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The [U.S. Department of Justice](#) (DOJ), [Office of Justice Programs](#) (OJP), [Bureau of Justice Statistics](#) (BJS) is seeking applications for the FY 2014 Firearm Inquiry Statistics Program. This 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 state-of-the-art knowledge and information in support of innovative strategies and approaches for dealing with these challenges. As the principal federal statistical agency in the Department of Justice, BJS is responsible for the collection, analysis, publication, and dissemination of statistical information on crime, criminal offenders, victims of crime, and the operations of criminal justice systems at all levels of government.

## FY 2014 Firearm Inquiry Statistics (FIST) Program

### Eligibility

Eligible 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.

BJS welcomes applications that involve two or more entities; however, one eligible entity must be the applicant and the others must be proposed as subrecipients. The applicant must be the entity with primary responsibility for conducting and leading the project.

BJS may elect to make awards for applications submitted under this solicitation in future fiscal years, dependent on the merit of the applications and on the availability of appropriations.

### Deadline

Applicants must register with [Grants.gov](#) prior to submitting an application. (See "How to Apply," page 21.) All applications are due by 11:59 p.m. eastern time on April 22, 2014. (See "Deadlines: Registration and Application," page 4.)

All applicants are encouraged to read this [Important Notice: Applying for Grants in Grants.gov](#)

## Contact Information

For technical assistance with submitting an application, contact the Grants.gov Customer Support Hotline at 800-518-4726 or 606-545-5035, or via e-mail at [support@grants.gov](mailto:support@grants.gov). The [Grants.gov](http://Grants.gov) Support Hotline hours of operation are 24 hours a day, 7 days a week, except federal holidays.

Applicants that experience unforeseen Grants.gov technical issues beyond their control that prevent them from submitting their application by the deadline must e-mail the BJS contact identified below **within 24 hours after the application deadline** and request approval to submit their application.

For assistance with any other requirements of this solicitation, contact Allina Lee, FIST Program Manager, by telephone at 202-307-0765 or by e-mail at [askbjs@usdoj.gov](mailto:askbjs@usdoj.gov). Include "2014 FIST" in the subject line.

Grants.gov number assigned to this announcement: BJS-2014-3821

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# FY 2014 Firearm Inquiry Statistics (FIST) Program (CFDA #16.734)

## Overview

The [Bureau of Justice Statistics](#) (BJS) began the Firearm Inquiry Statistics (FIST) program in 1995 to provide national estimates of the total number of firearm purchase applications received and denied pursuant to the Brady Act and similar state laws. The FIST program collects counts of firearm transfers and permit checks conducted by state and local agencies and combines this information with Federal Bureau of Investigation (FBI) National Instant Criminal Background Check System (NICS) transaction data. Under FIST, additional information is collected on reasons for denials, appeals of denials, and law enforcement actions the FBI and the Bureau of Alcohol, Tobacco, Firearms, and Explosives (ATF) take against denied persons.

## Deadlines: Registration and Application

Applicants must register with Grants.gov prior to submitting an application. OJP encourages applicants to **register several weeks before** the application submission deadline. In addition, OJP urges applicants to submit applications 72 hours prior to the application due date. The deadline to apply for funding under this announcement is 11:59 p.m. eastern time on Tuesday, April 22, 2014. See “How to Apply” on page 21 for details.

## Eligibility

Refer to the title page for eligibility under this program.

## Program-Specific Information

### Background Information

In 1995, BJS began the FIST program to provide national estimates of the total number of purchase applications and denials resulting from the Brady Act and similar state laws. The FIST program collects information on firearm-related background checks conducted by state and local agencies and combines this information with FBI NICS transaction data to calculate national estimates. More information on the FIST program is available at [www.bjs.gov/index.cfm?ty=dcdetail&iid=246](http://www.bjs.gov/index.cfm?ty=dcdetail&iid=246).

### Brady Act provisions

The Brady Handgun Violence Prevention Act of 1993 (Pub. L. No. 103-159, 107 Stat. 1536 (1993), codified as amended at 18 U.S.C. Section 921 et seq.) mandates a criminal history background check on any person who attempts to purchase a firearm from a Federal Firearms Licensee (FFL). The permanent provisions of the Brady Act established the National Instant Criminal Background Check System (NICS), which is accessed by the FBI or a state point of contact (POC) prior to transferring a firearm. The NICS is a system comprising data on persons who are prohibited from purchasing or possessing a firearm under the Brady Act or under state law.

The Brady Act prohibits transfer of a firearm to a person who —

- is under indictment for, or has been convicted of, a crime punishable by imprisonment for more than 1 year
- is a fugitive from justice
- is an unlawful user of, or addicted to, a controlled substance
- has been adjudicated as a mental defective or committed to a mental institution
- is an illegal alien or has been admitted to the U.S. under a nonimmigrant visa
- was dishonorably discharged from the U.S. Armed Forces
- has renounced U.S. citizenship
- is subject to a court order restraining him or her from harassing, stalking, or threatening an intimate partner or child
- has been convicted of a misdemeanor crime of domestic violence
- is under age 18 for long guns or under age 21 for handguns.

### Components of the national firearm check system

About 1,300 federal, state, and local agencies conduct background checks on persons who apply to purchase a firearm or those who apply for a permit that may be used to make a purchase. Variations in federal and state procedures for determining firearm possession eligibility are summarized below. In 2010 (the most recent year for which FIST data is available) the NICS processed nearly 11 million applications for firearm transfers or permits, of which 1.5% were denied by state and local agencies (80,000) or by the FBI (73,000).

### Overview of the NICS

Prospective firearm purchasers undergo a NICS check that has been requested by a dealer, or the applicant must present a state permit that the ATF has qualified as an alternative to the point-of-transfer check.

ATF-approved permits are those that —

- allow an applicant to possess, acquire, or carry a firearm, and
- were issued not more than 5 years earlier by the state where the transfer is to take place, after an authorized government official verified that possession of a firearm by the applicant would not be a violation of law.

All permits issued since November 29, 1998, must have included a NICS check. Many state-qualifying permits may be used for multiple purchases while valid. State laws often provide that a permit will be revoked if the holder is convicted of an offense or otherwise becomes ineligible after receiving the permit. Prior to transferring a firearm under the permanent Brady provisions, an FFL is required to obtain a completed Firearm Transaction Record (ATF form 4473) from the applicant.

An FFL initiates a NICS check by contacting either the FBI or state POC. Most inquiries are initiated by telephone. In 2002, the FBI added E-Check to allow FFLs electronically to request a check electronically. The FBI or POC queries available federal, state, and local systems and notifies the FFL that the transfer may proceed, may not proceed, or must be delayed pending further review of the applicant's record. An applicant who is denied may appeal to the FBI or the

POC. A denied person who submitted a false application or has an outstanding warrant may be subject to arrest and prosecution under federal or state laws.

### State and local NICS participation

Each state government determines the extent of its involvement in the NICS process.

Three levels of state involvement currently exist:

- The state operates as a full POC and requests a NICS check on all firearm transfers originating in the state.
- The state operates as a partial POC and requests a NICS check on all handgun transfers; FFLs in the state are required to contact the FBI for NICS checks for long gun transfers.
- The state is not a POC, and FFLs are required to contact the FBI for NICS checks on all firearm transfers originating in the state.

### **Scope of Work**

The purpose of this award is to support the continuation of the FIST program. The recipient of funds will continue to administer—in partnership with BJS—the FIST survey instrument design and development, sample design, data collection, and analysis. The data collection agent will also be responsible for coordination with the FBI NICS Division, the ATF Denial Enforcement and NICS Intelligence (DENI) Branch, and the ATF National Field Office Case Information System (NFOCIS) Unit to obtain data and for preparation of statistical tables and reports. All products produced under this award will be reviewed and approved by the BJS Project Manager (PM).

The FIST survey is currently administered through a survey to 32 state agency reporters (including Washington, D.C.) that serve an entire state population, a statewide census of local checking agencies in 6 states, and a sample of local checking agencies in 4 states. Through FIST, BJS collects information on firearm background checks conducted by state and local agencies and combines this information with the FBI's NICS transaction data to produce a national estimate of the number of applications received and denied annually. The FIST collection also obtains information from federal, state, and local agencies on reasons for denial, appeals of denials, and actions taken against denied persons. BJS publishes FIST data in its Background Checks for Firearm Transfers series, available on the BJS website at [www.bjs.gov/index.cfm?ty=dcdetail&iid=246](http://www.bjs.gov/index.cfm?ty=dcdetail&iid=246).

The approved FIST methodology is available for reference on the Office of Management and Budget (OMB) [www.RegInfo.gov](http://www.RegInfo.gov) website. Applicants can access the materials on the website by searching for the FIST OMB control number (1121-0314). Applicants are encouraged to review the FIST methodology to assist in the preparation of their proposed work plan.

Specifically, the recipient of funds will administer the FIST Program, and will —

1. Develop a detailed time plan for each task in the project. The time plan should cover all tasks from survey notification through delivery of final work products to BJS, including a timeframe for follow-up contacts with nonrespondents and data verification. After the BJS PM approves the time plan, BJS will expect work to be performed according to the

schedule. It will be the responsibility of the data collection agent to notify BJS of barriers or obstacles arising in the data collection process so that appropriate adjustments to the schedule can be made.

2. Under BJS's direction, review the current FIST survey instrument and propose suggested enhancements or revisions. The survey instrument will be available in both paper and web-form for use by all respondents as part of a multi-mode collection system.
3. Review, update, and maintain the FIST universe. BJS will provide the most current listing of agencies eligible to participate in the FIST survey. The data collection agent will be responsible for reviewing the FIST universe and completing frame maintenance activities to ensure its completeness and accuracy.
4. Work within the parameters of the currently approved research design to redraw the sample of local checking agencies, and develop a strategy to collect data on firearms application and denial data from the 32 state agency reporters and the censused and sampled local checking agencies. Obtain FBI NICS transaction data to create a national estimate of the number of applications for firearm transfers or permits that are received and denied in calendar year 2014. The sampling plan should be designed such that state-level estimates can also be produced.
5. Identify the estimation procedures that will be employed, including an appropriate weighting strategy and a strategy to account for missing data.
6. Implement the data collection schedule to obtain data from state agency reporters and local checking agencies. Manage routine mailings and electronic correspondence to data respondents. Data should be verified with respondents prior to submitting draft deliverables to BJS.
7. Plan for a follow-up strategy to maximize response rates. Conduct follow-up with nonrespondents to achieve a 100% response rate from the 32 state agency reporters and, at minimum, an 80% response rate from local checking agencies.
8. Identify a strategy to and conduct a nonresponse bias analysis for any state where the response rate falls below 80%. Obtain data from ATF DENI Branch on FBI denials that are screened by DENI and referred to ATF field offices for investigation.
9. Produce statistical tables and an accompanying descriptive narrative consistent with those published in previous editions of the Background Checks for Firearm Transfers series of the number of applications, denials, reasons for denial for state, local, and FBI background checks and referrals for investigation to ATF that occurred in calendar year 2014. Produce appendix tables for data obtained from state agency reporters on arrests and appeals and on background check functions by jurisdiction, including the description of checking agencies by permit type, participation in the NICS process, and forums for appeals of denials. Tables should be submitted in both text and publication-ready format.
10. Prepare standard error and confidence interval calculations for the FIST national estimate and local agency estimates.

11. Obtain data from the ATF NFOCIS Unit on records of denial case investigations and retrievals of firearms by ATF field offices and on prosecutions of denied persons by U.S. Attorneys to produce an annual report on ATF data of investigations and prosecutions of persons who were denied a firearm in 2014.
12. 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 develop appropriate documentation necessary for archiving the FIST data at the National Archive of Criminal Justice Data (NACJD) at [www.icpsr.umich.edu/NACJD/](http://www.icpsr.umich.edu/NACJD/). The data and documentation for archiving are to be submitted to BJS for review and modified based on BJS's comments, if applicable. BJS will transmit the data and documentation to NACJD for archival.
13. Assist BJS to respond to media and external inquiries and requests related to FIST data.

### Period of Performance

The FIST data collection is conducted on an annual basis. This project is designed to cover the work associated with completing data collection and analysis for reference year 2014 FIST data. The planned project start date is October 1, 2014. The FY 2014 award will be based on a 15-month project period. The project tasks are designed to support the core activities that BJS expects the recipient of funds to conduct and complete annually. Two of BJS's longer-term objectives are to initiate the annual FIST data collection schedule in January for the preceding reference year data and to release the Background Checks for Firearm Transfers publication by the end of the calendar year. BJS's current expectations for completing the core activities associated with the next four reference years of FIST data (2014-2017) are detailed in table 1.

**Table 1. Key goals and timeframes for the recurring/annual FIST tasks**

Reference year of the collection	Award start date	Start data collection	Finish data processing and submit final work products to BJS	Archive FIST data
2014	October 1, 2014	March 2015	December 2015	December 2015
2015	October 1, 2015	February 2016	November 2016	December 2016
2016	October 1, 2016	January 2017	September 2017	December 2017
2017	October 1, 2017	January 2018	September 2018	December 2018

Proposals written in response to this solicitation should:

1. Include a plan that addresses the activities associated with a 15-month project period starting October 1, 2014, and ending December 31, 2015.
2. Include plans for annually collecting the subsequent years of FIST data and describe how the tasks completed during the initial 15-month project period will support and improve efforts to conduct subsequent FIST data collections, specifically addressing the longer-term goals established by BJS for the FIST FY 2014-2017 collection years.
3. Include a budget for all tasks associated with the 15-month project period for the 2014 collection year and separate budgets for recurring projects tasks associated with the data collection schedule for the FIST 2015 through 2017 collection years. BJS expects



that budgets for the outyears of the project will demonstrate productivity gains and cost efficiencies in processing FIST data.

### **Goals, Objectives, and Deliverables**

The overall goal of this project is to provide reliable national estimates of the total number of purchase applications and denials resulting from the Brady Act and similar state laws. Please refer to the Scope of Work for specific goals, objectives, and deliverables.

### **Amount and Length of Awards**

Assistance will be made available under a cooperative agreement. BJS anticipates that it will make one award of up to \$450,000 for a 15-month project period. Funding will be made with an option for three additional continuation years to implement the 2015 through 2017 annual collections contingent upon the availability of funds and the quality of the initial performance and products. Cost estimates are not to exceed \$450,000 for the initial 15-month period. Funding for subsequent years may include reasonable increases for cost of living and changes in scope of work, where applicable.

All awards are subject to the availability of appropriated funds and to any modifications or additional requirements that may be imposed by law.

### **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, recipients may not use federal funds to pay total cash compensation (salary plus cash 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 2014 salary table for SES employees is available at [www.opm.gov/salary-tables](http://www.opm.gov/salary-tables). Note: A recipient may compensate an employee at a greater 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 Director of BJS may exercise discretion to waive, on an individual basis, the limitation on compensation rates allowable under an award. An applicant requesting a waiver should include a detailed justification in the budget narrative of the 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 the budget.

The justification should include the particular qualifications and expertise of the individual, the uniqueness of the service the individual will provide, 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 to be done.

#### **Prior Approval, Planning, and Reporting of Conference/Meeting/Training Costs**

OJP strongly encourages applicants that propose to use award funds for any conference-, meeting-, or training-related activity to review carefully —before submitting an application— the

OJP policy and guidance on “conference” approval, planning, and reporting available at [www.ojp.gov/funding/confcost.htm](http://www.ojp.gov/funding/confcost.htm). OJP policy and guidance (1) encourage minimization of conference, meeting, and training costs; (2) require prior written approval (which may affect project timelines) of most such costs for cooperative agreement recipients and of some such costs for grant recipients; and (3) set cost limits, including a general prohibition of all food and beverage costs.

**Costs Associated with Language Assistance (if applicable)**

If an applicant proposes a program or activity that would deliver services or benefits to individuals, the costs of taking reasonable steps to provide meaningful access to those services or benefits for individuals with limited English proficiency may be allowable. Reasonable steps to provide meaningful access to services or benefits may include interpretation or translation services where appropriate.

For additional information, see the "Civil Rights Compliance" section of the OJP "Other Requirements for OJP Applications" webpage at [www.ojp.usdoj.gov/funding/other\\_requirements.htm](http://www.ojp.usdoj.gov/funding/other_requirements.htm).

**Match Requirement**

This solicitation does not require a match. However, if a successful application proposes a voluntary match amount, and OJP approves the budget, the total match amount incorporated into the approved budget becomes mandatory and subject to audit.

**Performance Measures**

To assist the Department with fulfilling its responsibilities under the Government Performance and Results Act of 1993 (GPRA), Public Law 103-62, and the GPRA Modernization Act of 2010, Public Law 111-352, applicants that receive funding under this solicitation must provide data that measure the results of their work done under this solicitation. OJP will require any award recipient, 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
<p>In partnership with BJS, design and administer a FIST survey instrument. Administer the survey instrument to yield complete counts of available data on firearm applications, denials, reasons for denial, appeals and arrests, and referrals for investigation and meet target response rates. The study</p>	<p>Quality of management and demonstration that data collection protocol and systems have obtained high-quality and comprehensive data with minimal missing or inconsistent data in file, minimal post validation follow-up, and all target responses rates have been achieved.</p>	<p>Recommendations for final revisions to data collection instruments result in a robust instrument that (1) is capable of obtaining critical data elements, (2) possesses maximum efficiency and clarity, which results in improved reliability and validity of the data, and (3) utilizes methods that minimize data collection costs including a web-based option to the paper instrument.</p>

<p>design should be such that state level estimates can also be produced.</p> <p>Coordinate with the FBI NICS Division to obtain NICS transaction data and with the ATF Denial Enforcement and NICS Intelligence (DENI) Branch to obtain data on FBI denials that are screened by DENI and referred to ATF</p>	<p>Response rates for states, as well as local checking agencies.</p> <p>Percent of responses that are obtained by electronic means.</p> <p>Percent of deliverables (including final reports and data tables) that meet BJS' expectations for depth, breadth, scope, quality of study, and pertinence (as determined by BJS).</p>	<p>Minimal number of missing or inconsistent data in data file (Target: 10% or less of respondents require post-validation follow-up and error correction.) Data collection plans, protocols, and systems that include (1) methods to encourage interest and support from the participating state and local checking agencies and the FBI and ATF, (2) techniques for obtaining high response rates from local checking agencies, (3) plans and systems that maximize the use of electronic response options, (4) a methodology to address item and unit non-response, and (5) calculation of standard errors and confidence intervals for FIST national estimate and local estimates.</p> <p>Number of surveys (paper and web-form) received and determined to be complete and accurate. Objective is to achieve an 80% or better survey response rate from local checking agencies and 100% response rate from state agency reporters.</p> <p>Number of responses that are obtained by electronic means.</p> <p>Satisfactory completion of at least two work products: (1) the annual statistical tables for background checks and firearm transfers will be prepared in conjunction with BJS staff, and (2) the annual report on investigations and prosecutions of persons denied a firearm will be prepared.</p>
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<p>field offices for investigation. Produce publication-ready statistical tables and reports adhering to BJS expectations.</p> <p>Coordinate with the ATF National Field Office Case Information System (NFOCIS) Unit to obtain data on records of denial case investigations and retrievals of firearms by ATF field offices and on prosecutions of denied persons by U.S. Attorneys. Produce an annual report. Produce publication-ready statistical tables and reports adhering to BJS expectations.</p>		
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OJP does not require applicants to submit performance measures data with their applications. Instead, applicants should discuss in their application their proposed methods for collecting data for performance measures. Refer to the section “What an Application Should Include” on page 12 for additional information.

## What an Application Should Include

Applicants should anticipate that if they fail to submit an application that contains all of the specified elements, it may negatively affect the review of their application; and, should a decision be made to make an award, it may result in the inclusion of special conditions that preclude the recipient from accessing or using award funds pending satisfaction of the conditions.

Moreover, applicants should anticipate that applications that are determined to be nonresponsive to the scope of the solicitation, or that do not include the application elements that BJS has designated to be critical, will neither proceed to neither peer review nor receive further consideration. Under this solicitation, BJS has designated the following application elements as critical: Program Narrative, Budget Detail Worksheet and Budget Narrative. Applicants may combine the Budget Narrative and the Budget Detail Worksheet in one

document. However, if an applicant submits only one budget document, it must contain **both** narrative and detail information.

OJP strongly recommends that applicants use appropriately descriptive file names (e.g., "Program Narrative," "Budget Detail Worksheet and Budget Narrative," "Timelines," "Memoranda of Understanding," "Resumes") for all attachments. Also, OJP recommends that applicants include resumes in a single file.

## **1. Information to Complete the Application for Federal Assistance (SF-424)**

The SF-424 is a required standard form used as a cover sheet for submission of pre-applications, applications, and related information. Grants.gov and OJP's Grants Management System (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, select "For-Profit Organization" or "Small Business" (as applicable).

## **2. Program Narrative**

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

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

BJS does not require applicants to submit performance measures data with their application. Performance measures are included as an alert that BJS will require successful applicants to submit specific data as part of their reporting requirements. For the application, applicants should indicate an understanding of these requirements and discuss how they will gather the required data, should they 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](http://www.ojp.gov/funding/forms/budget_detail.pdf). Applicants that submit their budget in a different format should include the budget categories listed in the sample budget worksheet.

For questions pertaining to budget and examples of allowable and unallowable costs, see the OJP Financial Guide at [www.ojp.usdoj.gov/financialguide/index.htm](http://www.ojp.usdoj.gov/financialguide/index.htm).

**b. Budget Narrative**

The budget narrative should thoroughly and clearly describe every category of expense listed in the Budget Detail Worksheet. OJP expects proposed budgets to be complete, cost effective, and allowable (e.g., reasonable, allocable, and necessary for project activities).

Applicants should demonstrate in their budget narratives how they will maximize cost effectiveness of grant expenditures. Budget narratives should generally describe cost effectiveness in relation to potential alternatives and the goals of the project. For example, a budget narrative should detail why planned in-person meetings are necessary, or how technology and collaboration with outside organizations could be used to reduce costs, without compromising quality.

The narrative should be mathematically sound and correspond with the information and figures provided in the Budget Detail Worksheet. The narrative should explain how the applicant estimated and calculated all costs, 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.

**c. Non-Competitive Procurement Contracts In Excess of Simplified Acquisition Threshold**

If an applicant proposes to make one or more non-competitive procurements of products or services, where the non-competitive procurement will exceed the simplified acquisition threshold (also known as the small purchase threshold), which is currently set at \$150,000, the application should address the considerations outlined in the [OJP Financial Guide](#).

**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.) Attach a copy of the federally approved indirect cost rate agreement to the application. Applicants that do not have an approved rate may request one through their 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. For assistance with identifying your cognizant agency, please contact the Customer Service Center at 1-800-458-0786 or at [ask.ocfo@usdoj.gov](mailto:ask.ocfo@usdoj.gov). If DOJ is the cognizant federal agency, applicants may obtain information needed to submit an indirect cost rate proposal at [www.ojp.usdoj.gov/funding/pdfs/indirect\\_costs.pdf](http://www.ojp.usdoj.gov/funding/pdfs/indirect_costs.pdf).

**5. Tribal Authorizing Resolution (if applicable)**

Tribes, tribal organizations, or third parties proposing to provide direct services or assistance to residents on tribal lands should include in their applications a resolution, a letter, affidavit, or other documentation, as appropriate, that certifies that the applicant has the legal authority from the tribe(s) to implement the proposed project on tribal lands. In those instances when an organization or consortium of tribes applies for a grant on behalf of a tribe or multiple specific tribes, the application should include appropriate legal documentation, as described above, from all tribes that would receive services or assistance 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 an authorizing resolution or comparable legal documentation from each tribal governing body) may submit, instead, a copy of its consortium bylaws with the application.

## **6. Additional Attachments**

### **a. 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.

### **b. 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](http://www.bjs.gov/content/pub/pdf/bjsmpc.pdf).

### **c. 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](http://www.bjs.gov/content/hscr.cfm).

### **d. Applicant disclosure of pending applications**

Applicants are to disclose whether they have pending applications for federally funded grants or subgrants (including cooperative agreements) that include requests for funding to support the same project being proposed under this solicitation and will cover the identical cost items outlined in the budget narrative and worksheet in the application under this solicitation. The disclosure should include both direct applications for federal funding (e.g., applications to federal agencies) and indirect applications for such funding (e.g., applications to state agencies that will subaward federal funds).

OJP seeks this information to help avoid any inappropriate duplication of funding. Leveraging multiple funding sources in a complementary manner to implement comprehensive programs or projects is encouraged and is not seen as inappropriate duplication.

Applicants that have pending applications as described above are to provide the following information about pending applications submitted within the last 12 months:

- the federal or state funding agency
- the solicitation name/project name
- the point of contact information at the applicable funding agency.

Federal or State Funding Agency	Solicitation Name/Project Name	Name/Phone/E-mail for Point of Contact at Funding Agency
DOJ/COPS	COPS Hiring Program	Jane Doe, 202/000-0000; jane.doe@usdoj.gov
HHS/ Substance Abuse & Mental Health Services Administration	Drug Free Communities Mentoring Program/ North County Youth Mentoring Program	John Doe, 202/000-0000; john.doe@hhs.gov

Applicants should include the table as a separate attachment, with the file name “Disclosure of Pending Applications,” to their application. Applicants that do not have pending applications as described above are to include a statement to this effect in the separate attachment page (e.g., “[Applicant Name on SF-424] does not have pending applications submitted within the last 12 months for federally funded grants or subgrants (including cooperative agreements) that include requests for funding to support the same project being proposed under this solicitation and will cover the identical cost items outlined in the budget narrative and worksheet in the application under this solicitation.”).

**e. Research and Evaluation Independence and Integrity**

If a proposal involves research and evaluation, regardless of the proposal’s other merits, in order to receive funds, the applicant must demonstrate research and evaluation independence, including appropriate safeguards to ensure research and evaluation objectivity and integrity.

For purposes of this solicitation, research and evaluation independence and integrity pertains to ensuring that the design, conduct, or reporting of research and evaluation funded by BJS grants, cooperative agreements, or contracts will not be biased by any personal or financial conflict of interest on the part of the investigators responsible for the research and evaluation or on the part of the applicant organization. Conflicts can be either actual or apparent. Examples of potential investigator (or other personal) conflict situations may include those in which an investigator would be in a position to evaluate a spouse’s work product (actual conflict), or an investigator would be in a position to evaluate the work of a former colleague (potential apparent conflict). With regard to potential organizational conflicts of interest, as one example, generally an organization could not be given a grant to evaluate a project if that organization had itself provided substantial prior technical assistance to that project, as the organization in such an instance would appear to be evaluating the effectiveness of its own prior work. The key is whether a reasonable person understanding all of the facts would be able to have confidence that the results of any research or evaluation project are objective and reliable. Any outside personal or financial interest that casts doubt on that objectivity and reliability is a problem.

In the attachment dealing with research and evaluation independence and integrity, the applicant should explain the process and procedures that the applicant has put in place



to identify and eliminate (or, at the very least, mitigate) potential personal or financial conflicts of interest on the part of its staff, consultants, and/or subrecipients. It should also identify any potential organizational conflicts of interest on the part of the applicant with regard to the proposed research/evaluation. If the applicant reasonably believes that no potential personal or organizational conflicts of interest exist, then the applicant should provide a brief narrative explanation of how and why it reached that conclusion. Documentation that may be helpful in this regard could include organizational codes of ethics/conduct or policies regarding organizational, personal, and financial conflicts of interest.

For situations in which potential personal or organizational conflicts of interest exist, in the attachment, the applicant should identify the safeguards the applicant has or will put in place to eliminate, mitigate, or otherwise address those conflicts of interest.

Considerations in assessing research and evaluation independence and integrity will include, but may not be limited to, the adequacy of the applicant's efforts to identify factors that could affect the objectivity or integrity of the proposed staff or the organization in carrying out the research, development, or evaluation activity; and the adequacy of the applicant's existing or proposed remedies to control any such factors.

## **7. Accounting System and Financial Capability Questionnaire**

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 must download, complete, and submit this [form](#).

## **Selection Criteria**

Proposals should describe the plan and implementation strategies outlined in the Scope of Work.

The applicant will be evaluated on the basis of—

1. Statement of the Problem (20%)
2. Project Design and Implementation (35%)
3. Capabilities and Competencies (30%)
4. Plan for Collecting the Data Required for this Solicitation's Performance Measures (5%)
5. Budget: complete, cost effective, and allowable (e.g., reasonable, allocable, and necessary for project activities). Budget narratives should generally demonstrate how applicants will maximize cost effectiveness of grant expenditures. Budget narratives should demonstrate cost effectiveness in relation to potential alternatives and the goals of the project.<sup>1</sup> (10%)

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<sup>1</sup> Generally speaking, a reasonable cost is a cost that, in its nature or amount, does not exceed that which would be incurred by a prudent person under the circumstances prevailing at the time the decision was made to incur the costs.

## **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 internal peer reviewers, external peer reviewers, or a combination, to review the applications. An external peer reviewer is an expert in the subject matter of a given solicitation who is NOT a current DOJ employee. An internal reviewer is a current DOJ employee who is well-versed or has expertise in the subject matter of this solicitation. A peer review panel will evaluate, score, and rate applications that meet basic minimum requirements. 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, in consultation with BJS, reviews 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 BJS Director, who may consider factors including, but not limited to, underserved populations, geographic diversity, strategic priorities, past performance, and available funding.

## **Special Conditions Applied to Awards Under this Solicitation**

The award of federal funds under this BJS solicitation will be through a Cooperative Agreement. In accordance with the Federal Grant and Cooperative Agreement Act of 1977 (31 U.S.C. § 6305), if the purpose of the funded activity is to support a public purpose rather than for direct benefit or use by the federal government, a grant or a cooperative agreement can be used to administer the funds. A cooperative agreement is distinguished from a grant by the level of federal participation or involvement in carrying out project activities. Specifically, Title 31, section 6305 of the U.S. Code states, "An executive agency shall use a cooperative agreement as the legal instrument reflecting a relationship between the United States Government and ... other recipient when ... substantial involvement is expected between the executive agency and the ... recipient when carrying out the activity contemplated in the agreement."

For the purpose of this solicitation, substantial involvement by BJS means that BJS will provide substantial guidance, input, and approval of the approach through which deliverables are accomplished. It also means that throughout the performance period, BJS will specify project deliverables that the award recipient agrees to by accepting the award. The award document will incorporate several special conditions which operationalize the specific parameters of this cooperative relationship. The goals of the substantial involvement of BJS are to (1) ensure that final deliverables are of acceptable quality as to justify the use of federal funds, (2) accurately represent the project's findings, and (3) ensure that all federal regulations governing the collection and dissemination of statistical information are met.

All tasks carried out through the use of project funds will be assessed by BJS as needed to ensure that they meet federal regulations concerning confidentiality, personal identifying information, human research subjects, and the release of proprietary information, as well as to ensure that they meet general data quality standards for substance and presentation. As part of the assessment, BJS will continuously monitor the project to ensure that all activities performed under project tasks contribute to developing previously agreed upon deliverables within the award's budget. BJS reserves the right to stop funding the project and to restrict the release of the information or findings should regulations or standards not be met. However, BJS will not impede the completion of deliverables within the project period unless project tasks or deliverables fail to meet general data quality standards or federal regulations as described above.

All methodological, statistical, procedural, and technological work conducted by the award recipient using award funds will remain the property of BJS until BJS determines that the information can be made publicly available. Therefore, BJS must approve any release of this proprietary information by the award recipient. BJS retains the right to the first release of all work funded by the project. This includes specific knowledge related to the project that was developed through the course of generating the deliverables that the award recipient was funded to produce.

Any additional work using project funds (such as attending or presenting at conferences and publishing journal articles or other materials) that constitutes a change in the scope of the project requires BJS approval in the same way that any other changes to the performance period, key project staff, or budget would require prior approval and a Grant Adjustment Notification. Because the information and materials generated through the project are proprietary, any release of this information using outside funding sources without sufficient justification and specific approval by BJS would jeopardize the relationship between BJS and the award recipient, potentially resulting in an inability to work together to accomplish remaining project goals. BJS is generally supportive of public dissemination efforts to the extent that BJS has prior knowledge and approval of the release of information by the award recipient and is able to ensure that this release contributes to the success of the project or enhances public knowledge of the topic without violating confidentiality restrictions or other federal regulations.

**Among others, the following special conditions will be attached to an award under this solicitation:**

- 1. Exclusive Rights to Data.** BJS retains all rights to exclusive use of the data until BJS releases the public-use 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 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, or grant applications. Unauthorized release of the data by the recipient or its associates may result in the immediate commencement of termination or suspension proceedings in accordance with 28 CFR Part 18.
- 2. Exclusive Rights to Methodological Information.** Within certain limitations, BJS may grant the recipient exclusive use of any methodological findings derived from the project funded through this cooperative agreement. Only with prior written approval by BJS may the recipient publicly disclose methodological information or experiential findings derived

from the project prior to the public release of the dataset. However, any such disclosures must be public in nature and contribute meaningfully to the development and/or advancement of social science research. Subject to the prior written approval of BJS, allowable public disclosures may include, but are not limited to, presentations at professional conferences and meetings, articles appearing in widely distributed publications, Internet postings, or similar outlets that constitute a broad public release of the methodological information. Unauthorized release of the methodological information by the recipient or its associates may result in the immediate commencement of termination or suspension proceedings in accordance with 28 CFR Part 18.

- 3. Prior Approval of Products/Publications.** All materials and reports drafted or produced using funds under this award will be provided to BJS for its review and approval prior to initial publication.

## **Additional Requirements**

Applicants selected for awards must agree to comply with additional legal requirements upon acceptance of an award. OJP encourages applicants to review the information pertaining to these additional requirements prior to submitting an application. Additional information for each requirement can be found at [www.ojp.usdoj.gov/funding/other\\_requirements.htm](http://www.ojp.usdoj.gov/funding/other_requirements.htm).

- Civil Rights Compliance
- Civil Rights Compliance Specific to State Administering Agencies
- Faith-Based and Other Community Organizations
- Confidentiality
- Research and the Protection of Human Subjects
- Anti-Lobbying Act
- Financial and Government Audit Requirements
- Reporting of Potential Fraud, Waste, and Abuse, and Similar Misconduct
- 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
- Non-profit Organizations
- For-profit Organizations
- Government Performance and Results Act (GPRA)
- Rights in Intellectual Property
- Federal Funding Accountability and Transparency Act of 2006 (FFATA)
- Awards in Excess of \$5,000,000 – Federal Taxes Certification Requirement
- Active SAM Registration
- Policy and Guidance for Approval, Planning, and Reporting of Conferences (including Meetings and Trainings)
- OJP Training Guiding Principles for Grantees and Subgrantees

## How to Apply

Applicants must register in, and submit applications through Grants.gov, a “one-stop storefront” to find federal funding opportunities and apply for funding. Find complete instructions on how to register and submit an application at [www.Grants.gov](http://www.Grants.gov). Applicants that experience technical difficulties during this process should call the Grants.gov Customer Support Hotline at **800-518-4726** or **606-545-5035**, 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 several weeks** for first-time registrants to receive confirmation and a user password. OJP encourages applicants to **register several weeks before** the application submission deadline. In addition, OJP urges applicants to submit applications 72 hours prior to the application due date to allow time to receive validation messages or rejection notifications from Grants.gov, and to correct in a timely fashion any problems that may have caused a rejection notification.

BJS strongly encourages all prospective applicants to sign up for Grants.gov email notifications regarding this solicitation. If this solicitation is cancelled or modified, individuals who sign up with Grants.gov for updates will be notified.

**Note on File Names and File Types: Grants.gov only permits the use of certain specific characters in names of attachment files. Valid file names may include only the characters shown in the table below. Grants.gov is designed to reject any application that includes an attachment(s) with a file name that contains any characters not shown in the table below. Grants.gov is designed to forward successfully submitted applications to OJP’s Grants Management System (GMS).**

Characters	Special Characters		
Upper case (A – Z)	Parenthesis ( )	Curly braces { }	Square brackets [ ]
Lower case (a – z)	Ampersand (&)	Tilde (~)	Exclamation point (!)
Number 0 – 9	Comma ( , )	Semicolon ( ; )	Apostrophe ( ' )
Underscore ( _ )	At sign ( @ )	Number sign ( # )	Dollar sign ( \$ )
Hyphen ( - )	Percent sign ( % )	Plus sign ( + )	Equal sign ( = )
Space	<b>When using the ampersand (&amp;) in XML, applicants must use the “&amp;” format.</b>		
Period ( . )			

**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.” GMS may reject applications with files that use these extensions. It is important to allow time to change the type of file(s) if the application is rejected.

- 1. Acquire a Data Universal Numbering System (DUNS) number.** 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 a supplement to an existing award. A DUNS number is a unique nine-digit sequence recognized as the universal standard for identifying and differentiating 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. Call Dun and Bradstreet at 866-705-5711 to obtain a DUNS number or apply online at [www.dnb.com](http://www.dnb.com). A DUNS number is usually received within 1-2 business days.
- 2. Acquire registration with the System for Award Management (SAM).** SAM is the repository for standard information about federal financial assistance applicants, recipients, and subrecipients. OJP requires all applicants (other than individuals) for federal financial assistance to maintain current registrations in the SAM database. Applicants must be registered in SAM to successfully register in Grants.gov. Applicants must **update or renew their SAM registration annually** to maintain an active status.

Applications cannot be successfully submitted in Grants.gov until Grants.gov receives the SAM registration information. The information transfer from SAM to Grants.gov can take up to 48 hours. OJP recommends that the applicant register or renew registration with SAM as early as possible.

Information about SAM registration procedures can be accessed at [www.sam.gov](http://www.sam.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/web/grants/register.html](http://www.grants.gov/web/grants/register.html).
- 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. Note that an organization can have more than one AOR.

5. **Search for the funding opportunity on Grants.gov.** Use the following identifying information when searching for the funding opportunity on Grants.gov. The Catalog of Federal Domestic Assistance number for this solicitation is 16.734 titled “Special Data Collections and Statistical Studies,” and the funding opportunity number is BJS-2014-3821.
6. **Complete the Disclosure of Lobbying Activities.** All applicants must complete this information. Applicants that expend any funds for lobbying activities must provide the detailed information requested on the form *Disclosure of Lobbying Activities* (SF-LLL). Applicants that do not expend any funds for lobbying activities should enter “N/A” in the required highlighted fields.
7. **Submit a valid 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 message will state whether the application has been received and validated, or rejected due to errors, with an explanation. It is possible to first receive a message indicating that the application is received and then receive a rejection notice a few minutes or hours later. Submitting well ahead of the deadline provides time to correct the problem(s) that caused the rejection. **Important:** OJP urges applicants to submit applications **at least 72 hours prior** to the application due date to allow time to receive validation messages or rejection notifications from Grants.gov, and to correct in a timely fashion any problems that may have caused a rejection notification.

Click [here](#) for further details on DUNS, SAM, and Grants.gov registration steps and timeframes.

#### **Note: Duplicate Applications**

If an applicant submits multiple versions of an application, BJS will review only the most recent valid version submitted.

#### **Experiencing Unforeseen Grants.gov Technical Issues**

Applicants that experience unforeseen Grants.gov technical issues beyond their control that prevent them from submitting their application by the deadline must e-mail the BJS contact identified in the Contact Information section on page 2 **within 24 hours after the application deadline** and request approval to submit their application. The e-mail must describe the technical difficulties, and include a timeline of the applicant’s submission efforts, the complete grant application, the applicant’s DUNS number, and any Grants.gov Help Desk or SAM tracking number(s). **Note: BJS does not automatically approve requests.** After the program office reviews the submission, and contacts the Grants.gov or SAM Help Desks to validate the reported technical issues, OJP will inform the applicant whether the request to submit a late application has been approved or denied. If OJP determines that the applicant failed to follow all required procedures, which resulted in an untimely application submission, OJP will deny the applicant’s request to submit their application.

The following conditions are generally insufficient to justify late submissions:

- failure to register in SAM or Grants.gov in sufficient time

- failure to follow Grants.gov instructions on how to register and apply as posted on its Web site
- failure to follow each instruction in the OJP solicitation
- technical issues with the applicant's computer or information technology environment, including firewalls.

Notifications regarding known technical problems with Grants.gov, if any, are posted at the top of the OJP funding webpage at [www.ojp.usdoj.gov/funding/solicitations.htm](http://www.ojp.usdoj.gov/funding/solicitations.htm).

## Provide Feedback to OJP

To assist OJP in improving its application and award processes, we encourage applicants to provide feedback on this solicitation, the application submission process, and/or the application review/peer review process. Provide feedback to [OJPSolicitationFeedback@usdoj.gov](mailto:OJPSolicitationFeedback@usdoj.gov).

**IMPORTANT:** This e-mail is for feedback and suggestions only. Replies are **not** sent from this mailbox. If you have specific questions on any program or technical aspect of the solicitation, **you must** directly contact the appropriate number or e-mail listed on the front of this solicitation document. These contacts are provided to help ensure that you can directly reach an individual who can address your specific questions in a timely manner.

If you are interested in being a reviewer for other OJP grant applications, please e-mail your resume to [ojppeerreview@lmbps.com](mailto:ojppeerreview@lmbps.com). The OJP Solicitation Feedback email account will not forward your resume. **Note:** Neither you nor anyone else from your organization can be a peer reviewer in a competition in which you or your organization have submitted an application.



# Application Checklist

## FY 2014 Firearm Inquiry Statistics (FIST) Program

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

### What an Applicant Should Do:

#### *Prior to Registering in Grants.gov:*

- Acquire a DUNs Number (see page 22)
- Acquire or renew registration with SAM (see page 22)

#### *To Register with Grants.gov:*

- Acquire AOR and Grants.gov username/password (see page 22)
- Acquire AOR confirmation from the E-Biz POC (see page 22)

#### *To Find Funding Opportunity:*

- Search for the funding opportunity on Grants.gov (see page 23)
- Download Funding Opportunity and Application Package (see page 23)
- Sign up for Grants.gov email notifications (optional) (see page 21)
- Read [Important Notice: Applying for Grants in Grants.gov](#)

### General Requirements:

- Review "[Other Requirements](#)" webpage

### Scope Requirement:

- The federal amount requested is within the allowable limit(s) of \$450,000.

### Eligibility Requirements:

- Applicant meets eligibility requirements (see title page)

### What an Application Should Include:

- Application for Federal Assistance (SF-424) (see page 13)
- Program Narrative (see page 13)
- Budget Detail Worksheet (see page 13)
- Budget Narrative (see page 14)
  - Employee Compensation Waiver request and justification (if applicable) (see page 9)
  - Read OJP policy and guidance on "conference" approval, planning, and reporting available at [www.ojp.gov/funding/confcost.htm](http://www.ojp.gov/funding/confcost.htm) (see page 9)
- Disclosure of Lobbying Activities (SF-LLL) (see page 23)
- Indirect Cost Rate Agreement (if applicable) (see page 14)
- Tribal Authorizing Resolution (if applicable) (see page 14)
- Additional Attachments (see page 15)
  - Key Staff Information
  - Privacy Certification
  - Human Subjects Protection Certification of Compliance
- Applicant Disclosure of Pending Applications (see page 15)
- Research and Evaluation Independence and Integrity (see page 16)

\_\_\_\_\_ Accounting System and Financial Capability Questionnaire (if applicable)  
(see page 17)