

Application deadline has been extended until April 14, 2011.

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

OMB No. 1121-0329



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 for funding to obtain a collection agent through a cooperative agreement to administer its Annual Surveys of Probation and Parole, 2011-2014. As the statistical agency of the DOJ, 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 the BJS's Corrections Statistics Program, furthers the missions of the DOJ, 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.

Annual Surveys of Probation and Parole, 2011-2014 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," page 18.) All applications are due by 11:59 p.m. Eastern time on April 14, 2011. (See "Deadlines: Registration and Application," page 3.)

Contact Information

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

Note: The Grants.gov Support Hotline hours of operation are 24 hours a day, 7 days a week, except federal holidays.

For assistance with any other requirement of this solicitation, contact Tom Bonczar, BJS Statistician, at 202-307-0765 or by e-mail at askbjs@usdoj.gov. Include "aspp2011-2014" in the subject line.

Grants.gov number assigned to announcement: **2011-BJS-2872**

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Annual Surveys of Probation and Parole, 2011-2014 (CFDA # 16.734)

Overview

The Bureau of Justice Statistics (BJS) seeks an agent to collect, process, and analyze data for the Annual Surveys of Probation and Parole for reference years 2011 through 2014.

The Annual Probation Survey and the Annual Parole Survey are two separate data collections (collectively referred to as P&P) through which BJS annually obtains data on adults on probation and post-prison supervision (i.e., parole). The P&P data are obtained from administrative data maintained by state probation and/or parole agencies; municipal, county, or court agencies; and the federal system. Since 1980, BJS has used the P&P surveys to track the growth of and change in the adult probation and parole populations in the United States. Together, these two populations are known as the adult community corrections population. Community corrections data from the P&P collections, data from the National Prison Statistics (NPS) collections (counts of adults incarcerated in federal and state prisons), and jails data from the Annual Survey of Jails (counts of persons in local jails) are used to estimate the total adult correctional population in the United States.

BJS is authorized to issue this solicitation under the Omnibus Crime Control and Safe Streets Act of 1968, Section 302.

Deadlines: Registration and Application

Registration is required prior to submission. OJP strongly encourages registering with Grants.gov several weeks before the deadline for application submission. The deadline for applying for funding under this announcement is 11:59 p. m. Eastern time on Thursday, April 14, 2011. Please see the “How to Apply” section, on page 18 for more details.

Eligibility

Applications for funds may be submitted by both for-profit (commercial) and nonprofit organizations. For more information for “Eligibility” please refer to the title page.

Project-Specific Information

The P&P surveys are BJS’s most frequent and comprehensive source of information about offenders under community supervision, which accounts for the largest segment of the adult correctional population in the United States. At yearend 2009, over 5.0 million adults were on community supervision in the United States, including 4.2 million probationers and over 800,000 parolees. Seven out of 10 persons under correctional supervision in the United States lived in the community in 2009, rather than being incarcerated in a prison or jail. The P&P surveys fill a valuable role by annually documenting the number of persons in this population, how the population has grown or declined, movements onto and off community supervision, and characteristics of this population. These surveys collect information from large and small supervision agencies—which are located in state, municipal, county, and court agencies—and the federal government, and they have highly diverse data collection systems and resources.

From the P&P surveys, BJS annually obtains summary counts of the number of adults under probation and parole supervision (counts at the beginning and end of the calendar year), and selected characteristics of the yearend population. These characteristics include sex, race, Hispanic origin, most serious offense, and status of supervision (active, inactive, absconder, etc.). The surveys also collect information on the number and characteristics of adults entering and exiting probation and parole supervision during the year. Although probation and parole are collectively the community supervision population, the terms refer to two distinct populations. Probation is a court-ordered period of correctional supervision in the community which generally serves as an alternative to incarceration. In some cases, probation can be a combined sentence of incarceration followed by a period of community supervision. Parole is a period of conditional supervised release in the community following a prison term.

Each component of P&P is referred to as a “survey;” however, each component is designed to completely enumerate its target population, albeit limited number of geographic entities; (namely, the nation, the federal system, individual states, and the District of Columbia): This limited geographical focus allows BJS to minimize the burden on the public by obtaining data from central state reporters wherever possible. In contrast, BJS’s probation and parole censuses collect more information on the geographic distribution of the probation and parole populations when this information is needed for the subsequent selection of a representative sample of probationers or paroles for personal interviews.

For the Annual Probation Survey, a central state reporter may be located in a state agency responsible for all probation supervision in the state or a state agency that also collects information from some or all locally operated probation agencies. Some local probation agencies will provide information to a state agency as part of an agreement in which some of their financial support is received from the state. BJS sent the 2009 Annual Probation Survey to 466 respondents—33 central state reporters, 431 separate state, county, or court agencies, the District of Columbia, and the federal system.

Post-prison supervision (aka, parole) is typically a state function. Information on adult parole supervision is obtained by the Annual Parole Survey from a single (central) state respondent for most states. BJS sent the 2009 Annual Parole Survey to 55 respondents—50 central state reporters, the California Youth Authority, one municipal agency in Alabama, the state agency in Pennsylvania which also provided county data, and the federal system.

BJS collects data on persons under community supervision in the federal system through its Federal Justice Statistics Program (FJSP). This program obtains its data annually from the Office of Probation and Pretrial Services, Administrative Office of the United States Courts.

Copies of data collection instruments for the 1999 to 2009 P&P surveys can be found at bjs.ojp.usdoj.gov/index.cfm?ty=dcdetail&iid=271.

Data from the P&P collection have been published in an annual series of bulletins with the name “Probation and Parole in the United States, [year]” (See bjs.ojp.usdoj.gov/index.cfm?ty=pbse&sid=42). See the *Methodology* section of *Probation and Parole in the United States, 2009* for additional information on the respondent universe for the surveys at bjs.ojp.usdoj.gov/index.cfm?ty=pbdetail&iid=2233.

BJS anticipates awarding a single project beginning July 1, 2011, and ending September 30, 2015, to cover the data collection, processing, and analysis activities for 4 reference years of P&P data covering 2011 through 2014. Project year 1 (beginning July 1, 2011, and ending September 30, 2012) provides a transition period for transferring the collection to a new data collection agent. Table 1 shows the relationship between the P&P project year and reporting year. Other than project year 1, which spans 15 months, each project year will run for 12 months, beginning October 1 and ending on September 30 of the following year.

Table 1. Project years and reference years of annual P&P collection

Project year	Reference year
1. July 1, 2011 – Sept. 30, 2012	2011
2. Oct. 1, 2012 – Sept. 30, 2013	2012
3. Oct. 1, 2013 – Sept. 30, 2014	2013
4. Oct. 1, 2014 – Sept. 30, 2015	2014

Goals for the P&P collections

During this 4-year P&P collection project, BJS intends to make significant progress in achieving the following goals:

- *Improve the timeliness of the P&P data.* BJS aims to complete data collection within 4 months of the reference date to meet the deadlines for the preparing annual bulletins on community supervision populations.
- *Enhance the reliability of P&P data.* Nonresponse issues pose challenges to the reliability of the P&P data. While unit nonresponse has not been a major challenge, item nonresponse, measurement error (associated with respondents' capabilities to provide data according to BJS standard definitions), and the capacity of respondents to provide data on critical data elements have presented challenges.
- *Improve the scope of coverage.* The collection needs to include probation agencies that meet the definition of probationers employed by the Annual Probation Survey. Some agencies may have been missing in earlier collections either because they did not report to a central state authority or because they monitored offenders who were not required to regularly report for probation supervision. BJS is currently a Census of Adult Probation Supervising Agencies (CAPSA). One goal of the census is to identify supervising agencies that are out of scope. BJS aims to including these agencies in the Annual Probation Survey. An additional element objective of BJS's with respect to scope of coverage is expanding the information obtained for specific core items, such as entries onto and exits from probation and parole. In particular, BJS's interests lie in obtaining more complete information about entries and exits from probation and parole, such as felony/misdemeanor status, type of offense, and other key characteristics that will enable it to describe more fully the composition of the community supervision population.
- *Foster strong working relationships with and among data providers.* The voluntary nature of the P&P collection requires that BJS and its data collection agents maintain strong working relationships with P&P data providers and implement procedures that foster information sharing among providers. BJS expects the data collection agent to

engage respondents at appropriate venues to discuss data collection issues and usability, and to use these forums to enhance participation in the collection.

- *Align the P&P collection with stakeholder needs for data.* As new issues arise in community corrections, the P&P collection needs to be responsive to these issues. The collection agent will need to determine the feasibility of measuring new concepts that take into account stakeholder needs and use the collection to develop data products that address those needs.
- *Develop and implement efficient data collection mechanisms.* The current survey format for P&P does not take advantage of information system capacities to share data using various formats, such as XLM or other exchange models. BJS is committed to adopting these methods (where appropriate) to reduce the burden on the respondents and to facilitate sharing information among agencies.
- *Real-time monitoring tools.* To enhance data awareness of item response rates, item nonresponse, and burden issues, BJS aims to implement real-time tracking systems that allow for efficient allocation of follow-up efforts, imputation for missing data, and assessments of data quality.

BJS seeks a data collection agent that can demonstrate a strong commitment to these goals. The collection agent should have demonstrated expertise in corrections statistics and information system processing, a willing capacity to work collaboratively with BJS in setting priorities to make progress towards these goals, and an ability to work with a diverse group of data providers to assist them in moving toward a new model for P&P.

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

Scope of Work (Objectives)

The core of the project described herein is the completion of data collection and analytic tasks for the 2011 through 2014 versions of the Annual Probation Survey and Annual Parole Survey (P&P) collections. 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 in which the recipient of funds implements procedures that contribute to accomplishing BJS's goals for the P&P.

As befitting a cooperative agreement, BJS will work collaboratively with the data collection agent to address issues and concerns with regard to survey administration and analysis, as well as survey improvements. BJS maintains all final decision-making authority regarding the implementation of the survey collection and tasks.

This project has 3 major components:

- (1) Transition the P&P to a new data collection agent;
- (2) Conduct recurring, annual P&P project tasks; and
- (3) One-time P&P project tasks.

Task (1): Managing the transition of the P&P collections

BJS will deliver to the data collection agent materials related to the P&P. These materials include respondents' contact information, data collection forms, datasets, and other related materials. The selected collection agent will be responsible for reviewing and organizing these materials to determine how to use them in ongoing activities associated with annual data collections. Other transition activities include the following:

- (A) Notify respondents about the new data collection agent, identifying contacts, information respondents about how and where to submit data, and establish direct contact with respondents.
- (B) Develop, test, and implement a web-based data-collection tool that minimizes burden in data submission. This tool should—
 - (1) Implement a user-friendly interface for the survey that is based on proven methods for enhancing responses and reducing burden.
 - (2) Provide respondents with a web-based format for reporting data. The web-based format should be based on state-of-the-art approaches to web collection of establishment survey data.
 - (3) Build in server-based error-checking mechanisms that minimize the need for follow-up contact on critical items and simplify data submission.
 - (4) Ensure that upon completing data entry, users can obtain a .pdf version of the completed survey form that reflects their data as entered.
 - (5) Have the capacity to export all data elements, including agency identification numbers, respondents' names and contact information, and all substantive data variables directly into a variety of data formats (e.g., SAS datasets, SPSS system files, Excel).
 - (6) Provide BJS with online access to the data and analytical information about the data collection.
 - (7) Be written using non-proprietary software that can be readily transferred to BJS or its designated data collection agent. It is important that the software selected and programming style used to develop the web collection tool allow for easy and rapid modification without the need for extensive testing to ensure reliability. The data collection tool needs to be able to readily adapt to changes in one or more of the data collection instruments. These include such common changes as the addition and/or deletion of items, the rearrangement of items, the insertion, deletion, and modification of notes to users which are closely associated with particular items, and the display of data from the prior year.
- (C) Develop, test, and implement a database that will maintain the P&P data and meta-data about the P&P collection that is used to monitor the progress of the collection and to develop strategies for follow-up response.

Task (2): Recurring and annual P&P project tasks

The core recurring, annual data collection and analytic project activities include—

- Field the survey to approximately 470 probation respondents and 55 parole respondents. The total number of agencies may change annually based on closures and

newly identified agencies, in particular probation agencies identified through BJS's Census of Adult Probation Supervising Agencies.

- Maintain an accurate list of probation and parole agencies, and update the list as necessary; conduct follow-up efforts as necessary to provide assistance and clarification to respondents and to obtain the high response rates that have been a hallmark of this collection.
- Provide BJS with ongoing, real-time status of the progress of the collection; process and verify data as they are collected, meeting BJS standards.
- Implement data entry, verification, and edit procedures that assist in preparing an analytic dataset to be used for BJS analysis.
- Identify and describe methods to address both unit and item nonresponse, and implement methods agreed upon by BJS.
- Deliver copies of the original data submitted and final analytic datasets to BJS in a timely manner so BJS can analyze this data for annual bulletins on probation and parole.
- Prepare a set of core state-level tables that will be published in BJS's annual bulletin on community corrections.
- Develop and implement a marketing plan that engages respondents, including convening meetings of data providers to discuss collection issues; review and assess the P&P collection annually, and provide BJS with an annual report on the findings;
- Deliver a final dataset and documentation to be used for archiving the data at the National Archive of Criminal Justice Data (NACJD) at www.icpsr.umich.edu/NACJD/.
- Organize and participate with BJS in workgroup meetings at the American Probation and Parole Association's (APPA) conferences or other venues as determined by BJS.

Specifically, the annual tasks include—

- (A) Prepare and submit to BJS a timetable for the data collection cycle. BJS typically fields the P&P surveys during mid-December prior to the start of a reference year with an end of February (of the reference year) date for completion of the survey.

Key milestones for annual task planning include—

- Complete testing of web instrument and data file specifications.
- Field the survey.
- Complete data collection.
- Submit final analytic dataset in time to meet BJS deadlines for publications.
- Submit core-state level tables to BJS in time for publication in the annual bulletin.
 - i. Submit the final dataset and documentation for archiving.

In preparing the plan, the data collection agent should take into consideration the following BJS goals:

- Reduce the time to complete data collection and preparation of an analytic dataset for BJS to use for preparing annual bulletins. Data collection should be completed within 4 months of the reference date to meet the deadlines for preparing annual bulletins on the community supervision populations.
- Minimize total survey error and effectively monitor the data collection and data processing.
- Minimize the burden placed on BJS's involvement with testing the web instrument and specifications for the data files while producing high-quality products.
- Decrease item nonresponse and expanding the set of "critical items" to be collected.

- Advance imputation methods that also address imputation error.
- Maintain an adaptable format that allows for changes in the survey forms, updates to the database, and the organization of records, including notes.
- Provide an ongoing, real-time status of the collection that provides high quality information, and clearly and thoroughly addresses the collection issues.

(B) Update and maintain an accurate and up-to-date contact list of the survey respondents. Verify and update (as needed) respondents' names, titles, addresses, and contact information, including telephone and fax numbers and email addresses.

Through BJS, coordinate the efforts necessary to identify new agencies or to document closures of existing agencies with the BJS collection agent for the Census of Adult Probation Supervising Agencies (CAPSA). For closed, merged, or suspended agencies, work with the CAPSA data collection agent to obtain reasons for the change in status and document this information.

Retain information about agencies that close or are merged with other agencies.

(C) Develop and implement strategies to enhance participation in the P&P, with the objective of obtaining 100% participation by identified agencies, reducing burden on respondents, decreasing item nonresponse, and reducing the time to complete the collection.

(D) Field the Annual Probation Survey and the Annual Parole Survey, providing for the web-based collection as the primary mode but allowing for multiple modes of collection, including mail, fax, and phone.

Prior to initiating a data collection year, submit to BJS draft versions of all materials that will be sent to respondents as notification of the upcoming collection. These include (but are not limited to) pre-notification letters; a cover letter from BJS (The cover letter should describe the survey, be tailored to respondents providing data to several BJS surveys, and give the target date for completion.); and post-fielding contact documents, such as reminder notices, status updates, and "thank-you" notifications to respondents. Incorporate BJS comments into final versions of notification materials.

(E) Administer the survey. Devise and implement strategies to maximize a timely and complete response, while minimizing respondent burden. Provide follow-up as needed for respondents requiring assistance, clarification, or encouragement to complete the survey. Develop and implement strategies for follow-up based on knowledge of response patterns, respondent behavior, and respondent preferences for follow-up, while minimizing the burden on respondents associated with completing the data collection. Use cost-effective modes for follow-up contact.

All follow-up efforts should include techniques that aim to achieve a 100% unit response rate and at least a 95% item response rate for critical items. Critical items include beginning and yearend stock populations; annual movements onto and off of supervision; outcomes of supervision; and offender characteristics, such as sex, most serious offense, and supervision status. Critical items may be changed or expanded to improve data quality and enhance the utility of the P&P collection. Use opportunities provided by respondents during follow-up activities to engage respondents and stakeholders and obtain their views about the P&P collections; methods to simplify data collection, including preferences about and

capacities to provide data; the scope and purposes of the collections; and ways to enhance its utility to the field.

- (F) Update and maintain a database of survey responses, maintain the database on an ongoing basis (as survey responses are received), and aim to complete the review, assessment, and data entry and edit check for each survey within 2 weeks of receiving the response. Within that period, address survey response issues, such as clarifying discrepancies in responses, correcting data entry errors, and addressing item non-response. Use the database to provide BJS with data quality information, such as item nonresponse, and other information to be determined in conjunction with the BJS Project Manager. Maintain electronic copies of notes from survey respondents that address issues related to their data submission.

Via appropriate means (e.g., web-based downloads, FTP, etc.), provide BJS with ongoing access to the database of survey responses so that BJS staff can access the data for analysis.

At the end of the collection, provide BJS with a final, analytic version of the dataset that includes reported and imputed data. Imputed or estimated items should be flagged and so denoted; complete documentation of missing values should be provided.

- (G) Prepare a set of state-level appendix tables for the annual P&P bulletin. See *Probation and Parole in the United States, 2009* at www.bjs.ojp.usdoj.gov/index.cfm?ty=pbdetail&iid=2233 for the set of appendix tables to be produced. Provide tables to BJS in Excel and .pdf formats as specified by BJS, ensuring that the tables meet BJS publication guidelines. Use methods for generating the tables that are replicable and flexible. Ensure that all tables meet BJS data quality guidelines.
- (H) Implement and maintain a database-approach to provide ongoing, real-time status of the progress of the survey administration, including information about response modes, initial and final submission dates, follow-up response contacts, and other specific information that can be used to reduce the burden on the respondents. The database should remain current and requests for information should be accessible to the BJS project manager at all times.
- (I) Provide bi-weekly status reports to BJS beginning January 15 of each year. The status reports should include the progress of the collection, potential problems that may arise with the survey, status of the collection relative to key milestones, and other routine survey management information, including any modifications to implementation plans arising during survey administration. On a routine basis (The period is to be determined in conjunction with BJS.), provide estimates of the costs to complete the collection and analysis activities.
- (J) Submit data for archiving purposes. Create a final electronic version of the survey data with any modifications that BJS has made to the data and additions to the data file, such as BJS's calculated variables. BJS will deliver to the data collection agent a copy of the final version of the data that it used to produce the annual bulletin on community corrections for archiving. In addition, organize and develop appropriate documentation necessary for archiving the Annual Probation Survey and Annual Parole Survey data at the NACJD. The data and documentation for archiving are to be submitted to BJS for review, and modified if need be based on BJS comments. BJS will transmit the data and documentation to NACJD.

Data and documentation to be provided for archiving include—

- (1) An electronic copy of the data for a reference year including any modifications to data originally submitted to BJS and any BJS created variables.
- (2) A comprehensive codebook listing the data variables, variable labels, value labels, and missing value codes.
- (3) A blank electronic version of each data collection instrument.
- (4) Manual, electronic, or other data collection protocols.
- (5) Jurisdiction-level notes summarizing the respondent notes, changes in reporting and any other relevant information for users (separate notes for probation and parole).
- (6) A copy of the annual bulletin associated with a reference year of data.

Based upon NACJD staff review of the materials submitted for archiving the P&P data, the data collection agent may need to provide additional data or documentation. No release or use of the data (including presentations and publications) prior to the release of the public use dataset is allowed without BJS's written permission.

- (K) Participate with BJS in one major conference or meeting of a major association of probation and parole or corrections professionals to present on issues related to P&P. Propose topics and roles that the data collection agent staff will play during these events. The conference presentation tasks may include (a) co-leading a workgroup meeting to obtain feedback about the survey for the purposes of enhancing the survey, or (b) presenting at a conference/meeting. Also, propose venues and sites. Possible conference/meeting venues include the APPA's bi-annual conference, the National Institute of Justice's Community Corrections Research Network meetings, the National Institute of Correction's Probation and Parole Executives Network meetings, the American Correctional Association's (ACA) bi-annual conference, or meetings of Chief Probation Officers Associations within states, etc. The BJS Project Manager will make the final decisions about topics and conference/meeting venues.

A component of this task involves convening meetings of data providers at the APPA Winter Training Institutes. In addition to the other issues listed, the meetings should be used to—

- Determine the capacities of probation and parole respondents to provide data on existing items.
- Propose new topics and survey items that will enhance the utility of the P&P collection.
- Address discrepancies and problems with reporting that occur frequently and identify potential solutions.

Findings should be used to recommend follow-up activities that will enhance the P&P collection.

- (L) Annually review and assess the P&P collection activities and provide to BJS a memorandum that summarizes the review, along with recommendations for enhancements to the P&P collection. Issues to consider for the annual the review include—

- Enhance the web-collection tools developed to improve data entry and usability.
- Review the modes of data submission and opportunities to enhance web-based submission of data.
- Respondent preferences for delivering data and challenges respondents face in providing data.

- Assessment of the completeness and quality of data submitted by respondents.
- Implement a data exchange model, especially for entities that have sophisticated information systems.
- Content areas to develop in the P&P collections, through the development of a set of supplements to the core collection.
- Products from the P&P collections that could enhance its usability by the field.
- Supplemental data collection and analyses of P&P and other BJS data.
- Methods to address both unit and item nonresponse, including various approaches to imputation. Based on agreement with BJS, implement methods for imputing missing data in years 2, 3, and 4 of the P&P collections. Annually review the methods to assess their reliability.

The annual review should also propose enhancements to the P&P collection that address all aspects of the collection, including the design of the survey content, modes of administration, methods of data collection, methods for engaging stakeholder participation, and statistical reports to be developed from the collections.

Recommendations for enhancements to the P&P collections will be reviewed by BJS for implementation in subsequent years. Recommendations that expand scope or costs will be addressed through supplemental awards, pending funding.

Task (3): One-time P&P project task: Assist in preparing an OMB clearance package for the 2014-2016 P&P collection cycle

A one-time P&P task that spans years of the annual collection is assisting BJS with preparing an OMB clearance package for the 2014-2016 P&P collection cycle. This effort will require work associated with design, testing, and implementation of changes to the P&P collection to fully address the scope of the OMB clearance process. BJS's goals through this effort are to complete the work necessary to obtain clearance and to find cost-effective ways to enhance the P&P collections.

The OMB clearance process includes a 60-day notice of intent to conduct a collection, a 30-day notice, and submission of a supporting statement. At the time of the 60-day notice, all collection instruments and planned modes of collection should be completed in draft form so that during the 60-day comment period the public may comment on the proposed collection. BJS expects the data collection agent to solicit comments from stakeholders and to incorporate those comments into any revisions of the collection instruments. Comments obtained during the 60-day period should be addressed for the 30-day comment period. BJS expects the data collection agent to seek comments from stakeholders during the 30-day period. The collection agent will work with BJS staff to address those comments while preparing the supporting statement. Design and testing activities should be completed prior to the posting of the 60-day notice.

BJS's intentions for P&P is to develop a core-supplement approach to the survey, in which a core set of items about offender population movements are supplemented (periodically) with requests for data on specific topics related to probation and parole. Implementing changes to the P&P collections requires engaging the stakeholder community to determine priority issues to address, capacity to provide data, modes of administration and collection, and utility of statistical reports.

The collection agent is responsible for preparing draft versions all materials for the OMB clearance. The agent will work with BJS staff in determining the scope and content. Applicants can review the current clearance for the P&P collections at www.reginfo.gov/public/do/PRAViewICR?ref_nbr=200808-1121-003.

All draft work on the OMB clearance package is to be completed by January 15, 2014, to allow sufficient time for the two public comment periods and OMB review of the supporting statement. The collection agent may be required to perform some follow-up work to address comments from stakeholders or OMB during the passback associated with OMB’s review of the supporting statement.

Applicants should plan to conduct the redesign and testing work during the first 3 years of the project. Applicants should itemize this work on separate lines from the effort associated with annual collection activities when preparing budget materials.

For planning purposes for this solicitation, applicants should budget for the 2014 collection costs based on the 2011, 2012, and 2013 P&P surveys. Additional costs associated with expanding or enhancing the P&P collections will be addressed through supplemental awards, pending available funds and BJS priorities.

Period of Performance

This entire project is designed to cover the work associated with completing data collection and analysis for 4 reference years (2011-2014) of P&P data. The planned project start date is July 1, 2011. The project will run through September 30, 2015. Other than the first year of the collection (2011), which has a scheduled of 15 months to allow for the transition period, the remaining years (2012-2014) are to be managed through annual, 12-month project periods beginning October 1 and ending September 30.

The tasks described under task 2 (Recurring and annual P&P project tasks) are the core activities that BJS expects the recipient of funds to conduct and complete annually.

BJS’s current expectations for completing the core activities associated with the four reference years of P&P data in this project (2011-2014) are shown in table 2.

Table 2. Key goals and time frames for the recurring/annual P&P tasks

Reference year of the collection	Key goals by expected time frames for completion		
	Start data collection	Finish data processing	Archive P&P data
2011	December 2011	May 2012	August 2012
2012	December 2012	May 2013	August 2013
2013	December 2013	May 2014	August 2014
2014	December 2014	May 2015	August 2015

Proposals written in response to this solicitation should—

- Include a plan that addresses the activities associated with a 15-month period starting July 1, 2011, and ending September 30, 2012.

- Include plans for annually collecting the subsequent years of P&P data. Plans should demonstrate cost-effectiveness in managing the P&P collections and describe how an applicant's efforts fit into the longer-term goals established by BJS for the P&P 2011 through 2014 collection years.
- Incorporate into the plans the effort devoted to the OMB clearance activities.
- Include separate budgets for each project year. For budgeting for the 2014 collection year, assume no changes to the P&P survey. BJS expects that budgets for the outyears of the project will demonstrate productivity gains and cost efficiencies in processing P&P data.

Deliverables

During the first project period (July 1, 2011, through September 30, 2012), BJS expects the following deliverables to be completed according to the following schedule in table 3.

Table 3. Deliverable schedule for the first collection year of P&P (2011 reference year)

Task	Deliverable	Date
Overall project plans including time table, task plan, staff allocation, and marketing plan to engage respondents	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	Develop web-collection tool.	Draft web-collection tool available for BJS review within 2 months of receiving approval on project plans. Final version of the tool: December 2011 (at the onset of the 2011 collection).
	Notify respondents about the new data collection agent.	November 1, 2011
Field and conduct the 2011 P&P data collection	Field and conduct the survey.	December 15, 2011 (fielding date)
	Provide BJS with online access to P&P data.	March 15, 2011 (initial date for access)
	Submit status reports.	Biweekly
Deliver data	Deliver final analytic dataset to BJS	May 30, 2012
	Notes and comments from respondents	June 5, 2012
Core state-level tables to BJS for publication	Final tables	June 30, 2012
Review and assess the P&P collection	Annual report	August 15, 2012
Archive data	Archive data, notes and documentation for 2011	August 30, 2012 (final archive materials)

For subsequent years of the P&P collection (2012 through 2014), the data collection agent should follow the same deliverable schedule, incremented by an additional year for each collection year.

For the one-time task associated with design and testing for enhancing the survey, a report on the review of the P&P collection and the changes proposed is due August 13, 2013. For the one-time task of preparing the OMB clearance package, the deliverable date for drafts of the 60-day notice, the 30-day notice, and the supporting statement is January 15, 2014. In addition, based on comments received during the notice periods and OMB questions or comments on the supporting statement, the collection agent may be required to provide additional materials.

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 15-month period to cover activities associated with starting the 2011 collection. Funding will be made with an option for continuing the collection for the 2012 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.

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 2011 salary table for SES employees is available at www.opm.gov/oca/11tables/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 the applicant to adjust and resubmit its 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.

Match Requirement

This solicitation does not require a match.

Performance Measures

To assist in fulfilling the Department’s responsibilities under the Government Performance and Results Act (GPRA), Public Law 103-62, applicants that receive funding under this solicitation must provide data that measure the results of their work. Any award recipient will be required, post award, to provide the data requested in the “Data Grantee Provides” column so that OJP can calculate values for the “Performance Measures” column. Performance measures for this solicitation are as described in table 4 below:

Table 4. Performance measures for the P&P collection.

Objective	Performance Measure(s)	Data Grantee Provides
1) Manage the transition.	<p>Quality of project management as measured by whether transition deadlines were met.</p> <p>Achieve a web collection data tool that—</p> <ul style="list-style-type: none"> • has 5 or fewer user input errors when delivered to BJS for final testing; • provides users with ability to print a .pdf version of the survey with the data they have entered for the current data collection year and to download electronic copies. 	<p>Updated contact list and status report on contact activities.</p> <p>Access to final web collection tool by specified deliverable date.</p>
2) Field the annual P&P surveys, and collect complete and accurate information pertaining to the counts of adults on probation and parole, numbers of adults entering and exiting probation and parole, and characteristics of these counts and population movements.	<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>Quarterly financial reports, semi-annual progress reports, and final progress report.</p> <p>Project plans delivered to BJS by the 2nd week of project period start date, regular communication with BJS, and monthly status reports.</p> <p>All applicable deliverables, including non-response progress reports, core state-level tables to BJS for publication, and archive data, notes, and documentation.</p>

	<p>Achieve 100% documentation on hardcopy forms of all changes and notes made by data collection agent, consisting of the data collection agent's initials, the name of the respondent who approved the change, and the date the change was made.</p> <p>Achieve a 3% or less error rate on variables per response agency for probation agencies, and a 3% or less error rate on variables per response agency for parole agencies. In each case, the error rate is the percentage of the total number of variables on a form that require follow-up by BJS.</p> <p>Achieve a unit response rate of 100% for both probation and parole agencies.</p> <p>Achieve a response rate of 95% for critical items of probation agencies that respond.</p> <p>Achieve a response rate of 95% for critical items of parole agencies.</p> <p>Number of datasets completed on time.</p> <p>Achieve archive file that meets reporting standards for both quantitative data and notes (as determined by BJS).</p>	<p>Documentation of respondent comments and data collection agent notes submitted.</p> <p>Access to P&P data.</p> <p>Dataset that achieves identified response rate; reasons for inability to achieve rates will be documented and BJS will be notified in advance of completion of the collection.</p> <p>Datasets submitted to BJS.</p> <p>Archive file and notes.</p>
3) Timely completion of data collection.	Reduce time to complete data collection while maintaining high quality data.	Deliver final data to BJS before scheduled May deadline.
4) Annual statistical tables.	Achieve 100% accuracy on final core state-level tables delivered to BJS.	Delivered draft tables and final versions of state tables that meet BJS data quality guidelines.
5) Review and assess the P&P collection.	Breadth and depth of the report and the quality of the recommendations for improving the P&P collection (as determined by BJS).	Annual report.

Submission of performance measures data is not required for the application. Instead, applicants should discuss in their application their proposed methods for collecting data for performance measures. Please refer to the section “What an Application Should Include” (page 20) for additional information.

Note on project evaluations: Applicants that propose to use funds awarded through this solicitation to conduct project evaluations should be aware that certain project evaluations (such as systematic investigations designed to develop or contribute to generalizable knowledge) may constitute “research” for purpose of applicable DOJ human subjects protections. However, project evaluations that are intended only to generate internal improvements to a program or service, or are conducted only to meet OJP’s performance measure data reporting requirements likely do not constitute “research.” Applicants should provide sufficient information for OJP to determine whether the particular project they propose would either intentionally or unintentionally collect and/or use information in such a way that it meets the DOJ regulatory definition of research.

Research, for the purposes of human subjects protections for OJP-funded programs, is defined 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). For additional information on determining whether a proposed activity would constitute research, see the decision tree to assist applicants on the “Research and the Protection of Human Subjects” section of the OJP “Other Requirement for OJP Applications” web page (www.ojp.usdoj.gov/funding/other_requirements.htm). Applicants whose proposals may involve a research or statistical component also should review the “Confidentiality” section on that web page.

Notice of New Post-Award Reporting Requirements

Applicants should anticipate that all recipients (other than individuals) of awards of \$25,000 or more under this solicitation, consistent with the Federal Funding Accountability and Transparency Act of 2006 (FFATA), will be required to report award information on any first-tier subawards totaling \$25,000 or more, and, in certain cases, to report information on the names and total compensation of the five most highly compensated executives of the recipient and first-tier subrecipients. Each applicant entity must ensure that it has the necessary processes and systems in place to comply with the reporting requirements should it receive funding. Reports regarding subawards will be made through the FFATA Subaward Reporting System (FSRS), found at www.fsrs.gov.

Please note also that applicants should anticipate that no subaward of an award made under this solicitation may be made to a subrecipient (other than an individual) unless the potential subrecipient acquires and provides a Data Universal Numbering System (DUNS) number.

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 awards 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 the applicant experiences technical difficulties at any point during this process, please call the Grants.gov Customer Support Hotline at **800-518-4726**, 24 hours a day, 7 days a week, except federal holidays. Registering with Grants.gov is a one-time process;

however, **processing delays may occur, and it can take 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 specified application deadline.

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 registration. In general, the Office of Management and Budget requires that all applicants (other than individuals) for federal funds include a DUNS number in their applications for a new award or 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 Dun and Bradstreet at 866-705-5711 or by applying online at www.dnb.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 annually** 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 the AOR profile on Grants.gov and create a username and password. The applicant organization's DUNS Number must be used to complete this step. For more information about the registration process, go to www.grants.gov/applicants/get_registered.jsp.
4. **Acquire confirmation for the AOR from the E-Business Point of Contact (E-Biz POC).** The E-Biz POC at the applicant organization must log into Grants.gov to confirm the applicant organization's AOR. Please note that there can be more than one AOR for the 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 2011-BJS-2872.
6. **Submit an application consistent with this solicitation by following the directions in Grants.gov.** Within 24–48 hours after submitting the electronic application, the applicant should receive an e-mail validation message from Grants.gov. The validation

message will state whether the application has been received and validated, or rejected, with an explanation. **Important:** Applicants are urged to submit applications **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 an applicant experiences unforeseen Grants.gov technical issues that are beyond the applicant's control that prevent submission of its application by the deadline, the applicant must contact BJS staff **within 24 hours after the deadline** and request approval to submit its application. At that time, BJS staff will instruct the applicant to submit specific information detailing the technical difficulties. The applicant must e-mail: a description of the technical difficulties, a timeline of submission efforts, the complete grant application, the applicant DUNS number, and Grants.gov Help Desk tracking number(s) received. After the program office reviews all of the information submitted, and contacts the Grants.gov Help Desk to validate the technical issues reported, OJP will contact the applicant to either approve or deny the request to submit a late application. If the technical issues reported cannot be validated, the 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, if any, are posted at the top of the OJP funding web page, www.ojp.usdoj.gov/funding/solicitations.htm.

What an Application Should Include

This section describes what an application should 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 be made to make an award, it 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 some application elements are so critical that applications unresponsive to the scope of the solicitation, or that do not include a program narrative, budget detail worksheet including a budget narrative, and will neither proceed to peer review nor receive further consideration.

OJP strongly recommends use of appropriately descriptive file names (e.g., "Program Narrative," "Budget Detail Worksheet and Budget Narrative," "Timelines," "Memoranda of Understanding," "Resumes") for all attachments. OJP recommends that 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 SF-424. 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 Detail Worksheet and Budget Narrative

a. Budget Detail Worksheet

A sample Budget Detail Worksheet can be found at www.ojp.gov/funding/forms/budget_detail.pdf. If the budget is submitted in a different format, the budget categories listed in the sample budget worksheet should be included.

For questions pertaining to budget and examples of allowable and unallowable costs, please see the OJP Financial Guide at www.ojp.usdoj.gov/financialguide/index.htm.

b. Budget Narrative

The Budget Narrative should thoroughly and clearly describe every category of expense listed in the Budget Detail Worksheet. The narrative should be mathematically sound and correspond with the information and figures provided in the Budget Detail Worksheet. The narrative should explain how all costs were estimated and calculated and how they are relevant to the completion of the proposed project. The narrative may include tables for clarification purposes but need not be in a spreadsheet format. As with the Budget Detail Worksheet, the Budget Narrative should be broken down by year.

Indirect Cost Rate Agreement (if applicable)

Indirect costs are allowed only if the applicant has a federally approved indirect cost rate. (This requirement does not apply to units of local government.) A copy of the rate approval should be attached. If the applicant does not have an approved rate, one can be requested by contacting the applicant’s cognizant federal agency, which will review all documentation and approve a rate for the applicant organization or, if the applicant’s accounting system permits, costs may be allocated in the direct cost categories. If DOJ is the cognizant federal agency, obtain information needed to submit an indirect cost rate proposal at www.ojp.usdoj.gov/financialguide/part3/part3chap17.htm.

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

Tribal Authorizing Resolution (if applicable)

If an application is being submitted by either (1) a tribe or tribal organization or (2) 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 membership should 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 should include a resolution from all tribes that will be included as a part of the services/assistance provided under the grant. A consortium of tribes for which existing consortium bylaws allow action without support from all tribes in the consortium (i.e., without authorizing resolution or other enactment of each tribal governing body) may submit a copy of its consortium bylaws with the application in lieu of tribal resolutions.

Additional 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 www.bjs.ojp.usdoj.gov/content/pub/pdf/bjsmpc.pdf.

Human Subjects Protection Certificate of Compliance. BJS requires the funding recipient to submit proper documentation to be used to determine that the research project meets federal requirements for human subjects protections set forth in 28 CFR Part 46. A model certificate is located at www.bjs.ojp.usdoj.gov/content/hscr.cfm.

Other Standard Forms

Additional forms that may be required in connection with an award are available on OJP's funding page at www.ojp.usdoj.gov/funding/forms.htm. For successful applicants, receipt of funds may be contingent upon submission of all necessary forms. Please note in particular the following forms.

- a. [Certifications Regarding Lobbying; Debarment, Suspension and Other Responsibility Matters; and Drug-Free Workplace Requirements](#) (required to be submitted in GMS prior to the receipt of any award funds)
- b. [Disclosure of Lobbying Activities](#) (required for any applicant that expends any funds for lobbying activities; this form must be downloaded, completed, and then uploaded)
- c. [Accounting System and Financial Capability Questionnaire](#) (required for any applicant other than an individual that is a non-governmental entity and that has not received any award from OJP within the past 3 years; this form must be downloaded, completed, and then uploaded)
- d. [Standard Assurances](#) (required to be submitted in GMS prior to the receipt of any award funds)

Selection Criteria

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

Statement of the Problem (15%)—Applicants must demonstrate a clear understanding of the project and the P&P program goals of (a) improving the timeliness of the P&P data; (b) enhancing the reliability of the data, (c) improving the scope of coverage, (d) fostering strong working relationships with and among data providers, (e) improving responsiveness to stakeholder needs, (f) developing and implementing efficient data collection mechanisms, and (g) developing real time monitoring tools.

Applications must demonstrate:

1. Understanding the goals of the P&P, the short-run transition, and the longer-run objectives.
2. Knowledge of issues facing probation and parole agencies, the need to provide P&P agencies with information they need, and the challenges faced by both state and local agencies in gathering and reporting data.
3. Knowledge of methods for improving response rates and reducing error.
4. Understanding of the value of the P&P project to the corrections field.

Project Design and Implementation (Goals and Objectives) (25%)—Applicants must demonstrate that they can design and implement a high-quality project. Applications should demonstrate:

1. An implementable plan for efficiently and cost-effectively administering establishment surveys to community corrections agencies that utilizes state-of-the art technologies to collect and process establishment data.
2. A web-based collection platform that allows for multiple modes of administration and that integrates data collection and analysis.
3. An understanding of the challenges facing P&P respondents in providing data to meet BJS standards and an approach that recognizes and addresses these challenges.
4. A total survey error model that aims to minimize burden while maximizing data completeness and quality.
5. Capacity to produce statistical tables and conduct statistical analysis in a timely manner and in a manner that meets BJS data quality standards and BJS production timelines.
6. Sound proposed procedures for carrying out the project tasks and meeting the project deliverable time frames, including a commitment to identifying and communicating potential problems to be addressed before they become an issue, and a plan for up-to-date tracking and reporting of data collection progress.

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

1. Qualifications, demonstrated ability, and experience of the proposed staff who will manage the project and those who will have day-to-day data collection responsibilities in the use of current accepted survey research methods in the following areas: (a) questionnaire design; (b) collection of administrative data from community corrections agencies or similar entities; (c) cleaning and verifying data, and providing files that exhibit a high degree of accuracy; (d) adjusting for non-response, including multiple

methods of imputation; (e) conducting independent analysis of data; and (f) the production of public use datasets and documentation which require a high degree of attention to detail.

2. Qualifications, demonstrated ability, and experience of the information technology staff, and the capacity of the computing environment, for the development of flexible web-based data collection tools, preparation of datasets for statistical analysis, and the preparation of statistical reports.
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:

1. Provide a plan to assess the effectiveness of the P&P project in meeting project goals and objectives and in documenting project accomplishments, and
2. Describe how they will assess performance in attaining the project outcomes.

Goals and objectives must be clearly stated, and links 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 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 the solicitation.

Peer reviewers will review 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, geographic diversity, strategic priorities, past performance, and available funding.

The Office of the Chief Financial Officer (OCFO), in consultation with the Bureau of Justice Statistics conducts a financial review of applications for potential discretionary awards to evaluate the fiscal integrity and financial capability of applicants; examines proposed costs to determine if the Budget Detail Worksheet 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 the Bureau of Justice Statistics who also may give consideration to factors including, but not limited to underserved populations, geographic diversity, 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. OJP strongly encourages applicants to review the information pertaining to these additional requirements prior to submitting an application. Additional information for each requirement can be found at www.ojp.usdoj.gov/funding/other_requirements.htm.

- Civil Rights Compliance
- Faith-Based and Other Community Organizations
- Confidentiality
- Research and the Protection of Human Subjects
- Anti-Lobbying Act
- Financial and Government Audit Requirements
- National Environmental Policy Act (NEPA)
- DOJ Information Technology Standards (if applicable)
- Single Point of Contact Review
- Non-Supplanting 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
- Active CCR Registration

Application Checklist
Annual Surveys of Probation and Parole, 2011-2014

This application checklist has been created to assist in developing an application

Eligibility Requirement: 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.

What an Application Should Include:

- Application for Federal Assistance (SF-424) (see page 21)
- Program Narrative (see page 21)
- Budget Detail Worksheet (see page 21)
- Budget Narrative (see page 21)
- Indirect Cost Rate Agreement (if applicable) (see page 21)
- Tribal Authorizing Resolution (if applicable) (see page 22)
- Additional Attachments (see page 22)
 - Privacy Certificate
 - Human Subjects Protection Certification of Compliance
- Other Standard Forms as applicable (see page 22), including:
 - Disclosure of Lobbying Activities (if applicable)
 - Accounting System and Financial Capability Questionnaire (if applicable)