

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



The [U.S. Department of Justice](#), [Office of Justice Programs](#) (OJP), [Bureau of Justice Statistics](#) (BJS) is pleased to announce that it is seeking applicants for the National Corrections Reporting Program (NCRP) data collection, analysis, and dissemination activities. As the statistical arm of the Department of Justice, BJS is responsible for collecting, analyzing, publishing, and disseminating statistical information on crime, criminal offenders, victims of crime, and the operations of criminal justice systems at all levels of government. This project, conducted under the auspices of BJS' Corrections Statistics Program, furthers the missions of the Department, OJP, and BJS by working in partnership with the justice community to identify the most pressing challenges confronting the justice system and to provide state-of-the-art knowledge and information in support of innovative strategies and approaches for dealing with these challenges.

National Corrections Reporting Program 2010-2013 Solicitation

Eligibility

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

Deadline

Registration with Grants.gov is required prior to application submission.
(See "How to Apply" on page 22)

All applications are due by 5:00 p.m. Eastern time on June 11, 2010.
(See "Deadlines: Registration and Application" on page 3)

Contact Information

For technical assistance with submitting the application, contact Grants.gov Customer Support Hotline at 800-518-4726 or via e-mail to support@grants.gov.

Note: The [Grants.gov](#) Support Hotline is available 24 hours, 7 days a week, except federal holidays.

For assistance with any other requirement of this solicitation, contact Thomas Bonczar, BJS Statistician, at 202-307-0765 or via email at askBJS@usdoj.gov. Include "ncrp1013" in the subject line of emails pertaining to this solicitation.

Grants.gov number assigned to announcement:
2010-BJS-2661

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National Corrections Reporting Program 2010-2013 CFDA 16.734

Overview

The BJS seeks a data collection agent for the National Corrections Reporting Program (NCRP) for the years 2010 through 2013.

Through the NCRP, BJS collects individual (or offender-level) data on prisoners entering and leaving the custody or supervision of state prison systems and discharges from parole. The NCRP data, which have been collected annually since 1983, are derived from state prison and parole administrative records. BJS uses these data to study a wide variety of special topic issues in corrections—such as recidivism of state prisoners (by linking the NCRP data to criminal history records), prisoner reentry, aging of the prison population, trends in state parole, outcomes of parole supervision, and other issues. Additionally, BJS uses these data to support its ongoing efforts to study changes in racial and offense composition of corrections populations, movements and transitions between stages of the corrections process, and to compare differences among states' correctional populations.

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

Deadlines: Registration and Application

Registration with Grants.gov is required prior to submission. OJP strongly encourages registering several weeks before the deadline for application submission. The deadline for applying for funding under this announcement is 5:00 p.m. Eastern time on Friday, June 11, 2010. Please see the "How to Apply" section on page 22 for more details.

Eligibility

Applications for funds may be submitted by both for-profit (commercial) and nonprofit organizations. See more information in the "Eligibility" section on page 1.

Project-Specific Information

Through the NCRP, BJS collects individual (or offender-level) data on prisoners entering and leaving the custody or supervision of state prison systems and discharges from parole. These data are crucial to BJS' efforts to study important issues in corrections, including recidivism and reentry, success and failure on parole, changes in the racial and offense composition of prison populations, aging correctional populations and the implications for correctional health care costs, mortality in prisons and while under community supervision, factors affecting prison population growth (such as length of stay and admissions), and a variety of other topics.

The NCRP data, which have been collected annually since 1983, are derived from state prison and parole administrative records. Annually, state agency staff have provided to BJS' data collection agent data extracts from their information systems that conform to BJS' specifications

for variables describing offender movements and their characteristics. Currently, the NCRP consists of four parts, each representing a cohort of offenders:

- Part “A” records contain data on prisoners admitted to state prison during a calendar year;
- Part “B” records contain data on prisoners released from state prisons during a calendar year;
- Part “C” records contain data on offenders discharged from parole during a calendar year; and
- Part “D” records contain data on prisoners incarcerated in state prison at yearend. The D records were collected beginning in 1999.

A clever component of the NCRP design is that the data collected on offenders admitted to prison are retained in the records of offenders in prison at yearend, released from prison, and discharged from parole. In essence, the original prison admission record is updated with the latest prisoner movement (or yearend prison stock data) as an offender moves through the corrections process. Offender records retaining information about dates of commitment, charges associated with the commitment, and other information recorded at sentencing and throughout the process provide opportunities for linking NCRP records across the various stages of the corrections process.

A more complete description of the collection can be found in the documentation about the collection archived at the National Archive of Criminal Justice Data (NACJD), available at <http://www.icpsr.umich.edu/NACJD/>.

As an example, the description of the 2004 NCRP data can be found at <http://www.icpsr.umich.edu/cocoon/NACJD/STUDY/26521.xml>.

A majority of states have provided data (mostly Part A and B records) to the NCRP since its inception, and until 2005, the NCRP records covered about 85% of admissions to and releases from state prisons. Since 2002, the number of participating states has declined (table 1), but the NCRP still covers about 70% of the state prison population. As discussed in the subsequent section on goals, arresting and reversing the declining participation in the NCRP is a key goal for this project.

Table 1. Participation in the NCRP, 2000 through 2008

NCRP part	Number of participating states, by year								
	2000	2001	2002	2003	2004	2005	2006	2007	2008*
A	39	38	39	36	36	36	33	30	28
B	39	38	39	36	36	36	33	30	28
C	32	30	30	29	27	27	26	22	22
D	18	26	27	25	22	23	23	20	19

*As of February 17, 2010. The 2009 collection went into the field early in January.

The completeness of the NCRP data, by type of data (parts A, B, C, and D) may vary in terms of the variables for which data are provided and in the types of records provided. For example, some states may not have provided data on the type of prison admission (e.g., a new court commitment, parole violator, etc.) for a particular year, or they may have provided records for persons sentenced to less than one year. While these records—offenders sentenced to less than one year—are not consistent with BJS definitions of a sentenced offender, BJS collects

these records and classifies them in a manner that is consistent with BJS definitions. Records of unsentenced offenders or offenders sentenced to less than one year who enter prison are useful to BJS for other purposes. For example, in states with an integrated prison/jail system, the records of unsentenced admissions can be used to understand movements into and out of what could be considered to be a jail setting.

For the purposes of generating similar year-to-year distributions of offenders admitted to state prisons, incarcerated in prisons at yearend, released from state prisons, and exiting parole supervision, BJS has prepared a set of processing standards for each data collection year. The standards have been designed and applied to the source data provided by state respondents to prepare a set of analytic tables for internal use that help to assess the reliability of the data submissions over time and across responding states.

BJS uses the annual NCRP data to publish statistical tables that document movements of offenders through stages of the corrections process. This limited set of 15 tables (<http://bjs.ojp.usdoj.gov/content/dtdata.cfm#corrections>) provides information on prison admissions, releases, and parole exits. Characteristics of the offender population included in these tables include offense, gender, and race. BJS also uses the NCRP to develop special topic reports and estimate characteristics of prison populations.

A critical goal for this project is to enhance the timeliness and quality of the data products emanating from the NCRP. BJS seeks a data collection agent that can both handle the information system processing and database management tasks of the NCRP project, develop and implement procedures to streamline data processing tasks while maintaining high standards for data reliability, and bring substantive knowledge of corrections to assist it in developing new statistical products from the NCRP.

Goals for the NCRP

BJS views the NCRP as a valuable resource that can be developed to meet many of its statistical goals for reporting on corrections population movements, especially prison admissions and releases and parole entries and exits. Although not currently a part of the NCRP, probation populations contribute to prison population movements because offenders may be removed from probation and enter prison. In the long run, integrating probation population movements into the NCRP can be established as a goal, particularly in states in which probation and parole are managed by an executive branch office or in states in which prisons, probation, and parole are organized within a single department.

Consistent with BJS' mission and the principles and practices of Federal Statistical Agencies, BJS intends to use the NCRP project as a vehicle to enhance state corrections departments' information systems to foster their participation in national corrections statistical reporting programs. To that end, BJS intends to provide technical assistance, access to online data tools, and support in providing NCRP data through the Department of Justice's Global Justice Sharing Initiative (<http://it.ojp.gov/default.aspx?area=globalJustice>).

As the NCRP data provide a resource for tracking transitions between stages of the corrections process, BJS intends to enhance the breadth and quality of statistical products released from this collection. As outlined in a recent report by the Committee on National Statistics of the National Academy of Sciences on BJS and justice statistics (*Ensuring the Quality, Credibility, and Relevance of U.S. Justice Statistics*, available at http://www.nap.edu/catalog.php?record_id=12671) opportunities exist for enhancing the

reporting of corrections statistics derived from the NCRP. BJS seeks a data collection agent with substantive knowledge of corrections to assist with developing a comprehensive set of statistical products to help to meet this goal.

During this 5-year NCRP project, BJS intends to make significant progress in achieving the following goals:

- *Enhance, and expand the NCRP collection.* Enroll non-participating states into the program and expand coverage of participating states to ultimately obtain complete participation in all four parts of the NCRP by all 50 states.
- *Create a National Archive of State Corrections Data.* Add new data elements to the NCRP and allow for variation among states in data elements submitted, while retaining a common core of NCRP variables.
- *Improve the timeliness of the NCRP data.* Reduce the lag time between a collection's end of reference year and the release of statistical data from the NCRP. In the long run, achieve "real time" transmission, assessment, analysis, and dissemination of data, where "real time" refers to the shortest lag between the end of a reference year and release of data.
- *Enhance the reliability of NCRP data.* Timeliness is essential, but it is only relevant if the data released are reliable and of high quality. Challenges to reliability arise when allowing for variability among states in data element submissions around a common NCRP. Standards need to be developed and implemented to provide reliable data that allow for comparisons across jurisdictions on key measures of correctional population movements. In addition, BJS seeks to reconcile the NCRP data relative to other BJS data on correctional population movements, such its National Prisoner Statistics, Annual Survey of Parole, and prison inmate surveys.
- *Expand record linkage within the NCRP and to other administrative data.* Through linking, the information obtained from the NCRP can be enhanced. For example, linking NCRP prison release cohorts to parole discharge cohorts allows for studies of time to failure on parole for offenders entering parole during a given period. Or, by using offender identification variables—such as state inmate IDs or state ID numbers—records of individual offenders can be linked across successive cohorts to track and identify episodes in prison and time on the street. In addition, the NCRP data can be linked to other administrative data sources to produce new information about correctional population movements. Notably, BJS uses the NCRP as the source for its studies of recidivism of offenders released from prison. In these studies, BJS linked the NCRP prison release records to criminal history records.¹ BJS is using the 2005 prison release cohort from the NCRP as the base for its current study of recidivism of prisoners. BJS also has interests in linking the NCRP data to other state administrative data—such as state unemployment insurance data—to track post-prison outcomes and to provide other covariates for analyzing the correlates of recidivism.
- *Enhance the quality of statistical reports based on the NCRP data.* The content of the NCRP allows for a wide range of substantive topics to be addressed by NCRP data.

¹ See, for example, *Recidivism of Prisoners Released in 1994*, available at <http://bjs.ojp.usdoj.gov/index.cfm?ty=pbdetail&iid=1134>.

BJS seeks to enhance the scope of content and quality of reports derived from the NCRP. For example, consistent with the recommendations provided in *Ensuring the Quality, Credibility, and Relevance of U.S. Justice Statistics*, BJS aims to use the NCRP to study transitions between stages of the corrections process, to decompose these changes by state and demographic group, to assess how sentence length and admissions contribute to changes in prison populations, and to produce other routine statistics on the movements of offenders. The data collection agent should have substantive expertise in corrections and in-depth knowledge of the NCRP data to allow the agent to participate with BJS in developing statistical products from the NCRP.

- *Foster strong working relationships with state corrections research units and data providers.* BJS intends to enhance its working relationships with state departments of corrections by building effective partnerships based on sharing data and information. BJS aims to improve the partnership by developing online data analysis tools to share NCRP data with providers to help meet some of their research and statistical needs for comparative data. A data collection agent should be capable of establishing and maintaining strong working relationships with data providers, demonstrate knowledge and understanding of their system, and provide technical assistance as needed in solving data-related problems.
- *Develop information sharing capacity among state departments of corrections to assist in implementing the NCRP goals and improve real-time reporting and analysis of NCRP data.* In BJS' view, many of its long-range goals for the NCRP can be met by implementing procedures for data exchange and data sharing, as opposed to the current methodology of obtaining extracts of data files from departments' information systems. The Department of Justice's (DOJ) Global Justice Information Sharing Initiative, or "Global," (<http://it.ojp.gov/default.aspx?area=globalJustice>) serves as the voice of state, local, and tribal officials to DOJ and BJS with regard to recommending national information-sharing policies, practices, and technology solutions. Two of these products in particular are of value in advancing the NCRP program. The National Information Exchange Model, or NIEM (<http://www.niem.gov>), defines the data content and format of an information exchange. The Justice Reference Architecture, or JRA (<http://it.ojp.gov/default.aspx?area=nationalInitiatives&page=1015>), defines how data will be shared in a consistent manner, most commonly through the use of internet-based web services. Using NIEM and JRA to share information represents a recognized best-practice in the criminal justice community. Using these tools in the NCRP will improve the timeliness and accuracy of reported data, as well as assist the institutional corrections community in moving toward expanding its technical capability in this area.

The Global initiative is a priority goal for BJS in this project. BJS views this as providing inherent benefits to all involved parties by moving towards a (likely) web-based solution to integrating data collection, analysis, and dissemination. This approach will increase flexibility in reporting, make it easier and faster for states to comply with new reporting requirements, and allow reporting capabilities to be reusable in the event that the data are needed for multiple purposes (such as internal analysis, external sharing, etc.). Using NIEM/JRA to provide these capabilities will allow BJS and its state partners to use these capabilities consistently and effectively.

BJS seeks a data collection agent that can demonstrate a strong commitment to these goals, has demonstrated expertise in corrections statistics and information system processing, a willing capacity to work collaboratively with BJS in setting priorities to make progress toward these

goals, and an ability to work with a diverse group of data providers to assist them in moving towards a new model for the NCRP.

Entities submitting proposals in response to this solicitation should describe the efforts they would undertake to assist BJS in meeting these goals and integrate the description of these activities into their discussion of proposed efforts to address the scope of work for this project.

Scope of Work

The core of the project described herein covers the activities associated with four reference years of data collection, 2010 through 2013. However, as BJS will be making a transition from its current collection agent (the U.S. Census Bureau) to a new agent, there will be a transition phase for the NCRP that will involve establishing protocols to maintain the database while the recipient of funds implements procedures that contribute to accomplishing BJS' goals for the NCRP. Activities associated with the transition will involve completing data collection and processing activities associated with prior data years, especially 2009.

This project has six major components:

- (1) Managing the transition of the NCRP to a new data collection agent;
- (2) Conducting recurring, annual NCRP project tasks;
- (3) Enhancing the NCRP, and building enhancements into annual tasks;
- (4) Proposing an incremental implementation plan to test, analyze, and deploy information sharing tools and technologies across all NCRP participating states, according to the DOJ Global guidelines;
- (5) Conducting a scan and assessment of state and federal administrative records for purposes of linkage with NCRP records; and
- (6) Maintaining effective communication with BJS and stakeholders about the project.

Task (1): Managing the transition of the NCRP

BJS will deliver to the data collection agent materials related to the NCRP, including respondent contact information, documentation, datasets, established data processing standards, computer code used by the prior data collection agent to prepare data tables, and other related materials. The selected collection agent will be responsible for reviewing and organizing these materials and determining how to use them in ongoing activities associated with annual data collections.

While the recipient of funds for this project will be responsible for collecting and processing NCRP data covering four years, 2010 through 2013, the recipient also will be responsible for completing data processing tasks associated with prior reference years, primarily 2009. These processing tasks for the 2009 data include (as described in the next section) completing work to create final datasets, preparing statistical tables, and archiving data. BJS will provide the recipient of funds with data and processing standards associated with completing the processing of 2009 data.

Other transition activities include notifying respondents about the new data collection agent, identifying contacts, information respondents about how and where to submit data, and establishing direct contact with respondents.

Task (2): Recurring and annual NCRP project tasks:

The core annual and recurring project tasks include notifying respondents about the upcoming collection, collecting data, analyzing and assessing the reliability of the submitted data, verifying the completeness and accuracy of the data with providers, converting state offense codes into BJS offense categories, producing a set of statistical tables for BJS review and ultimately posting on the BJS website, and archiving data at the National Archive of Criminal Justice Data (NACJD) (<http://www.icpsr.umich.edu/NACJD/>). BJS aims to complete the collection and processing of data for the reference year within 18 months of the last day in the reference year. Over time, BJS aims to reduce this time to less than 12 months.

Specifically, the annual tasks include:

(A) Submit a plan for managing the annual tasks with specified target dates for completing those tasks. Within two weeks of meeting with BJS following the project kickoff meeting, the recipient shall submit to BJS for review and comment a draft of its task plan with time frames for the project. The recipient will subsequently incorporate BJS' comments into its draft plan.

(B) Initiate and implement data collection activities for a reference year. These include:

- Notifying NCRP respondents of the upcoming data collection and request NCRP data for the current reference year. For the 2009 NCRP, BJS contacted 44 respondents and plans to contact this same set of respondents for 2010, along with additional respondents that in recent years have not submitted data. Notification and requests for data are made during late December of the reference year—for example, data covering reference year 2010 will be requested during December 2010—and data providers are requested to submit 2010 data to the BJS collection agent by the end of March 2011. Given the transition to a new data collection agent, additional notification may be required prior to requesting the 2010 data in order to introduce respondents to the new agent.
- Reenrolling states that in recent years have ceased submitting data to the NCRP (i.e. Illinois, Maine, Massachusetts, Mississippi, Ohio, and Vermont) and expanding the participation of other states. BJS encourages the recipient of funds to devise innovative methods to obtain states' data. For example, some states' departments of corrections maintain their own research databases. Although these may not be maintained in the NCRP format, BJS views these research databases as opportunities for re-enrolling states (or enrolling new states) in the NCRP. If states submit data in non-NCRP formats, the recipient of funds will work with BJS to develop methods to transform these data into the NCRP standards (as described below).
- Developing and implementing procedures for expediting data collection and addressing the needs of late respondents. Historically, a minority of respondents has submitted their data within the 3-month time frame requested by BJS. The majority of respondents submits data more than 6 months after the end of the collection period. For example, during the 2007-2008 collection period, 13 respondents provided data within the 3-month window specified in the letter requesting the data (that is, by March 31); another 14 submitted data more than 6 months after March 31, while the remainder submitted data between 3 and 6 months after March 31.

- Developing and implementing procedures to enroll new states or to increase the number of NCRP parts that a particular state submits.

(C) Develop and implement a system for timely review and assessment of newly submitted data to identify and correct problems with submissions within a short period after receipt of the data. In practice, although requested to submit data according to BJS processing standards, respondents submit data in various formats, and the formats need to be converted into a standardized format. (BJS variable definitions are described in the documentation about the NCRP, which is available at the NACJD (see <http://www.icpsr.umich.edu/cocoon/NACJD/STUDY/26521.xml>).

BJS will provide the recipient of funds with information about the NCRP data processing standards for review, assessment, and application to the data. BJS welcomes suggestions for new approaches to implementing the NCRP standards.

(D) Convert state offense codes into BJS offense categories. States provide information for up to three offenses, plus a separate variable containing the offense code for the offense with the maximum sentence. The state offense codes appear in a variety of formats, such as text descriptions, offense codes, or state statutes. BJS has a record of prior codes and how they have been classified that the recipient of funds can use to make classification decisions. However, it is not uncommon for new state offense codes to appear with each annual submission of data. These codes need to be classified into BJS offense categories. The recipient of funds will be expected to review offense codes and work with BJS staff in making classification decisions.

(E) Generate standard analysis files (SAFs) for each of the four NCRP cohorts. An SAF is defined as a file that contains the records for a cohort, standard variables, and other variables. Standardized variables include BJS offense categories, categories of prison admissions, prison releases, parole discharges, age, race, and other selected variables. SAF files will contain all variables submitted by states along with BJS standardized variables. BJS will provide definitions for standard analysis variables, which will include measures for categories of admissions, releases, parole discharges, sentence length, offense categories, actual and expected time served in prison, time on parole, age, race, and gender. The recipient may also suggest other standard analysis variables.

(F) Produce statistical products. For the NCRP, BJS envisions two types of statistical products: (a) annual statistical tables; and (b) in-depth reports based on NCRP and possibly other related data. For both products, BJS seeks to work collaboratively with the recipient of funds to define, develop, and generate the products. The recipient of funds should be able to demonstrate a thorough understanding of substantive issues in corrections that the NCRP can address.

Annual Statistical Tables: The recipient of funds will use the SAFs to generate a set of statistical tables. Currently, BJS has published 15 tables from the NCRP on its website (see <http://bjs.ojp.usdoj.gov/content/dtdata.cfm#corrections>). These tables show distributions of offender movements and report the total number of cases used in generating the tables. BJS seeks to modify these tables to better address issues related to transitions between stages of the corrections process and to supplement the aggregate tables with state-specific data. A goal for annual reporting from the NCRP is to document state-specific transitions between stages of the corrections process, broken out by key categories of offenders, and to summarize these transitions among the states in meaningful ways. The recipient of funds

would work collaboratively with BJS to identify the aggregate and state-specific tables to produce as well as the products that can summarize the contribution of states to the aggregate changes.

Despite the fact that not all states report to the NCRP, the tables are generally interpreted as representing national-level outcomes. BJS intends to fund a separate project dealing with nonresponse in the NCRP. One goal of that project is to produce a methodology to adjust for nonresponse. The methodology will result in adjustments to BJS control totals, drawn from its National Prisoner Statistics data. The methodology needs to be flexible enough to accommodate changes in response patterns from year-to-year. While it is BJS' intention to deliver the methodology to the recipient of funds to implement into the annual processing of the NCRP, the recipient of funds should demonstrate a thorough understanding of nonresponse and the capacity to modify a methodology to the conditions of the NCRP.

BJS also seeks to improve the timeliness of the release of the statistical tables. Under current practice, the tables are generated *after* data collection for a year is complete, that is, after a decision is made to suspend follow-up contacts with nonrespondents and to close out a collection year. This results in delays in producing statistical tables and finalizing data.

Respondents to this solicitation should propose methods to improve the timeliness of the release of these tables. For example, and in the interim while the nonresponse methods are being developed, consider methods of producing tables iteratively as data are received and to assess the effect of nonresponse on the estimates by assessing changes in distributions that occur as additional states' data are added to a collection year. Methods may include using adjusted prior years' data for a late respondent or nonrespondent, where adjustments are based on reliable methods.

BJS currently publishes the NCRP statistical tables as .csv files in order to be compliant with the American with Disabilities Act. The recipient of funds will be expected to deliver the statistical tables in a format (such as Excel) that can be converted easily into the currently used .csv format. The recipient of funds is expected to submit a draft set of tables for BJS review and comment, and prior to submitting the final version of the statistical tables, to modify the draft set of tables if needed to address BJS comments.

In-depth reports from the NCRP: BJS has used the NCRP to produce more in-depth reports (see *Trends in State Parole, 1990-2000*, available at <http://bjs.ojp.usdoj.gov/content/pub/pdf/tsp00.pdf>), and others have used NCRP data to study correctional population change. BJS seeks to develop a series of reports based on the NCRP (and using other appropriate sources, as well) to address key and emerging issues in corrections in more depth than can be addressed by the annual statistical tables.

BJS and the recipient of funds will work collaboratively to develop a plan for producing a series of reports during the entire project period. In responding to this solicitation, BJS requests that applicants identify and discuss issues that could be addressed with the NCRP or describe a portfolio of statistical research to be undertaken with the NCRP data.

For planning and budgeting purposes, the recipient of funds should plan for two to three such in-depth reports during the entire project period. For the first year of the project, applicants should plan to focus efforts on developing the portfolio or plans for in-depth

studies. During later years (pending successful performance) the work associated with producing reports will be included as part of the annual tasks.

- (G) Submit final versions of the NCRP datasets to BJS. At the end of a processing cycle, the recipient of funds will submit final versions of the NCRP datasets to BJS in ASCII format and a corresponding record layout. Alternative formats (e.g., SAS datasets, SPSS system files, Stata datasets) may be required. The final datasets should include data from all states that submitted records, and all variables obtained from data providers as well as standardized variables.

Historically, some states have submitted NCRP data for a collection year after the collection year has been closed out. The recipient of funds should prepare for this contingency (assuming only 1 or 2 states submits records after a collection year is closed out). The recipient will be required to add these states' data to the final dataset for a collection year and to deliver updated datasets to BJS. However, BJS' goal is to avoid such contingencies.

- (H) Support BJS requests for data tabulations and analyses of NCRP data. The recipient of funds should plan to respond to BJS requests for special analyses and tabulations of NCRP data. Such requests will generally consist of frequency distributions, crosstabulations, means, and other summary and descriptive statistics. The recipient of funds should plan to conduct 6 of these during a year. Requests for tabulations may refer to any year of the data collection.
- (I) Prepare NCRP datasets and documentation for archiving at the National Archive of Criminal Justice Data (NACJD) at the University of Michigan. After BJS review of these materials, the recipient of funds submits data and documentation for archiving. For guidance on data submissions, see <http://www.icpsr.umich.edu/NACJD/index.html>. Annually, the final datasets are to be archived at NACJD. BJS expects that the final datasets will be submitted to NACJD shortly after the recipient of funds submits the final versions of the datasets to BJS and BJS confirms that these are ready to be submitted to NACJD.

As indicated above, late submissions of final versions of NCRP datasets to BJS may be added to the final datasets. If this occurs, BJS expects that the data archived at NACJD will be updated to reflect the late additions. The recipient of funds should plan for this contingency.

BJS retains all rights to exclusive use of the data until BJS releases the dataset to the public via the Internet and the National Criminal Justice Data Archives at the University of Michigan. **The recipient shall not release or disclose any data collected through this cooperative agreement without prior written approval of BJS or until the dataset has been released to the public.** This includes, but is not limited to, presentations at professional conferences and meetings, press releases, and/or grant applications. Unauthorized release of the data by the recipient or its associates may result in the immediate commencement of termination or suspension proceedings in accordance with 28 CFR Part 18.

- (J) Provide BJS with continuous and secure electronic access to all NCRP data files. The recipient of funds will provide BJS with access to NCRP data files, including data originally submitted to the program and SAF datasets created during analysis.

- (K) Maintain all datasets securely and confidentially. The recipient of funds will maintain all data securely and confidentially, meeting BJS human subjects and confidentiality requirements found at <http://bjs.ojp.usdoj.gov/content/hscr.cfm>.

Task (3): Enhance and expand the NCRP database and project.

During the course of this four-year project, BJS intends to enhance and expand the NCRP. However, BJS' main priority for this project during the startup period and during the first year of operation is for the recipient of funds to establish and implement sound and reliable procedures to maintain the NCRP database and meet the annual processing requirements. BJS expects that the recipient of funds will operate in a manner that aims to make improvements to the project and use the first year of the project to identify improvements that can be implemented during successive years. At the same time, if opportunities exist to implement enhancements during the first year of the project, the recipient of funds should take advantage of these opportunities and implement them.

Among the specific areas in which BJS aims to enhance the NCRP are the following:

- (A) Develop and implement plans to expand participation in the NCRP either by enrolling new states or enabling participating states to submit parts of the NCRP they do not currently submit.
- (B) Devise and implement procedures for assessing, analyzing and finalizing submitted data that reduce processing time, meet BJS specification for core variables, obtain certification from data providers of their review of the data, and enhance dissemination options.
- (C) Develop methods for improving communication data providers and enhancing state departments of corrections research capabilities. Starting with the second year of the project, BJS intends to include as an annual task a data providers/state corrections researchers meeting. The meetings will bring together department of corrections research staff who are involved in providing data and department of corrections users of the NCRP data to discuss BJS' goals for the NCRP, new initiatives, common problems facing the providers, research issues confronting state corrections' departments, methods for providing access to the NCRP for analysis, and methods for disseminating data from the NCRP.
- (D) Assist BJS in conducting a review and assessment of the conversion from state offense codes into BJS offense codes.
- (E) Develop methods that allow data providers to analyze NCRP data. Online tools that provide controlled and secured access to the data are one mechanism that can contribute to this goal.
- (F) Improve documentation for data providers about the NCRP. BJS has an NCRP guide detailing the specifications that data providers must meet when submitting data that, while complete, may need to be improved.
- (G) Implement procedures to link NCRP data. In later years of the project, the recipient of funds will be required to implement procedures for linking adjacent cohorts of NCRP records.
- (H) Enhance the substantive and analytic content of statistical products based on the NCRP. BJS intends to work collaboratively with the recipient of funds to identify new products for

the NCRP. The recipient of funds will be expected to propose ideas for special topic projects. During the second and subsequent years of the project, the recipient of funds should plan to work collaboratively with BJS on special topic reports from the NCRP. To meet BJS data quality guidelines, these reports will be jointly authored with BJS staff.

BJS' expectations regarding these and other enhancements are that the recipient of funds will develop and propose methods for achieving these goals, discuss them with BJS, and implement them according to a schedule and manner approved by BJS. Where the proposed enhancements add to the cost of the NCRP, the recipient of funds will be expected to provide estimates of these costs. Enhancements will be specifically addressed in project years two through four. However, BJS also expects the recipient of funds to devise and implement method to improve the productivity of the NCRP project, so as to implement improvements while containing costs.

In responding to this solicitation, BJS is seeking to learn how applicants plan to integrate the enhancements into the routine and recurring project tasks in years two through four of the project and to achieve efficiencies and cost reductions in the NCRP.

Task (4): Proposal for implementing DOJ's Global Information Sharing recommendations

BJS' goal for the NCRP is to manage collection, analysis, and dissemination of NCRP data through an integrated system based on data exchange, web-based processing tools, and web-based dissemination. To this end, a key task for the first year of the NCRP project is that the recipient of funds submits to BJS a detailed proposal for an incremental development plan that will begin with a small-scale test effort that can be implemented and expanded during the project's second year and form the basis for transitioning the NCRP into a model based on DOJ's Global Justice Information Sharing Initiative. The Global model proposal developed during the first year of the NCRP project should include the goal of completing the transition to the Global model during the third and fourth reference years of the performance of this program, and the costs of implementing it in those years. It should also identify the technical and organizational tasks involved in implementing the project, identifying BJS' role in the project as well as specifying time frames and costs for initiation, implementation, and expansion to other states.

In response to this solicitation, applicants should consider the following:

The Global Justice Information Sharing Initiative serves as a Federal Advisory Committee (FAC) and advises the U.S. Attorney General on justice information sharing and integration initiatives. The Initiative was created to support the broad scale exchange of pertinent justice and public safety information. It promotes a standards-based approach to electronic information exchange to provide the justice community with timely, accurate, complete, and accessible information in a secure and trusted environment. For more information, see <http://www.it.ojp.gov/default.aspx?area=globalJustice>.

In its proposal for implementing this model, the recipient of funds will utilize DOJ's Global recommended solutions, including the National Information Exchange Model (NIEM) (<http://www.niem.gov>) and Justice Reference Architecture (see <http://it.ojp.gov/default.aspx?area=nationalInitiatives&page=1015>) as the basis for facilitating the exchange of information between state corrections agencies and BJS. In its proposal, the recipient of funds shall describe how the use of these tools will be utilized as the core enabler of information sharing and reporting by the end of the project period to reduce lifetime costs and

enhance the speed of implementation of BJS' research and statistical information collection processes.

The recipient of funds will prepare and submit to BJS a proposal for a test of the improved reporting model in up to three states, to be executed during the first or second year of the program period. The recipient will select states based on its experiences during the data collection phase of the project, in which it will, in discussing with BJS, identify candidate states for the test. Its proposal will outline time frames for the test, costs, and provide the necessary technical specifications for implementing the model. The results of this test shall be used to develop a long-term plan for the potential migration of all NCRP participating states to the enhanced reporting mechanism, to occur during the third or fourth year of the program period. In furtherance of this goal the funding recipient will determine, in consultation with BJS, appropriate support mechanisms necessary to support state adoption, potentially including but not limited to reusable software toolkits, sample code, and direct technical assistance.

For funding recipients that do not have existing capacity to implement NIEM and JRA in operational projects, this should not be a disqualifier to apply. BJS and its partners within OJP will provide training and technical assistance as required by the recipient, participating states, and additional stakeholders to ensure the success of the program. However the funding recipient will need to demonstrate a willingness and organizational capacity to fully address the planning and operational requirements as they relate to these and other information sharing tools and techniques. In addition to project management and delivery, the funding recipient may be required to deliver NIEM Information Exchange Package Documentation (IEPDs) based on XML Schema and web services specifications based on the JRA service interaction profiles. Please refer to the above links for more information on these and other information sharing topics.

Task (5): Scan and review of state and federal administrative records

A one-time task for the NCRP project is a scan and review of state and other federal agencies' administrative records that potentially can be linked to NCRP data and used to address substantive issues related to prison reentry and correctional population movements. The project will involve conducting the scan and assessment of administrative record systems to identify data systems that contain information that is pertinent to understanding recidivism and reentry (e.g., employment, education, job training, drug treatment); identify the feasibility of linking to prison records (the personal identifiers in these data systems); and assess the administrative obstacles (including costs) associated with obtaining the records and linking them with NCRP data. The purpose of this project is to scan and assess, not to collect or link. The scan and assessment of administrative records should be done with an eye towards national statistics. That is, it should address the scope of coverage, reliability of data, and relevance for substantive issues related to reentry and correctional population movements.

In responding to this task in this solicitation, applicants should describe methods for conducting the scan and assessment. The objective of this task is for the recipient of fund to produce a report that identifies the opportunities for record linkage, including the scope of coverage of the administrative records systems (that is, whether they are national in scope or limited to specific states or areas); the feasibility of linkage for producing national statistics; the potential obstacles that need to be addressed prior to obtaining data (such as requirements for memoranda of understanding or other data sharing agreements, constraints on data sharing, and requirements for data security); the costs (in any) associated with obtaining the data; and the reliability of the data.

Examples of state administrative records that could provide useful data are state unemployment insurance records (which employers are required to file quarterly on wages paid to employees who are covered by state unemployment insurance), child support enforcement records, and education records. Examples of federal agencies' whose administrative records could be relevant include the Social Security Administration, the Department of Agriculture's Food and Nutrition Services, the Department of Health and Human Services Temporary Assistance for Needy Families, the Census Bureau's Longitudinal Employer-Household Dynamics (LEHD) project data; the Department of Labor (for potential access to state unemployment records); and the Substance Abuse Mental Health Services Administration for data on drug treatment. BJS has specific knowledge of state criminal history records and has developed methods to obtain and link these records. Consequently, the scan should *exclude* state criminal history records.

BJS encourages the recipient of funds to consider the feasibility of learning about state data systems through federal agencies that have responsibilities for similar domains of activity. For example, the Department of Labor may be a useful source for identifying the availability of, and constraints associated with, obtaining states' unemployment insurance records. To the extent that federal agencies are able to provide information about state administrative records, certain obstacles—such as obtaining OMB clearance for a state-level scan—can be overcome. The results of this scan of federal agencies can be used to determine whether a separate study of state agencies needs to be conducted. The final report associated with this project should include an assessment of whether it is necessary to undertake a scan of all 50 states to determine the availability of relevant administrative data that can be linked to the NCRP data.

Task (6): Communication and reporting about progress on the project

BJS expects to have access to up-to-date information about the status of all work on the NCRP project. The recipient of funds should propose methods for communication with BJS and updating it on the status of all aspects of the project, as well as a communication strategy for updating key stakeholders (including data providers) about the project. A critical element to the communication strategy is an overall project plan. BJS expects to receive a draft of the project plans two weeks after a kickoff meeting to start the project. In addition to periodic meetings with BJS staff to discuss progress, the recipient of funds should plan to submit a monthly report on the project's status (monthly status report). This report is independent of the progress and financial reports that are required of all OJP's grantees.

Period of Performance

This is a 5-year project. The project tasks are designed to cover the associated with completing data collection analysis for the transition year (2009) plus the reference years 2010-2013. These tasks (as shown in tables 2 and 3) are scheduled to run from FY2010 through FY2104. The entire project period will be managed through annual, 12-month project periods. During the first 12-month period, the recipient of funds will be expected to complete all of the tasks associated with managing the transition (task 1); collecting data for 2010, completing the processing of data covering 2009 (task 2, the recurring, annual project tasks); completing the proposal for the small-scale test of the Global Justice Sharing Initiative for the NCRP (task 4); completing the scan for administrative data sources for linking (task 5); and implementing the communication and reporting plan (task 6). Also during the first 12-month period, the recipient of funds should assess opportunities for enhancing the NCRP, as described under task 3.

The tasks described under task 2 (Recurring and annual NCRP project tasks) and task 6 (communication and reporting) are the core activities that BJS expects the recipient of funds to conduct and complete annually. As described in that section of the scope of work, the task description implies that during a 12-month period, the recipient of funds will be working on two collection years of the NCRP. As outlined in table 2, for one of these two collection years, the recipient will be completing data processing, table preparation, and archiving tasks; for the other year, the recipient will be collecting and processing data.

Table 2. Key project activities, by project year

Project month	Project year				
	Oct. 2010 thru Sept. 2011	Oct. 2011 thru Sept. 2012	Oct. 2012 thru Sept. 2013	Oct. 2013 thru Sept. 2014	Oct. 2014 thru Sept. 2015
October	Manage the transition; process of 2009 data	Prepare for 2011 collection; continue processing 2010 data	Prepare for 2012 collection; continue processing 2011 data	Prepare for 2013 collection; continue processing 2012 data	Prepare for 2014 collection; continue processing 2013 data
December	Initiate 2010 data collection; process 2009 and 2010 data	Initiate 2011 data collection; process 2010 data	Initiate 2012 data collection; process 2011 data	Initiate 2013 data collection; process 2012 data	Initiate 2014 data collection; process 2013 data
June	Complete processing of 2009 data	Complete processing of 2010 data	Complete processing of 2011 data	Complete processing of 2012 data	Complete processing of 2013 data
September	Archive 2009 data; continue processing 2010 data	Archive 2010 data; continue processing 2011 data	Archive 2011 data; continue processing 2012 data	Archive 2012 data; continue processing 2013 data	Archive 2013 data; continue processing 2014 data

BJS' current expectations for completing the core activities associated with the four reference years of NCRP data in this project (2010-2013) are shown in table 3. However, BJS also expects that the recipient of funds will be able to devise methods to shorten the length of time to complete the annual processing of data from the 18-month period described in table 3.

Table 3. Key goals and time frames for the recurring/annual NCRP tasks

Reference year of the collection	Key goals by expected time frames for completion		
	Start data collection	Finish data processing	Archive NCRP data
2009	[In progress; part of the transition]	June 2011	September 2011
2010	December 2010	June 2012	September 2012
2011	December 2011	June 2013	September 2013
2012	December 2012	June 2014	September 2014
2013	December 2013	June 2015	September 2015

In addition to the core activities of the NCRP, during each project year, the recipient of funds may also undertake special topic projects. As described in the scope of work above, the special project tasks for the first year of this project are task 1 (managing the transition), task 4 (the proposal for the test of the Global Justice Information Sharing Initiative), and task 5 (the scan and assessment of administrative records). For subsequent years in which a special topic task is planned and pending successful performance and availability of funds, the recipient of funds will be requested to submit budget and task plans to address special topic tasks or enhancements to the recurring project tasks.

Proposals written in response to this solicitation should:

- Include a plan that addresses the activities associated with a 12-month period starting October 1, 2010 and ending September 30, 2011.
- Describe how an applicant's efforts during the first 12-months of the project fit into the longer-term goals that BJS has established for the NCRP 2010 through 2013 collection years.
- Include a separate budget for all of the tasks for the first project year, and a separate budget for the recurring project tasks (task 2 and task 6) for years 2 through 4 of the project. BJS expects that budgets for the out years of the project will demonstrate productivity gains and cost efficiencies in processing NCRP data.

Deliverables

During the first project period (October 1, 2010 through September 30, 2011), BJS expects the following deliverables to be completed according to the following schedule in table 4.

Table 4. Deliverable schedule

Task	Deliverable	Date
Overall project plans	Draft and final version of project plans	Draft: Two weeks after project kickoff; final: one week after BJS comments on draft are received
Manage the transition	Indication to BJS that files and documentation have been received and reviewed and that programs and processes are set up	Phased implementation; transition complete within 6 months of project start
Manage and progress on 2010 data collection; complete remaining work on 2009 collection	Letters and follow-up contact plan for 2010; follow-up and completion of 2009	November 2010 to initiate 2010 collection; 2009 completed by April 2011
Provide BJS with online access to NCRP data	Ongoing access	Access should be available by early March 2011
Statistical products: (a) statistical tables based on 2009 data; (b) plan for in-depth studies based on NCRP	Draft and final versions of statistical tables; draft and final version of plan	Statistical tables: Draft, May 2011; final, June 2011. Plan for in-depth studies: April 2011

Table 4. Deliverable schedule

Task	Deliverable	Date
Statistical analyses in support of the NCRP	Statistical tables and documentation	Approximately 6 such requests for analyses during the project year
Complete processing of 2009 data	Final datasets for 2009	June 2011
Archive data	Archive data and documentation for 2009	Review and final versions of archive materials (May and June, respectively)
Scan of administrative records	Outline for final report of scan of administrative records; Draft and final report on results of scan	February 2011 September 2011
Proposal for test case for implementing the Global Justice Sharing Initiative	Proposal with costs	March 2011

Amount and Length of Awards

All awards are subject to the availability of appropriated funds and any modifications or additional requirements that may be imposed by law. Funding will be made available under a cooperative agreement. An initial award will be made for a 12-month period to cover activities associated with the starting the 2010 collection and completing the 2009 data processing and analytic activities. Funding will be made with an option for continuing the collection for the 2011 through 2013 additional annual collections conditional upon availability of funds and the quality of initial performance and products. Funding for subsequent years may include reasonable increases for cost-of-living adjustments and changes in scope, where applicable.

All BJS awards are subject to the availability of appropriated funds and to any modifications or additional requirements that may be imposed by law. Funding for this project will be made available under a cooperative agreement. The award will be made for a period of 12 months, and the cost estimates should not exceed \$1,000,000.

Budget Information

Limitation on Use of Award Funds for Employee Compensation; Waiver: With respect to any award of more than \$250,000 made under this solicitation, federal funds may not be used to pay total cash compensation (salary plus bonuses) to any employee of the award recipient at a rate that exceeds 110% of the maximum annual salary payable to a member of the Federal Government's Senior Executive Service (SES) at an agency with a Certified SES Performance Appraisal System for that year. (The 2010 salary table for SES employees is available at <http://www.opm.gov/oca/10tables/indexSES.asp>.) Note: A recipient may compensate an employee at a higher rate, provided the amount in excess of this compensation limitation is paid with non-federal funds. (Any such additional compensation will not be considered matching funds where match requirements apply.)

The limitation on compensation rates allowable under an award may be waived on an individual basis at the discretion of the Director of BJS. An applicant that wishes to request a waiver must

include a detailed justification in the budget narrative of its application. Unless the applicant submits a waiver request and justification with the application, the applicant should anticipate that OJP will request that the applicant adjust and resubmit their budget.

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

Research, human subjects, IRB review, and confidentiality

All applicants for OJP funds are advised that the Department of Justice defines *research* as "a systematic investigation, including research development, testing, and evaluation, designed to develop or contribute to generalizable knowledge." 28 C.F.R. § 46.102(d). If OJP determines that a funded application involves research and includes human subjects, the approval of an Institutional Review Board (IRB) might be required before OJP funds may be spent for these purposes. If an application includes an evaluation component, that component will be examined by OJP to determine whether it meets the definition of "research." All applications should be as clear as possible in describing the purpose of the evaluation, and the extent to which its findings may contribute to generalizable knowledge.

The protection of human subjects of OJP-sponsored research is of critical importance. If an application involves human subjects of research, it must explain whether IRB approval has been or will be obtained, and it must explain applicant's procedures for obtaining informed consent and minimizing risks.

All applications that include a research or statistical component that collects information identifiable to a private person will be required to complete and submit to OJP a privacy certification.

For further guidance regarding federal regulations regarding research, human subjects protection, and confidentiality, please see the OJP website (http://www.ojp.usdoj.gov/funding/other_requirements.htm).

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. Grantees are required to provide the data requested in the "Data Grantee Provides" column so that OJP can calculate values for the "Performance Measures" column. **Additionally, applicants must discuss in their application their methods for collecting data for performance measures. Please refer to the "What an Application Must Include" section (below), for additional information on applicant responsibilities for collecting and reporting data.** Performance measures for this solicitation are as described in table 5 below:

Objective	Performance Measure(s)	Data Grantee Provides
<p>Maintain the NCRP database throughout the collection period; processing data, preparing tables; responding to requests; and archiving data.</p>	<p>Quality of project management as measured by whether significant interim project milestones were achieved, final deadlines were met, and costs were maintained within approved funds.</p> <p>Percentage of records in the database that are complete and accurate.</p> <p>Achieve a 3% or less error rate on variables per response agency, item response rate for critical NCRP items.</p>	<p>Quarterly financial reports, semi-annual progress reports, and final progress report.</p> <p>Project plans, regular communication with BJS, and monthly status reports.</p> <p>Number of files/records in the database that are complete and accurate.</p> <p>The recipient of funds must conduct verification and quality control checks on data received into the NCRP project; checks of changes or additions made by data providers that result in an error rate whereby follow-up by BJS is required must be limited to no more than 3% of the total number of variables for that agency.</p> <p>The recipient must conduct verification checks of annual data submitted by agencies to ensure that there will be no more than 5 variables in error for a specific year.</p>
<p>Provide final data files and documentation needed to support the dissemination of the NCRP. These include the final data sets submitted to BJS and the data submitted to the archive at NACJD.</p> <p>Assist BJS in developing new statistical products for the NCRP.</p>	<p>Percent of deliverables (including final reports and data files) that meet BJS' expectations for depth, breadth, scope, quality of study, and pertinence (as determined by BJS).</p> <p>Number of reports issued within one month of the expected release date.</p>	<p>Complete documentation that data files meet BJS expectations accuracy and completeness and that project tasks have been completed within the 12-month time frame specified in the project period.</p> <p>All applicable deliverables including final reports and grantee statistical documents authored/co-authored with BJS.</p>

Provide a proposal for a test case NCRP for the Global Justice Information Sharing project.	Number of alternative designs assessed for implementing and meeting the goals of cost minimization and quality maximization.	Demonstrated proposal would address the standards outlined in DOJ's Justice Reference Architecture, the NIEM and IEPD standards and demonstrates a cost-minimization combined with quality maximization approach to the project.
Complete a high-quality data scan.	Number of data scans of administrative records completed on time.	Documentation for each administrative scan of the scope of coverage, reliability of data, and relevance for substantive issues related to reentry and correctional population movements.

How to Apply

Applications will be submitted through Grants.gov. Grants.gov is a “one-stop storefront” that provides a unified process for all customers of federal grants to find funding opportunities and apply for funding. Complete instructions on how to register and submit an application can be found at www.grants.gov. If you experience difficulties at any point during this process, please call the Grants.gov Customer Support Hotline at **800-518-4726** 24 hours, 7 days a week except federal holidays. Registering with Grants.gov is a one-time process; however, **processing delays may occur, and it can take up to several weeks** for first-time registrants to receive confirmation and a user password. OJP highly recommends that applicants start the registration process as early as possible to prevent delays in submitting an application package by the application deadline specified.

All applicants are required to complete the following.

1. **Acquire a Data Universal Numbering System (DUNS) number.** A DUNS number is required for [Grants.gov](http://www.grants.gov) registration. The Office of Management and Budget requires that all businesses and nonprofit applicants for federal funds include a DUNS number in their applications for a new award or renewal of an existing award. 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, one-time activity. Obtain a DUNS number by calling 866-705-5711 or by applying online at www.dunandbradstreet.com. Individuals are exempt from this requirement.
2. **Acquire or renew registration with the Central Contractor Registration (CCR) database.** OJP requires that all applicants (other than individuals) for federal financial

assistance maintain current registrations in the CCR database. An applicant must be registered in the CCR to successfully register in Grants.gov. 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 CCR registration procedures can be accessed at www.ccr.gov.

3. **Acquire an Authorized Organization Representative (AOR) and a Grants.gov Username and Password.** Complete your AOR profile on Grants.gov and create your username and password. You will need to use your organization's DUNS number to complete this step. For more information about the registration process, go to www.grants.gov/applicants/get_registered.jsp.
4. **Acquire authorization for your AOR from the E-Business Point of Contact (E-Biz POC).** The E-Biz POC at your organization must login to Grants.gov to confirm you as an AOR. Please note that there can be more than one AOR for your organization.
5. **Search for the funding opportunity on Grants.gov.** Please use the following identifying information when searching for the funding opportunity on Grants.gov. 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 2010-BJS-2661.
6. **Submit an application consistent with this Solicitation.** Within 24-48 hours after submitting your electronic application, you should receive an e-mail validation message from Grants.gov. The validation message will tell you whether the application has been received and validated or rejected, with an explanation. **Important:** You are urged to submit your application at least 72 hours prior to the due date of the application to allow time to receive the validation message and to correct any problems that may have caused a rejection notification.

Note: Grants.gov will forward the application to OJP's Grants Management System (GMS). GMS does not accept executable file types as application attachments. These disallowed file types include, but are not limited to, the following extensions: ".com," ".bat," ".exe," ".vbs," ".cfg," ".dat," ".db," ".dbf," ".dll," ".ini," ".log," ".ora," ".sys," and ".zip."

Experiencing Unforeseen Grants.gov Technical Issues

If you experience unforeseen Grants.gov technical issues beyond your control that prevent you from submitting your application by the deadline, you must contact the BJS staff within **24 hours after the deadline** and request approval to submit your application. At that time, BJS staff will require you to e-mail the complete grant application, your DUNS number, and provide a Grants.gov Help Desk tracking number(s). After the program office reviews all of the information submitted, and contacts the Grants.gov Help Desk to validate the technical issues you reported, OJP will contact you to either approve or deny your request to submit a late application. If the technical issues you reported cannot be validated, your application will be rejected as untimely.

To ensure a fair competition for limited discretionary funds, the following conditions are not valid reasons to permit late submissions: (1) failure to begin the registration process in sufficient time, (2) failure to follow Grants.gov instructions on how to register and apply as posted on its Web site, (3) failure to follow all of the instructions in the OJP solicitation, and (4) technical issues experienced with the applicant's computer or information technology (IT) environment.

Notifications regarding known technical problems with Grants.gov are posted on the OJP funding Web pages at www.ojp.usdoj.gov/funding/solicitations.htm.

What an Application Must Include

This section describes what an application is expected to include and sets out a number of elements. Applicants should anticipate that failure to submit an application that contains all of the specified elements may negatively affect the review of the application and, should a decision nevertheless be made to make an award, may result in the inclusion of special conditions that preclude access to or use of award funds pending satisfaction of the conditions.

Moreover, applicants should anticipate that applications that are not responsive to the scope of the solicitation, or do not include a program narrative, budget, budget narrative, and tribal resolution (if applicable) will not proceed to peer review and will not receive further consideration.

OJP strongly recommends use of appropriately descriptive file names (e.g., "Program Narrative," "Budget and Budget Narrative," "Timelines," "Memoranda of Understanding," "Resumes") for all attachments. OJP recommends that, if applicable, resumes be included in a single file.

Standard Form 424

See www.ojp.usdoj.gov/funding/forms/application_sf424.pdf for instructions on how to complete your SF424. When selecting "type of applicant," if the applicant is a for-profit entity, please select "For-Profit Organization" or "Small Business" (as applicable) in the "Type of Applicant 1" data field. For-profit applicants also may select additional applicable categories (e.g., "Private Institution of Higher Education").

Program Narrative

This should describe the activities in the Statement of Work and address the evaluation criteria. The narrative should provide a detailed timeline and budget for project activities. The narrative should demonstrate the applicant's knowledge of survey methodology and capabilities to handle a national collection of criminal justice data.

Budget and Budget Narrative

A sample budget worksheet can be found at www.ojp.gov/funding/forms/budget_detail.pdf. If you submit a different format, you must include the budget categories as listed in the sample budget worksheet.

Please see the OJP Financial Guide for questions pertaining to budget including allowable and unallowable costs at www.ojp.usdoj.gov/financialguide/index.htm.

Indirect Cost Rate Agreement

Documentation of Federally Approved Indirect Costs Agreement. Applicants that do not

have a federally negotiated 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.

Plan for collecting the data required for performance measures.
(See "Performance Measures" section above.)

Tribal Authorizing Resolution

If an application is being submitted by either (1) a tribe or tribal organization, or (2) by a third party proposing to provide direct services or assistance to residents on tribal lands, then a current authorizing resolution of the governing body of the tribal entity or other enactment of the tribal council or comparable governing body authorizing the inclusion of the tribe or tribal organization and its residents must be included with the application. In those instances when an organization or consortium of tribes proposes to apply for a grant on behalf of a tribe or multiple specific tribes, then the application must include a resolution from all tribes that will be included as a part of the services/assistance provided under the grant

If an applicant is unable to obtain a signed copy of a tribal resolution documenting support for its application, then, at a minimum, the applicant must submit an unsigned, draft tribal resolution as part of its application. If an applicant fails to submit either a signed or an unsigned copy of a tribal resolution as part of its application, then it will be eliminated from funding consideration. If selected for funding, any applicant that has submitted an unsigned tribal resolution must submit the signed copy of the tribal resolution to OJP within 30 days of acceptance of the award. In all such cases, use of and access to funds will be contingent on receipt of the signed tribal resolution.

Other Attachments

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://bjs.ojp.usdoj.gov/content/hscr.cfm>.

Selection Criteria

Applicants will be assessed according to the following weighted criteria, and the successful applicant must demonstrate the following:

Project Abstract and Statement of the Problem (15%)—Applicants must demonstrate a clear understanding of the project and the NCRP program goals of (a) producing national statistics and enhancing the NCRP collection and products; (b) enhancing the research, analytic, and data transfer capacities of state corrections departments; and (c) implementing data exchange based on DOJ’s Global Justice Information Sharing Initiative. Applications should demonstrate:

1. Understanding the goals of the NCRP, the short-run transition, and the longer-run objectives.
2. Knowledge of state corrections issues; the challenges state departments face in the current budget climate and how access to comparative statistical data can inform their operations; and an understanding of key research issues in corrections and how the NCRP data can inform these issues.
3. Awareness of state department of corrections’ research analytic capacities, and their capacities to transmit data in a variety of electronic formats.
4. Knowledge of DOJ’s Global Justice Information Sharing Initiative, the Justice Reference Architecture, the National Information Exchange Model (NIEM), and Information Exchange Package Documents (IEPDs) and their potential applicability to the NCRP.
5. Understanding of the potential value of the NCRP project to the corrections field.

Project Goals and Objectives; Project Design and Implementation (25%)—Applicants must demonstrate that they can design and implement a high-quality project that integrates the various project goals into a coordinated, multi-year plan with distinct priorities that use initial funding to meet shorter-run goals and establish the framework for implementing longer-term project goals. Applications should demonstrate:

1. Awareness of the state of current project activities and an in-depth understanding of state-of-the-art technologies that exist and can be used to meet project goals.
2. Sound proposed procedures for carrying out the project tasks and meeting the project deliverable time frames.
3. Sound analytic approaches for meeting project tasks, as well as awareness of the strengths and limitations of proposed approaches.
4. Innovation in proposed approaches for conducting project tasks in a timely manner, where innovative methods provide for transparent, replicable, and transferrable solutions to meeting project goals.
5. Implementation plans for data collection, analysis, linkage, and dissemination.

Capabilities/Competencies (30%)—Applicants must demonstrate that it has the corporate and staff capabilities and experience to conduct the work outlined in the project tasks.

1. Qualifications and experience of proposed staff.
2. Demonstrated ability and experience of proposed staff to manage and implement the proposed effort.
3. Adequate management plan for the project, including sufficient delineation of project tasks to provide a full understanding of how project resources will be used.
4. Adequate management oversight and quality control procedures.
5. Successful past performance of the proposed project team in addressing the key objectives for the project.

Budget (15%)—Applicants must demonstrate awareness of method to use budgetary resources efficiently and effectively and demonstrate appropriate internal controls over these resources.

1. Appropriateness of the proposed budget for the level of effort outlined in the project plans.
2. Adequate and efficient assignment of staff to tasks.
3. Adequate budgetary controls to ensure that resources are managed effectively and in compliance with federal regulations.

Impact/Outcomes and Evaluation (15%)—Evaluation is critical to ensure that each BJS project is operating as designed and achieving its goals and objectives. Applicants must provide a plan to assess the effectiveness of the NCRP project in meeting project goals and objectives and in documenting project accomplishments. Applicants must describe how they will assess performance in attaining the project outcomes. Goals and objectives must be clearly stated, with links established between project activities and objectives and performance measures must be identified. Performance measures will address a mix of immediate and intermediate outcomes, and as appropriate and feasible, information on long-term impact of the project on the corrections' field.

Review Process

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

Peer reviewers will be reviewing the applications submitted under this solicitation that meet basic minimum requirements. BJS may use either internal peer reviewers, external peer reviewers, or a combination 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 a current U.S. Department of Justice employee who is well-versed or has expertise in the subject matter of this solicitation. Eligible applications 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 for award recommendations and decisions may include, but are not limited to, underserved populations, strategic priorities, past performance, and available funding.

The Office of the Chief Financial Officer (OCFO), in consultation with the BJS conducts a financial review of applications for 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.

All final award decisions will be made by the Director of BJS, who also may give consideration to factors including, but not limited to strategic priorities, past performance, and available funding when making awards.

Applicants should be aware that winning applications might be made available to the public, after redactions of information determined to be covered by Privacy Act considerations.

Additional Requirements

Applicants selected for awards must agree to comply with additional legal requirements upon acceptance of an award. We strongly encourage you to review the information pertaining to these additional requirements prior to submitting your application. Additional information for each can be found at www.ojp.usdoj.gov/funding/other_requirements.htm.

- [Civil Rights Compliance](#)
- Faith-Based and Other Community Organizations
- Confidentiality and Human Subjects Protection (if applicable)
- Anti-Lobbying Act
- Financial and Government Audit Requirements
- National Environmental Policy Act (NEPA) (if applicable)
- DOJ Information Technology Standards (if applicable)
- Single Point of Contact Review
- Nonsupplanting of State or Local Funds
- Criminal Penalty for False Statements
- Compliance with [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
- Awards in excess of \$5,000,000 – federal taxes certification requirement

Application Checklist

2010 National Corrections Reporting Program 2010-2013

The application check list has been created to aid you in developing your application. Below is a list of required items.

The Application Components:

- Statement of the Problem/Program
- Project Design and Implementation
- Capabilities/Competencies
- Budget Narrative
- Budget Detail Worksheet
- Impact/Outcomes and Evaluation/Plan for Collecting Data for Performance Measures

Other:

- Standard Form 424
- Privacy Certification
- Human Subjects Protection Certification of Compliance
- Indirect Cost Rate Agreement (if applicable)