U.S. Department of Justice OMB No. 1121-0329
Office of Justice Programs
Bureau of Justice Statistics

The U.S. Department of Justice (DOJ), Office of Justice Programs (OJP), Bureau of Justice Statistics (BJS) is pleased to announce that it is seeking applications to obtain a collection agent through a cooperative agreement to administer the Survey of Inmates in State and Federal Correctional Facilities (SISFCF), 2012 for a period of 30 months beginning October 1, 2011. As the principal federal statistical agency in the Department, BJS is responsible for the collection, analysis, publication, and dissemination of statistical information on crime, criminal offenders, victims of crime, and the operations of criminal justice systems at all levels of government. This data collection 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 to provide information in support of innovative strategies and approaches for dealing with these challenges.

Survey of Inmates in State and Federal Correctional Facilities (SISFCF), 2012
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 organizational 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 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 20.) All applications are due by 11:59 p.m. Eastern time on June 1, 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 to 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 Lauren Glaze, BJS Statistician and Program Manager, at 202-307-0765 or by e-mail at askbjs@usdoj.gov. Include "SISFCF12" in the subject line.

Grants.gov number assigned to announcement: **2011-BJS-2995**

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- Program Narrative
  - Plan for Collecting the Data Required for this Solicitation's Performance Measures
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Survey of Inmates in State and Federal Correctional Facilities (SISFCF), 2012 (CFDA # 16.734)

Overview

The purpose of this award is to provide funding through a cooperative agreement for a collection agent to administer a survey to a national sample of prison inmates, hereafter known as the Survey of Inmates in State and Federal Correctional Facilities (SISFCF), 2012. The activities under this award include drawing a national sample of prisoners and jail inmates, administering the surveys, and conducting data collection, analysis and reporting activities.

BJS anticipates making one award for a 30-month period under this solicitation.

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

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 Wednesday, June 1, 2011. Please see the "How to Apply" section, page 20 for more details.

Eligibility

Please refer to the title page for eligibility under this program.

Project-Specific Information

BJS has interviewed prison inmates periodically (about every 5 to 6 years) beginning in 1974. The primary purposes of these omnibus surveys are to generate nationally-representative estimates of the characteristics of prison inmates, track changes in these characteristics over time, conduct studies of inmates on special topics, and identify policy-relevant changes in the prison population. The interviews provide the data necessary to generate national-level estimates of prison inmates over a variety of domains, including, but not limited to, individual characteristics, current offense and sentence, incident characteristics, criminal history, socioeconomic characteristics, substance dependence and abuse and treatment, mental health problems and treatment, physical health problems and treatment, disabilities, and facility programs and rule violations.

Data from these interviews, in addition to providing a profile of prison inmate characteristics, have also been culled for special topical reports by BJS, including but not limited to: *Parents in Prison and Their Minor Children*, *Medical Problems of Prisoners*, *Veterans in State and Federal Prisons*, and *Mental Health Problems of Prison and Jail Inmates*. All BJS reports are available on the BJS website at www.bjs.gov/index.cfm?ty=pbo. Practitioners, researchers, legislators, and other decision-makers in corrections regularly use these reports. Additional information

about prior versions of the SISFCF, including sample design information, can be found on the BJS website at www.bjs.gov/index.cfm?ty=dca and at the National Archive of Criminal Justice Data (NACJD) at the University of Michigan at www.icpsr.umich.edu/NACJD/.

The SISFCF 2012 will build on a design project, Survey of Inmates in Prisons and Local Jails: Design and Testing Phase Project (SIPLJ) that is addressing issues related to surveying inmates. Some issues the project is addressing include enhancing the measurement of existing constructs and measuring new constructs to analyze the harm, risk, needs, and reentry issues among the incarcerated populations. BJS is completing that project now and, upon completion will provide the recipient of funds with copies of the final survey instrument and related materials. A current draft of the instrument can be found on the BJS website at www.bjs.gov/content/pub/pdf/SISFCF2012_draftquest.pdf.

The final version of the instrument will include sections that measure: 1) the harm that prison inmates perpetrated on society, including measures of their criminal history, current offense, characteristics, and unreported criminal behavior; 2) the risks that prison inmates pose to society and for recidivism, including static factors, such as criminal history, family background, medical and mental health, and substance dependence/abuse problems, and dynamic factors that mitigate risk, such as participation in prison programs and receiving treatment and/or social support; and 3) reentry and recidivism constructs that address inmates' needs and preparation for release, including inmates' motivation to participate in and complete programs, maintaining ties to the community, and reentry planning. The applicants can also refer to the SISFCF 2004 questionnaire located on the NACJD website.

The design project has also addressed sample designs for the SISFCF 2012. This survey will be a cross-section sample of state and federal prisoners that will be used to produce nationally-representative estimates of inmate characteristics and jurisdiction-level estimates for jurisdictions holding more than 50,000 prison inmates.

Scope of Work

The key objectives of this project are to: 1) conduct project management activities, including providing BJS with a schedule for all activities and scheduling meetings and phone calls with BJS Program Manager (PM); 2) conduct survey management activities, including refining the instrument, developing survey and field management protocols, developing procedures to obtain inmate consent and state inmate IDs to link inmate self-report data with administrative records, developing a stakeholder action plan, propose sample designs and draw the sample; 3) obtain clearances and approvals to conduct the SISFCF 2012, including obtaining approvals from an appropriate Institutional Review Board (IRB) and the Office of Management and Budget (OMB) for the collections, and working with the BJS PM and OMB to collect these data under the Confidential Information Collection and Statistical Efficiency Act (CIPSEA); 4) field the SISFCF, including training field staff to conduct data collection, provide ongoing real-time status of the progress of the survey administration and data collection, and conduct data processing activities that meet BJS standards; 5) develop and generate post-survey adjustments and analytic files and documentation, including addressing both unit and item nonresponse, develop sample weights and, procedures to estimate variances directly, and provide BJS with an analytic dataset and documentation that will be used to prepare data for release in BJS statistical tables and special reports; 6) provide analytic support and collaborate with BJS on statistical products, including disclosure analysis, trend analysis, methodology reports, statistical tables, and special reports; and 7) provide BJS with materials needed for archiving the SISFCF 2012 data.

The core tasks listed below describe the tasks necessary for administering the SISFCF 2012 and the deliverables, which are also listed separately at the end of each subtask. The list describes the important details about the study and some of the complexities and provides general guidance for its conduct.

Task 1. Project Management

The recipient of funds should manage the collection of the SISFCF data in an efficient manner that fosters communications with the BJS PM, BJS staff, and the recipient of funds' project staff.

Subtask 1.1. Post-award Meeting and Project Schedule

Within 2 weeks of the award, the recipient of funds' Project Director (PD) and key staff should attend a post-award meeting in Washington, D.C. with the BJS PM and BJS key staff. The recipient of funds should develop a project schedule for each task of the project and be prepared to discuss it at the post-award meeting. For project planning purposes, use the dates for key project tasks and deliverables shown in Table 1, which appears on page 17.

The recipient of funds should focus the initial meeting to review the overall project goals and tasks, and discuss areas of concern related to the proposed project scheduling plan, staffing plan, and other management requirements. This meeting will provide an opportunity for BJS staff to share project experience and materials with the recipient of funds. Within 2 weeks of the post-award meeting, the recipient of funds should submit an updated version of the project schedule to BJS for review and comment. The BJS PM will review the schedule and provide comments. Subsequent revisions to the project schedule shall occur on an as-needed basis and submitted to the BJS PM after the BJS PM and the recipient of funds agree on the changes.

Deliverables1.1. Revised project schedules

Subtask 1.2 Project Calls and Meetings

Establish a routine method for updating BJS on the status of the project that consists of at least one monthly conference call. The recipient of funds shall work with BJS to develop monthly agendas for these calls prior to the scheduled calls. The BJS PM and the recipient of funds will establish other regular communication vehicles as needed.

Task 2. Survey Management

Subtask 2.1 Instrument

BJS will deliver to the recipient of funds the final survey instrument for the SISFCF 2012 in both English and Spanish and the source code and other associated files to develop the instrument. The questionnaire will be tailored for use by male and female inmates in prison facilities, and will include the appropriate skip patterns to route inmates through the appropriate paths of the questionnaire based on their responses to previous items. Interviews are estimated to last an average of 60 minutes. Applicants should demonstrate expertise using multiple modes of survey administration, including Computer-Assisted Personal-Interviewing (CAPI), Audio Computer-Assisted Self-Interviewing (ACASI), and Paper-and-Pencil Interviewing (PAPI), and propose a mode(s)

of administration that 1) is cost-effective, 2) results in reliable data, and 3) minimizes respondent burden. Applicants shall propose an alternative mode(s) of administration in the event that particular situations render the primary mode(s) not feasible. The recipient of funds shall deliver a working version(s) of the instrument to the BJS PM for evaluation and testing prior to field staff training.

Deliverables 2.1. Working version of instrument for evaluation and testing

Subtask 2.2 Survey and Field Management Protocols

The recipient of funds shall develop all survey management protocols. For example, the recipient of funds, with assistance from the PM as needed, will secure cooperation and logistics with the individual jurisdictions and/or facilities. The recipient of funds will also develop protocols establishing the inmate consent and inmate callout processes; securing interview settings; gaining access to or collecting data from hard-to-reach inmate populations (e.g., death-row inmates, inmates in administrative segregation, and high-risk inmates), collecting some administrative data about inmates who refuse to participate; and protecting data and maintaining respondent anonymity.

The recipient of funds shall also develop field management protocols, for example, the structure of the field management team, the procedures when interviewers are ill or unable to complete the assignment, secure transmission of case disposition and interview data for processing, and monitoring of interviewers production, training plans, travel, and lodging.

Deliverables 2.2. Survey management and field management protocols

Subtask 2.3 Protocols to Obtain Inmate Consent and IDs to Link Survey Data to Administrative Records

BJS aims to use administrative data with inmate self-report data, specifically for criminal history information by obtaining the data through criminal RAP (Record of Arrest and Prosecution) sheets. This effort is intended to decrease respondent burden and/or may be used to verify data reported by inmates, as well as to allow BJS to conduct a recidivism study with the inmates in the SISFCF 2012. The SIPLJ design and testing project is exploring the practicality of obtaining consent from inmates to obtain the identification information necessary to do this work. The main issues are: 1) the best method(s) to obtain inmate consent to both the survey and the linking procedure, 2) how much information should be provided to inmates during the consent process for the linking procedure, 3) the different issues that may arise based on whether the linking will be conducted retrospectively or prospectively, and 4) the best method(s) and procedures to obtain the inmate ID (i.e., Federal Bureau of Investigation (FBI) fingerprint ID) from the sampled prison and jail facilities.

Applicants shall propose strategies to address the consent and possible response issues associated with obtaining prior and future criminal history data through RAP sheets. During the project, the recipient of funds will need to demonstrate adaptability and responsiveness in addressing this approach, and applicants should address these issues in proposed strategies.

Deliverables 2.3. Protocols to link inmate survey data to administrative records

Subtask 2.4 Stakeholder Action Plan

The recipient of funds shall work with the BJS PM to develop a strategy to: 1) encourage support from stakeholders for the SISFCF 2012, especially in light of other BJS surveys of prison and jail inmates that have been fielded the past few years, and especially those fielded to meet requirements of the Prison Rape Elimination Act (PREA). (For more information, see www.bjs.gov/index.cfm?ty=dcdetail&iid=278 on the BJS website.); and 2) obtain input and feedback from stakeholders about BJS products to release that report on the inmate data collected. The strategy should include methods to enhance the level of interest in the surveys among key stakeholders in the correctional field, including federal agencies, such as the National Institute of Corrections, the Federal Bureau of Prisons, the National Institute of Justice, the Bureau of Justice Assistance, associations dealing with corrections, such as the Association of State Correctional Administrators (ASCA), National Sheriff's Association (NSA), American Correctional Association (ACA), American Jail Association (AJA), and other interested stakeholders, including jurisdiction-level associations or departments, that can garner support for the next iterations of prison and jail inmate surveys. The recipient of funds should plan to attend at least one corrections association conference per year with BJS staff to achieve these goals and propose ways to engage the corrections field at those conferences. The recipient of funds, with assistance from the BJS PM, shall develop and submit a draft of the stakeholder action plan to BJS for comment within 2 months of the start of the project, and both parties will work together to identify ways to implement different aspects of the plan, which will be incorporated into the final stakeholder action plan. Both parties will also work together to define the role of the recipient of funds in representing the SISFCF 2012 at professional association and research conferences.

Deliverable 2.4. Stakeholder action plan

Subtask 2.5 Sample Design and Selection

For the SISFCF 2012, BJS is interested in a minimum cost estimate for the smallest sample size proposed by applicants and a maximum cost estimate for the largest sample size proposed by applicants. The primary goal of the sample design for the SISFCF 2012 is to generate national-level estimates from a cross-section sample of state and federal prisoners, including a sample size of female prisons which is appropriate for analysis. BJS is also interested in sample designs for the SISFCF 2012 that allow for jurisdiction-level estimates for jurisdictions holding 50,000 or more prisoners.

The prevalence of severe mental illness among prisoners is an important point estimate that BJS will need to report on using the SISFCF 2012 data. For the sample designs proposed by applicants, they can assume that 16.9% of all prisoners in the U.S. have a severe mental illness (14.5% of male prisoners; 31.0% of female prisoners). BJS is interested in generating national-level point estimates (of the cross-sections) with a level of precision that is equal to or greater than the precision levels achieved through the SISFCF 2004. The coefficient of variation (CV) for the SISFCF 2012 national point estimates shall be equal to those achieved through the SISFCF 2004 if CV<0.10, with a maximum CV≤0.10 for the SISFCF 2012. BJS is interested in achieving a level of precision of CV≤0.15 for the jurisdiction-level point estimates (of the total jurisdiction

populations, not by gender) generated for those jurisdictions holding 50,000 or more prisoners.

Applicants should propose and describe efficient sample designs for the SISFCF 2012 and strategies for each that meet these criteria, and should provide specific cost estimates associated with each sample design proposed. For planning purposes, applicants can use the 2005 Census of State and Federal Correctional Facilities to obtain sample frame information.

Proposed designs and strategies should also: 1) take into account factors that could potentially minimize field costs and address the optimal manner and timing to draw the samples; 2) address nonresponse issues with the first-stage of selection and propose strategies for increasing first-stage response rates if they fall below the targeted response rate (i.e., 85%); and 3) address nonresponse issues with prison populations that are hard to reach, such as death-row inmates, high-risk inmates, and inmates housed in administrative segregation or mental health wards.

The recipient of funds, in collaboration with the BJS PM, shall work collaboratively to finalize the sample design and plans and will draw the sample based on the agreed-upon final design.

Deliverables 2.5. Sample design and plans

Task 3. IRB Approvals/OMB Clearance

Subtask 3.1 IRB Approvals

The recipient of funds shall obtain approval from an Institutional Review Board (IRB) for the SISFCF 2012 instrument, survey and field management protocols, and protocols to link inmate self-report survey data to administrative records, all of which shall be finalized prior to review by an IRB. BJS is willing to accept the certification of the recipient of funds IRB if all appropriate documentation is provided to BJS. In addition, the recipient of funds is responsible for obtaining approval from any additional IRBs or review panels that may be required by sampled jurisdictions or facilities.

Subtask 3.2 OMB Clearance

The recipient of funds shall prepare the Office of Management and Budget (OMB) clearance package necessary for approval of all the SISFCF 2012 activities. OMB clearance is required prior to conducting any collection activities, including contacting the sampled jurisdictions and facilities to notify them of selection, gain cooperation, and coordinate visits. The recipient of funds shall submit a draft of the clearance package to the BJS PM at least 1 month before the final clearance package will be submitted to the OMB; the final OMB clearance package shall be submitted at least 6 months prior to the initial contact with the sampled jurisdictions and facilities. The SISFCF 2012 instrument, all survey management and field protocols, the sample design, and the survey administration plan shall be finalized prior to submission of the clearance package to OMB.

The recipient of funds and the BJS PM will collaborate, working with OMB to collect these data under the Confidential Information Collection and Statistical Efficiency Act (CIPSEA). The recipient of funds is expected to perform all necessary functions as liaison between BJS and OMB to bring the SISFCF 2012 under the legal purview of the

CIPSEA, which will ensure the confidentiality of all data collected and ensure that no SISFCF data are released by BJS to any party for any nonstatistical purpose.

Deliverables 3.2. OMB clearance package

Task 4. Fielding the Survey and Data Processing

Subtask 4.1 Field Staff Training

Applicants must demonstrate the necessary skills to recruit and encourage facility and inmate participation and conduct and complete interviews within the specified data collection period. At a minimum, the recipient of funds shall have field staff who are fluent in both English and Spanish and a sufficient number of staff to complete the data collection on time. The recipient of funds shall ensure that all staff assigned to the project successfully complete the training program specified in the training plans, have nondisclosure agreements in place, comply with all facility regulations, and pass any required background checks. In addition, the recipient of funds shall ensure that staff shall receive additional training for new methods or procedures instituted in response to experiences in the field after collection has started.

The recipient of funds shall develop and deliver to the BJS PM all training materials for the SISFCF 2012 data collection staff, such as instructor manuals, trainee workbooks, exercises, slides, and other materials needed for training, prior to the start of field training, as well as additional materials developed during the collection to address issues experienced in the field.

Deliverables 4.1. Training materials

Subtask 4.2 Fielding the Survey

Applicants should propose and describe methods they will develop and implement to effectively field the SISFCF 2012 and complete data collection on time. BJS is interested in a survey administration plan that can address some or all of the following factors: 1) minimizing total field costs, 2) reducing field costs incurred within a particular fiscal year, and 3) allowing BJS to provide the correctional field with inmate survey data in a timely fashion.

BJS is also interested in obtaining inmate response rates in the SISFCF 2012 that match those that have been achieved through prior iterations of the SISFCF. The goal of the SISFCF 2012 is to yield a minimum inmate response rate of 80%.

The survey administration plan should also address potential problems reaching some inmates, such as death-row inmates, high-risk inmates and inmates housed in administrative segregation or mental health wards and propose alternative methods for gaining access to or obtaining data from or about these hard-to-reach populations.

The recipient of funds, and the BJS PM, will collaborate to finalize the survey administration plan.

Deliverables 4.2. Survey administration plan

Subtask 4.3 Real-time Tracking Systems

Applicants must demonstrate the capacity to develop and maintain a system for tracking the status of the survey administration and data collection in real time. The system should be designed to allow creation of summary reports on the status of the collection, including the overall response rates, comparison of the overall response rates with the targeted responses, and reasons for facility noninterviews (e.g., facility closed, refusal and reason) and inmate noninterviews (e.g., staff refusal for inmate, inmate refusal, language problem, transferred) . The recipient of funds shall be prepared to deliver this type of information to the BJS PM upon request.

Deliverables 4.3. Status reports

Subtask 4.4 Data processing

The recipient of funds shall process and verify the data according to BJS standards, including the implementation of BJS-approved coding, editing, and verification procedures. These processing activities shall be performed during data collection and shall be completed at the time the recipient of funds delivers the analytic file to BJS. (see Subtask 5.5). The recipient of funds shall review respondent data records for completeness and for any problems (e.g. inappropriate skips, out-of-range values, input errors) that may have occurred during the conduct of the survey. Problem records shall be identified by the recipient of funds and appropriate corrective actions taken. The recipient of funds shall deliver to the BJS PM a status report on data editing, including a description of how many errors during this phase were resolved. The recipient of funds shall maintain the records and results of the data editing and corrective actions for the BJS PM. These records shall be delivered upon request. The status report on data editing, which the recipient of funds shall deliver 1 month after data collection ends, shall include cumulative summary statistics (by mode) on the number of problems detected for the various items and the status and method of corrective action taken.

Soon after data collection begins and before data processing begins, a plan for data collection edit checks shall be submitted to the BJS PM for review and comment. The recipient of funds shall submit specifications for the coding of open-ended items and ‘other specifies’. When appropriate, both the edit and the coding specifications shall be consistent with those used in the previous collection (i.e., SISFCF 2004). The recipient of funds shall prepare coding and edit specifications for each questionnaire item, including details about the: 1) allowable range of responses, 2) appropriate internal consistency checks between sets of related items, 3) actions to be taken when a response fails an edit, 4) range codes that distinguish between ‘not applicable’ (i.e., valid skips) and item nonresponse, and 5) conventions for coding blanks, missing items, refusals, zeros, ‘not applicable’ (i.e., valid skips), nonresponse, and ‘don’t knows’.

Applicants should propose strategies for quality control that will be used to verify the distributions of the data collected and the creation of the calculated variables (see Subtask 5.5).

The recipient of funds shall edit the data and code responses to all open-ended questions according to the approved coding specifications.

The recipient of funds must maintain all personally identifiable information in accordance with 28 (CFR) Part 22.

Deliverables 4.4. Data processing materials

Task 5. Post-Survey Adjustments and Analytic Files

Subtask 5.1 Unit Nonresponse

Applicants should describe their approach to analyzing patterns of unit nonresponse and the potential for bias. The recipient of funds shall deliver a nonresponse analysis plan to the BJS PM soon after data collection begins so the BJS PM and recipient of funds can agree on an approach before the end of data collection. The bias analyses shall be conducted once the BJS PM has accepted the proposed approach and data collection has ended. Results from the analyses shall: 1) be delivered to BJS soon after data collection ends; 2) affect weighting (see Subtask 5.3); and 3) be discussed in detail in the methodology report (see Subtask 6.2); and 4) be summarized in the data file user's guide (see Subtask 7.1).

Deliverables 5.1. Unit nonresponse plan and results

Subtask 5.2 Item Nonresponse

Applicants should describe their approach to analyze the level of item nonresponse for survey items. The recipient of funds shall conduct such an analysis in conjunction with the unit nonresponse analyses and make recommendations to BJS about imputation strategies. If data are imputed, the imputed data and appropriate imputation flag variables shall be included in all data files delivered to the BJS PM. The approach shall include a proposal for evaluating the effect of imputation on estimates from the data. The recipient of funds shall deliver a description of the approach to the BJS PM soon after data collection begins to obtain agreement on an approach before the end of data collection. Results from the analyses shall be delivered to BJS soon after data collection ends, and shall be discussed in detail in the methodology report (see Subtask 6.2) and summarized in the data file user's guide (see Subtask 7.1).

Deliverables 5.2. Item nonresponse and imputation plan and results

Subtask 5.3 Sample Weights

The recipient of funds shall develop and submit a weighting plan to the BJS PM for review and comment soon after data collection begins. The plan shall include information about what the weights will represent, procedures for how they will be developed, and how they will be evaluated. The recipient of funds shall develop weights as necessary to analyze the data for: 1) the cross-section sample of prisoners, including self-representing jurisdictions; and 2) self-representing jurisdictions with 50,000 or more prisoners. The weights shall be integrated into all data files that are delivered to the BJS PM. The weights shall incorporate nonresponse adjustments and rely on administrative records to the extent possible to enhance nonresponse adjustments, as well as adjustments for the oversampling of some facilities. The weighting schemes shall follow the weighting schemes used in the SISFCF 2004 as closely as possible. The recipient of funds shall work collaboratively with the BJS PM to finalize the weighting plan before data collection ends. Descriptions of the weights shall be discussed in detail in the methodology report (see Subtask 6.2) and included in the data file user's manual (see Subtask 7.1).

Deliverables 5.3. Weighting plan

Subtask 5.4 Standard Errors

The recipient of funds shall prepare a plan for measuring sampling errors and submit it to the BJS PM for review and comment soon after data collection begins. The plan shall include procedures to enable users to generate both direct and generalized variance estimates. The analytic data file delivered to the BJS PM (see Subtask 5.5) and the restricted public-use archive data file delivered to the BJS PM (see Subtask 7.1) shall contain data elements necessary to support the calculation of direct variance estimation for complex survey designs. These calculations shall be capable of being performed by commonly used statistical software packages such as SUDAAN, SAS, SPSS, and Stata. The recipient of funds shall collaborate with the BJS PM to finalize the standard error plan before data collection ends.

The recipient of funds shall describe in detail the method(s) used to generate variances in the methodology report (see Subtask 6.2) and the data file user's manual (see Subtask 7.1). This description shall instruct users how to use the data elements and the associated software to calculate the variances. A short example of the method(s) and use of the available software shall be provided. The description shall also instruct users and provide an illustration on how to use the generalized variance parameters and the appropriate standard error formula to calculate generalized variance estimates.

Deliverables 5.4 Sampling error plan

Subtask 5.5 Analytic Data File and Documentation

The recipient of funds shall deliver a copy of the analytic data file, supporting documentation, and all code and data necessary to replicate the creation of the weights and standard error adjustments to the BJS PM in accordance with BJS specifications and requested formats within 12 months of the beginning of data collection activities. This data file will be used to prepare data for release in BJS statistical tables and special reports. The data file shall include both reported and imputed data, imputation flag variables, sample weights, and data elements necessary for direct variance estimation. The analytic data file shall also include calculated variables. BJS expects that the analytic file will contain approximately 100 such variables for key measures such as race, educational attainment, employment status, income level, current offense, criminal history, sentence length, time served, substance abuse and dependence, mental health, treatment, veteran status, incarcerated parents, number of minor children with a parent in prison, social support, and program participation.

All data and source code generated by this project belong to BJS. BJS retains all rights to exclusive use of the data until BJS releases the public-use data file which will be available to the public via the Internet at the NACJD at the University of Michigan at www.icpsr.umich.edu/icpsrweb/NACJD/. *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.

The recipient of funds shall implement procedures to ensure that all data are maintained securely and that all data security procedures comport with 28 CFR Part 22. At BJS request, the agent will provide a copy of the data security procedures and copies of

forms signed by staff indicating their compliance with 28 CFR Part 22. Applicants should demonstrate the capacity to meet this requirement.

Deliverable 5.5. Analytic data file, supporting documentation, program code and data necessary to replicate creation of weights and standard error adjustments

Task 6. Analytic Support and Statistical Products

Subtask 6.1 Disclosure Analysis

BJS is interested in methods that reduce the risk of disclosure of personally-identifiable information (PII) for the archived data files (i.e., both the public-use and restricted-use data files) for the SISFCF 2012 (see Subtask 7.1). By the time data collection begins, the recipient of funds shall submit plans to the BJS PM for review and comment for carrying out the disclosure analyses. The plans shall identify variables that may identify a respondent in the SISFCF, and propose methods to mitigate the disclosure risk through actions such as data swapping, data suppression, and data combination. The case characteristics between the public-use and restricted-use data files must agree so that analysts using both the public-use and restricted-use data files generate consistent results. This is particularly important in relation to data swapping. Consideration shall be explicitly given to how the public-use file would be affected by changes made to the restricted-use file. The recipient of funds shall work collaboratively with the BJS PM to finalize the disclosure analysis plan prior to the end of data collection.

Once the BJS PM agrees to the plans, the recipient of funds shall conduct the analyses and submit the results to the BJS PM; results shall be delivered soon after data collection ends. The results shall present the disclosure risk before and after data have been changed. After the BJS PM agrees to the solutions to protect against data disclosure, the recipient of funds shall incorporate the data changes from the disclosure analyses into the archived data files.

Deliverable 6.1. Disclosure analysis plan and results

Subtask 6.2 Methodology Reports

The recipient of funds shall prepare a methodology report that provides a detailed description of the: 1) sample design and outcomes; 2) data collection procedures and outcomes; 3) editing and coding procedures; 4) weighting scheme; 5) method(s) that could be used to generate standard errors; 6) first and second-stage response rates and the variation of response rates by characteristics; 7) types of nonresponse at the first and second stage of selection and the variation by characteristics; and 8) impact of unit and item nonresponse, including the methods of imputation, data quality, and the results from the nonresponse bias analysis. The report shall be delivered to the BJS PM for review and comment within the first month after data collection ends.

Deliverable 6.2. Methodology report

Subtask 6.3 Trend and other Analysis Activities

To help to understand changing patterns in prison inmate characteristics, BJS intends to conduct trend analyses in key statistics using prior iterations of the SISFCF and the SISFCF 2012. To achieve this goal, the recipient of funds will have to obtain, organize, and manage the prior versions of the survey, which are currently housed at NACJD.

Specifically, the recipient of funds will obtain and organize for analysis the inmate survey data files from 1986, 1991, 1997, and 2004 for state prisoners and the 1991, 1997, and 2004 for federal prisoners and use these files along with the 2012 SISFCF data to conduct trend analysis.

To assist in trend analysis, the recipient of funds shall propose and, upon BJS review and approval, create a crosswalk of key constructs and variables in the state and federal prison inmate surveys for the years referenced above. The crosswalk should identify key constructs, or specific aspects of constructs, that have been measured consistently over time and identify important measurement changes of other key constructs that are typically reported on in BJS special reports.

Key concepts that BJS is interested in analyzing over time with the prior and current versions of the inmate surveys appear in the several reports that BJS has produced from its inmate surveys, for example: parents in prison, weapon use by offenders, substance abuse and dependency, mental health and medical problems, education, veterans in prison, and criminal history. Applicants should demonstrate their knowledge of BJS publications based on its prison inmate surveys and propose an approach to identify the key constructs and to create reliable measures of these constructs. Although the topical reports that BJS prepared from the inmate surveys generally explored an issue in depth, for the set of reports that BJS intends to produce from the SISFCF 2012, BJS wants to publish the trends in constructs.

While conducting this work, the recipient of funds shall identify and provide recommendations to enhance the documentation archived at NACJD. The recipient of funds shall prepare the documentation that implements the recommended changes agreed to by the BJS PM, based on the changes to the data files.

BJS is also interested in providing analysts with more user-friendly options that make it easier to use the SISFCF data. This may include preparing a searchable database for the SISFCF questionnaires dating back through 1986 for the state prisoner component and 1991 for the federal prisoner component. The databases shall be designed in a way that provide analysts different search options, including the ability to search on the question category, the question text, a specific year or range of years and through a question index, which would provide a list of domains that could be narrowed down to specific constructs and specific questions within constructs. These should be designed with an eye toward release via the BJS website as interactive databases for both the state (through 1986) and federal (through 1991) prisoner components of the SISFCF. The interactive database shall be designed to allow users to search on specific years and constructs, and specific questions or indicator variables (i.e., BJS-calculated variables that measure constructs) within constructs. For an example and more information, see the model used for the Behavioral Risk Factor Surveillance System at www.cdc.gov/brfss/index.htm.

For the SISFCF 2012, the recipient of funds will provide analytic activities that include the following four items:

- A core set of statistical tables that provide a profile of the characteristics of state and federal prisoners. For planning purposes, see the tables published in the BJS tome *Correctional Populations in the United States, 1997* in Section 4 titled

Survey of State and Federal Inmates, 1997 on the BJS website at www.bjs.gov/index.cfm?ty=pbdetail&iid=691;

- Trend analysis to provide estimates of state and federal prisoners for up to 50 key variables using data from prior iterations of the SISFCF, potentially dating back to 1986 for state prisoners and 1991 for federal inmates;
- Special topic reports;
- Routine statistical analyses.

The recipient of funds shall work with the BJS PM to identify the 50 key variables related to analysis of the research issues and ways to present the data in the tables. The recipient of funds shall provide the BJS PM with a draft set of table shells that show how the data will be presented. Based on BJS comments, the recipient of funds shall revise the table shells accordingly. The final versions of the statistical tables shall be provided to the BJS PM in a format for posting to the BJS website within 1 month of delivery of the analytic data file and documentation.

The recipient of funds shall propose topics for more in-depth analyses of prisoners based on the SISFCF data, other BJS data, and other federal statistical agency data, to be published as BJS special topic reports. To this end, applicants shall identify and demonstrate knowledge of substantive issues among the prison population that are worth exploring. The recipient of funds shall develop and submit proposals and outlines for at least two special topic reports on prisoners soon after data collection begins. The proposals should be based on the SISFCF data and should address prison populations issues that BJS has either not yet addressed or has not addressed for an extended period of time. Examples of some special topics to address in reports on prisoners are the extent of harm perpetrated by and riskiness of prisoners and the need for reentry planning, nature and extent of mental health problems among prisoners and those soon-to-be released, incarcerated veterans and their special needs, incarcerated parents and their minor children, and substance use and abuse among prisoners. The BJS PM will review the proposed topics and if a topic is selected, the report will be done collaboratively between BJS and the recipient of funds with the goal of publishing a BJS special topic report within 3 months after the analytic data file and documentation are delivered to the BJS PM. Based on the quality of the first report, BJS may ask the recipient of funds to proceed with work on a second special topic report with the goal of publishing the second report about 4 months after the first special report is published.

Finally, periodically, BJS may request the recipient of funds to conduct some type of short-turnaround, basic descriptive analysis of SISFCF data. These analyses typically involve generating frequencies or crosstabs, and this work may also involve the creation of tables to disseminate the data. This work generally requires no more than 8 hours of time. The recipient of funds shall plan to conduct up to 10 of these per year. If BJS does not request these short-term analytic tasks, the effort planned for them will be devoted to the special topic reports.

Deliverables 6.3. Inmate survey data files from prior years' surveys, crosswalk; recommendations to enhance data and documentation for prior iterations of the SISFCF data; user-friendly options that make the SISFCF data easier to use; a set of statistical tables, proposals and outlines for two special topic reports, and ongoing analysis and delivery upon request.

Task 7. Archiving the SISFCF 2012 Data and Documentation

Subtask 7.1 Data and Documentation

The recipient of funds shall create and submit to BJS electronic files of the SISFCF 2012 data and documentation, including a codebook, for archiving at the NACJD by the time the first special topic report is published. The archive data files shall be created from the analytic data file delivered to the BJS PM. If BJS makes any modifications to the analytic data file while analyzing the data for the purposes of producing BJS products, BJS will deliver to the recipient of funds a copy of the final version of the data that was used to produce the products, and that version of the analytic data file shall be used to create the archive data files. BJS intends to archive two data files; the first will be available to the public and the second file will be archived under the NACJD restricted use access policy. The primary difference between the public-use and restricted-use files is that some data will be suppressed on the public-use file but not on the restricted-use file. Both data files shall include reported and imputed data and imputation flags, all calculated variables created, and sample weights. The recipient of funds will be required to work with the BJS PM and NACJD staff to determine the final requirements for the data to be archived. However, for planning purposes, the recipient of funds should review the NACJD data submission guidelines (at www.icpsr.umich.edu/icpsrweb/NACJD/archiving/) to determine the level of effort involved in archiving data and refer to the documentation for the 1997 SISFCF archived at the NACJD for an estimated number of calculated variables.

The archive data files shall be accompanied by a data file user's manual providing sufficient detail to allow analysts to properly use the data file. The manual shall include, but it is not necessarily limited to, the following information:

- A section describing the sample design
- A section describing the data collection procedures
- A section that reports on the facility and inmate response rates, by characteristics; a description of the nonresponse rates for facilities and inmates, by type of nonresponse and characteristics
- A description of the organization of the data file
- A description of the data editing procedures
- A section reporting on the results of the unit and item nonresponse analyses; this section should include a discussion about imputation methods
- A section providing a general overview and instructions for testing of statistical significance of differences
- A description of the weights available on the file and how to use them (i.e., which types of weight would be appropriate for specific analyses)
- A description of the method(s) that could be used to generate standard errors, including instructions and illustrations to assist users in calculating variances based on the different methods
- Frequencies for up to 100 key variables, including imputed and calculated variables
- Programming code to create all calculated variables
- The questionnaire

The NACJD staff will be responsible for formatting the SISFCF 2012 data for archiving.

The recipient of funds shall provide additional data or documentation as needed, based on NACJD staff review of the materials submitted for archiving the SISFCF 2012 data. No release or use of the data (including presentations and publication) prior to the release of the public-use data file can take place without written permission of the Director of BJS.

Deliverables 7.1. Data files and documentation for archiving

Table 1. Dates for key tasks and deliverables for the SISFCF 2012

Date	Key task/deliverable
10/1/2011	Project starts
2/1/2012	Submit OMB package (Subtask 3.2)
8/1/2012	Begin data collection activities (Subtask 4.2)
8/1/2013	Deliver analytic data file and supporting materials (Subtask 5.5)
9/1/2013	Deliver set of core statistical tables (Subtask 6.3)
11/1/2013	Release first special report with BJS (Subtask 6.3)
11/1/2013	Deliver all data files and documentation for archiving (Subtask 7.1)
3/15/2014	Release second special report with BJS (Subtask 6.3)
3/30/2014	End of project; deliver all project 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 for this project will be made available under a cooperative agreement. BJS anticipates making one award for the 30-month project period. Applicants should submit a project budget covering the entire 30-month period. Costs, including detailed staff resources and other costs, should be broken out for each project task.

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 the 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 follows:

Objective	Performance Measure(s)	Data Grantee Provides
Conduct survey management activities.	Develop instruments and protocols that enhance capability to produce reliable national estimates. Provide documentation that research has regulatory clearances to engage human subjects and conduct data collection.	Provide instruments and protocols that enhance BJS's capability to produce reliable national estimates. Provide documentation of approval from an appropriate Institutional Review Board (IRB) and the Office of Management and Budget (OMB).
Field the 2012 survey to measure the characteristics of prisoners in the U.S.	Provide data that are comprehensive and accurate.	A data file that yields a minimum unit response rate of 80%. Data elements that meet a minimum item response rate of 95% or higher.
Deliver data files, supporting documentation, and statistical products.	Percentage of deliverables that meet expectations. Percentage of deliverables completed on time.	Number of deliverables that meet BJS's expectations for depth, breadth, scope and quality of study, and pertinence. Number of deliverables completed on time.

		Number of deliverables. Provide the complete SISFCF 2012 data file within a target period of 12 months, including post-survey adjustments and documentation. Provide analytical support and collaboration to BJS on statistical products. Provide BJS with materials needed for archiving the SISFCF 2012 data.

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 22) 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 purposes 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 Requirements for OJP Applications" web page (www.ojp.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 steps:

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 Central Contractor Registration (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-2995.

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 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, at www.ojp.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 project narrative, and budget detail worksheet including a budget narrative, key staff information, privacy certificate, and human subjects protection certificate of compliance 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.

1. **Information to complete the Application for Federal Assistance (SF-424)**
   The SF-424 is a standard form required for use as a cover sheet for submission of pre-applications, applications, and related information. Grants.gov and GMS take information from the applicant’s profile to populate the fields on this form. When selecting "type of applicant," if the applicant is a for-profit entity, please select "For-Profit Organization" or "Small Business" (as applicable).

2. **Program Narrative**

   This should describe the activities in the Scope of Work, demonstrate an understanding of the goals and purposes of the project, and address the evaluation criteria. The narrative should provide a detailed timeline and budget for project activities and information on the applicant’s knowledge of not only survey methodology but also substantive issues related to corrections. The narrative should also demonstrate: 1) the capabilities of the applicant to successfully handle a national collection of inmate-level data, including an understanding of the challenges associated with this type of data collection; 2) experience with multiple and mixed-modes of administration, and demonstrate the use of an appropriate mode(s) in correctional settings; 3) recognition of the priority tasks in the Scope of Work and plans to enhance the probability of completing tasks; and 4) an understanding of the need for flexibility of the project design and implementation.

   The Statement of the Problem and Project Design and Implementation sections of applications shall not exceed 40 double-spaced pages with a font style and size no smaller than 12-point and margins no smaller than 1 inch all around. The page limitation does not include a cover page, table of contents, capabilities and competencies, and budget and budget narrative. If the program narrative fails to comply with these length-related restrictions, noncompliance may be considered in peer review and in final award decisions.

The following sections should be included as part of the program narrative.

a. Statement of the Problem

b. Project Design and Implementation

c. Capabilities and Competencies

d. Plan for Collecting the Data Required for this Solicitation's Performance Measures

   Submission of performance measures data is not required for the application. Performance measures are included as an alert that successful applicants will be required to submit specific data to BJS as part of their reporting requirements. For the application, the applicant should indicate an understanding of these requirements and discuss how the applicant will gather the required data, should the applicant receive funding.

3. 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.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.

4. 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.gov/financialguide/part3/part3chap17.htm.

5. **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.

If an applicant is unable to obtain a signed copy of a tribal resolution documenting support for its application, then, at minimum, the applicant should submit an unsigned, draft tribal resolution as part of its application (except in cases where, with respect to a tribal consortium applicant, consortium bylaws allow action without the support of all consortium member tribes. If selected for funding, use of and access to funds will be contingent on receipt of the signed tribal resolution.

6. **Additional Attachments (if applicable)**

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 www.bjs.gov/content/pub/pdf/bjsmpc.pdf.

Human Subjects Protection Certification of Compliance

BJS requires the funding recipient to submit proper documentation to be used to determine that the research project meets the federal requirements for human subjects protections set forth in 28 CFR Part 46. A model certificate, describing the necessary information to be provided by the funding recipient, can be accessed at www.bjs.gov/content/hscr.cfm.

7. **Other Standard Forms**

Additional forms that may be required in connection with an award are available on OJP's funding page at www.ojp.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

Applications should describe the design and implementations plans outlined in the Scope of Work and demonstrate an understanding of the goals and purposes of the project. Applications will be assessed for demonstrated ability to develop and implement designs for conducting complex data collections, while taking into account the challenges associated with implementing surveys in prison facilities, and how the proposed approaches and methods will achieve the performance goals for this project. Information on staffing levels and qualifications should be included for each task and descriptions of experience relevant to the project should be provided. Resumes of the proposed project director and key staff should be submitted with the proposal. The budget should include costs for each project task.

The applications will be assessed for—

1. **Statement of the Problem (20%)**

   - Understanding of the goals and purposes of BJS' inmate surveys and how the SISFCF 2012 will assist BJS in providing timely and relevant data about prison inmates.
   - Understanding of the substantive issues that the SISFCF can address and the priority issues that it could be used to address.
   - Understanding of the challenges associated with implementing surveys in prison facilities.
   - Understanding of the challenges in managing a complex data survey from planning through dissemination of data.

2. **Project Design and Implementation (30%)**

   - Completeness of the project design and implementation plans in addressing the scope of work.
   - Extent to which project plans allow for flexibility of design and implementation.
   - Recognition of the priority tasks in the scope of work and the development of a set of plans and contingency plans to enhance the probability of successfully completing the project.

- Economy of the project design, that is, the extent to which the plans run in parallel where possible rather than in serial fashion.
- Extent to which options, including sample design options, enable applicants to achieve response rate and data quality goals, while controlling for costs.
- Extent to which plans provide state-of-the art options to address nonresponse and missing data, including imputation strategies.

3. Capabilities and Competencies (30%)

- Demonstrated experience and success in conducting surveys with prison and jail inmates and, in so doing, achieving high response rates, obtaining high-quality data, and collecting and maintaining data confidentially.
- Demonstrated experience and success with multiple and mixed-modes of collection and demonstrated understanding of the use of the appropriate mode(s) in correctional settings.
- Demonstrated substantive understanding of corrections operations, policies, and policy issues.
- Demonstrated understanding of survey research, including questionnaire design, sample design, and survey administration.

4. Plan for Collecting the Data Required for this Solicitation's Performance Measures (5%)

- Extent to which the data collection plans for the performance measures is built into the project design and applicant's survey management information system.
- Efficiency of performance measures data collection plan.

5. Budget (15%)

- Extent to which staff resources allocated in the budget are appropriate for the project tasks.
- Appropriateness of budgeted items for achieving project goals.
- Demonstrated fiscal, management, staff, and organizational capacity to provide sound management for 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 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 US 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 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 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.

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.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

Survey of Inmates in State and Federal Correctional Facilities (SISFCF), 2012

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 organizational 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 charge a management fee for the performance of this award.

What an Application Should Include:

_____ Application for Federal Assistance (SF-424) (see page 22)
_____ Program Narrative (see page 22)
- _____Double spaced
- _____12-point font
- _____1" standard margins
- _____40 pages or less (does not include a cover page, table of contents, capabilities and competencies, and budget and budget narrative).

_____ Budget Detail Worksheet (see page 23)
_____ Budget Narrative (see page 23)
_____ Indirect Cost Rate Agreement (if applicable) (see page 23)
_____ Tribal Authorizing Resolution (if applicable) (see page 24)
_____ Additional Attachments (see page 24)
- _____Key Staff Information
- _____Privacy Certificate
- _____Human Subjects Protection Certification of Compliance

_____ Other Standard Forms as applicable (see page 24), including:
- _____ Disclosure of Lobbying Activities (if applicable)
- _____ Accounting System and Financial Capability Questionnaire (if applicable)