan.

11. Schedule meetings between the PM and the recipient as needed. Such meetings shall take place at a location mutually acceptable to both parties. Conference calls between BJS project principals and the recipient's Project Director shall be held at least once per month.

The recipient shall submit to the PM quarterly progress reports including: (1) all activities performed during the quarter; (2) problems encountered and proposed or enacted solutions; (3)

plans for the upcoming quarter; (4) a brief discussion of the expenditure of funds and a statement that indicates the percentage of the funds that have been expended; (5) and a statement as to whether the project will be completed in accordance with the timeframe specified in the delivery schedule and within the budgeted amount.

Funding Information

All awards are subject to the availability of appropriated funds and any modifications or additional requirements that may be imposed by law. BJS anticipates making one award, not to exceed \$1,000,000 for a 24-month period under this solicitation.

Limitation on Use of Award Funds for Employee Compensation; Waiver: No portion of any award of more than \$250,000 made under this solicitation may be used to pay any portion of the total cash compensation (salary plus bonuses) of any employee of the award recipient whose total cash compensation exceeds 110% of the maximum annual salary payable to a member of the federal government's Senior Executive Service (SES) at an agency with a Certified SES Performance Appraisal System for that year. The salary table for SES employees is available at www.opm.gov. This prohibition may be waived at the discretion of the Assistant Attorney General for the Office of Justice Programs. An applicant who wishes to request a waiver should include a detailed justification in the budget narrative of the application. The justification should include the particular qualification and expertise of the individual, the uniqueness of the service being provided, the individual's specific knowledge of the program or project undertaken with the grant funds and a statement explaining that the individual's salary is commensurate with the regular and customary rate for an individual with her/his qualifications and expertise and for the work that is to be done.

Match Requirement

Consistent with established BJS data quality standards and based on the nature of the deliverables, BJS has determined that it is not feasible to require the award recipient to contribute money, facilities, or services to carry out the purposes for which the grant is sought. Therefore, there is no match requirement.

Performance Measures

To assist in fulfilling the Department's responsibilities under the Government Performance and Results Act (GPRA), P.L. 103-62, applicants who receive funding under this solicitation must provide data that measures the results of their work. Performance measures for this solicitation are as follows.

Objective	Performance Measures	Data Grantee Provides
Design instruments and develop protocols for Survey of Inmates in Prisons and Local Jails (SIPLJ).	Successful and timely completion of instruments and protocols that enhance BJS' capability to produce reliable national estimates; instruments that (1) have modules that meet BJS needs for specific information about jail and prison inmates; (2) have	Demonstrates that the operational plan for SIPLJ: (1) refines/expands the existing modules in the instrument for use with prisoners and jail inmates; (2) considers the use of administrative records to decrease burden and/or validate inmate self-reports;

<p>Test inmate instrument and protocols in a sample of prison and jail inmates; test facility survey and protocols in the sample of prisons and jails.</p>	<p>content that is consistent with general population surveys (to the extent possible) to facilitate rate estimation; and (3) have protocols that enhance the capacity to adjust for nonresponse and reduce respondent burden by using administrative data.</p> <p>Successful and timely completion of: (1) a cognitive test of the inmate instrument that identifies potential for measurement error due to comprehension problems and the validity of the items in measuring concepts; (2) a field test of the inmate instrument and protocols that assesses the feasibility of using the instrument to obtain data from nationally representative samples of prison and jail inmates; and (3) a field test of the facility instrument that assesses the feasibility of implementing the instrument in nationally representative samples of prison and jail facilities.</p>	<p>(3) explores alternative modes of data collection; and (4) includes a brief facility survey designed to collect information on facility characteristics.</p> <p>Demonstrate the viability of the survey instruments and protocols to obtain quality data as indicated by factors such as: minimal number of missing data or inconsistent data in data file; high survey response rate (90%); and high item response rate (95%). Provide: (1) clean and weighted electronic data file from field test; and (2) test results.</p>
<p>Refine inmate and facility instruments, protocols, and national implementation plan based on pretest results.</p>	<p>Successful and timely completion of revisions to instruments and protocols that demonstrate that the results of pretesting are addressed appropriately, in that (1) revised instruments minimize measurement error and respondent burden while maximizing validity and comparability with general population surveys; (2) revised protocols result in plans that minimize burden on facility operators while maximizing the use of</p>	<p>Provide: (1) final inmate and facility instruments and protocols; (2) written report consisting of an analysis of the aspects of survey administration; and (3) a national implementation plan for the SIPLJ to field in 2012.</p>

	<p>administrative data to aid in estimation; and (3) final collection plans include methodologies to obtain data from or address nonresponse associated with hard-to-reach populations such as inmates in special mental health wards and inmates in administrative segregation.</p> <p>Percent of planned deliverables submitted on time.</p> <p>Percent of deliverables (including final reports) that meet BJS expectations as determined by BJS for depth, breadth, scope, quality of study, and pertinence.</p>	<p>Number of deliverables submitted on schedule.</p> <p>Number of deliverables (including final reports) that meet BJS expectations as determined by BJS program manager and management for depth, breadth, scope and quality of study, and pertinence.</p>
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How to Apply

Grants Management System Instructions. Applications must be submitted through OJP’s online Grant Management System (GMS). To access the system, go to <https://grants.ojp.usdoj.gov>. Applicants should begin the process a few weeks prior to the GMS registration deadline, especially if this is the first time they have used the system. Each application requires a separate GMS registration. For a step-by-step guide, visit <http://www.ojp.gov/gmscbt/> and refer to the section entitled “External Overview: Locating & Applying for Funding Opportunities.” For additional assistance, call the GMS Helpdesk at 1-888-549-9901 Monday – Friday from 7:00 a.m. to 9:00 p.m. eastern time.

Note: Applications and attachments submitted via GMS must be in the following formats: Microsoft Word (*.doc), Word Perfect (*.wpd), Microsoft Excel (*.xlm), PDF files (*.pdf), or text documents (*.txt). OJP will not review any application whose attachments are in Microsoft Vista or Microsoft 2007 format. GMS is not yet compatible with Vista and cannot yet process Microsoft Word 2007 documents saved in the new default format with the extension “.docx.” Please ensure the documents you are submitting are saved using “Word 97-2003 document (*.doc)” format. Additionally, GMS does not accept executable file types as application attachments. File types not accepted by GMS include, but are not limited to, the following extensions: “.com,” “.bat,” “.exe,” “.vbs,” “.cfg,” “.dat,” “.db,” “.dbf,” “.dll,” “.ini,” “.log,” “.ora,” “.sys,” and “.zip.”

CFDA Number: The Catalog of Federal Domestic Assistance (CFDA) number for this solicitation is 16.734, titled “Special Data Collections and Statistical Studies” and the funding opportunity number is 2009-BJS-2189.

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A DUNS number is required: The Office of Management and Budget requires that all businesses and nonprofit applicants for federal funds include a DUNS (Data Universal Numeric System) number in their application for a new award or renewal of an award. Applications without a DUNS number are incomplete. A DUNS number is a unique nine-digit sequence recognized as the universal standard for identifying and keeping track of entities receiving federal funds. The identifier is used for tracking purposes and to validate address and point of contact information for federal assistance applicants, recipients, and subrecipients. The DUNS number will be used throughout the grant life cycle. Obtaining a DUNS number is a free, simple, one-time activity. Obtain one by calling 1-866-705-5711 or by applying online at <http://www.dunandbradstreet.com>. Individuals are exempt from this requirement.

Central Contractor Registration (CCR) is required: In addition to the DUNS number requirement, OJP requires that all applicants (other than individuals) for federal financial assistance maintain current registrations in the Central Contractor Registration (CCR) database. The CCR database is the repository for standard information about federal financial assistance applicants, recipients, and subrecipients. Organizations that have previously submitted applications via Grants.gov are already registered with CCR, as it is a requirement for Grants.gov registration. Please note, however, that applicants must update or renew their CCR registration at least once per year to maintain an active status. Information about registration procedures can be accessed at www.ccr.gov.

What an Application Must Include

When applying for federal funding, applicants must provide the following:

Standard Form 424
Project Narrative
Budget and Budget Narrative
Indirect Cost Rate Agreement (if applicable)
Other Attachments

- Applicant must complete the online Application for Federal Assistance (SF-424), a standard form that most federal agencies use.

Project and Budget Related Attachments

- The project narrative should describe activities as discussed in the *Scope of Work* and address the selection criteria. The project narrative should contain a detailed timeline for project activities, a description of the survey methodology to be used, including data collection method, data entry, and data documentation procedures. Information provided should focus on activities to be conducted during the 2-year project period. The project narrative *should not exceed* 35 double-spaced pages in 12-point font.
- The Budget Detail Worksheet may be found through the Internet at http://www.ojp.usdoj.gov/funding/forms/budget_detail.pdf, OJP Standard Forms & Instructions. The OJP Financial Guide, which governs the administration of funds and contains information on allowable costs, methods of payment, audit requirements, accounting systems, and financial records, is available on the OJP website at <http://www.ojp.usdoj.gov/financialguide/index.htm>. If you have any questions, please contact the OJP Office of the Chief Financial Officer's Customer Service Center at 1-800-458-0786.

- Applicants that do not have a federally negotiated indirect cost rate and wish to establish one, may submit a proposal to their “cognizant” federal agency. In general, the cognizant federal agency is the agency that provides the preponderance of direct federal funding. This can be determined by reviewing an organization’s schedule of federal financial assistance. If DOJ is your cognizant federal agency, information needed to submit an indirect cost rate proposal can be obtained at http://www.ojp.usdoj.gov/funding/pdfs/indirect_costs.pdf.

Other Attachments

- **Key staff information.**
Information on key staff includes a staff loading chart, by task and contract year, showing the role and number of hours (per year) committed for proposed staff; identification of proposed key personnel and their qualifications for the significant functions in this project, along with concise descriptions of the duties each will perform under the grant; and an identification by name of all key personnel with decision-making authority.
- **Privacy Certification.**
The Privacy Certificate is a funding recipient’s certification of compliance with federal regulations requiring confidentiality of information identifiable to a private person, which is collected, analyzed, or otherwise used in connection with an OJP-funded research or statistical activity. The funding recipient’s Privacy Certificate includes a description of its policies and procedures to be followed to protect identifiable data. A model certificate is located at <http://www.ojp.usdoj.gov/bjs/pub/pdf/bjsmpc.pdf>.
- **Human Subjects Protection Certification of Compliance.**
BJS requires the funding recipient to submit proper documentation to be used to determine that the research project meets the federal requirements for human subjects protections set forth in 28 CFR Part 46. A model certificate, describing the necessary information to be provided by the funding recipient, can be accessed at <http://www.ojp.usdoj.gov/bjs/hscr.htm>.
- **Assurances and Certifications.**
Applicants are required to review, accept, and “sign off” electronically on these assurances and certifications through GMS. Please verify that the name, address, phone number, fax number, and e-mail address of the authorizing official on these online forms are correct.
 - (1) **Assurances.** The applicant must comply with the assurances in order to receive federal funds under this program. It is the responsibility of the recipient of federal funds to fully understand and comply with these requirements. Failure to comply may result in withholding of funds, termination of the award, or other sanctions.
 - (2) **Certifications Regarding Lobbying; Debarment, Suspension, and Other Responsibility Matters; and Drug-Free Workplace.** This form commits the applicant to comply with the certification requirements under 28 CFR Part 69, "New Restrictions on Lobbying," and 28 CFR Part 67, "A Government-wide Debarment and Suspension (Nonprocurement) and Government-wide Requirements for a Drug-Free Workplace (Grants)."

Selection Criteria

Proposals should describe the plan and implementation strategies outlined in the *Scope of Work*. Information on staffing levels and qualifications should be included for each task and descriptions of experience relevant to the project. Resumes of the proposed project director and key staff should be submitted with the proposal as attachments.

Applications will be reviewed competitively with the final award decision made by the Director of BJS. The applicant will be evaluated on the basis of:

1. Statement of the Project Narrative (10%)

Applications will be reviewed on the content of the proposal and how it completely addresses the tasks in the *Scope of Work*.

2. Project Design and Implementation (30%)

Demonstrated knowledge of applied survey research, including survey construction, sample issues, question issues, content issues, bias issues, as well as the ability to pre-test research findings based on the objectives outlined in the *Scope of Work*.

3. Capabilities/Competencies (30%)

Demonstrated ability of staff in understanding survey research, including survey design and sample design. Demonstrated ability and experience in collecting data from respondents incarcerated in correctional facilities. Demonstrated existence of an independent and adequate computing environment with required data protections and demonstrated knowledge of standard social science data processing software. Demonstrated ability to produce data files for analysis in SAS, SPSS, and STATA. Demonstrated ability to complete the *Scope of Work* with documented evidence of extensive knowledge and experience in survey and sample design.

4. Budget (20%)

The reasonableness of the proposed budget, including demonstrated fiscal, management, staff and organizational capacity to provide sound management for this project. Applicant should include detailed staff resources and other costs by project tasks.

5. Impact/Outcomes and Evaluation (10%)

The demonstrated ability to develop research designs for complex surveys.

Review Process

The applicant will be evaluated based on the requirements provided under the Selection Criteria. OJP is committed to ensuring a standardized process for awarding grants. The Bureau of Justice Statistics reviews the application to make sure that the information presented is reasonable, understandable, measurable, and achievable, as well as consistent with program or legislative requirements as stated in the solicitation.

Peer reviewers will review the applications submitted under this solicitation as well. The Bureau of Justice Statistics may use either internal peer reviewers, external peer reviewers or a combination of both to review the applications under this solicitation. An external peer reviewer is an expert in the field of the subject matter of a given solicitation who is NOT a current U.S. Department of Justice employee. An internal reviewer is an expert in the field of the subject

matter of a given solicitation who is a current U.S. Department of Justice employee. Applications will be screened initially to determine whether the applicant meets all eligibility requirements. Only applications that meet all other requirements and are submitted by eligible applicants will be evaluated, scored, and rated by a peer review panel. Peer reviewers' ratings and any resulting recommendations are advisory only. In addition to peer review ratings, considerations may include, but are not limited to, underserved populations, strategic priorities, past performance, and available funding.

After the peer review is finalized, the Office of the Chief Financial Officer (OCFO), in consultation with the Bureau of Justice Statistics, conducts a financial review of all potential discretionary awards and cooperative agreements to evaluate the fiscal integrity and financial capability of applicants; examines proposed costs to determine if the budget and budget narrative accurately explain project costs; and determines whether costs are reasonable, necessary, and allowable under applicable federal cost principles and agency regulations. OCFO also reviews the award document and verifies the OJP Vendor Number.

Absent explicit statutory authorization or written delegation of authority to the contrary, all final grant award decisions will be made by the Assistant Attorney General (AAG), who may also give consideration to factors including, but not limited to, underserved populations, strategic priorities, past performance, and available funding when making awards.

Additional Requirements

Successful applicants selected for award must agree to comply with additional applicable requirements prior to receiving grant funding. We strongly encourage you to review the list below pertaining to these additional requirements prior to submitting your application. Additional information for each can be found at http://www.ojp.usdoj.gov/funding/other_requirements.htm.

- Civil Rights Compliance
- Funding to Faith-Based Organizations
- Confidentiality and Human Subjects Protections Regulations
- Anti-Lobbying Act
- Financial and Government Audit Requirements
- National Environmental Policy Act (NEPA) Compliance
- DOJ Information Technology Standards
- Single Point of Contact Review
- Non-Supplanting of State or Local Funds
- Criminal Penalty for False Statements
- Compliance with the Office of Justice Programs' [Financial Guide](#)
- Suspension or Termination of Funding

- Nonprofit Organizations
- For-Profit Organizations
- Government Performance and Results Act (GPRA)
- Rights in Intellectual Property
- Federal Funding Accountability and Transparency Act (FFATA) of 2006