

U.S. Department of Justice
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), in coordination with the FBI's Criminal Justice Information Services (CJIS) Division, seeks applications for a two-phase, large-scale data quality, nonresponse, and estimation project. The first phase will include developing and testing statistical procedures that, at a minimum, can assess the quality and completeness of data submitted to the FBI's National Incident-Based Reporting System (NIBRS); developing methods and techniques to adjust for item and unit nonresponse; and developing an estimation procedure to generate national incident-based statistics from the reported data. The second phase will produce a prototype of an automated system that can generate a data resource or set of resources to support the calculation of national estimates of reported crime and arrest with the incident-level detail captured by the NIBRS data. This program furthers the Department's mission by developing strategies to improve data from law enforcement agencies on crime and public safety in their communities.

2017 NCS-X NIBRS Estimation Project

Applications Due: August 25, 2017

Eligibility

Eligible applicants are limited to nonprofit and for-profit (commercial) organizations (including tribal nonprofit and for-profit organizations), and institutions of higher education (including tribal institutions of higher education). For-profit organizations (as well as other recipients) must forgo any profit or management fee. Eligible nonprofit organizations must be exempt from taxation under section 501(a) of the Internal Revenue Code of 1986, and have a 501(c) (3) designation.

BJS welcomes applications under which two or more entities would carry out the federal award; however, only one entity may be the applicant. Any others must be proposed as subrecipients ("subgrantees")¹. The applicant must be the entity that would have primary responsibility for carrying out the award, including administering the funding, managing the entire project, and appropriately managing and monitoring any subrecipients or, as applicable, for administering any procurement subcontract that would receive federal funds from the applicant under the award. Under this solicitation, only one application by any particular applicant entity will be considered. An entity may, however, be proposed as a subrecipient ("subgrantee") in more than one application.

¹ For additional information on subawards, see "Budget and Associated Documentation" under Section D. Application and Submission Information.

Deadline

Applicants must register with [Grants.gov](https://www.grants.gov) prior to submitting an application. All applications are due by 11:59 p.m. eastern time on August 25, 2017.

To be considered timely, an application must be submitted by the application deadline using Grants.gov, and the applicant must have received a validation message from Grants.gov that indicates successful and timely submission. OJP urges applicants to submit applications at least 72 hours prior to the application due date, in order to allow time for the applicant 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.

OJP encourages all applicants to read this [Important Notice: Applying for Grants in Grants.gov](#).

For additional information, see [How to Apply](#) in [Section D. Application and Submission Information](#).

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 email to support@grants.gov. The [Grants.gov](#) Support Hotline operates 24 hours a day, 7 days a week, except on federal holidays.

An applicant that experiences unforeseen Grants.gov technical issues beyond its control that prevent it from submitting its application by the deadline must email the BJS contact identified below **within 24 hours after the application deadline** in order to request approval to submit its application after the deadline. Additional information on reporting technical issues appears under “Experiencing Unforeseen Grants.gov Technical Issues” in the [How to Apply](#) section.

For assistance with any other requirements of this solicitation, contact Kimberly Martin, Grant Manager, by telephone at 202-307-0765, or by email at askbjs@usdoj.gov. Include “NCS-X NIBRS Estimation Project” in the subject line. General information on applying for BJS awards can be found at <https://www.bjs.gov/index.cfm?ty=fun>.

Grants.gov number assigned to this solicitation: BJS-2017-12800

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2017 NCS-X NIBRS Estimation Project

CFDA # 16.734

A. Project Description

Overview

The FBI Criminal Justice Information Services (CJIS) Division established and maintains the National Incident-Based Reporting System (NIBRS), a part of the FBI's Uniform Crime Reporting (UCR) Program. Currently, about 6,600 of the nearly 18,000 law enforcement (LE) agencies in the United States report their crime and arrest data to the UCR in the NIBRS format. Additional agencies continue to transition to NIBRS; however, at present, data submitted by the NIBRS-reporting agencies cannot be used to generate national-level estimates of crime and arrest known to law enforcement. To generate national estimates based on NIBRS data prior to the full transition of all of the nearly 18,000 LE agencies, the Bureau of Justice Statistics (BJS) and FBI CJIS are cosponsoring the National Crime Statistics Exchange (NCS-X) Initiative. NCS-X seeks to transition to NIBRS a carefully selected sample of 400 LE agencies from across the country, including all of the largest LE agencies. Once these 400 agencies have transitioned to NIBRS reporting and their data are combined with data from LE agencies already reporting to NIBRS, NIBRS data will be sufficient to produce the timely, accurate, and detailed national measures of crime and arrest needed and expected by today's LE professionals, policymakers, and the public.

The addition of data from the 400 NCS-X sample agencies to NIBRS will not allow users to directly generate national estimates of reported crime and arrest. The data will require assessment for quality and completeness of the information at both the item and the reporting unit (i.e. law enforcement agency) level. In addition, the data will need to be imputed or weighted to produce estimates of crime and arrest for at least the national level. BJS seeks applications for a two phase project to develop and test these required statistical procedures and package those procedures into a prototype of an automated system for use with the NIBRS data as new months and years of data are received from participating agencies.

The first phase of the project includes activities to design, develop, test, and implement statistical and methodological procedures that will: (1) assess the quality and completeness of the reported NIBRS data; (2) account for missing values in the reported data; (3) compensate for partial reporting (i.e., when an agency reports for less than 12 months in the calendar year); and (4) generate annual national estimates of crime and arrest known to LE from the reported data, with the capability to adjust for additional data as the number of NIBRS-participating agencies increases over time. Once the procedures developed in the first phase are approved by BJS, the successful applicant will move to the second phase of the project, to incorporate the final statistical and methodological procedures into a well-documented prototype of an automated system that can ingest reported NIBRS data, apply the data cleaning and statistical procedures generated in the first phase, and produce a data resource capable of generating routine and customized databases, reports, and other information products based on the NIBRS data. The prototype should be automated and extensible and constructed using non-proprietary programming code to the maximum extent possible. Use of non-proprietary code will enable NIBRS stakeholders to use the code for assessing data quality and completeness, for estimation purposes, and to replicate national estimates generated from this project. BJS should have the capability to access and test the prototype while it is under development to ensure

appropriate development and testing of the complex statistical procedures. This project aims to create a prototype of an automated and extensible system that—

- assesses the quality and completeness of the historic and incoming NIBRS data
- adjusts for item and unit nonresponse in reported NIBRS data
- applies procedures to generate national estimates of reported crime and arrest and their associated variance estimates
- produces an analytic data resource capable of producing NIBRS products for dissemination to NIBRS stakeholders, technical data users and the general public.

To develop this large-scale statistical data infrastructure using NIBRS and other ancillary data, applicants are asked to provide evidence of their ability to—

1. review and assess the current NCS-X sampling plan and, if necessary, recommend revisions or clarifications that address the practical realities faced when generating national crime estimates based on NIBRS data
2. develop and test statistical methods to account for unit-level nonresponse (e.g., agencies that report fewer than 12 months of data in a data year) and item-level nonresponse on critical NIBRS data elements (e.g., incident records that are missing victim age or victim-offender relationship)
3. develop and test methods and programming code that compensate for unit- and item-level nonresponse and produce statistically sound national estimates of crime and arrest based on NIBRS data
4. develop and test statistical procedures and associated programming code to produce standard errors for the national estimates crime and arrest based on NIBRS data
5. document the methods and statistical procedures developed in 1 through 4 above, for dissemination to NIBRS data users and the general public
6. design and build a NIBRS-based analytic data resource and demonstrate how it can produce a series of tables that contain the required set of national estimates and standard errors determined as part of the project
7. integrate all of the programming code developed for this project—the code that performs the data manipulation and statistical procedures to compensate for missing data, generates national estimates, and produces the analytic data resource(s)—into a complete, well-documented prototype of an automated system.

In addition, applicants for funding under this announcement should provide a synopsis of their organization and project team that—

1. documents its statistical and substantive expertise to handle the tasks outlined in the solicitation
2. demonstrates that it has the personnel and technology necessary to complete the large-scale, multifaceted data quality assessment, nonresponse adjustment, and estimation tasks
3. demonstrates that it has the personnel and technology necessary to complete the set of complex statistical programming tasks and integrate the programming code developed for this project—the code that performs the data manipulation and statistical procedures

to compensate for missing data, produces national estimates of crime and arrest, and produces the analytic data resource(s) capable of producing NIBRS products for dissemination to NIBRS stakeholders and others—into a well-documented prototype of an automated system

4. describes that it has the administrative capabilities necessary to undertake a project of this scope.

BJS funding decisions under this solicitation will be made in coordination with FBI CJIS.

Authorizing Statutes: Under Section 302 of the Omnibus Crime Control and Safe Streets Act, BJS is authorized to “make grants to, or enter into cooperative agreements or contracts with, public agencies, institutions of higher education, private organizations, or private individuals” for purposes of collecting and analyzing criminal justice statistics

Project-Specific Information

The NCS-X is a partnership between BJS and FBI CJIS to expand the FBI’s NIBRS to support the production of nationally representative incident-based crime statistics. At the outset of the project, BJS and FBI CJIS signed a joint statement of support for NCS-X (https://www.bjs.gov/content/pub/pdf/NCS-X_FBI_BJS%20Joint_Statement.pdf). The goal of NCS-X is to enroll a sample of 400 scientifically selected LE agencies to submit data to NIBRS. When data from these 400 new NIBRS-reporting agencies are combined with data from the more than 6,600 agencies that currently report to NIBRS, the nation will have a nationally representative sample of incident-based crime data drawn from the operational records management systems of local police departments.² These incident-based data capture the attributes and circumstances of criminal incidents and allow for more detailed and transparent descriptions of crime in communities and nationwide.

The FBI has formally announced its intention to establish NIBRS as the sole UCR crime data reporting standard for the nation. The FBI UCR Program will retire the Summary Reporting System (SRS) and move to a NIBRS-only program by January 1, 2021. The NCS-X sample-based approach to enrolling new NIBRS-reporting agencies will enable the production of national estimates of crime based on incident-based data, while the FBI continues transitioning the remaining LE agencies in the United States to NIBRS. The sample of 400 agencies has been selected, including a set of additional agencies held in reserve to replace agencies that may decline to participate and to accommodate other needs for replacement. The list of sample agencies identified for NCS-X is available on the BJS website at https://www.bjs.gov/content/pub/pdf/NCSX_sampled_agencies.pdf.

Background on the UCR Program and the status of crime reporting among LE agencies

Each year, the FBI’s UCR Program collects and compiles crime data from more than 18,000 LE agencies across the United States. Agencies report crime to the FBI in one of two ways: (1) monthly counts of 10 specific crime types through the SRS, or (2) detailed incident-based records with 52 offense classifications through the NIBRS. Submitting crime data to the FBI is voluntary, although some states have made reporting mandatory or a prerequisite for grant funding.

²Total number of NIBRS-reporting agencies in 2015 is available at https://ucr.fbi.gov/about-us/cjis/ucr/nibrs/2015/resource-pages/nibrs-2015_summary_final-1.pdf.

The FBI established the UCR Program and the SRS component of the program in 1930. At first, the SRS collected data from local agencies on seven offense classifications that were standardized to specific offense definitions to account for variations in how crimes are defined across state and local boundaries. These seven offenses—called Part I offenses—included murder and nonnegligent manslaughter, rape, robbery, aggravated assault, burglary, larceny-theft, and motor vehicle theft. Over the years, the number of Part I offenses expanded to 10, with the inclusion of arson, human trafficking/commercial sex acts, and human trafficking/involuntary servitude. These aggregate counts of crime across 10 categories serve as one of the leading social indicators in the United States. However, data collected in the SRS focus on just a subset of all crimes (excluding many important crime types such as drug trafficking, weapons use, kidnapping, and many crimes of domestic violence) and contain few details about the circumstances or context of crime (e.g., victim and offender characteristics, victim injury, crime location, and weapon use).

In 1989, following a comprehensive testing and development phase, the FBI established NIBRS as the successor for SRS and the preferred method for reporting data to the UCR Program. NIBRS expands crime data collection from the 10 offense categories of the SRS to 52 offense classifications. In addition, the system was specifically designed to capture crime data—both offense and arrest—at the incident-level, and to enable agencies to report information on the most important attributes of the criminal incident, such as victim and offender demographics, weapon use, victim-offender relationship, crime location, victim injury, and whether an arrest occurred. At present, NIBRS enables agencies to contribute information on up to 58 data elements that serve to put the crime incident into context. NIBRS data present a far more detailed and complete picture of crime known to law enforcement than does the limited information submitted via the SRS. Of the approximately 18,000 LE agencies in the United States that reported crime data to the UCR Program in 2015, about 64% reported to the SRS, and the remaining 36% reported to NIBRS.³

Mechanism by which local LE agency incident-based crime data are reported to NIBRS

The typical mechanism by which a local LE agency contributes data to NIBRS is through its “state pipeline,” where agencies report their state-specific incident-based crime data to the NIBRS-certified UCR Program in their respective state, and the state agency then sends NIBRS-formatted data from all of the state’s contributing agencies to the FBI. Though the FBI does accept NIBRS data directly from a small number of LE agencies, the preferred route of reporting is through the state UCR Program.

The FBI has certified a total of 34 state UCR Programs to report NIBRS data to the national system. States certified by the FBI to report to NIBRS have established a state incident-based reporting (IBR) standard to which local agencies in those states must report. A number of the state IBR standards instituted to date differ from the FBI NIBRS standard, as some states require the collection and submission of additional data elements and/or data values as part of their state IBR standard. State UCR Programs are responsible for working with local LE agencies to ensure that IBR data are collected according to the NIBRS or state IBR standards and that the data are submitted to the state Program in the proper format. State Programs also take responsibility for converting the incident-based data received from local LE agencies into the NIBRS format for submission to the FBI.

³As reported by the FBI, December 2016. See https://ucr.fbi.gov/about-us/cjis/ucr/nibrs/2015/resource-pages/nibrs-2015_summary_final-1.pdf.

Of the 34 NIBRS-certified states, 17 report only NIBRS data from their local LE agencies, while the remaining 17 are hybrid states that receive NIBRS-compatible data from some LE agencies and SRS data from others. The proportion of LE agencies that report incident-based data in these hybrid-reporting states varies greatly, ranging from fewer than 10% to more than 80% of agencies. The remaining 16 states and the District of Columbia do not have an NIBRS-certified UCR Program. Fifteen of these 16 states report only SRS data, while the remaining state has no state-level UCR Program. The following table provides a list of states by type of crime reporting.

| Type of crime reporting, by state | | |
|--|-----------------|------------|
| SRS only | SRS and NIBRS | NIBRS only |
| AK | AZ | AR |
| AL | CT ^b | CO |
| CA | KS | DE |
| FL | LA | IA |
| GA | MA | ID |
| HI | ME | KY |
| IL | MN | MI |
| IN | MO | MT |
| MD | NE | ND |
| MS ^a | OH | NH |
| NC | OK | SC |
| NJ | OR | SD |
| NM | PA | TN |
| NV | RI ^b | VA |
| NY | TX | VT |
| WY | UT | WV |
| | WA | |
| | WI | |

Note: Excludes the District of Columbia.
^aDoes not have a state-level UCR Program.
^bNo agencies in these states were selected for the main NCS-X sample.

For a state NIBRS program to be certified by the FBI, the incident-based data submitted by the state must not exceed a 4% error rate. This means that no more than 4% of the incidents submitted by the state Program may contain one or more of the errors delineated in the [NIBRS Technical Specification](#), the most up-to-date version of which is always available on the FBI website. State Programs generally apply the same “not to exceed” error rate to the data submitted by local LE agencies, when those agencies seek certification by the state to participate in the state IBR program.⁴

For incidents that are flagged as having an error, the local agency is ultimately responsible for correcting those errors and submitting an updated incident record to the state Program for subsequent submission to the FBI’s NIBRS. The state crime data management system usually flags errors found in the incident records contributed by a local agency and sends messages associated with those errors back to the agency for correction. Each state UCR Program uses its own methodology for flagging records with errors and sending those errors back to local LE agencies to be addressed. It is not known how well state UCR Programs track error reports or update incident records with errors. However, the FBI does maintain a database of incident records submitted to NIBRS by certified state Programs that are flagged as containing an error.

⁴ Each state UCR Program determines its own certification parameters and processes to apply to local LE agencies submissions. The 4% error rate applies to all state programs that submit NIBRS data to the FBI.

The errors identified at the national level by the FBI system are returned to the state UCR Programs to be addressed.

NCS-X background and status of implementation

This solicitation aims to develop the statistical methodology for an automated system capable of producing detailed incident-based national estimates of crime and arrest once the NCS-X sample of 400 additional LE agencies is contributing NIBRS data to the FBI's UCR Program. As of the publication of this funding opportunity, the NCS-X Initiative has successfully started grant projects with all but four of the state UCR Programs that are either SRS only or a mix of SRS and NIBRS data.⁵ In addition, approximately half of the largest LE agencies in the sample have been recruited and are actively working on their transition to NIBRS reporting.⁶ When this project begins, the successful applicant will be provided additional information on the status of the NCS-X Initiative and the agencies currently working to transition to NIBRS.

Generating databases capable of producing national estimates of crime and arrest known to LE based on NIBRS data

The goal of this solicitation is to develop and test the statistical methods required to produce national estimates of crime and arrest known to law enforcement based on the NIBRS data. For many years, national crime statistics have been calculated based on the SRS data. Applicants should be familiar with the methods the FBI has used to produce these SRS-based crime estimates. Briefly, this process includes: (1) identifying outlier data submissions, (2) adjusting for partial-year (less than 12 months) reporting, (3) stratifying LE agencies by agency size and type, and (4) estimating for nonreporting agencies using stratum characteristics, where strata are defined using mainly a measure of population served by agencies.

The data processing techniques for producing national estimates of reported crime and arrest will need to be far more complex when generating a data resource based on NIBRS data than those based on SRS data. Developing these techniques will require an understanding of the correlates of crime and arrest, and an understanding of the nature of crime reporting by local LE agencies, to assess data quality, partial-year reporting, item nonresponse adjustments, and estimation for nonreporting LE agencies. In Phase 1 of this solicitation, all of these techniques must be developed and approved by BJS and FBI CJIS, and the methods and techniques must be documented for dissemination to other NIBRS data users and the general public. In Phase 2, the approved methods and techniques must be integrated into a prototype of an automated system that can produce a data resource or resources for use by NIBRS stakeholders, other technical users, and the public to generate national estimates of crime and arrest. The prototype must have the functionality to successfully generate updated analytic data resource(s) using newly submitted NIBRS data.

Goals, Objectives, and Deliverables

This program aims to create an automated and extensible system that adjusts for item and unit nonresponse in reported NIBRS data, generates national estimates of reported crime and arrest, produces a data resource(s) capable of generating routine and customized databases, reports, and other NIBRS-based information products, and documents the methods used for

⁵ The four remaining states are Alaska, Arizona, Mississippi, and New Mexico. Mississippi does not currently have a state-level UCR Program.

⁶ For additional information about the NCS-X sample of agencies, see https://www.bjs.gov/content/pub/pdf/NCSX_sampled_agencies.pdf.

dissemination to NIBRS stakeholders, other technical users, and the general public. The prototype system should incorporate the methods developed to generate national-level estimates and corresponding standard errors of crime and arrests known to LE. The prototype system should be capable of generating NIBRS-based data resources for analytical use by NIBRS stakeholders. To accomplish this goal, the successful applicant will—

1. identify the NIBRS data elements required to support national estimates of key indicators of reported crime and arrest
2. develop and test methodologically sound statistical strategies to examine the quality and completeness of reported NIBRS data, including both item-level and unit-level nonresponse; based on these analyses, develop and test statistically sound estimation procedures to compensate for different levels of missingness; produce programming code that replicates the statistical procedures to examine data quality and completeness and to estimate for missing data
3. develop and test programming code that produces a methodologically sound statistical system capable of generating national estimates of reported crime and arrest using an enhanced NIBRS database (i.e., adjusted for missingness)
4. develop programming code that produces statistically sound standard errors for corresponding national estimates of reported crime and arrest
5. develop and test a prototype that fully automates the procedures required to examine NIBRS data quality and completeness, estimate for unit- and item-level nonresponse, and generate a NIBRS-based analytic data resource able to generate a wide range of output based on national estimates of crime and arrest
6. ensure that the statistical methods and analytic procedures integrated into the prototype are fully automated, scalable, and modifiable for future use and will continue to function correctly as the amount of data contributed to NIBRS changes.

Applicants are encouraged to recommend their preferred solution for creating a data resource or resources for manipulation and analysis of the NIBRS data. A traditional solution would be the production of a fully imputed (accounting for item nonresponse) and weighted (accounting for unit nonresponse) analytic database or databases, for use with standard statistical analysis software or customized analysis code. Other types of data resources may be more suitable for this project. BJS encourages applicants to propose a solution that meets the methodological and analytic needs of this project, whether that solution is based on a traditional or a more modern approach.

Note: BJS will hold a teleconference for eligible applicants to ask questions about this solicitation. The teleconference will take place on Thursday, August 3, 2017, from 2:00 p.m. to 3:00 p.m. eastern time. The phone number to call is (415) 655-0003, and the passcode is 649 759 930. For more information about the planned teleconference, email askbjs@usdoj.gov and include “NCS-X NIBRS Estimation Project” in the subject line.

Statement of Work and Deliverables

The following statement of work is divided into seven components, with deliverables associated with each separate component. The seven project components need not be approached in the order they appear in the solicitation, as a number of the project tasks associated with each component could be undertaken concurrently. Applicants have flexibility to propose a task and

activity order and timeline that they believe is logical and reasonable. Applications should include interim deliverables for BJS and/or FBI CJIS review to ensure that the final deliverables meet the project requirements, functionality, and expectations of BJS, FBI CJIS, and other NIBRS stakeholders and data users.

This statement of work anticipates a 3-year project. BJS expects that both Phase I and Phase 2 will be completed by the end of Year 2, such that the project will have produced (1) the methods and techniques necessary to generate a NIBRS-based analytic data resource or set of resources that can generate national estimates of crime and arrest and their accompanying standard errors; (2) a prototype of an automated system that incorporates each of the statistical and methodological tasks required to generate the NIBRS-based analytic data resource(s); and (3) complete documentation of the methods developed under this project, for dissemination to NIBRS stakeholders, other technical users, and the general public.

In Year 3, the successful applicant will provide support to ensure the prototype automated system runs appropriately; troubleshoot any issues that arise related to the methods, procedures, or code used to produce the NIBRS analytic data resource(s); and develop and implement an analytic plan to showcase the uses of the data resource(s) to NIBRS stakeholders and the general public.

The successful applicant will be provided a number of documents and data files when undertaking the activities in this statement of work.

BJS will provide the following to the successful applicant:

1. a description of the NCS-X sample design and selection process. The description will include information about how the NCS-X sample of 400 LE agencies was established. BJS will also include data files used to develop the sample frame, correspondence (e.g., emails and notes from teleconferences) about the sample design and selection that influenced any of the design decisions, and any deliverables provided during the design and selection process, including project reports and PowerPoint slides.
2. a description of the logic behind the identification and recommended use of the replacement sample agencies. This will include the original sample replacement design, replacements made to date and justifications for those replacements, and the updated (as of September 2016) replacement design.
3. most recent data files from BJS's Law Enforcement Agency Roster and BJS's Law Enforcement Management and Administrative Statistics, which are data collections that provide agency-level administrative data describing the size, function, and responsibilities of state, county, and municipal police departments throughout the United States.
4. the initial set of national indicators of crime and arrest known to LE that BJS to estimate using the NIBRS data.

The successful applicant will also be provided:

1. the FBI standard NIBRS reported crime file with complete documentation containing all reported crimes that occurred in the specified calendar year

2. data file containing all NIBRS incidents occurring *prior to* the specified calendar year that had an arrest in the specified year (e.g., incidents that took place *prior to* 2016 for which an arrest was made in 2016)
3. data file containing all NIBRS incidents that were rejected at submission by the FBI for incomplete or incorrect data that were not subsequently updated by the local agency or state UCR Program
4. a universe list of LE agencies in the United States with agency-level attributes of location (i.e., state and county or counties), agency type, UCR estimate of population served, counts of sworn officers, and agencies covered in the reported UCR data
5. the master Crime by County file for the specified calendar year containing data in SRS format
6. the master Arrest by County file for the specified calendar year containing data in SRS format
7. the initial set of national indicators of crime and arrest known to LE that the FBI recommends to estimate using the NIBRS data.

The seven components that comprise the statement of work for this project are detailed below.

Component 1: Project management

Each application should include a discussion of the following set of tasks, in addition to any other tasks identified directly by the applicant:

1. **Meetings:** The applicant will conduct meetings to inform project planning, development, and management. These meetings include, but are not limited to—
 - a. Kick-off meeting: within 1 month of the award start date, the recipient will meet with BJS and FBI CJIS in person at BJS to discuss plans and schedule activities for the project period. Within 2 weeks and based on decisions made at the kick-off meeting, the successful applicant will provide a revised time/task plan (from the one proposed in the application) detailing under each project component the time frames associated with each subtask, delivery dates of each product, and staff who will be working on each subtask.
 - b. Project status calls: conference calls between BJS, FBI CJIS, and the grantee to discuss project progress and status, conducted every 2 weeks.
 - c. Methodology Advisory Group (MAG) meeting(s) as detailed below.
 - d. Other ad-hoc meetings as determined in the project plan and that arise as needed during the project period.
2. **Status Reports**
 - a. Monthly, written reports updating the status of project tasks and award expenditures
 - b. Interim reports outlining the activities and findings for each project period
 - c. Other reports as determined in the project plan.

Project management deliverables

- A revised written timeline for the entire project (all tasks) with the tasks more fully specified, prepared after the kick-off meeting and revised as needed throughout the project period. Because this project will be funded as a cooperative agreement and because of its complexity, it is expected that the time/task plan will be revised several times during the life of the award, as conditions dictate; changes will generally be agreed to by all parties.
- Monthly progress reports, due within 10 business days after the end of each month or at least 1 week prior to project status calls, as applicable and as agreed upon between the recipient of funds and BJS.

Component 2: Establish and manage a Methodology Advisory Group

The work undertaken for this project will need to be reviewed and examined frequently by BJS, FBI CJIS, and outside stakeholders with subject matter expertise in the matters and issues being addressed across the various project tasks. The recipient of funds will provide information on how it will develop, staff, manage, and effectively use a Methodology Advisory Group (MAG).

The MAG will review and provide input to the recipient of funds on the methodologies developed under this solicitation, including but not limited to—

1. sampling plan evaluation and possible alternatives
2. data quality assessment
3. estimation procedures to compensate for item-level and unit-level nonresponse
4. the production of national estimates of reported crime and arrest based on the NIBRS data
5. variance estimation procedures and calculation of standard errors.

The recipient of funds will be able to recommend members for the MAG and provide input as to the composition of the MAG, although BJS and FBI CJIS must approve MAG membership. The recipient of funds also will have a substantial role in the operations of the MAG, including setting meeting agendas and the frequency of such meetings. BJS and the FBI anticipate that the MAG will use a rolling membership based on expertise and the topics to be addressed by the group across the project period. BJS and the FBI welcome membership recommendations from prospective applicants. Applicants should expect to convene the MAG to meet in person at least twice annually, with other remote meetings scheduled as needed. MAG meetings will include participation of a small but appropriate number of subject matter experts (SMEs), in addition to BJS, FBI CJIS, and project staff. Applicants should provide recommendations for how the group meetings will overlay the project activities, and budget accordingly for an appropriate number of external SMEs.

Methodology Advisory Group deliverables

- Series of written reports documenting the findings of the MAG, for each of the methodological components described above, for dissemination to the public.

Component 3: Review and assess the NCS-X sampling plan

As previously discussed, the NCS-X goal is to recruit and transition 400 sample LE agencies to report data to the FBI NIBRS. When data from those 400 agencies are added to data from current NIBRS-contributing agencies, the available NIBRS data will be able to generate nationally representative estimates of crime and arrest known to LE after appropriate imputation or weighting is performed.

As part of this statement of work, applicants are requested to outline how they will do the following:

1. Review the development and content of the NCS-X sampling plan. The review should assess, at minimum, the—
 - quality of the sample based on the data used to develop the sampling frame
 - stratification used in the sample
 - trade-offs in statistical precision based on the take-rates from each strata
 - ability to generate statistically sound estimates of crime by stratum based on the current sample design.
2. Determine how the current sampling plan addresses and can compensate for the data environment in the specified calendar year, where data environment refers to the number of agencies participating in NIBRS fluctuates, with new agencies submitting NIBRS data during the year and previous reporters dropping out of reporting.
3. Determine if aspects of the original NCS-X sampling plan should be modified to handle the current or anticipated future data environments.

Sampling plan deliverable

- Written assessment of the current NCS-X sample design and any recommended modifications to the main sample and sample replacement strategy that may favorably impact statistical reliability, costs, or efficiency.

Component 4: Evaluate the quality and completeness of reported NIBRS data within and across reporting units

At the start of the project period, the successful applicant will be provided three NIBRS data files for review and assessment. The first is the annual NIBRS file, which is actually a series of linkable databases that contain all of the NIBRS incident records that were successfully submitted by contributing state UCR Programs to the FBI on incidents that were recorded in that data year. Successful submissions are those incident records that passed the NIBRS edit checks and were not rejected due to an error. The second NIBRS file contains supplemental within-year arrest records to account for those arrests that occurred during the calendar year but were linked to incidents occurring in a prior year. For example, the supplemental 2016 within-year arrest file will contain records for arrests made in 2016 for incidents that occurred in 2015. The third file, known as the Error Data Set, contains incident records submitted by state UCR Programs for incidents that occurred in a calendar year but were rejected by FBI CJIS for errors and not subsequently updated.

Based on the information contained in these three files, the recipient of funds should outline activities they will undertake to—

1. identify the critical NIBRS data elements required to generate national estimates of key indicators of reported crime and arrest
2. assess the completeness of incident- and item-level reporting
3. assess the completeness of record updating (i.e., an agency's resubmission of records initially rejected by FBI CJIS because they contain identified errors)
4. examine patterns of use of "unknown" value codes for critical data elements
5. determine the need for incident-level adjustments (e.g., weighting) to compensate for partial reporters
6. determine the need for item-level adjustments for nonresponse (e.g., imputation) for critical NIBRS data elements
7. identify a plan that will guide an incident-level estimation methodology to compensate for partial reporters
8. identify a plan that will guide the item-level adjustments for each incident
9. develop extensible programs that automate the assessment of data completeness and produce agency-, incident-, and item-level assessments for use in later project activities.

Applicants should detail how they will work with BJS and FBI CJIS to identify critical NIBRS data elements needed to estimate for key indicators of reported crime and arrest and how those critical data elements may influence their plan for investigating data quality and completeness and developing item-level estimation methodology. Applicants should recommend how NIBRS data elements may be prioritized to support national indicators. Analyses may show that variations in item-level missingness may be linked to specific states or local agencies, perhaps based on the influence of state law or police practice in a given jurisdiction. Applicants should demonstrate knowledge of the interconnectedness of the NIBRS data elements and how patterns of missing information in the data may influence the development of item-level estimation methodology used for NIBRS data.

As previously mentioned, each state UCR Program develops its own methodology for flagging submissions from local LE agencies that contain errors, and each state program determines the process by which those records with errors are sent back to local agencies to be addressed. Additionally, it is not known if or how state programs track whether local agency incident records with errors get updated. The number of IBR records submitted by a local agency but subsequently rejected by the state program's system is unknown. BJS and FBI CJIS seek to understand the magnitude of underreporting to NIBRS that occurs because the state UCR Program rejected a local agency record submission which resulted in the record never being submitted to FBI CJIS. Assuming access to the data resources previously listed, applicants should identify the steps they will take to investigate how to measure the impact of local agency incidents that are not reported to NIBRS on data completeness and the calculation of national estimates of crime and arrest.

Applicants are encouraged to describe alternative methods for compensating for missing data at both the unit- and item-level and alternative estimation methods that account for the changing NIBRS data environment in which agency participation levels vary within-year and over time.

Quality and completeness deliverables

- Report outlining the data elements necessary to generate key indicators of reported crime and arrest
- Interim incident-level estimation plan to compensate for partial reporters and other missing data from reporting units
- Based on comments from BJS and the FBI on the interim plan, finalized incident-level estimation plan to missing unit-level data
- Interim estimation plan for compensating for item-level missing data, for review and comment
- Based on comments from BJS and the FBI on the interim plan, finalized estimation plan for compensating for item-level missing data, to be used for implementation
- Well-documented programming code that reproduces the incident-level and item-level assessments
- Well-documented programming code that implements the approved incident-level weighting and item-level estimation methodologies
- Recommendations for strengthening item-level reporting on critical data elements; these recommendations should include clear documentation of any variations in data quality linked to specific agencies or states, so this information may be used by FBI CJIS to target training for specific agencies or states and improve data quality.

Component 5: Assess the fitness for use of population data provided in NIBRS and from alternative sources

The UCR Program obtains the national, state, county, and city population data from the U.S. Census Bureau (Census). When preparing yearly population estimates for the UCR Program, Census makes available current year population estimates for the nation and for each state and the District of Columbia. For cities and counties, Census estimates lag by 1 year; therefore, the UCR Program has developed methodology to generate estimates of current-year populations for cities and counties based on other Census population data.

For example, consider how estimates for 2009 were generated. First, FBI CJIS computed the rate of population growth from 1 year to the next for every city/town and county using population counts from the 2000 decennial Census and population estimates from the Census for 2001 through 2008. The year-to-year rate of growth for each city/town/county was averaged. That average was then applied to the corresponding 2008 Census population estimate to derive the 2009 population estimate. These populations were then used to calculate the national-, state-, and county-level population estimates.

To estimate population for individual LE agencies, the methodology used by the FBI's UCR Program requires additional modifications to the Census population data because these population estimates are not intended as a measure of the population of a geographic area but rather as a measure of the population uniquely served by the LE agency. For agencies that

serve a city, township, or similar municipal jurisdiction, the population served will be equal to the Census population for the jurisdiction/place and is calculated as previously described. However, FBI CJIS must also account for situations in which a LE agency does not uniquely serve a city or county population or may only serve a portion of the jurisdiction.

The need to account for LE agencies that do not uniquely serve a Census city or place or that only serve a portion of a Census jurisdiction occurs in two general situations. The first is when an agency serves a population that is not served by another LE agency, but the population served does not have a uniquely defined Census population. This most commonly occurs at the county level where a county has a sheriff's office whose responsibility is to uniquely serve a portion of the county population that is not served by other (typically city or township) LE agencies. In these circumstances, to prevent double counting of population, FBI CJIS calculates the population coverage for the local police departments within the county (e.g., city or township) and then subtracts this sum from the total county population, with the remaining population—the county population minus the population coverage for the local police agencies within the county—assigned to the county agency as their uniquely served population. Using this methodology for allocating county population generally results in the published UCR population estimates for county-based agencies being substantially lower than the Census county population estimates.

The second situation occurs when an agency serves a population that is already served by another agency. This is most common for special purpose LE agencies that generally have no designated population coverage because they share jurisdiction with other agencies and for agencies that overlap the jurisdiction of another agency, such as LE agencies serving colleges, universities, parks, hospitals, primary schools, task forces, railways, and some tribal lands. To avoid double counting populations, the UCR Program assigns these agencies a population served of zero.

Any development of national estimates using NIBRS data is likely to include some measure of population served by LE agencies. Applicants should outline a plan that assesses how effectively the FBI's current population allocation across LE agencies generates national estimates and to recommend other possible agency-level population allocation strategies. The plan should detail how the applicant will work with SMEs at FBI CJIS responsible for managing the current population allocation procedures. The plan should also consider the use of alternative or complementary sources of population data, recommend any changes to the current population allocation process, and assess the impact that a shift in practice for allocating population will have on the calculation of national crime and arrest estimates.

Population file deliverables

- Report assessing the current UCR population estimation methodology and alternative sources and aggregations of population data for use in calculating national crime and arrest estimates.
- Recommendation(s) for calculating various population estimates at the agency level, including discussion of the impact of the recommendation(s) on the development of crime and arrest estimates.
- Programming code that automates the generation of population files used to calculate the various needed population estimates to generate national crime and arrest statistics, complete with user documentation and manuals for systems administrators.

Component 6: Develop methodologies to adjust for item and unit nonresponse, calculate national estimates of crime and arrest known to law enforcement, and estimate variances

The work that evaluates the NCS-X sampling plan and assesses the quality and completeness of NIBRS data reporting within and across reporting units, along with the assessment of incident- and item-level missingness, will reveal the extent to which the NCS-X sample data requires adjustments. Once the reported NIBRS data are enhanced to represent full NCS-X sample reporting (current NIBRS reporters plus the additional 400 sample agencies), a statistical methodology will be developed to generate national estimates of crime and arrest and to produce standard errors of the resulting national statistics. Applicants should clearly describe the anticipated approaches they will take to—

- develop methodologies to adjust for unit-level nonresponse (e.g., agencies that report fewer than 12 months of data in a data year) and item-level nonresponse (e.g., incident records that are missing victim age, victim-offender relationship) in NIBRS data
- generate national estimates of crime and arrest with accompanying standard errors using the enhanced NIBRS data adjusted for nonresponse.
- validate the results of the statistical work.

Applicants should describe the steps necessary to develop item-level estimation methods for critical NIBRS data elements, as identified by BJS and FBI CJIS. The recipient of funds should use the ancillary data files provided at the beginning of the project and others obtained during the course of the project, as they develop the estimation methodology. Applicants should outline how they will develop, apply, test, and finalize the statistical methods to create a NIBRS-based data resource or set of resources to support analytic needs of NIBRS stakeholders, other technical users, and the general public.

Applicants should also describe how they would develop national estimates of reported crime and arrest based on all reported NIBRS data (i.e., current NIBRS reporters and NCS-X sample agencies). Applicants should note that the NIBRS-reporting landscape changes year-to-year, as additional states become certified to report data to NIBRS, new LE agencies begin reporting to the system, and agencies change status and no longer report. For example, the number of current NIBRS-reporting agencies is larger as of the date of publication of this solicitation than it was when the NCS-X sample was drawn. While the overall number of LE agencies reporting to NIBRS has increased, a small but currently unknown number of agencies may have stopped reporting NIBRS data or may not have reported consistently within and across years (e.g., an agency no longer exists or is now covered by another LE agency for crime reporting purposes). In general, the total number of NIBRS-contributing agencies will not remain static over time.

Given changes over time in the number of agencies reporting to NIBRS, a number of factors should be assessed prior to the development of the estimation procedures and addressed in the development of the estimation methodology:

- the magnitude of incomplete unit reporting—how many of the 400 NCS-X sample agencies are not reporting NIBRS data? Do alternatives exist based on the current set of reporting agencies?
- changes, if any, in the universe of LE agencies since the sample was drawn

- the rate of attrition among the initial set of 6,600 agencies contributing to NIBRS at the time the NCS-X sample was drawn
- the number of additional LE agencies that have transitioned to NIBRS reporting since the sample was drawn but that were not included in the original NCS-X sample of agencies.

Nonresponse adjustment, calculation of national estimates, and variance estimation deliverables

- Documentation of how to produce the raw analytic database(s) derived from the master NIBRS databases that support all the work of this project.
- Documentation of the methods used to adjust for item and unit nonresponse and to produce a data resource capable of generating national estimates of reported crime and arrest and their accompanying standard errors. This documentation should describe how the estimation methods were developed, how choices were made between possible alternative methods, trade-offs in statistical precision between those choices, and how the resulting databases were tested.
- Well-documented programming code that (1) derives the raw analytic databases from the master NIBRS databases, (2) enhances the raw analytic databases to compensate for partial reporters, and (3) estimates for missing item values. This set of programs will yield a NIBRS-based data resource or resources from which national estimates of crime and arrest will be generated. These programs should be designed to apply to future NIBRS files. Documentation should include how the programming code was tested and verified.
- Well-documented programming code capable of producing standard errors for the wide range of outputs based on at least the critical data elements. This programming code should be designed to apply to future NIBRS databases. Documentation should include how the programming code was tested and verified.

Component 7: Develop and implement an analytic plan in support of BJS and FBI CJIS dissemination goals

At the outset of the project, BJS and FBI CJIS will work with the successful applicant to determine the initial set of national indicators of crime and arrest known to LE that should be estimated using the NIBRS data. Applicants should describe how they will analyze the completed NIBRS-based data resource(s) to generate a series of tables that display the set of national estimates of key indicators. Applications should address how tables will be reviewed for face validity and, where possible, compared to external measures to assess the validity of the imputed and weighted NIBRS data.

Analytic plan deliverable:

A series of tables and/or figures displaying national estimates of key indicators of reported crime and arrest based on the fully estimated NIBRS data resource(s), for dissemination to the general public.

Additional Project Information

This statement of work outlines tasks for a 3-year project. Additional tasks may be determined during the course of this work and subject to actual funding availability.

All applicants should briefly describe how the tasks they propose for each project component will be completed and include the estimated costs associated with each task. The task plan should include (1) a description of the specific strategies and approaches that will be used to complete the work, (2) a description of the organizational and personal capabilities and demonstration of the expertise that will enable the applicant to complete each task, and (3) cost estimates for performing the work. The application should sufficiently communicate the applicant's knowledge of the challenges and complexities associated with the proposed activities.

Applicants should assume that all activities to develop, test, and document statistical methods and procedures and to develop, test, and produce prototype programming code should be accomplished by the end of Year 2 (no later than December 2019). During Year 3 of the work, the successful applicant will assist BJS and FBI CJIS to address methodological, procedural, or technical issues that arise, ensuring that the prototype system appropriately generates statistical output from the NIBRS-based analytic data resource or set of resources.

B. Federal Award Information

BJS expects to make one award with an associated period of performance of 36 months. To allow time for, among other things, any necessary post-award review, modification, and clearance by the Office of Justice Programs (OJP) of the proposed budget, applicants should propose an award start date of no earlier than December 1, 2017.

The funding for this project may be awarded in increments, and the amount of the initial award will be \$2,000,000. The \$2,000,000 is expected to cover all Phase 1 and 2 project tasks for the first 24 months of the award. Activities in Year 3 to assist with technical and other issues related to the automated prototype may be funded through a supplemental award. BJS may, in certain cases, provide additional funding in future years to awards made under this solicitation, through supplemental awards. In making decisions regarding supplemental awards, OJP will consider, among other factors, the availability of appropriations, OJP's strategic priorities, and OJP's assessment of both the management of the award (for example, timeliness and quality of progress reports), and the progress of the work funded under the award.

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

Type of Award

BJS expects that any award under this solicitation will be made in the form of a cooperative agreement, which is a type of award that provides for OJP to have substantial involvement in carrying out award activities. Substantial involvement includes direct oversight and involvement with the grantee organization in implementation of the grant, but does not involve day-to-day project management. Funding recipients will be required to work directly with the NCS-X Implementation Team in carrying out the project. See [Administrative, National Policy, and Other Legal Requirements](#), under Section F. Federal Award Administration Information, for a brief discussion of what may constitute substantial federal involvement.

As discussed later in the solicitation, [important rules](#) (including limitations) apply to any conference/meeting/training costs under cooperative agreements.

Financial Management and System of Internal Controls

Award recipients and subrecipients (including recipients or subrecipients that are pass-through entities⁷) must, as described in the Part 200 Uniform Requirements⁸ as set out at 2 C.F.R. 200.303

- (a) Establish and maintain effective internal control over the Federal award that provides reasonable assurance that [the recipient (and any subrecipient)] is managing the Federal award in compliance with Federal statutes, regulations, and the terms and conditions of the Federal award. These internal controls should be in compliance with guidance in “Standards for Internal Control in the Federal Government” issued by the Comptroller General of the United States and the “Internal Control Integrated Framework,” issued by the Committee of Sponsoring Organizations of the Treadway Commission (COSO).
- (b) Comply with Federal statutes, regulations, and the terms and conditions of the Federal awards.
- (c) Evaluate and monitor [the recipient’s (and any subrecipient’s)] compliance with statutes, regulations, and the terms and conditions of Federal awards.
- (d) Take prompt action when instances of noncompliance are identified including noncompliance identified in audit findings.
- (e) Take reasonable measures to safeguard protected personally identifiable information and other information the Federal awarding agency or pass-through entity designates as sensitive or [the recipient (or any subrecipient)] considers sensitive consistent with applicable Federal, state, local, and tribal laws regarding privacy and obligations of confidentiality.

To help ensure that applicants understand applicable administrative requirements and cost principles, OJP encourages prospective applicants to enroll, at no charge, in the [DOJ Grants Financial Management Online Training](#).

Budget Information

Supplanting is prohibited under this solicitation. Applicants cannot replace or supplant nonfederal funds that have been appropriated for the same purpose.

Although supplanting is prohibited, the leveraging of federal and nonfederal funding is encouraged. Additionally, federal funds cannot be used as match for other federal awards.

⁷For purposes of this solicitation, the phrase “pass-through entity” includes any recipient or subrecipient that provides a subaward (“subgrant”) to a subrecipient (“subgrantee”) to carry out part of the funded award or program.

⁸The “Part 200 Uniform Requirements” means the DOJ regulation at 2 C.F.R Part 2800, which adopts (with certain modifications) the provisions of 2 C.F.R. Part 200.

Cost Sharing or 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.

Pre-Agreement Costs (also known as Pre-award Costs)

Pre-agreement costs are costs incurred by the applicant prior to the start date of the period of performance of the federal award.

OJP does **not** typically approve pre-agreement costs; an applicant must request and obtain the prior written approval of OJP for all such costs. All such costs incurred prior to award and prior to approval of the costs are incurred at the sole risk of the applicant. (Generally, no applicant should incur project costs *before* submitting an application requesting federal funding for those costs.) Should there be extenuating circumstances that make it appropriate for OJP to consider approving pre-agreement costs, the applicant may contact the point of contact (POC) listed on the title page of this solicitation for the requirements concerning written requests for approval. If approved in advance by OJP, award funds may be used for pre-agreement costs, consistent with the recipient's approved budget and applicable cost principles. See the section on Costs Requiring Prior Approval in the [DOJ Grants Financial Guide](#) for more 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, a recipient may not use federal funds to pay total cash compensation (salary plus cash bonuses) to any employee of the 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.⁹ The 2017 salary table for SES employees is available at the Office of Personnel Management [website](#). Note: A recipient may compensate an employee at a greater rate, provided the amount in excess of this compensation limitation is paid with nonfederal funds. (Nonfederal funds used for any such additional compensation will not be considered matching funds, where match requirements apply.) If only a portion of an employee's time is charged to an OJP award, the maximum allowable compensation is equal to the percentage of time worked times the maximum salary limitation.

The Director of BJS may exercise discretion to waive, on an individual basis, this limitation on compensation rates allowable under an award. An applicant that requests a waiver should include a detailed justification in the budget narrative of its application. An applicant that does not submit a waiver request and justification with its application should anticipate that OJP will require the applicant to adjust and resubmit the budget.

The justification should address—in the context of the work the individual would do under the award—the particular qualifications and expertise of the individual, the uniqueness of a service the individual will provide, the individual's specific knowledge of the proposed program or project, and a statement that explains whether and how the individual's salary under the award would be commensurate with the regular and customary rate for an individual with his/her qualifications and expertise, and for the work he/she would do under the award.

⁹OJP does not apply this limitation on the use of award funds to the nonprofit organizations listed in Appendix VIII to 2 C.F.R. Part 200.

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

OJP strongly encourages every applicant that proposes to use award funds for any conference-, meeting-, or training-related activity (or similar event) to review carefully—before submitting an application—the OJP and DOJ policy and guidance on approval, planning, and reporting of such events, available at

<https://www.ojp.gov/financialguide/DOJ/PostawardRequirements/chapter3.10a.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 conference-, meeting-, and training- costs for cooperative agreement recipients, as well as some conference-, meeting-, and training- costs for grant recipients; and (3) set cost limits, which include 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 under “[Overview of Legal Requirements Generally Applicable to OJP Grants and Cooperative Agreements - FY 2017 Awards](#)” in the [OJP Funding Resource Center](#).

C. Eligibility Information

For eligibility information, see the title page.

For information on cost sharing or match requirements, see [Section B. Federal Award Information](#).

D. Application and Submission Information

What an Application Should Include

This section describes in detail what an application should include. An applicant should anticipate that if it fails to submit an application that contains all of the specified elements, it may negatively affect the review of its application; and, should a decision be made to make an award, it may result in the inclusion of award conditions that preclude the recipient from accessing or using award funds until the recipient satisfies the conditions and OJP makes the funds available.

Moreover, an applicant should anticipate that an application that OJP determines is nonresponsive to the scope of the solicitation, or that OJP determines does not include the application elements that BJS has designated to be critical, will neither proceed to peer review, nor receive further consideration. For this solicitation, BJS has designated the following application elements as critical: Program Narrative, Budget Detail Worksheet, Budget Narrative, project implementation timeline, and résumés/curriculum vitae of key personnel. An applicant 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. Please review the “Note on File Names and File Types” under [How to Apply](#) (below) to be sure applications are submitted in permitted formats.

OJP strongly recommends that applicants use appropriately descriptive file names (e.g., “Program Narrative,” “Budget Detail Worksheet and Budget Narrative,” “Timelines,” “Memoranda of Understanding,” “Résumés”) for all attachments. Also, OJP recommends that applicants include résumés 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 the OJP 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).

To avoid processing delays, an applicant must include an accurate legal name on its SF-424. Current OJP award recipients, when completing the field for “Legal Name” should use the same legal name that appears on the prior year award document which is also the legal name stored in OJP’s financial system. On the SF-424, enter the Legal Name in box 5 and Employer Identification Number (EIN) in box 6 exactly as it appears on the prior year award document. An applicant with a current, active award(s) must ensure that its GMS profile is current. If the profile is not current, the applicant should submit a Grant Adjustment Notice updating the information on its GMS profile prior to applying under this solicitation.

A new applicant entity should enter the official legal name and address of the applicant entity in box 5 and the EIN in box 6 of the SF-424. An applicant must attach official legal documents to its application (e.g., articles of incorporation, 501 (c)(3), etc.) to confirm the legal name, address, and EIN entered into the SF-424.

Intergovernmental Review: This solicitation (“funding opportunity”) **is not** subject to [Executive Order 12372](#). (In completing the SF-424, an applicant is to answer question 19 by selecting the response that the “Program is not covered by E.O. 12372.”)

2. Project Abstract

The project abstract is an important part of the application, and serves as an introduction to the proposed project. BJS uses the project abstract for a number of purposes, including assignment of the application to an appropriate review panel. If the application is funded, the project abstract typically will become public information and be used to describe the project.

Applications should include a high-quality project abstract that summarizes the proposed project in 400 words or less. Project abstracts should be—

- written for a general public audience
- submitted as a separate attachment with “Project Abstract” as part of its file name
- single-spaced, using a standard 12-point font (such as Times New Roman) with 1-inch margins.

As a separate attachment, the project abstract will **not** count against the page limit for the program narrative.

All project abstracts should follow the detailed template available at ojp.gov/funding/Apply/Resources/ProjectAbstractTemplate.pdf.

Permission to Share Project Abstract with the Public: It is unlikely that OJP will be able to fund all applications submitted under this solicitation, but it may have the opportunity to share information with the public regarding unfunded applications, for example, through a listing on a webpage available to the public. The intent of this public posting would be to allow other possible funders to become aware of such applications.

In the project abstract template, each applicant is asked to indicate whether it gives OJP permission to share the applicant's project abstract (including contact information for individuals) with the public. Granting (or failing to grant) this permission will not affect OJP's funding decisions. Moreover, if the application is not funded, providing permission will not ensure that OJP will share the abstract information, nor will it assure funding from any other source.

Note: OJP may choose not to list a project that otherwise would have been included in a listing of unfunded applications, should the abstract fail to meet the format and content requirements noted above and outlined in the project abstract template.

3. Program Narrative

The program narrative section of the application should not exceed 30 double-spaced pages in a 12-point font with 1-inch margins. If included in the main body of the program narrative, tables, charts, figures, and other illustrations count toward the 30-page limit for the narrative section. The project abstract, table of contents, appendices, and government forms do not count toward the 30-page limit.

If the program narrative fails to comply with these length-related restrictions, BJS may consider such noncompliance in peer review and in final award decisions.

The following sections should be included as part of the program narrative¹⁰. The program narrative must also address all of the elements included in the solicitation above under the section "Statement of Work and Deliverables."

a. Statement of the Problem

1. Demonstrate in a brief explanation a clear but concise understanding of current UCR Program crime reporting requirements and submission methods, including but not limited to: (1) how data submissions from local law enforcement agencies are handled by the state UCR Program; (2) how data submissions from the state Programs are handled by the FBI UCR Program; (3) the methodology used by the FBI UCR Program for generating national estimates of reported crime and arrest; and (4) the methodology used by the FBI UCR Program for calculating national crime rates.

¹⁰ For information on subawards (including the details on proposed subawards that should be included in the application), see "Budget and Associated Documentation" under [Section D. Application and Submission Information](#).

2. Indicate a thorough understanding of the NIBRS program and the statistical challenges of using reported NIBRS data to generate statistically sound national estimates of reported crime and arrest. Provide information that demonstrates an expertise with incident-based crime data and the technical and methodological challenges of working with large-scale, complex administrative data files.
3. Demonstrate a clear understanding of the need to develop a prototype system that automates the data quality assessment and estimation procedures for the NIBRS data files, for ongoing use in the production of annual national estimates of crime and arrest known to LE.

b. Project Design and Implementation

1. Articulate a clear plan to accomplish the required elements and deliverables indicated above in the section "Statement of Work and Deliverables."
2. Articulate a clear plan for providing a series of interim deliverables for BJS and/or FBI CJIS review, how review of those interim products will be incorporated into the final deliverables, and incorporating the need for interim deliverables into the full project timeline and task plan.
3. Show that the proposed project is justified and feasible. Clearly demonstrate the ability to accomplish the project tasks outlined in the proposal, and the ability to complete the tasks and meet the project goals within the proposed time frame.
4. Demonstrate an awareness of potential pitfalls of the proposed project design and suggest feasible and reasonable actions to minimize or mitigate those pitfalls.
5. Briefly describe the anticipated approaches that will be taken to develop methodologies to adjust for unit- and item-level nonresponse and generate national estimates of crime and arrest with accompanying standard errors based on the NIBRS-based data resource(s).

c. Capabilities and Competencies

1. Provide sufficient justification that the proposed project staff (i.e., the project lead and other individuals and organizations identified in the application and who will be significantly involved in supporting the activities outlined in the proposal) has the necessary qualifications and experience to fulfill the goals of the project and to complete project tasks. In addition to other staff required to manage and carry out the activities identified in the statement of work, BJS anticipates this project will require, at a minimum, specialized expertise in complex sampling, imputation, weighting and estimation methodologies; computational statistics and programming; database development, organization, and maintenance; data science; and UCR Program content including NIBRS and SRS data and other related UCR data files.
2. Provide sufficient information on the capabilities and competencies of all proposed contract staff that will be used for project activities. If the staff are not yet employed, provide sufficient detail regarding their required capabilities and competencies the project will seek for such staff.

3. Demonstrate the ability of the organization to manage the overall project effort and to assume the administrative capabilities necessary to undertake a project of this scope and magnitude.
4. Make a clear connection between the capabilities and competencies of the proposed project staff, including the applicant organization and contractors, and the scope of the proposed project and activities required to achieve the project goals.
 - a. Demonstrate that project staff have expertise with the relevant statistical and substantive issues addressed in the solicitation.
 - b. Demonstrate that the organization has the personnel and technology necessary to complete the large-scale, multifaceted data quality assessment, imputation and estimation tasks.
 - c. Demonstrate that the organization has the personnel and technology necessary to complete the set of complex programming tasks and produce a well-documented prototype of an automated system.

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

OJP will require each successful applicant to submit specific performance measures data as part of its reporting under the award (see [“General Information about Post-Federal Award Reporting Requirements”](#) in Section F. Federal Award Administration Information). The performance measures correlate to the goals, objectives, and deliverables identified under [“Goals, Objectives, and Deliverables”](#) in Section A. Program Description.

The application should describe the applicant's plan for collection of all of the performance measures data listed in the table below under “Data Recipient Provides,” should it receive funding. (Submission of performance measures data is not required at the time of the application.)

Performance measures for this solicitation are as follows:

| Objective | Performance measures | Data recipient provides |
|--|--|---|
| Evaluate the NCS-X sampling plan | Develop a plan as a result of an assessment Deliverables completed on time Deliverables that meet expectations | Report including recommendations for sample modifications or alternatives that increase the precision of national estimates of reported crime and arrest |
| Evaluate NIBRS data quality and completeness | Deliverables completed on time Deliverables that meet expectations | Report outlining the data elements necessary to support analytic plans; interim item-level adjustment plan for review and comment; finalized item-level adjustment plan for implementation Well-documented programming code that reproduces the item-level quality and completeness assessments and estimation methodology |

| Objective | Performance measures | Data recipient provides |
|--|--|--|
| Assess the population data included on the NIBRS data files | Conduct an assessment of the current method for generating NIBRS population estimates Deliverables completed on time Deliverables that meet expectations | Report assessing the current population estimation methodology and alternative sources and aggregations of population data for use in calculating national-, state-, and county-level crime estimates Recommendation(s) for calculating various population estimates at the agency, county, and state levels Programming code that automates the generation of population files for use in calculating the various needed population estimates |
| Develop the NIBRS data files to support generating national estimates of reported crime and arrest | Develop estimation methods for handling item and unit nonresponse in the data Deliverables completed on time Deliverables that meet expectations | Documentation of how estimation and variance estimation procedures were developed and tested Well-documented programming code that produces the final NIBRS-based data resource(s) Well-documented programming code that produces the standard errors for all proposed purposes |

Note on Project Evaluations

An applicant that proposes to use award funds 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 protection regulations. 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.” Each applicant should provide sufficient information for OJP to determine whether the particular project it proposes would either intentionally or unintentionally collect and/or use information in such a way that it meets the DOJ definition of research that appears at 28 C.F.R. Part 46 (“Protection of Human Subjects”).

Research, for purposes of human subjects protection 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 for purposes of human subjects protection, applicants should consult the decision tree in the “Research and the protection of human subjects” section of the [“Requirements related to Research”](#) web page of the [“Overview of Legal Requirements Generally Applicable to OJP Grants and Cooperative Agreements - FY 2017 Awards,”](#) available through the [OJP Funding](#)

[Resource Center](#). Every prospective applicant whose application may propose a research or statistical component also should review the “Data Privacy and Confidentiality Requirements” section on that web page.

4. Budget and Associated Documentation

a. Budget Detail Worksheet

A sample Budget Detail Worksheet can be found at www.ojp.gov/funding/Apply/Resources/BudgetDetailWorksheet.pdf. An applicant that submits its budget in a different format should use the budget categories listed in the sample budget worksheet. The Budget Detail Worksheet should break out costs by year.

For questions pertaining to budget and examples of allowable and unallowable costs, see the [DOJ Grants Financial Guide](#).

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).

An applicant should demonstrate in its budget narrative how it will maximize cost effectiveness of award 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 budget narrative should be mathematically sound and correspond clearly 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 those costs are necessary 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 describe costs by year.

c. Information on Proposed Subawards (if any), as well as on Proposed Procurement Contracts (if any)

Applicants for OJP awards typically may propose to make “subawards.” Applicants also may propose to enter into procurement “contracts” under the award.

Whether—for purposes of federal grants administrative requirements—a particular agreement between a recipient and a third party will be considered a “subaward” or instead considered a procurement “contract” under the award is determined by federal rules and applicable OJP guidance. It is an important distinction, in part because the federal administrative rules and requirements that apply to “subawards” and to procurement “contracts” under awards differ markedly.

In general, the central question is the relationship between what the third-party will do under its agreement with the recipient and what the recipient has committed (to OJP) to do under its award to further a public purpose (e.g., services the recipient will provide,

products it will develop or modify, research or evaluation it will conduct). If a third party will provide some of the services the recipient has committed (to OJP) to provide, will develop or modify all or part of a product the recipient has committed (to OJP) to develop or modify, or will conduct part of the research or evaluation the recipient has committed (to OJP) to conduct, OJP will consider the agreement with the third party a subaward for purposes of federal grants administrative requirements.

This will be true **even if** the recipient, for internal or other nonfederal purposes, labels or treats its agreement as a procurement, a contract, or a procurement contract. Neither the title nor the structure of an agreement determines whether the agreement—for purposes of federal grants administrative requirements—is a “subaward” or is instead a procurement “contract” under an award.

Additional guidance on the circumstances under which (for purposes of federal grants administrative requirements) an agreement constitutes a subaward as opposed to a procurement contract under an award, is available (along with other resources) on the [OJP Part 200 Uniform Requirements](#) web page.

1. Information on proposed subawards

A recipient of an OJP award may not make subawards (“subgrants”) unless the recipient has specific federal authorization to do so. Unless an applicable statute or DOJ regulation specifically authorizes (or requires) subawards, a recipient must have authorization from OJP before it may make a subaward.

A particular subaward may be authorized by OJP because the recipient included a sufficiently detailed description and justification of the proposed subaward in the application as approved by OJP. If, however, a particular subaward is not authorized by federal statute or regulation, and is not sufficiently described and justified in the application as approved by OJP, the recipient will be required, post-award, to request and obtain written authorization from OJP before it may make the subaward.

If an applicant proposes to make one or more subawards to carry out the federal award and program, the applicant should (1) identify (if known) the proposed subrecipient(s); (2) describe in detail what each subrecipient will do to carry out the federal award and federal program; and (3) provide a justification for the subaward(s), with details on pertinent matters such as special qualifications and areas of expertise. Pertinent information on subawards should appear not only in the Program Narrative, but also in the Budget Detail Worksheet and budget narrative.

2. Information on proposed procurement contracts (with specific justification for proposed noncompetitive contracts over \$150,000)

Unlike a recipient contemplating a subaward, a recipient of an OJP award generally does not need specific prior federal authorization to enter into an agreement that—for purposes of federal grants administrative requirements—is considered a procurement contract, **provided that** (1) the recipient uses its own documented procurement procedures and (2) those procedures conform to applicable federal law, including the Procurement Standards of the (DOJ) Part 200 Uniform Requirements (as set out at 2 C.F.R. 200.317 - 200.326). The Budget Detail Worksheet and budget narrative should

identify proposed procurement contracts. (As discussed above, subawards must be identified and described separately from procurement contracts.)

The Procurement Standards in the Part 200 Uniform Requirements reflect a general expectation that agreements that (for purposes of federal grants administrative requirements) constitute procurement “contracts” under awards will be entered into on the basis of full and open competition. If a proposed procurement contract would exceed the simplified acquisition threshold—currently, \$150,000—a recipient of an OJP award may not proceed without competition unless and until the recipient receives specific advance authorization from OJP to use a noncompetitive approach for the procurement.

An applicant that (at the time of its application) intends—without competition—to enter into a procurement “contract” that would exceed \$150,000 should include a detailed justification that explains to OJP why, in the particular circumstances, it is appropriate to proceed without competition. Various considerations that may be pertinent to the justification are outlined in the [DOJ Grants Financial Guide](#).

d. Pre-Agreement Costs

For information on pre-agreement costs, see [Section B. Federal Award Information](#).

5. Indirect Cost Rate Agreement (if applicable)

Indirect costs may be charged to an award only if:

- (a) The recipient has a current (that is, unexpired), federally approved indirect cost rate; or
- (b) The recipient is eligible to use, and elects to use, the “de minimis” indirect cost rate described in the Part 200 Uniform Requirements, as set out at 2 C.F.R. 200.414(f).

An applicant with a current (that is, unexpired) federally approved indirect cost rate is to attach a copy of the indirect cost rate agreement to the application. An applicant that does not have a current federally approved rate may request one through its cognizant federal agency, which will review all documentation and approve a rate for the applicant entity, or, if the applicant’s accounting system permits, applicants may propose to allocate costs in the direct cost categories.

For assistance with identifying the appropriate cognizant federal agency for indirect costs, please contact the OCFO Customer Service Center at 800-458-0786 or at ask.ocfo@usdoj.gov. If DOJ is the cognizant federal agency, applicants may obtain information needed to submit an indirect cost rate proposal at <https://www.ojp.gov/funding/Apply/Resources/IndirectCosts.pdf>.

Certain OJP recipients have the option of electing to use the “de minimis” indirect cost rate. An applicant that is eligible to use the “de minimis” rate that wishes to use the “de minimis” rate should attach written documentation to the application that advises OJP of both (1) the applicant’s eligibility to use the “de minimis” rate, and (2) its election to do so. If an eligible applicant elects the “de minimis” rate, costs must be consistently charged as either indirect or direct costs, but may not be double charged or inconsistently charged as both. The “de minimis” rate may no longer be used once an approved federally negotiated indirect cost

rate is in place. (No entity that ever has had a federally approved negotiated indirect cost rate is eligible to use the “de minimis” rate.)

6. Tribal Authorizing Resolution (if applicable)

A tribe, tribal organization, or third party that proposes to provide direct services or assistance to residents on tribal lands should include in its application a resolution, letter, affidavit, or other documentation, as appropriate, that demonstrates (as a legal matter) that the applicant has the requisite authorization from the tribe(s) to implement the proposed project on tribal lands. In those instances when an organization or consortium of tribes applies for an award 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 award. 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.

An applicant unable to submit an application that includes a fully-executed (i.e., signed) copy of legal appropriate documentation, as described above, consistent with the applicable tribe’s governance structure, should, at a minimum, submit an unsigned, draft version of such legal documentation as part of its application (except for cases in which, with respect to a tribal consortium applicant, consortium bylaws allow action without the support of all consortium member tribes). If selected for funding, OJP will make use of and access to award funds contingent on receipt of the fully-executed legal documentation.

7. Financial Management and System of Internal Controls Questionnaire (including applicant disclosure of high-risk status)

Every applicant (other than an individual applying in his/her personal capacity) is to download, complete, and submit the [OJP Financial Management and System of Internal Controls Questionnaire](#), as part of its application.

Among other things, the form requires each applicant to disclose whether it currently is designated “high risk” by a federal grant-making agency outside of DOJ. For purposes of this disclosure, high risk includes any status under which a federal awarding agency provides additional oversight due to the applicant’s past performance, or other programmatic or financial concerns with the applicant. If an applicant is designated high risk by another federal awarding agency, the applicant must provide the following information:

- federal awarding agency that currently designates the applicant high risk
- date the applicant was designated high risk
- high-risk POC at that federal awarding agency (name, phone number, and email address)
- reasons for the high-risk status, as set out by the federal awarding agency.

OJP seeks this information to help ensure appropriate federal oversight of OJP awards. An applicant that is considered “high-risk” by another federal awarding agency is not automatically disqualified from receiving an OJP award. OJP may, however, consider the information in award decisions, and may impose additional OJP oversight of any award under this solicitation (including through the conditions that accompany the award document).

8. Disclosure of Lobbying Activities

Each applicant must complete and submit this information. An applicant that expends any funds for lobbying activities is to provide all of the information requested on the form [Disclosure of Lobbying Activities \(SF-LLL\)](#). An applicant that does not expend any funds for lobbying activities is to enter “N/A” in the text boxes for item 10 (“a. Name and Address of Lobbying Registrant” and “b. Individuals Performing Services”).

9. Additional Attachments

a. Applicant Disclosure of Pending Applications

Each applicant is to disclose whether it has (or is proposed as a subrecipient under) any pending applications for federally funded grants or cooperative agreements that (1) include requests for funding to support the same project being proposed in the application under this solicitation, and (2) would cover any identical cost items outlined in the budget submitted to OJP as part of the application under this solicitation. The applicant is to disclose applications made directly to federal awarding agencies, and also applications for subawards of federal funds (e.g., applications to state agencies that will subaward (“subgrant”) 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.

Each applicant that has one or more pending applications as described above is to provide the following information about pending applications submitted within the last 12 months:

- federal or state funding agency
- solicitation name/project name
- POC information at the applicable federal or State funding agency

| Federal or state funding agency | Solicitation name/project name | Name/phone/email for POC at federal or state funding agency |
|--|---|---|
| DOJ/Office of Community Oriented Policing Services (COPS) | COPS Hiring Program | Jane Doe, 202/000-0000; jane.doe@usdoj.gov |
| Health and Human Services/ Substance Abuse and Mental Health Services Administration | Drug-Free Communities Mentoring Program/ North County Youth Mentoring Program | John Doe, 202/000-0000; john.doe@hhs.gov |

Each applicant should include the table as a separate attachment to its application. The file should be named "Disclosure of Pending Applications." The applicant Legal Name on the application must match the entity named on the disclosure of pending applications statement.

Any applicant that does not have any pending applications as described above is to submit, as a separate attachment, a statement to this effect: "[Applicant Name on SF-424] does not have (and is not proposed as a subrecipient under) any pending applications submitted within the last 12 months for federally funded grants or cooperative agreements (or for subawards under federal grants or cooperative agreements) that request funding to support the same project being proposed in this application to OJP and that would cover any identical cost items outlined in the budget submitted as part of in this application."

b. Disclosure of Process Related to Executive Compensation

An applicant that is a nonprofit organization may be required to make certain disclosures relating to the processes it uses to determine the compensation of its officers, directors, trustees, and key employees.

Under certain circumstances, a nonprofit organization that provides unreasonably high compensation to certain persons may subject both the organization's managers and those who receive the compensation to additional federal taxes. A rebuttable presumption of the reasonableness of a nonprofit organization's compensation arrangements, however, may be available if the nonprofit organization satisfied certain rules set out in Internal Revenue Service (IRS) regulations with regard to its compensation decisions.

Each applicant nonprofit organization must state at the time of its application (in the "[OJP Financial Management and System of Internal Controls Questionnaire](#)" mentioned earlier) whether or not the applicant entity believes (or asserts) that it currently satisfies the requirements of 26 C.F.R. 53.4958-6 (which relate to establishing or invoking a rebuttable presumption of reasonableness of compensation of certain individuals and entities).

A nonprofit organization that states in the questionnaire that it believes (or asserts) that it has satisfied the requirements of 26 C.F.R. 53.4958-6 must then disclose, in an attachment to its application (to be titled "Disclosure of Process related to Executive Compensation"), the process used by the applicant nonprofit organization to determine the compensation of its officers, directors, trustees, and key employees (together, "covered persons").

At a minimum, the disclosure must describe in pertinent detail: (1) the composition of the body that reviews and approves compensation arrangements for covered persons; (2) the methods and practices used by the applicant nonprofit organization to ensure that no individual with a conflict of interest participates as a member of the body that reviews and approves a compensation arrangement for a covered person; (3) the appropriate data as to comparability of compensation that is obtained in advance and relied upon by the body that reviews and approves compensation arrangements for covered persons; and (4) the written or electronic records that the applicant organization maintains as concurrent documentation of the decisions with

respect to compensation of covered persons made by the body that reviews and approves such compensation arrangements, including records of deliberations and of the basis for decisions.

For purposes of the required disclosure, the following terms and phrases have the meanings set out by the IRS for use in connection with 26 C.F.R. 53.4958-6: officers, directors, trustees, key employees, compensation, conflict of interest, appropriate data as to comparability, adequate documentation, and concurrent documentation.

Applicant nonprofit organizations should note that following receipt of an appropriate request, OJP may be authorized or required by law to make information submitted to satisfy this requirement available for public inspection. Also, a recipient may be required to make a prompt supplemental disclosure after the award in certain circumstances (e.g., changes in the way the organization determines compensation).

How to Apply

Applicants must register in and submit applications through Grants.gov, a primary source to find federal funding opportunities and apply for funding. Find complete instructions on how to register and submit an application at <https://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**, which operates 24 hours a day, 7 days a week, except on 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 of registration and a user password. OJP encourages applicants to **register several weeks before** the application submission deadline. In addition, OJP urges applicants to submit applications at least 72 hours prior to the application due date, in order to allow time for the applicant 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.

OJP 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 automatically notified.

Browser Information: Grants.gov was built to be compatible with Internet Explorer. For technical assistance with Google Chrome, or another browser, contact Grants.gov Customer Support.

Note on Attachments: Grants.gov has two categories of files for attachments: “mandatory” and “optional.” OJP receives all files attached in both categories. Please ensure that all required documents are attached in either Grants.gov category.

Note on File Names and File Types: Grants.gov only permits the use of certain specific characters in the file names of attachments. Valid file names may include only the characters shown in the table below. Grants.gov rejects any application that includes an attachment(s) with a file name that contains any characters not shown in the table below. Grants.gov forwards successfully submitted applications to the OJP GMS.

| Characters | Special characters | | |
|--------------------|--|-------------------|-----------------------|
| Upper case (A – Z) | Parenthesis () | Curly braces { } | Square brackets [] |
| Lower case (a – z) | Ampersand (&) | Tilde (~) | Exclamation point (!) |
| Underscore (_) | Comma (,) | Semicolon (;) | Apostrophe (') |
| Hyphen (-) | At sign (@) | Number sign (#) | Dollar sign (\$) |
| Space | Percent sign (%) | Plus sign (+) | Equal sign (=) |
| Period (.) | Applicants must use the “&” format in place of the ampersand (&) when using XML format for documents. | | |

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.

All applicants are required to complete the following steps:

Every applicant entity must comply with all applicable System for Award Management (SAM) and unique entity identifier [currently, Data Management Numbering System (DUNS) number] requirements. If an applicant entity has not fully complied with applicable SAM and unique identifier requirements by the time OJP makes award decisions, OJP may determine that the applicant is not qualified to receive an award and may use that determination as a basis for making the award to a different applicant.

An individual who wishes to apply in his/her personal capacity should search Grants.gov for funding opportunities for which individuals are eligible to apply. Use the Funding Opportunity Number (FON) to register. (An applicant applying as an individual must comply with all applicable Grants.gov individual registration requirements.)

Complete the registration form at <https://apply07.grants.gov/apply/IndCPRRegister> to create a username and password for Grants.gov. (An applicant applying as an individual should complete all steps except 1, 2 and 4.)

- 1. Acquire a unique entity identifier (currently, a DUNS number).** In general, the Office of Management and Budget requires every applicant for a federal award (other than an individual) to include a "unique entity identifier" in each application, including an application for a supplemental award. Currently, a DUNS number is the required unique entity identifier.

A DUNS number is a unique nine-digit identification number provided by the commercial company Dun and Bradstreet. This unique entity identifier is used for tracking purposes, and to validate address and POC information for applicants, recipients, and subrecipients. It will be used throughout the life cycle of an OJP award. 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. A DUNS number is usually received within 1–2 business days.

- 2. Acquire registration with SAM.** SAM is the repository for certain standard information about federal financial assistance applicants, recipients, and subrecipients. All applicants for OJP awards (other than individuals) must maintain current registrations in the SAM database. An applicant must be registered in SAM to successfully register in Grants.gov. Each applicant must **update or renew its SAM registration at least annually** to maintain

an active status. SAM registration and renewal can take as long as 10 business days to complete.

An application cannot be successfully submitted in Grants.gov until Grants.gov receives the SAM registration information. Once the SAM registration/renewal is complete, **the information transfer from SAM to Grants.gov can take as long as 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.

- 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. An applicant entity's "unique entity identifier" (DUNS number) must be used to complete this step. For more information about the registration process for organizations and other entities, go to <https://apply07.grants.gov/apply/OrcRegister>. Individuals registering with Grants.gov should go to <https://www.grants.gov/web/grants/applicants/individual-registration.html>.
- 4. Acquire confirmation for the AOR from the E-Business POC (E-Biz POC).** The E-Biz POC at the applicant organization must log into Grants.gov to confirm the applicant organization's AOR. The E-Biz POC will need the Marketing Partner Identification Number (MPIN) password obtained when registering with SAM to complete this step. 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 (CFDA) number for this solicitation is 16.734 titled "Special Data Collections and Statistical Studies," and the funding opportunity number is BJS-2017-12800.
- 6. 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 two notifications from Grants.gov. The first will confirm the receipt of the application. The second will state whether the application has been validated and successfully submitted, or whether it has been 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 an application well ahead of the deadline provides time to correct the problem(s) that caused the rejection. **Important:** OJP urges each applicant to submit its application **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. Applications must be successfully submitted through Grants.gov by 11:59 p.m. eastern time on August 25, 2017.

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

Note: Application Versions

If an applicant submits multiple versions of the same application, OJP will review only the most recent system-validated version submitted.

Experiencing Unforeseen Grants.gov Technical Issues

An applicant that experiences unforeseen Grants.gov technical issues beyond its control that prevent it from submitting its application by the deadline must contact the Grants.gov [Customer Support Hotline](#) or the [SAM Help Desk](#) (Federal Service Desk) to report the technical issue and receive a tracking number. The applicant must email the BJS contact identified in the Contact Information section on the title page **within 24 hours after the application deadline** to request approval to submit its application after the deadline. The applicant's email must describe the technical difficulties, and must 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: OJP does not automatically approve requests to submit a late application. After OJP reviews the applicant's request, and contacts the Grants.gov or SAM Help Desks to verify 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 untimely application submission was due to the applicant's failure to follow all required procedures, OJP will deny the applicant's request to submit its application.

The following conditions generally are insufficient to justify late submissions:

- Failure to register in SAM or Grants.gov in sufficient time (SAM registration and renewal can take as long as 10 business days to complete. The information transfer from SAM to Grants.gov can take up to 48 hours.)
- Failure to follow Grants.gov instructions on how to register and apply as posted on its website
- Failure to follow each instruction in the OJP solicitation
- Technical issues with the applicant's computer or information technology environment, such as issues with firewalls or browser incompatibility.

Notifications regarding known technical problems with Grants.gov, if any, are posted at the top of the OJP [Funding Resource Center](#) webpage.

E. Application Review Information

Review Criteria

Applications that meet basic minimum requirements detailed in the [Program Narrative](#) description in section D. will be evaluated by peer reviewers using the following review criteria:

1. **Statement of the Problem** (Understanding of the problem being addressed in the application and its importance) – 15%
2. **Project Design and Implementation** (Quality and technical merit of the proposed project activities, including the project timeline) – 40%
3. **Capabilities and Competencies** (Capabilities, demonstrated productivity, experience, and other project-relevant qualifications of the applicant organization and proposed project staff) – 35%
4. **Plan for Collecting the Data Required for this Solicitation's Performance Measures**

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 and should demonstrate *cost effectiveness in relation to potential alternatives* and the goals of the project¹¹ – 10%

Review Process

OJP is committed to ensuring a fair and open process for making awards. 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. For purposes of assessing whether an application meets basic minimum requirements and should proceed to further consideration, OJP screens applications for compliance with those requirements. Although specific requirements may vary, the following are common requirements applicable to all solicitations for funding under OJP programs:

- The application must be submitted by an eligible type of applicant
- The application must request funding within programmatic funding constraints (if applicable)
- The application must be responsive to the scope of the solicitation
- The application must include all items designated as “critical elements”
- The applicant must not be identified in SAM as excluded from receiving federal awards

For a list of the critical elements for this solicitation, see “What an Application Should Include” under [Section D. Application and Submission Information](#).

Peer review panels will evaluate, score, and rate applications that meet basic minimum requirements. BJS may use internal peer reviewers, external peer reviewers, or a combination, to assess applications on technical merit using the solicitation’s review criteria. 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. Peer reviewers’ ratings and any resulting recommendations are advisory only, although reviewer views are considered carefully. Other important considerations for OJP include underserved populations, geographic diversity, strategic priorities, and available funding, as well as the extent to which the budget detail worksheet and budget narrative accurately explain project costs that are reasonable, necessary, and otherwise allowable under federal law and applicable federal cost principles.

Pursuant to the Part 200 Uniform Requirements, before award decisions are made, OJP also reviews information related to the degree of risk posed by applicants. Among other things to help assess whether an applicant that has one or more prior federal awards has a satisfactory record with respect to performance, integrity, and business ethics, OJP checks whether the applicant is listed in SAM as excluded from receiving a federal award. If OJP anticipates that an award will exceed \$150,000 in federal funds, OJP also must review and consider any information about the applicant that appears in the nonpublic segment of the integrity and

¹¹ 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.

performance system accessible through SAM (currently, the Federal Awardee Performance and Integrity Information System; “FAPIIS”).

Important note on FAPIIS: An applicant, at its option, may review and comment on any information about itself that currently appears in FAPIIS and was entered by a federal awarding agency. OJP will consider any such comments by the applicant, in addition to the other information in FAPIIS, in its assessment of the risk posed by applicants.

The evaluation of risks goes beyond information in SAM, however. OJP itself has in place a framework for evaluating risks posed by applicants for competitive awards. OJP takes into account information pertinent to matters such as—

1. Applicant financial stability and fiscal integrity
2. Quality of the management systems of the applicant, and the applicant’s ability to meet prescribed management standards, including those outlined in the DOJ Grants Financial Guide
3. Applicant’s history of performance under OJP and other DOJ awards (including compliance with reporting requirements and award conditions), as well as awards from other federal agencies
4. Reports and findings from audits of the applicant, including audits under the Part 200 Uniform Requirements
5. Applicant’s ability to comply with statutory and regulatory requirements, and to effectively implement other award requirements.

Absent explicit statutory authorization or written delegation of authority to the contrary, all final award decisions will be made by the Director of BJS, who may take into account not only peer review ratings and recommendations, but also proposed budgets, past performance under prior BJS and OJP awards, strategic priorities, available funding, and other factors as indicated in this section.

F. Federal Award Administration Information

Federal Award Notices

Award notifications will be made by September 30, 2017. OJP sends award notifications by email through GMS to the individuals listed in the application as the POC and the authorizing official (E-Biz POC and AOR). The email notification includes detailed instructions on how to access and view the award documents, and steps to take in GMS to start the award acceptance process. GMS automatically issues the notifications at 9:00 p.m. eastern time on the award date.

For each successful applicant, an individual with the necessary authority to bind the applicant will be required to log in; execute a set of legal certifications and a set of legal assurances; designate a financial POC; thoroughly review the award, including all award conditions; and sign and accept the award. The award acceptance process requires physical signature of the award document by the authorized representative and the scanning of the fully executed award document to OJP.

Administrative, National Policy, and Other Legal Requirements

If selected for funding, in addition to implementing the funded project consistent with the OJP-approved application, the recipient must comply with all award conditions, as well as all

applicable requirements of federal statutes, regulations, and executive orders (including applicable requirements referred to in the assurances and certifications executed in connection with award acceptance). OJP strongly encourages prospective applicants to review information on post-award legal requirements and common OJP award conditions **prior** to submitting an application.

Applicants should consult the “[Overview of Legal Requirements Generally Applicable to OJP Grants and Cooperative Agreements - FY 2017 Awards](#),” available in the [OJP Funding Resource Center](#). In addition, applicants should examine the following two legal documents, as each successful applicant must execute both documents before it may receive any award funds.

- [Certifications Regarding Lobbying; Debarment, Suspension and Other Responsibility Matters; and Drug-Free Workplace Requirements](#)
- [Standard Assurances](#)

Applicants may view these documents in the Apply section of the [OJP Funding Resource Center](#).

The web pages accessible through the “[Overview of Legal Requirements Generally Applicable to OJP Grants and Cooperative Agreements - FY 2017 Awards](#),” are intended to give applicants for OJP awards a general overview of important statutes, regulations, and award conditions that apply to many (or in some cases, all) OJP grants and cooperative agreements awarded in FY 2017. Individual OJP awards typically also will include additional award conditions. Those additional conditions may relate to the particular statute or program, or solicitation under which the award is made; to the substance of the funded application; to the recipient's performance under other federal awards; to the recipient's legal status (e.g., as a for-profit entity); or to other pertinent considerations.

As stated above, BJS expects that any award under this solicitation to be a cooperative agreement. A cooperative agreement will include a condition in the award document that sets out the “substantial federal involvement” in carrying out the award and program. Generally speaking, under cooperative agreements with OJP, responsibility for the day-to-day conduct of the funded project rests with the recipient. OJP, however, may have substantial involvement in matters such as coordination efforts and site selection, as well as review and approval of work plans, research designs, data collection instruments, and major project-generated materials. In addition, OJP often indicates in the award condition that it may redirect the project if necessary.

In addition to a condition that sets out the “substantial federal involvement” in the award, cooperative agreements awarded by OJP include a condition that requires specific reporting in connection with conferences, meetings, retreats, seminars, symposia, training activities, or similar events funded under the award.

General Information about Post-Federal Award Reporting Requirements

In addition to the monthly status reports and other deliverables described in [Section A. Project Description](#), any recipient of an award under this solicitation will be required to submit the following reports and data.

Required reports. Recipients typically must submit quarterly financial reports, semi-annual progress reports, final financial and progress reports, and, if applicable, an annual audit report in accordance with the Part 200 Uniform Requirements or specific award conditions. Future

awards and fund drawdowns may be withheld if reports are delinquent. (In appropriate cases, OJP may require additional reports.)

Awards that exceed \$500,000 will include an additional condition that, under specific circumstances, will require the recipient to report (to FAPIIS) information on civil, criminal, and administrative proceedings connected with (or connected to the performance of) either the OJP award or any other grant, cooperative agreement, or procurement contract from the federal government. Additional information on this reporting requirement appears in the text of the award condition posted on the OJP web site at <https://ojp.gov/funding/FAPIIS.htm>.

Data on performance measures. In addition to required reports, an award recipient also must provide data that measure the results of the work done under the award. To demonstrate program progress and success, as well as to assist DOJ in 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, OJP will require any recipient, post award, to provide the data listed as "Data Recipient Provides" in the performance measures table in [Section D. Application and Submission Information](#), under "Program Narrative," so that OJP can calculate values for this solicitation's performance measures.

G. Federal Awarding Agency Contact(s)

For OJP contact(s), see the title page.

For contact information for Grants.gov, see the title page.

H. Other Information

Freedom of Information Act and Privacy Act (5 U.S.C. 552 and 5 U.S.C. 552a)

All applications submitted to OJP (including all attachments to applications) are subject to the federal Freedom of Information Act (FOIA) and to the Privacy Act. By law, DOJ may withhold information that is responsive to a request pursuant to FOIA if DOJ determines that the responsive information either is protected under the Privacy Act or falls within the scope of one of nine statutory exemptions under FOIA. DOJ cannot agree in advance of a request pursuant to FOIA not to release some or all portions of an application.

In its review of records that are responsive to a FOIA request, OJP will withhold information in those records that plainly falls within the scope of the Privacy Act or one of the statutory exemptions under FOIA. (Some examples include certain types of information in budgets, and names and contact information for project staff other than certain key personnel.) In appropriate circumstances, OJP will request the views of the applicant/recipient that submitted a responsive document.

For example, if OJP receives a request pursuant to FOIA for an application submitted by a nonprofit or for-profit organization or an institution of higher education, or for an application that involves research, OJP typically will contact the applicant/recipient that submitted the application and ask it to identify—quite precisely—any particular information in the application that applicant/recipient believes falls under a FOIA exemption, the specific exemption it believes applies, and why. After considering the submission by the applicant/recipient, OJP makes an independent assessment regarding withholding information. OJP generally follows a similar

process for requests pursuant to FOIA for applications that may contain law-enforcement sensitive information.

Provide Feedback to OJP

To assist OJP in improving its application and award processes, OJP encourages applicants to provide feedback on this solicitation, the application submission process, and/or the application review process. Provide feedback to OJPSolicitationFeedback@usdoj.gov.

IMPORTANT: This email is for feedback and suggestions only. OJP does **not** reply from this mailbox to messages it receives in this mailbox. Any prospective applicant that has specific questions on any program or technical aspect of the solicitation **must** use the appropriate telephone number or email listed on the front of this document to obtain information. These contacts are provided to help ensure that prospective applicants can directly reach an individual who can address specific questions in a timely manner.

If you are interested in being a reviewer for other OJP grant applications, please email your résumé to ojppeerreview@lmsolas.com. (Do not send your résumé to the OJP Solicitation Feedback email account.) **Note:** Neither you nor anyone else from your organization or entity can be a peer reviewer in a competition in which you or your organization/entity has submitted an application.

Application Checklist

2017 NCS-X NIBRS Estimation Project

This application checklist has been created as an aid in developing an application.

What an Applicant Should Do:

Prior to Registering in Grants.gov:

_____ Acquire a DUNS Number (see page 37)

_____ Acquire or renew registration with SAM (see page 37)

To Register with Grants.gov:

_____ Acquire AOR and Grants.gov username/password (see page 38)

_____ Acquire AOR confirmation from the E-Biz POC (see page 38)

To Find Funding Opportunity:

_____ Search for the Funding Opportunity on Grants.gov (see page 38)

_____ Download Funding Opportunity and Application Package (see page 38, Step 5)

_____ Sign up for Grants.gov email [notifications](#) (optional) (see page 36)

_____ Read [Important Notice: Applying for Grants in Grants.gov](#)

_____ Read OJP policy and guidance on conference approval, planning, and reporting available at [ojp.gov/financialguide/DOJ/PostawardRequirements/chapter3.10a.htm](#) (see page 24)

After Application Submission, Receive Grants.gov Email Notifications That:

_____ (1) application has been received

_____ (2) application has either been successfully validated or rejected with errors (see page 38)

If No Grants.gov Receipt, and Validation or Error Notifications are Received:

_____ Contact BJS regarding experiencing technical difficulties (see page 39)

Overview of Post-Award Legal Requirements:

_____ Review the "[Overview of Legal Requirements Generally Applicable to OJP Grants and Cooperative Agreements - FY 2017 Awards](#)" in the OJP Funding Resource Center.

Eligibility Requirement:

_____ Review the [Eligibility Limitations](#) for this solicitation (see cover page)

What an Application Should Include:

_____ Application for Federal Assistance (SF-424) (see page 25)

_____ Project Abstract (see page 25)

_____ Program Narrative (see page 26)

_____ Statement of the Problem (see page 26)

_____ Project Design and Implementation (see page 27)

_____ Capabilities and Competencies (see page 27)

_____ Plan for Collecting the Data Required for this

Solicitation's Performance Measures (see page 28)

_____ Budget Detail Worksheet (see page 30)

_____ Budget Narrative (see page 30)

| | | |
|-------|---|---------------|
| _____ | Project Implementation Timeline | (see page 27) |
| _____ | Indirect Cost Rate Agreement (if applicable) | (see page 32) |
| _____ | Tribal Authorizing Resolution (if applicable) | (see page 33) |
| _____ | Financial Management and System of Internal Controls Questionnaire | (see page 33) |
| _____ | Disclosure of Lobbying Activities (SF-LLL) | (see page 34) |
| _____ | Additional Attachments | |
| _____ | Applicant Disclosure of Pending Applications | (see page 34) |
| _____ | Disclosure of Process related to Executive Compensation | (see page 35) |
| _____ | Request and Justification for Employee Compensation; Waiver (if applicable) | (see page 23) |