

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



The [U.S. Department of Justice](#), [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 2011 Census of Adult Probation Supervising Agencies (CAPSA2011). This census, a component of BJS Criminal Justice Statistics Program, furthers the Department's mission by working in partnership with the justice community to identify the most pressing challenges confronting the justice system and provide state-of-the-art knowledge and information in support of innovative strategies and approaches for dealing with these challenges.

2011 Census of Adult Probation Supervising Agencies 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 16)

All applications are due by 5:00 p.m. Eastern time on June 14, 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 technical requirements of this solicitation, contact Lauren Glaze, BJS Statistician, at 202-307-0765 or via e-mail at askbjs@usdoj.gov. Include "capsa2011" in the subject line.

Grants.gov number to announcement:
BJS-2010-2663

CONTENTS

Overview	3
Deadlines: Registration and Application.....	3
Eligibility.....	3
Project-Specific Information.....	3
Performance Measures.....	14
How to Apply.....	16
What an Application Must Include.....	18
Standard Form 424	
Project Narrative	
Budget and Budget Narrative	
Indirect Cost Rate Agreement	
Description of Applicant’s Plan for Collecting Performance Measure Data	
Tribal Authorizing Resolution	
Other Attachments	
Selection Criteria.....	22
Review Process.....	23
Additional Requirements	25
Application Checklist.....	26

2011 Census of Adult Probation Supervising Agencies CFDA # 16.734

Overview

The purpose of this award is to provide funding through a cooperative agreement for a collection agent to administer the 2011 Census of Adult Probation Supervising Agencies (CAPSA2011). The activities under this award include researching, developing, and maintaining a comprehensive roster (i.e., complete enumeration) of all public and private probation supervising agencies and their offices; assisting BJS with finalizing the questionnaire design for the census; and conducting data collection, analysis, and reporting activities.

The main goals of the CAPSA2011 are to (1) develop a national roster of probation supervising agencies and district/county offices that BJS can use to develop sample designs for future surveys of probationers and probation officers, (2) provide accurate and reliable national and state-specific statistics that describe the characteristics and operations of probation agencies that supervise adults, (3) enhance the respondent list for BJS' Annual Probation Survey (APS) (for more details go to <http://bjs.ojp.usdoj.gov/index.cfm?ty=dcdetail&iid=271>) by conducting a systematic assessment of the existing list of probation agencies during frame development for the CAPSA2011, and (4) identify opportunities for enhancements to BJS' APS, including substantive issues to include in the annual survey, methods to address nonresponse, and measurement and instrument development.

BJS anticipates making one award for a 24-month period to cover the activities associated with the CAPSA2011.

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 5:00 p.m. Eastern time on Monday, June 14, 2010. Please see the "How to Apply" section on page 16 for more details.

Eligibility

Applicants 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

The CAPSA2011 will be BJS' first census that focuses solely on probation agencies, although BJS has conducted other censuses of probation and parole agencies. In 1991, BJS conducted the Census of Probation and Parole Agencies. For the probation component, the main goal of

the 1991 census was to establish a sampling frame of probation field offices to conduct the 1995 Survey of Adults on Probation (SAP), which was the first nationally representative survey of probationers ever conducted. For more information about the size of the frame, as well as the probationer survey, see *Methodology* in the BJS special report, *Characteristics of Adults on Probation, 1995*, on the BJS website at <http://bjs.ojp.usdoj.gov/content/pub/pdf/cap95.pdf>.

In 2006, BJS conducted the Census of State Parole Supervising Agencies (CAPSA), which was the first census conducted by BJS that focused solely on enumerating the parole supervising agencies in the United States and collecting data on the characteristics and operations of those agencies. This census collected information from 52 state parole agencies, which included 2,287 separate administrative, regional, and other offices. Thirty-five of the 52 reporting state parole agencies also supervised probationers because they were a combined parole-probation supervision agency. For more information about CAPSA and the combined probation and parole agencies, see the BJS special report, *Characteristics of State Parole Supervising Agencies, 2006*, on the BJS website at <http://bjs.ojp.usdoj.gov/content/pub/pdf/cspas06.pdf>.

The CAPSA2011 is intended to develop a complete roster of all public and private probation supervising agencies in the United States. Adult probation supervising agencies are entities that monitor or provide supervision services to adults who have been placed under supervision after adjudication and sentencing by a court. These agencies may also perform other functions, such as preparing presentence investigation reports, supervising juvenile offenders, or supervising other offenders; however to be included in the CAPSA2011, the agencies must supervise adult offenders placed on probation by a court order. The roster of such agencies is intended to include state and local agencies, both public and private. BJS is also interested in understanding the organization of probation in and among the states.

Key groups of probation offices that BJS intends the CAPSA2011 to address are community-based corrections facilities (CBCF). (These types of facilities are referred to by this specific term and others, such as probation detention centers, transition units or centers, violation centers, and community correctional centers, etc.) These facilities provide for supervision in the community but are secure facilities that require offenders to be confined for a number of different reasons, including as a sentencing option through a court, as a result of a violation of their supervision and/or a revocation proceeding, at the beginning of their sentence to prepare them to transition back into the community full-time, to receive treatment, at specified intervals during their sentence (e.g., a work-release facility) and, if offenders prove they are unable to fulfill the conditions of their supervision while in the community, etc. CBCFs can be difficult to characterize for these reasons, and also because some house both probationers and parolees. In these situations, they are positioned at both ends of the corrections supervision spectrum—prior to prison and after imprisonment. By the end of the CAPSA2011, BJS expects to have identified all CBCFs and determined which of these agencies have probation supervision responsibilities.

The CAPSA2011 is intended to address issues that have been identified by probation administrators, practitioners, and community corrections researchers as substantive gaps related to probation agencies, such as a better understanding of the organization of probation, including the use of community-based corrections facilities; the structure, functions, workload, and budgets of agencies; safety and security of probation officers; programs and services provided to offenders; and the information systems capacities of agencies, particularly as they relate to participating in the Global Justice Information Sharing Initiative (for more information, see <http://www.it.ojp.gov/global>), as well as participating in annual BJS surveys. The CAPSA2011 will provide the field with national- and state-level descriptions of probation

agencies in the United States that supervise adults, information that will likely be utilized by stakeholders—including practitioners, legislators, and researchers—to compare their agencies with others in determining budget and programmatic needs.

BJS will use the CAPSA2011 to establish a national frame of probation supervising agencies and offices that it can use to conduct surveys of probationers and probation officers as well as to improve its annual data collection and reporting activities about movements of probation offenders. Any surveys of probationers that BJS conduct, in the future would aim to address information gaps about probationers, such as the prevalence of mental illness among the probation population, services received by the population, criminal history, and conditions of supervision, among other topics. BJS also intends to use the frame from the CAPSA2011 to assess the feasibility of designing a survey of probation officers to understand more about their background, training, workload, and safety conditions, among other topics.

Finally, BJS intends to use the CAPSA2011 to enhance its Annual Probation Survey (APS). Begun in 1980, the APS has helped BJS collect yearend counts and yearly movements of the probation population, as well as data that describe the composition of the population and outcomes of those discharged from supervision. Respondents to the survey are probation agencies that supervise adults and include state central reporters, as well as separate state, county, or court agencies in states where probation is operated at the local level. The list for the 2008 APS included 467 respondents, including 33 central state reporters, 432 separate state, county, or court agencies the District of Columbia, and the federal system. For additional information about the respondent list, including states with multiple respondents, see *Methodology* in the BJS bulletin, *Probation and Parole in the United States, 2008*, at <http://bjs.ojp.usdoj.gov/content/pub/pdf/ppus08.pdf>. For general information about the annual probation series, see the community corrections page on the BJS website at <http://bjs.ojp.usdoj.gov/index.cfm?ty=dcdetail&iid=271>.

As the organization of probation agencies and their capacities to report to BJS' APS varies, one important objective for the CAPSA2011 is to learn more about these issues. For example, some probation agencies are centralized within a combined probation and parole system, but this does not mean that there is a single or central reporter to BJS' APS. Ohio operates a combined probation and parole system. The state supervises felony probationers in only about half of Ohio's counties. As a result, data for about half of adult felony probationers are obtained from a central state reporter in Ohio. BJS separately collects felony and misdemeanor probationer data from counties where the state does not provide this service. Additionally, BJS separately obtains counts of misdemeanants from district court and municipal probation offices in Ohio. On the other hand, all felony and misdemeanor probation in California is decentralized to the county level, but a single reporter provides data to BJS' APS. In Georgia, the situation is a bit more varied, as two state reporters provide data. The Georgia Department of Corrections has the overall responsibility for adult probation but provides supervision services to felony probationers; therefore, this agency primarily reports felony probationers to BJS' APS. Most misdemeanor probation supervision in Georgia is provided by either private probation providers through contracts or governmental (city or county) misdemeanor probation offices; however, the Administrative Office of the Courts of Georgia reports data on misdemeanor probation to BJS' APS. Learning about organization and reporting capacities will assist BJS in managing its APS.

BJS encourages the recipient of funds to consider its broader data collection goals in community corrections during the conduct of the CAPSA2011 and to offer suggestions for improving these efforts.

Scope of Work

The objectives of this project are to develop a comprehensive frame of all state and local government, as well as private, adult probation supervising agencies and offices in the United States, and complete data collection and analytic tasks for the CAPSA2011. Tasks related to this project include (1) developing a timeline for all activities; (2) developing and maintaining a universe file that includes a complete list of all state and local government, as well as private, probation agencies and offices; (3) working with BJS to finalize the questionnaire for the CAPSA2011; (4) screening the CAPSA2011 frame to identify the agencies on the frame that fall within the scope of the CAPSA2011, and using the screened CAPSA2011 frame to conduct a systematic assessment of the list of probation agencies for the Annual Probation Survey (APS); (5) fielding the CAPSA2011 census, conducting follow-up efforts as necessary to provide assistance and clarification and to decrease both unit and item nonresponse; (6) managing a database to provide BJS with ongoing, real-time status of the progress of the CAPSA2011 administration; (7) processing and verifying data as they are collected, meeting BJS standards; (8) developing methods to address unit and item nonresponse, including imputation for item nonresponse; (9) providing BJS with an analytic dataset (and supporting documentation including reported and imputed data) for use by BJS in preparing reports from the CAPSA2011; (10) as directed by BJS, (a) analyzing CAPSA2011 data and preparing a set of state-level tables presenting responses to CAPSA2011 for inclusion in a BJS report, and (b) working collaboratively with BJS to produce a report on the organizational profile of probation within the state; (11) delivering a final dataset and documentation to be used for archiving the data; (12) providing recommendations to BJS for enhancements to the APS, including (a) instrument development for the future redesign of the APS, as well as enhance measurement and identify substantive gaps in the field that should be addressed, and (b) additional methods of nonresponse adjustment for the APS; and (13) maintaining regular communication with BJS about the project status.

Specifically, the recipient of funds will —

1. Develop a detailed timetable for each task of the project, as identified in this description of the scope of work. For project planning purposes, use the following dates for key milestones: assume an October 1, 2010, project start date and assume a 24-month project period. Field the CAPSA2011 census no later than two weeks prior to a September 30, 2011, reference date. Complete data collection within four months of fielding the CAPSA2011. Provide BJS with a final analytic dataset within one month of completing data collection. BJS expects to meet with the recipient of funds shortly after award to discuss the details of the project. Within one week of that meeting, the recipient of funds should submit a draft of the project timetable to BJS for its review and comment. The BJS project manager (PM) will review the schedule and provide comments. After the BJS PM has agreed to the timetable, plan to complete all work according to the schedule. Unanticipated departures from the schedule must be approved by the BJS PM prior to scheduled completion dates.
2. Develop and implement methods to create a universe file (frame) containing a roster of all state and local government, and private adult probation supervising agencies as well as their district/county offices. For the purposes of the CAPSA2011, a probation agency is an entity that monitors or provides supervision services to adults who have been placed under their supervision after adjudication and sentencing by a court. Use available information sources to develop the universe file of adult probation supervising agencies and offices. Sources include commercial databases or directories; membership lists of professional associations; state and local government publications, websites, and other sources; U.S. Census Bureau's

Government Integrated Directory (GID); references, such as BJS' *State Court Organization, 2004* (available on BJS website at <http://bjs.ojp.usdoj.gov/index.cfm?ty=pbdetail&iid=1204>); the current roster of probation agencies that BJS uses to conduct its APS provided by BJS, in addition to identifying and using other lists and rosters to find probation agencies not currently included in the APS; other sources of information about probation offices that BJS will provide; and other available sources that are discovered by the recipient. BJS anticipates that the initial roster will include agencies that fall outside the scope of the CAPSA2011. Under task 4, the initial roster will be screened to identify agencies that fall within the scope of the CAPSA2011.

Develop and implement methods to identify each unit on the frame with unique identification codes. Include the GID code and the American National Standards Institute (ANSI) codes, or alternatively the Federal Information Processing Standards (FIPS) code on the record of each unit in the roster. The GID should be used to identify the government entity responsible for the probation agency. If an agency has multiple offices, each office should have the same GID. However, the ANSI codes should be used to identify the physical location of the agency or office.

The GID allows users to link data from the Census of Government to probation agencies that are associated with a government. (For more information about the GID, see <http://www.census.gov/govs/www/gid.html>.) The ANSI codes, which replaced the FIPS codes, allow users to link geographic data to the location of an agency or office (see <http://www.census.gov/geo/www/ansi/ansi.html>).

The roster developed in this task will be used to screen agencies to determine whether they are in scope (that is, meet BJS' definition of an adult probation supervising agency). After screening and conducting the CAPSA2011, the recipient of funds will revise the roster of agencies classifying those that fall out of scope as such. See task 4 for specific details pertaining to the screening process, including the information BJS wants included in the universe file for each record.

3. Work collaboratively with the BJS PM to test and finalize the questionnaire for the CAPSA2011. The recipient of funds will refine the draft questionnaire, which will be provided by BJS at the start of the project, based on BJS comments, recommendations from the recipient of funds, and comments received from stakeholders that BJS has identified and worked with during the earlier stages of instrument development. The recipient of funds will also work collaboratively with BJS to prepare a clearance package to submit to the Office of Management and Budget (OMB) for approval. BJS will submit the clearance package to OMB by the end of 2010. The recipient of funds, in collaboration with the PM, will identify additional stakeholders to review the questionnaire during the OMB process, and will discuss with BJS the comments received, and assist in determining if any final revisions to the questionnaire are necessary.

The questionnaire will be designed to collect information that can provide an overview of adult probation supervising agencies in the United States, including a description of their characteristics and operations. Topics will include the organizational structure of the agencies, their functions, including functions that are not related to the supervision of adult probationers, staff, workload, and the budgets and expenditure of the agencies. The questionnaire will also collect data about the safety and security of probation officers and the authority of probation officers. Other topics will address program and service delivery, as well as the capacity of the agencies' information systems. Some basic office-level information will

also be collected, including contact information, the number of probationers supervised, and the number of probation officers. The number of probationers and probation officers is office-level information that is necessary for frame development for future national surveys of probationers and probation officers.

In general, BJS aims to balance quality and quantity of information against respondent burden and would prefer a shorter, high quality instrument as opposed to a longer instrument that results in low responses and lower quality data.

4. Develop and implement methods to screen and assess agencies on the roster developed in task 2 to determine those that fall within the scope of the CAPSA2011. Screening activities determining eligibility for receiving the CAPSA2011 should be completed prior to fielding the CAPSA2011 questionnaire. However, if eligibility issues arise during the collection period, steps should be taken to verify if the agencies fall in or out of scope, and then the recipient of funds should take the appropriate action to either include or exclude the agency from the respondent list.

During the screening process, develop methodologies to identify the most suitable respondents for the CAPSA2011 for agencies that fall within the scope of the census. A common problem facing establishment surveys such as the CAPSA2011 is finding the right person or persons to complete the questionnaire. BJS expects that the recipient of funds will implement procedures during the screening process of the CAPSA2011 to meet this objective. In responding to this solicitation, BJS anticipates that applicants will describe their approaches to solving this common problem.

The recipient of funds will deliver the final screened roster to BJS in an electronic format, specified by BJS, and will provide all information and documentation pertaining to the development of the roster and the eligibility screening process. Each record in the file should include the address of the agency or office and appropriate contact information, including the appropriate staff who can serve as a respondent(s) for agencies that fall within the scope of the CAPSA2011. Agencies that get screened out of the CAPSA2011 should be identified as out of scope in the roster. BJS retains all rights to exclusive use of the roster until BJS releases the roster for public use.

Upon completion of the CAPSA2011, the recipient of funds will conduct a systematic assessment of the current respondent list for the APS to determine its completeness and accuracy. BJS last conducted an intensive assessment of the respondent list in 1999. The main focus was on particular states where BJS had previously identified the potential for undercoverage. Each year, however, BJS updates the entire list when it discovers new agencies or observes changes in probation agencies' statuses. The assessment will involve (a) verifying that the probation agencies on the list fall within the scope of the annual collection, (b) verifying that the listing does not include duplicates, (c) updating contact information about agencies, especially the contact best suited to respond to the APS instrument, and (d) identifying any additional probation agencies that fall within the scope of the annual collection but are currently excluded from the respondent list. The recipient of funds will discuss the findings with BJS and will provide a summary report of the assessment at the end of the project.

5. Develop and implement methods to field the CAPSA2011 questionnaire two weeks prior to the reference date of September 30, 2011, and complete data collection within four months of

the reference date. Allow for mixed mode of data collection, as deemed necessary. Use electronic data collection methods where feasible.

Survey implementation methods should include pre-notification efforts to verify that the person(s) identified as a suitable respondent during the screening process is still the correct contact to complete the CAPSA2011, notify respondents about the survey and distinguish it from the APS, and describe its scope and purposes. Survey implementation methods should also address follow-up activities necessary to ensure high response rates. BJS expects near 100% unit response to the CAPSA2011. Specifically, develop and implement techniques to achieve an overall response rate of 95% or better and both specific unit and item response rates as specified in the "Performance Measures" section below. The target response rates identified are similar to response rates yielded through other BJS administrative collections.

The BJS PM will review all communications prior to the recipient of funds sending them to respondents. All communications with respondents will identify BJS and the CAPSA2011.

To assist in fielding the CAPSA2011, develop and implement an action plan to encourage support, assistance, and participation in the CAPSA2011. The plan should include methods to enhance the level of interest in the survey among key stakeholders in the probation and community corrections area, including federal agencies (such as the National Institute of Corrections and its community corrections networks), the National Institute of Justice and its Community Corrections Research Network, the Bureau of Justice Assistance, associations dealing with community corrections (such as the American Probation and Parole Association (APPA), the American Correctional Association (ACA), and the National Association of Probation Executives (NAPE)), and other interested stakeholders that can garner support for the CAPSA2011.

6. Develop a tracking system to provide BJS with the ongoing, real-time status of the progress of the census administration. The tracking system will contain status information about each eligible agency including a record of follow-up communication and procedures used for each respondent, modes of data submission (i.e., mail, fax, phone, or electronic), and dates of contact, initial date of submission, and date of completion. The tracking system should be designed to allow for the creation of summary reports showing information about the status of the collection, including the overall response rate, response rates for selected subsets (such as state agencies), and other information to be determined in conjunction with the BJS PM. The tracking system should be current and should be accessible to the BJS PM at all times.
7. Process and verify the data according to BJS standards, including the implementation of BJS-approved data entry, verification, and edit procedures. Preliminary files of the dataset should be provided to BJS upon request.

Develop and implement methods to address both unit and item nonresponse, including various approaches to imputation. It is BJS' goal to obtain as complete responses as possible to the CAPSA2011. Although BJS anticipates unit nonresponse to be minimal, adjustments may be necessary to yield national estimates. Given BJS' experience with the APS, BJS expects item nonresponse to be more of an issue. See table 1 below for information about item nonresponse for a sample of items from the 2008 APS.

Table 1. Item nonresponse for a sample of items from the 2008 Annual Probation Survey, by type of item	
Type of item	Number of agencies with missing data
January 1 probation population	0
Total entries to probation	66
Total discharges from probation	66
December 31 probation population	0
Gender	135
Offense (felony/misdemeanor)	94
Total number of probation agencies	467

For the CAPSA2011, BJS aims to have a “complete” dataset, where complete includes reported and imputed data. Imputed records should be flagged and imputation should be limited initially to quantitative data. BJS is interested in approaches the recipient of funds would take to imputing categorical variables, and based upon BJS’ assessment of this methods will decide whether categorical variables should be imputed.

8. Deliver a copy of the dataset and supporting documentation to BJS in accordance with BJS specifications and requested formats. This dataset will be used to prepare data for release in a BJS special report. Include reported and imputed data in the dataset.

BJS retains all rights to exclusive use of the data until BJS releases the public dataset which will be available to the public via the Internet and at the National Criminal Justice Data Archives at the University of Michigan. *The recipient of funds 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 of funds or its associates may result in the immediate commencement of termination or suspension proceedings in accordance with 28 CFR Part 18.

Prepare up to 15 state-level tables, as specified by BJS, for inclusion in a BJS special report describing the characteristics, operations, workload, staff, safety and security, and services and programs offered by probation agencies in the United States that supervise adult offenders. Tables should be generated directly from the analytic dataset delivered to BJS and should use software that can meet BJS format requirements (such as Excel, as .csv files, and as .pdf files). For planning purposes, see the appendix tables that accompany the BJS special report, *Characteristics of State Parole Supervising Agencies, 2006*, on the BJS website at <http://bjs.ojp.usdoj.gov/index.cfm?ty=pbdetail&iid=549> under the link for “Spreadsheet.”

BJS intends to publish at least one report summarizing data from the CAPSA2011 and include the detailed, state-level tables in it as appendix tables. The recipient of funds should expect to work collaboratively with BJS in developing the report from the CAPSA2011 data.

The recipient of funds will also work collaboratively with BJS on a report that addresses the organizational profile of probation within the states. (For example, see the National Institute of Corrections' (NIC) report, *State Organizational Structures for Delivering Adult Probation Services*, available on the NIC website at <http://nicic.gov/Library/015249>). BJS and the recipient of funds will identify the objectives and goals of this report. The recipient of funds will submit a draft for BJS to review around the same time the dataset is delivered to BJS. The recipient of funds will revise the draft according to BJS' comments and provide BJS with a final report within three weeks of receiving BJS' comments.

In addition, in responding to this solicitation, applicants may submit a separate task that outlines a special topic report that uses the CAPSA2011 data along with data from other sources that may be correlated with probation, such as crime data, court data, county-level data on socio-economic conditions that may be associated with probation, and other corrections data. The other sources should be limited to data that are already collected by other agencies, as the funds for this CAPSA2011 project cannot be used to collect data other than the CAPSA2011 data. This task is not core to the CAPSA2011, and applicants are not required to submit a plan for a special report from the CAPSA2011.

9. 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' calculated variables. BJS will deliver to the recipient of funds a copy of the final version of the data that was used to produce the BJS special report, and this version of the dataset will be the version to be archived. In addition, organize and develop appropriate documentation necessary for archiving the CAPSA2011 data at the National Archive of Criminal Justice Data (NACJD), at the University of Michigan. (See <http://www.icpsr.umich.edu/NACJD/index.html>.) 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 (a) an electronic copy of the data including any modifications to data originally submitted to BJS and any BJS created variables; (b) copies of specialized programming code and other, but not limited to, associated databases, database queries, images, or PowerPoint slides necessary to reproduce all constructed measures and original data analysis. BJS will provide the recipient of funds copies of computer code that it uses to generate created variables, and the recipient of funds will compile this into the set of documentation to be submitted for archiving; (c) a comprehensive codebook listing the data variables, variable labels, value labels, and missing value codes; (d) a blank electronic copy of the questionnaire; (e) manual, electronic, or other data collection protocols; and (f) a copy of the BJS special report associated with the CAPSA2011 data.

Based upon NACJD staff review of the materials submitted to it for archiving the CAPSA2011 data, the recipient of funds may need to provide additional data or documentation. No release or use of the data (including presentations and publication) prior to the release of the public use dataset can take place without written permission of BJS the Director.

10. Provide BJS with recommendations to enhance the APS. In addition to the systematic assessment of the respondent list for the APS during frame development for the CAPSA2011, BJS seeks to use the CAPSA2011 to inform the future redesign of the APS, notably instrument development. First, BJS has been communicating with stakeholders about potential sources of measurement error and has attempted to identify ways to reduce measurement error, including enhancing or changing the scope of the APS, revising some definitions to avoid the potential for ambiguity, and providing additional response categories for some items. Additionally, BJS has been exploring the possibility of reducing the APS questionnaire to a core set of items that continue to fulfill the main objectives of the annual probation series, which include annually measuring the size of the probation population and movements, outcomes, and some core characteristics that help explain changes in size, movements, and outcomes. Reducing the survey to a core set of items will provide an opportunity to collect additional data on a rotating basis with the intent of addressing important or emerging topics in the field more frequently, and also using that data to provide some context to the core probation data that is collected annually. Based on the information learned through all aspects of the CAPSA2011 project, including questionnaire design, frame development, the screening process, data collection, and data analysis, the recipient of funds should, (a) identify potential sources of measurement error in the current APS instrument and provide recommendations for improving measurement, and (b) identify substantive gaps in the field that should be addressed, and propose efficient and feasible methods to address those information gaps. A copy of the most recent probation survey, *2008 Annual Probation Survey*, is available on the BJS website at <http://bjs.ojp.usdoj.gov/index.cfm?ty=dcdetail&iid=271#Questionnaires>.

BJS has been exploring additional methods of nonresponse adjustment for the APS. Typically, BJS has yielded a 100% response rate for the APS, but in some years, one or two agencies have been unable to provide any data. Historically, BJS has imputed the stock population for these agencies based on an estimate of population change within the agency; typically population change estimates have been generated using data provided in the prior year. In 1999, BJS also began adjusting for item nonresponse, in particular for annual movements onto and off of probation. BJS has relied on the method of ratio estimation to yield the estimates. Given BJS' interest in exploring additional methods to address nonresponse in the APS and given that the recipient of funds will need to address nonresponse in the CAPSA2011, the recipient of funds should also provide recommendations for additional methods of nonresponse adjustment, both unit and item, for the APS. The recommendations should not be limited to nonresponse adjustments for the stock population and annual movements, but should also include recommendations for addressing other item nonresponse. For a more detailed discussion about the nonresponse adjustment methods used in the APS, see *Methodology* in the most recent probation report, *Probation and Parole in the United States, 2008*, on the BJS website at <http://bjs.ojp.usdoj.gov/content/pub/pdf/ppus08.pdf>. See table 1 under task 7 for information about item nonresponse for a sample of items from the 2008 APS.

11. Implement a communications strategy to keep BJS apprised of the status of the project. The recipient of funds should plan to submit monthly project status reports to BJS that summarize activities completed and planned activities for the upcoming month, as well as any anticipated changes to scheduled tasks. In addition, if requested by BJS, the recipient of funds should be prepared to provide a brief description of expenditures for the project and expectations about remaining funds available to complete the project.

The final monthly report will include a review of the performance of the census. Items to address in this final monthly report include final response and item response rates, collection issues or problems, the extent of respondent burden, and other administration issues that caused relatively large burden on respondents or the recipient of funds during any phase of the project, including frame development, screening, and administration and collection.

Applicants should propose strategies for meeting the broader communications objectives, such as weekly phone calls with key project staff, email, and other modes of communication.

Deliverables

1. Timetable — a draft within one week after the kickoff meeting
2. Final version of the CAPSA2011 questionnaire — within time to meet deadlines for the OMB approval process
3. Roster of all state and local, public and private, adult probation agencies and district/county offices in the United States —within one month of the completion of the data collection period
4. All documentation related to the development of the frame, including the screening process and approaches used to identify the most suitable respondent — within one month of the completion of the data collection period
5. BJS analytic data file (including reported and imputed data) and supporting documentation — within one month of the completion of the data collection period
6. Completed questionnaires for all respondents, including the original paper copies if mailed —within one month of the completion of the data collection period
7. State-specific tables, as specified by BJS, for publication in a BJS special report — within the time to meet deadlines for publication in a BJS special report; a report on the organizational profile of probation within the states — within the time to meet BJS publication deadlines
8. Monthly progress reports — the beginning of each month
9. Preliminary data file and all supporting documentation for archiving for BJS review — within four months of the completion of the data collection period
10. Final data file and documentation for archiving — by the project end date
11. Recommendations for enhancements to the Annual Probation Survey (APS); summary report of systematic assessment of APS respondent list — by the project end date

Funding Information

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. BJS expects to make one award for a 24-month period of frame development, survey administration and data collection, and some analysis. The funding for this project should not exceed \$450,000.

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 also for the work that is to be done.

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 "What an Application Must Include" (below) for additional information on applicant responsibilities for collecting and reporting data.** Performance measures for this solicitation are as follows:

Table 2. Performance measures for CAPSA2011

Objective	Performance Measure(s)	Data Grantee Provides
1) Develop and maintain a national roster of all state and local government, and private, adult probation supervising agencies in the U.S.	Percentage of the <u>data</u> that is comprehensive and accurate.	Electronic file of the roster that: 1) has been assessed for coverage problems 2) demonstrates comprehensiveness and the exclusion of duplicates, and 3) includes information that has been verified for accuracy and reliability.

Table 2. Performance measures for CAPSA2011

Objective	Performance Measure(s)	Data Grantee Provides
<p>2) Refine and revise survey instrument as necessary.</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>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>Final revisions that result in a robust instrument that is 1) capable of obtaining essential data elements, 2) possesses maximum efficiency and clarity that improves the reliability and validity of the data, and 3) utilizes methods that minimize respondent burden.</p> <p>Quarterly financial reports, semi-annual progress reports, and final progress report. Project plans (are delivered to BJS by the fifth week of project period start date), regular communication with BJS, and monthly status reports.</p> <p>All applicable deliverables, including final reports and grantee statistical documents authored/co-authored with BJS.</p>
<p>3) Field the CAPSA2011, determine eligibility prior to fielding questionnaire, and collect complete and accurate information pertaining to organizational structure, functions, staff, workload, services, and programs, as well as other topics.</p>	<p>Achieve a response rate of 100% for state agencies.</p> <p>Achieve a response rate of 95% for all other agencies.</p> <p>Achieve an item response rate of 100% for critical items of those probation agencies that respond.</p> <p>Number of datasets completed on time.</p>	<p>Dataset that achieves identified response rate; if those cannot be met due to circumstances beyond recipient's control, the reasons will be documented, and BJS will be notified in advance of completion of the collection.</p> <p>Demonstration that data collection and protocol obtained comprehensive and high-quality data. Dataset that includes 1) key data elements for all responding units and 2) minimal number of missing data elements for all other data elements (Target: Maximum of 5% on non-critical items).</p> <p>Deliver final dataset file within 4 months of close of reference period.</p>

Table 2. Performance measures for CAPSA2011

Objective	Performance Measure(s)	Data Grantee Provides
4) Provide recommendations for enhancements to the Annual Probation Survey (APS).	Percent of nonresponse elements for which an estimate is developed.	Recommendations include 1) reliable methods for addressing nonresponse; 2) substantive issues/topics that the field identifies as addressing information gaps, and 3) methods that address measurement error that are efficient, feasible, and demonstrate the ability to yield valid and reliable estimates.

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 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.dnb.com/us. 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-2663.
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, tribal resolution (if applicable), and résumés/curriculum vitae of key personnel will not proceed to peer review and will not receive further consideration.

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

All applicants must submit the following:

Standard Form 424

Please see http://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").

Project Attachments

- **Project Narrative (Attachment #1)**

The project narrative should describe all activities in the *Scope of Work*, provide a detailed timeline for all activities, and address the selection criteria. The project narrative should demonstrate the applicant's knowledge of survey methodology and capabilities to field and manage a national collection of criminal justice data. Information provided should focus on activities to be conducted during the 24-month project period. The project narrative *should not exceed* 40 double-spaced pages in 12-point font.

Applicants should anticipate that if any portion of the program narrative exceeds these length-related restrictions, such that it provides a significant competitive advantage, that portion of the narrative will not be reviewed in peer review or be considered in final award decisions.

- **Budget and Budget Narrative (Attachment #2)**

The Budget Detail Worksheet may be found through the Internet at http://www.ojp.gov/funding/forms/budget_detail.pdf. The OJP Financial Guide, which governs the administration of funds, contains information on allowable costs, methods of

payment, audit requirements, accounting systems, and financial records, is available on the OJP Website at <http://www.ojp.usdoj.gov/financialguide/index.htm>. If you have any questions, please contact the Office of the Comptroller's Customer Service Center at 800-458-0786. The budget should provide details for expenses in required categories and by individual task.

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

1. **Personnel category.** List each position by title (and name of employee if available), and show the annual salary rate and percentage of time to be devoted to the project by the employee. Compensation paid for employees engaged in federally assisted activities must be consistent with that paid for similar work in other activities of the applicant. No portion of any award of more than \$250,000 made under this solicitation may be used to pay any portion of the total cash compensation of any employee of the award recipient whose total cash compensation exceeds 110% of the maximum annual salary payable to a member of the federal government's Senior Executive Service (SES) at an agency with a Certified SES Performance Appraisal System for that year. This prohibition may be waived at the discretion of the Assistant Attorney General for the OJP. An applicant that wishes to request a waiver should include a detailed justification in the budget narrative for the application.

2. **Fringe benefits category.** Indicate each type of benefit included and explain how the total cost allowable for employees assigned to the project is computed.

3. **Travel category.** Itemize travel expenses of project personnel by purpose (e.g., faculty to training site, field interviews, advisory group meetings) and show basis or computation (e.g., "Five trips for x purpose at \$80 average cost \$50 transportation and two days per diem at \$15" or "Six people to 3-day meeting at \$70 transportation and \$45 subsistence.") For training projects where travel and subsistence for trainees is included, this should be separately listed indicating the number of trainees and the unit costs involved.

- a) Identify the tentative location of all training sessions, meetings, and other travel.
- b) Travel costs are allowable as expenses by employees who are in travel status on official business. These costs must be in accordance with the federal or an organizationally-approved travel policy.
- c) Recipients may follow their own established travel rates. If a recipient does not have an established travel policy, the recipient must abide by the federal travel policy. Subrecipients of states must follow their state's established travel policy. If a state does not have an established travel policy, the sub-recipient must abide by the federal travel rates.

4. **Equipment.** List each type of equipment to be purchased or rented with unit or monthly costs.

5. **Supplies.** List items within this category by major type (office supplies, training materials, research forms, postage) and show basis for computation. Provide unit or monthly estimates.

6. **Contractual category.** State the selection basis for any contract, subcontract, prospective contract, or prospective subcontract (including construction services and equipment). Please note that applications including noncompetitive contracts for the provision of specific services must contain a sole source justification for any procurement in excess of \$100,000. For individuals to be reimbursed for personal services on a fee basis, list by name or type of consultant or service, the proposed fee (by day, week, or hour), and the amounts of time to be devoted to such services. For construction contracts and organization (including professional associations and education institutions performing professional services) indicate the type of service to be performed and the estimated contract cost data.

Note on consultant rates: Compensation for individual consultant services is to be reasonable and consistent with that paid for similar services in the marketplace. Consideration will be given to compensation, including fringe benefits for those individuals whose employers do not provide such benefits. Additionally, when the rate exceeds \$450 (excluding travel and subsistence costs) for an 8-hour day, a written PRIOR APPROVAL is required from the awarding agency. Prior approval requests require additional justification. Approval of consultant rates, in excess of \$450 a day, that are part of the application with appropriate justification and supporting data will be approved on a case-by-case basis.

7. **Construction category.** Describe construction or renovation which will be accomplished using funds awarded and the method used to calculate cost.

8. **Other category.** Include under "other" such items as rent, reproduction, telephone, and janitorial or security services. List items by major type with basis of computation shown. (Provide square footage and cost per square foot for rent. Provide local and long distance telephone charges separately.)

9. **Indirect charges category.** The Agency may accept an indirect cost rate previously approved for an applicant by a federal agency. Applicants must attach a copy of the approved rate agreement with the grant application.

10. **Program income.** If applicable, provide a detailed estimate of the amount of program income to be generated during the grant period and its proposed application to reduce the cost of the project or to increase the scope of the project. Also, describe the source of program income, listing the rental rates to be obtained, sale prices of publications supported by grant funds, and registration fees charged for particular sessions. If scholarships (covering, for example, registration fees) are awarded by the organization to certain conference attendees, the application should identify the percentage of all attendees that are projected as "scholarship" cases and the precise criteria for their selection.

- **Additional Attachments.** The following required documents should be submitted on-line as file attachments:

Indirect Cost Agreement

Provide documentation of a Federally Approved Indirect Costs Agreement. Applicants that do not have a federally negotiated indirect cost rate and wish to establish one can submit a proposal to their cognizant federal agency. Generally, 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, obtain information needed to submit an indirect cost rate proposal at http://www.ojp.usdoj.gov/funding/pdfs/indirect_costs.pdf.

**Plan for collecting the data required for performance measures.
(See "Performance Measures" on page 14.)**

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.

Key staff information

This should include a staff loading chart, by task, showing the role and number of hours committed for proposed staff; identification of proposed key personnel and their qualifications for the significant functions in this project, along with concise descriptions of the duties each will perform under the cooperative agreement; and an identification by name of all key personnel with decision-making authority.

Privacy Certification

The Privacy Certificate is a funding recipient's certification of compliance with federal regulations requiring confidentiality of information identifiable to a private person which is collected, analyzed, or otherwise used in connection with an OJP-funded research or statistical activity. The funding recipient's Privacy Certificate includes a description of its policies and procedures to be followed to protect identifiable data. A model certificate is located at <http://bjs.ojp.usdoj.gov/content/pub/pdf/bjsmpc.pdf>.

Human Subjects Protection Certification of Compliance

BJJ 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>.

Assurances and Certifications

Applicants are required to review, accept, and electronically "sign off" on these assurances and certifications through GMS. Please verify that the name, address, phone number, fax number, and e-mail address of the authorizing official on these online forms are correct.

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

2) Certifications Regarding Lobbying; Debarment, Suspension, and Other Responsibility Matters; and Drug-Free Workplace. This form commits the applicant to comply with the certification requirements under 28 CFR Part 69, "New Restrictions on Lobbying," and 28 CFR Part 67, "A Government-wide Debarment and Suspension (Nonprocurement) and Government-wide Requirements for a Drug-Free Workplace (Grants)."

Selection Criteria

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

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

1. Project Narrative (10%)

Content of the proposal and how thoroughly it addresses the tasks in the Scope of Work and scheduled timeline.

2. Project Design and Implementation (30%)

Application should demonstrate 1) the feasibility of the project design to develop a comprehensive and accurate roster of adult probation supervising agencies and offices without delaying data collection, effectively screen probation agencies for eligibility without delaying data collection, and complete data collection within time frames while meeting targeted response rates and ensuring high quality data; 2) innovation in methods of frame development, screening for eligibility, garnering support of stakeholders, data collection,

follow-up efforts with the goal of encouraging participation, reducing collection time, reducing time between submission of data, review of data, and follow-up to clarify discrepancies or obtain additional information; 3) ability to create and maintain an efficient and competent tracking system to provide BJS with on-going, real-time status of the project; 4) use of currently acceptable applied survey research and social science research methods, with an emphasis on questionnaire design, data collection, data coding and cleaning, data verification, analysis, nonresponse adjustment, the production of standard analytic datasets, and the production of public-use data files and related documentation; 5) capacity to produce: a) final analytic data file that addresses both unit and item nonresponse without delaying BJS publication deadlines, b) a set of statistical tables for publication in a BJS special report without delaying BJS publication deadlines, and c) a report on the organizational profile of probation within states without delaying BJS publication deadlines; and 6) ability to identify enhancements to the Annual Probation Survey (APS) and provide methods that are efficient, feasible, and capable of yielding valid and reliable estimates.

3. Capabilities/Competencies (30%)

Demonstrated capacity and experience of the organization and project staff to 1) understand and utilize currently accepted survey research methods, including questionnaire design, frame development, survey administration, data collection, nonresponse adjustment, and analysis; 2) collect administrative data from community corrections agencies or similar entities; 3) clean and verify data, reconcile data to known totals, and provide files that represent respondent data with maximum accuracy; 4) adjust for nonresponse, including multiple methods of imputation; 5) conduct independent analysis of data; 6) provide an adequate computing environment that allows for a mixed mode of data submission, and includes data security, the hardware and software for processing data files, and the capacity to produce public-use datasets and documentation; 7) provide up-to-date tracking of the data collection and regular reporting of progress; and 8) identify and communicate potential problems needing to be addressed as well as problem-solving techniques.

4. Budget (20%)

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

5. Impact/Outcomes and Evaluation (10%)

Demonstrated the ability to develop a national frame of adult probation supervising agencies and offices, effectively screen agencies, administer a national collection of adult probation supervising agencies, and provide quality, timely data. Identified and described approaches and methods to address all the tasks for this project and demonstrated that the approaches and methods will achieve the performance goals for this project.

Review Process

OJP is committed to ensuring a fair and open process for awarding grants. BJS reviews the application to make sure that the information presented is reasonable, understandable, measurable, and achievable, as well as consistent with basic minimum program or legislative requirements as stated in the solicitation (including, but not limited to, requirements as to timeliness, proper format, and responsiveness to the scope of the solicitation).

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.

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 of both to review the applications under this solicitation. An external peer reviewer is an expert in the field of the subject matter of a given solicitation, who is NOT a current U.S. Department of Justice employee. An internal reviewer is 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 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 the BJS, 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. 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

2011 Census of Adult Probation Supervising Agencies

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

Program Narrative/Abstract Format:

- Double-spaced
- 12-point standard font
- 1" standard margins
- Narrative is 40 pages or less

Other:

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