



The U.S. Department of Justice (DOJ), Office of Justice Programs (OJP), Bureau of Justice Statistics (BJS) is pleased to announce that it is seeking proposals to administer the FY 2011 Firearm Inquiry Statistics Program. As the principal federal statistical agency in the DOJ, BJS is responsible for the collection, analysis, publication, and dissemination of statistical information on crime, criminal offenders, victims of crime, and the operations of criminal justice systems at all levels of government. This data collection program furthers the mission of DOJ and the OJP, by working in partnership with the justice community to identify the most pressing challenges confronting the justice system and to provide state-of-the-art knowledge and information in support of innovative strategies and approaches for dealing with these challenges.

FY 2011 Firearm Inquiry Statistics (FIST) Program Solicitation

Eligibility

Applicants are limited to for-profit (commercial) organizations, nonprofit organizations, faith-based and community organizations, institutions of higher learning, and consortia with demonstrated organization and community-based experience working with American Indian and Alaska Native communities, including tribal for-profit (commercial) and nonprofit organizations, tribal colleges and universities, and tribal consortia. However, consistent with OJP fiscal requirements, for-profit organizations are not allowed to make a profit as a result of this award or to charge a management fee for the performance of this award.

Deadline

Registration with Grants.gov is required prior to application submission. (See "How to Apply," page 10.) All applications are due by 11:59 p.m. eastern time on Monday, January 24, 2011. (See "Deadlines: Registration and Application," page 3.)

Contact Information

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

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

For assistance with any other requirement of this solicitation, contact Allina Boutilier, Program Manager, at 202-307-0765 or by e-mail to askbjs@usdoj.gov. Include "FIST" in the subject line.

Grants.gov number assigned to announcement: **2011-BJS-2830**

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FY 2011 Firearm Inquiry Statistics (FIST) Program (CFDA #16.734)

Overview

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

BJS is authorized to conduct this data collection under its authorizing statute, which reads in part that BJS is authorized to “support the development and enhancement of national systems of criminal history and related records including the National Instant Criminal Background Check System, the National Incident-Based Reporting System, and the records of the National Crime Information Center, facilitate State participation in national records and information systems, and support research for critical analysis of the improvement and utilization of criminal history records.” 42 U.S.C. § 3732 (c) (19).

Deadlines: Registration and Application

Registration is required prior to submission. OJP strongly encourages registering with Grants.gov several weeks before the deadline for application submission. The deadline for applying for funding under this announcement is 11:59 p.m. eastern time on Monday, January 24, 2011. Please see the “How to Apply” section on page 10 for more details.

Eligibility

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

Project-Specific Information

Background Information

In order to provide national estimates of the total number of purchase applications and rejections resulting from the Brady Act and similar state laws, in 1995 BJS began the FIST program. The FIST program collects information on background checks conducted by state and local agencies, and combines this information with FBI NICS transaction data. More information on the FIST program is available at: <http://bjs.ojp.usdoj.gov/index.cfm?ty=dcdetail&iid=246>.

Brady Act provisions

The Brady Handgun Violence Prevention Act of 1993 (Pub. L. No. 103-159, 107 Stat. 1536, codified as amended at 18 U.S.C. Section 921 et seq.) mandates a criminal history background

check on any person who attempts to purchase a firearm from a Federal Firearms Licensee (FFL). The permanent provisions of the Brady Act established the National Instant Criminal Background Check System (NICS), which is accessed by the FBI or a state point of contact (POC) prior to transferring a firearm. The NICS is a system comprising data on persons who are prohibited from purchasing or possessing a firearm under the Brady Act or under state law.

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

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

Components of the national firearm check system

About 3,000 federal, state, and local agencies conduct background checks on persons who apply to purchase a firearm or for a permit that may be used to make a purchase. Variations in federal and state procedures for determining firearm possession eligibility are summarized below. In 2009, the NICS processed nearly 11 million applications for firearm transfers or permits of which 1.4% were denied by state and local agencies (83,000) or by the FBI (67,000).

Overview of the NICS

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

ATF-approved permits are those that —

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

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

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

State and local NICS participation

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

Three levels of state/territory involvement currently exist:

- Thirteen states/territories operate as a full POC, and request a NICS check on all firearm transfers originating in the state.
- Eight states/territories operate as a partial POC, and request a NICS check on all handgun transfers; FFLs in the state are required to contact the FBI for NICS checks for long gun transfers.
- Twenty-nine states/territories are not POCs, and FFLs are required to contact the FBI for NICS checks on all firearm transfers originating in the state/territory.

Scope of Work

The purpose of this award is to support the continuation of the FIST program. The recipient of funds will continue to administer, in partnership with BJS, the instrument design and development, sample design, data collection, analysis, coordination with the FBI NICS Division and the ATF Brady Operations Division, and preparation of statistical tables and reports. All products produced under this award will be reviewed and approved by the BJS project manager.

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

1. Develop a detailed timetable for each task in the project. The time table should cover all tasks from mail-out of forms through delivery of final products to BJS, and should include time frames for scheduled follow-up contacts of nonrespondents or for incomplete records. The BJS Project Manager (PM) will review the schedule and provide comments to the data collection agent. After the BJS PM approves the time table, BJS will expect work to be done according to the schedule. It will be the responsibility of the data collection agent to notify BJS of barriers or obstacles arising in the data collection process so that appropriate adjustments to the schedule can be made.
2. Identify the population of state and local checking agencies and draw a representative sample from the population to include sampling the full population of the 30 statewide checking agencies and a random sample of local checking agencies.
3. Develop a sampling plan for collecting firearms application data from local checking agencies that ensures that reliable national estimates can be generated.
4. Develop an electronic or Web-based data collection form for use by all respondents as part of a multi-mode collection system. Respondents should also be able to print out a

.pdf copy of their completed form. In addition, the data collection agent should provide respondents with other options for submitting data—such as fax, email, or submission of data extracts—while at the same time encouraging respondents to use the electronic or Web-based system for reporting.

5. Manage routine mailings to data respondents. BJS will provide the data collection agent with its complete listings of respondents for the annual FIST collection. In producing these mailings, BJS would like personalized letters prepared for BJS staff signature for all state-wide checking agency respondents and a generic letter with BJS staff signature for local checking agencies. In preparing these letters, the addressee should be verified each year to detect staff turnover or other causes.
6. In conjunction with the mail-out of forms and reconciliation of contact information, the data collection agent should also plan for follow-up contacts. Follow-up contact could include providing all respondents with status reports on the collection as well as other information that could enhance response rates. Conduct follow-up to achieve at least an 80% response rate for local checking agencies and a 100% response rate from the 30 statewide reporting agencies.
7. Conduct data analysis and verify data with respondents prior to submitting to BJS.
8. Obtain comprehensive data on applications, denials, reasons for denials, and appeal information from the FBI Criminal Justice Information Services (CJIS) Division to produce national estimates.
9. Obtain comprehensive data from ATF Brady Operations on firearm retrievals and referrals for investigation and prosecution.
10. Produce annual statistical tables of the number of applications, denials, reasons for denial, appeals, retrievals, and referrals for prosecution for state, local, and FBI background checks.

Produce an annual report on investigations and prosecutions of persons who were denied a firearm in 2010. The report should include information on how ATF screens denied-person cases and retrieves firearms that were obtained illegally. The report should include statistics on charges most often filed against denied persons by U.S. Attorneys and results of prosecutions. Additional state-level prosecution data should also be obtained and included in the annual report.

Goals, Objectives, and Deliverables

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

Amount and Length of Awards

Assistance will be made available under a cooperative agreement. An award will be made for a period of 12 months with an option for two additional continuation years contingent upon availability of funds and the quality of the initial performance and products. Cost estimates are

not to exceed \$500,000 for the initial 12-month period. Funding for subsequent years may include reasonable increases for cost of living and changes in scope of work, where applicable.

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

Budget Information

Limitation on Use of Award Funds for Employee Compensation; Waiver: With respect to any award of more than \$250,000 made under this solicitation, federal funds may not be used to pay total cash compensation (salary plus bonuses) to any employee of the award recipient at a rate that exceeds 110% of the maximum annual salary payable to a member of the Federal Government’s Senior Executive Service (SES) at an agency with a Certified SES Performance Appraisal System for that year. (The 2010 salary table for SES employees is available at www.opm.gov/oca/10tables/indexSES.asp.) Note: A recipient may compensate an employee at a higher rate, provided the amount in excess of this compensation limitation is paid with non-federal funds. (Any such additional compensation will not be considered matching funds where match requirements apply.)

The limitation on compensation rates allowable under an award may be waived on an individual basis at the discretion of Director of the Bureau of Justice Statistics. An applicant that wishes to request a waiver must include a detailed justification in the budget narrative of its application.

Unless the applicant submits a waiver request and justification with the application, the applicant should anticipate that OJP will request the applicant to adjust and resubmit its budget.

The justification should include the following: the particular qualifications and expertise of the individual, the uniqueness of the service being provided, the individual’s specific knowledge of the program or project being undertaken with award funds, and a statement explaining that the individual’s salary is commensurate with the regular and customary rate for an individual with his/her qualifications and expertise, and for the work that is to be done.

Match Requirement

This solicitation does not require a match.

Performance Measures

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

Objective	Performance Measure(s)	Data Grantee Provides
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<p>To conduct an annual survey of firearm background checks and generate a reliable national estimate. Collect information pertaining to annual counts of firearm applications, rejections, and reasons for rejection, appeals, referrals for investigation and prosecution, and firearm retrievals.</p> <p>Finalize data collection instrument to yield complete counts of firearm applications, rejections, reasons for rejection, appeals, referrals, and retrievals.</p>	<p>Percent of responses that are obtained by electronic means.</p> <p>Quality of management as measured by whether significant interim project milestones were achieved, final deadlines were met, and costs remained within approved limits.</p>	<p>Number of responses that are obtained by electronic means.</p> <p>Number of responses.</p> <p>Achieve a response rate of 80% or better from local checking agencies.</p> <p>Achieve a 100% response rate from statewide checking agencies.</p> <p>Minimal number of missing or inconsistent data in data file (Target: 10% or less of respondents require post-validation follow-up and error correction.) Data collection plans, protocols, and systems that include (1) methods to encourage interest and support from the participating state and local checking agencies and the FBI and ATF, (2) techniques for obtaining high response rates from local checking agencies, (3) plans and systems that maximize the use of electronic response options, and (4) a methodology to address item and unit non-response. Demonstration that data collection protocol and systems have obtained high-quality and comprehensive data with minimal missing or inconsistent data in file, minimal post validation follow-up, and all target response rates have been achieved.</p> <p>Recommendations for final revisions to data collection instruments result in a robust instrument that (1) is capable of obtaining essential data elements, (2) possesses maximum efficiency and</p>
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<p>Produce publication-ready statistical tables derived from data collection in a manner consistent with previous years' content. Produce an annual report on investigations and prosecutions of persons who were denied a firearm during the year.</p>	<p>Percent of responses from FBI, state, and local agencies surveyed that are determined to be complete and accurate.</p> <p>Percent of deliverables (including final reports and data tables) that meet BJS's expectations for depth, breadth, scope, quality of study, and pertinence (as determined by BJS).</p>	<p>clarity, which results in improved reliability and validity of the data, and (3) utilizes methods that minimize data collection costs including a web-based option to the paper instrument.</p> <p>Number of forms received and entered into database by grantee.</p> <p>Number of forms determined to be complete and accurate.</p> <p>At least two products will be completed during the project period. (1) The annual count of firearm permit and sale background checks will be prepared in conjunction with BJS staff. (2) The annual report on investigations and prosecutions of persons denied a firearm.</p>
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Submission of performance measures data is not required for the application. Instead, applicants should discuss in their application their proposed methods for collecting data for performance measures. Please refer to the section "What an Application Should Include" (below) for additional information.

Note on project evaluations: Applicants that propose to use funds awarded through this solicitation to conduct project evaluations should be aware that certain project evaluations (such as systematic investigations designed to develop or contribute to generalizable knowledge) may constitute "research." 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." Research is subject to applicable DOJ human subjects protections. Applicants should provide sufficient information for OJP to determine whether the particular project they propose would either intentionally or unintentionally collect and/or use information in such a way that it meets the DOJ regulatory definition of research.

Research, for the purposes of OJP-funded programs, is defined as, "a systematic investigation, including research development, testing, and evaluation, designed to develop or contribute to generalizable knowledge." 28 C.F.R. § 46.102(d). For additional information on determining whether a proposed activity would constitute research, see the decision tree to assist applicants on the "Research and the Protection of Human Subjects" section of the OJP Web site (www.ojp.usdoj.gov/funding/other_requirements.htm).

Notice of New Post-Award Reporting Requirements

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

It is expected that reports regarding subawards will be made through the FFATA Subaward Reporting System (FSRS), found at <https://www.fsr.gov>. Additional guidance on reporting will be provided in the near future by OJP and/or the Office of Management and Budget (OMB).

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

How to Apply

Applications will be submitted through Grants.gov. Grants.gov is a “one-stop storefront” that provides a unified process for all customers of federal awards to find funding opportunities and apply for funding. Complete instructions on how to register and submit an application can be found at www.Grants.gov. If the applicant experiences technical difficulties at any point during this process, please call the Grants.gov Customer Support Hotline at **800-518-4726**, 24 hours a day, 7 days a week, except federal holidays. Registering with Grants.gov is a one-time process; however, **processing delays may occur, and it can take up to several weeks** for first-time registrants to receive confirmation and a user password. OJP highly recommends that applicants start the registration process as early as possible to prevent delays in submitting an application package by the specified application deadline.

All applicants are required to complete the following steps:

1. **Acquire a Data Universal Numbering System (DUNS) number.** A DUNS number is required for Grants.gov registration. In general, the Office of Management and Budget requires that all applicants (other than individuals) for federal funds include a DUNS number in their applications for a new award or renewal of an existing award. A DUNS number is a unique nine-digit sequence recognized as the universal standard for identifying and keeping track of entities receiving federal funds. The identifier is used for tracking purposes and to validate address and point of contact information for federal assistance applicants, recipients, and subrecipients. The DUNS number will be used throughout the grant life cycle. Obtaining a DUNS number is a free, one-time activity. Obtain a DUNS number by calling Dun and Bradstreet at 866-705-5711 or by applying online at www.dnb.com. Individuals are exempt from this requirement.
2. **Acquire or renew registration with the Central Contractor Registration (CCR) database.** OJP requires that all applicants (other than individuals) for federal financial assistance maintain current registrations in the CCR database. An applicant must be registered in the CCR to successfully register in Grants.gov. The CCR database is the

repository for standard information about federal financial assistance applicants, recipients, and subrecipients. Organizations that have previously submitted applications via Grants.gov are already registered with CCR, as it is a requirement for Grants.gov registration. Please note, however, that applicants must **update or renew their CCR registration annually** to maintain an active status. Information about CCR registration procedures can be accessed at www.ccr.gov.

3. **Acquire an Authorized Organization Representative (AOR) and a Grants.gov username and password.** Complete the AOR profile on Grants.gov and create a username and password. The applicant organization's DUNS Number must be used to complete this step. For more information about the registration process, go to www.grants.gov/applicants/get_registered.jsp.
4. **Acquire confirmation for the AOR from the E-Business Point of Contact (E-Biz POC).** The E-Biz POC at the applicant organization must log into Grants.gov to confirm the applicant organization's AOR. Please note that there can be more than one AOR for the organization.
5. **Search for the funding opportunity on Grants.gov.** Please use the following identifying information when searching for the funding opportunity on Grants.gov. The Catalog of Federal Domestic Assistance (CFDA) number for this solicitation is *CFDA #16.734*, titled "Special Data Collections and Statistical Studies," and the funding opportunity number is 2011-BJS-2830.
6. **Submit an application consistent with this solicitation by following the directions in Grants.gov.** Within 24–48 hours after submitting the electronic application, the applicant should receive an e-mail validation message from Grants.gov. The validation message will state whether the application has been received and validated, or rejected, with an explanation. **Important:** Applicants are urged to submit applications **at least 72 hours prior** to the due date of the application to allow time to receive the validation message and to correct any problems that may have caused a rejection notification.

Note: Grants.gov will forward the application to OJP's Grants Management System (GMS). GMS does not accept executable file types as application attachments. These disallowed file types include, but are not limited to, the following extensions: ".com," ".bat," ".exe," ".vbs," ".cfg," ".dat," ".db," ".dbf," ".dll," ".ini," ".log," ".ora," ".sys," and ".zip."

Experiencing Unforeseen Grants.gov Technical Issues

If an applicant experiences unforeseen Grants.gov technical issues beyond the applicant's control that prevent submission of its application by the deadline, the applicant must contact BJS staff **within 24 hours after the deadline** and request approval to submit its application. At that time, BJS staff will instruct the applicant to submit specific information detailing the technical difficulties. The applicant must e-mail: a description of the technical difficulties, a timeline of submission efforts, the complete grant application, the applicant DUNS number, and Grants.gov Help Desk tracking number(s) received. After the program office reviews all of the information submitted, and contacts the Grants.gov Help Desk to validate the technical issues reported, OJP will contact the applicant to either approve or deny the request to submit a late application. If the technical issues reported cannot be validated, the application will be rejected as untimely.

To ensure a fair competition for limited discretionary funds, the following conditions are not valid reasons to permit late submissions: (1) failure to begin the registration process in sufficient time, (2) failure to follow Grants.gov instructions on how to register and apply as posted on its Web site, (3) failure to follow all of the instructions in the OJP solicitation, and (4) technical issues experienced with the applicant's computer or information technology (IT) environment.

Notifications regarding known technical problems with Grants.gov, if any, are posted at the top of the OJP funding Web page, www.ojp.usdoj.gov/funding/solicitations.htm.

What an Application Should Include

This section describes what an application should include and sets out a number of elements. Applicants should anticipate that failure to submit an application that contains all of the specified elements may negatively affect the review of the application; and, should a decision be made to make an award, it may result in the inclusion of special conditions that preclude access to or use of award funds pending satisfaction of the conditions.

Moreover, applicants should anticipate that some application elements are so critical that applications unresponsive to the scope of the solicitation, or that do not include a program narrative, budget detail worksheet including a budget narrative, tribal resolution (if applicable), key staff information, privacy certificate, and human subjects protection certificate of compliance will neither proceed to peer review nor receive further consideration.

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

1. Information to complete the Application for Federal Assistance (SF-424)

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

2. Program Narrative

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

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

- a. Project Narrative
- b. Project Design and Implementation
- c. Capabilities and Competencies

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

3. Budget Detail Worksheet and Budget Narrative

a. Budget Detail Worksheet

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

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

b. Budget Narrative

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

4. Indirect Cost Rate Agreement (if applicable)

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

5. Tribal Authorizing Resolution (if applicable)

If an application is being submitted by either (1) a tribe or tribal organization or (2) a third party proposing to provide direct services or assistance to residents on tribal lands, then a current authorizing resolution of the governing body of the tribal entity or other enactment of the tribal council or comparable governing body authorizing the inclusion of the tribe or tribal organization and its membership must be included with the application. In those instances when an organization or consortium of tribes proposes to apply for a grant on behalf of a tribe or multiple specific tribes, then the application must include a resolution from all tribes that will be included as a part of the services/assistance provided under the grant. A consortium of tribes for which existing consortium bylaws allow action without support from all tribes in the consortium (i.e., without authorizing resolution or other enactment of each tribal governing body) may submit a copy of its consortium bylaws with the application in order to satisfy this requirement.

If an applicant is unable to obtain a signed copy of a tribal resolution documenting support for its application, then, at minimum, the applicant must submit an unsigned, draft tribal resolution as part of its application (except in cases where, with respect to a tribal consortium applicant, consortium bylaws allow action without the support of all consortium member tribes). If an applicant fails to submit either a signed or unsigned copy of a tribal resolution (or a copy of consortium bylaws demonstrating a consortium's authority to apply on behalf of all consortium member tribes, as applicable) as part of its application, then it will be eliminated from funding consideration. If selected for funding, any applicant that has submitted an unsigned tribal resolution must submit the signed copy of the tribal resolution to OJP within 30 days of acceptance of the award. In all such cases, use of and access to funds will be contingent on receipt of the signed tribal resolution.

6. Additional Attachments

Key staff information

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

Privacy Certification

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

Human Subjects Protection Certification of Compliance

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

7. Other Standard Forms

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

- a. Certifications Regarding Lobbying; Debarment, Suspension and Other Responsibility Matters; and Drug-Free Workplace Requirements (required to be submitted in GMS prior to the receipt of any award funds)
- b. Disclosure of Lobbying Activities (required for any applicant that expends any funds for lobbying activities; this form must be downloaded, completed, and then uploaded)

- c. Accounting System and Financial Capability Questionnaire (required for any applicant other than an individual that is a non-governmental entity and that has not received any award from OJP within the past 3 years; this form must be downloaded, completed, and then uploaded)
- d. Standard Assurances (required to be submitted in GMS prior to the receipt of any award funds)

Selection Criteria

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

The applicant will be evaluated on the basis of:

1. Project Narrative (20%)

Content of the proposal and how it addresses the tasks in the scope of work and scheduled timeline. Demonstrated knowledge and understanding of the Brady Act requirements, the components of the National Instant Criminal Background Check System (NICS) and the firearm background check process, and related statistics and data collection.

2. Project Design and Implementation (30%)

Technical feasibility of the proposed project design and reasonableness of the proposal given the scope of work and tasks to be completed.

3. Capabilities/Competencies (35%)

Demonstrated ability and experience in collecting data from large number of justice related agencies or similar entities. Demonstrated past successful collaboration with key federal, state, and local agencies, such as, FBI NICS, ATF Brady Operations Branch, and state and local firearms bureaus. Demonstrated knowledge of applied survey research, including survey construction, sample design, data collection, data coding, entry and verification, and the production of public-use data files. This includes availability of an adequate computing environment, knowledge of standard social science data processing software, and demonstrated ability to produce SPSS or SAS readable data files for analysis and report production.

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

Identify how the approach and methods in this project will achieve the performance goals for this project.

5. Budget (10%)

Demonstrated fiscal, management, staff, and organizational capacity to provide sound management for this project. Applicant should include detailed staff resources and other costs by project tasks.

Review Process

OJP is committed to ensuring a fair and open process for awarding grants. The Bureau of Justice Statistics reviews the application to make sure that the information presented is reasonable, understandable, measurable, and achievable, as well as consistent with the solicitation.

Peer reviewers will review the applications submitted under this solicitation that meet basic minimum requirements. BJS may use either internal peer reviewers, external peer reviewers, or a combination to review the applications under this solicitation. An external peer reviewer is an expert in the field of the subject matter of a given solicitation who is NOT a current U.S. Department of Justice employee. An internal reviewer is a current U.S. Department of Justice employee who is well-versed or has expertise in the subject matter of this solicitation. Eligible applications will be evaluated, scored, and rated by a peer review panel. Peer reviewers' ratings and any resulting recommendations are advisory only. In addition to peer review ratings, considerations for award recommendations and decisions may include, but are not limited to, underserved populations, geographic diversity, strategic priorities, past performance, and available funding.

The Office of the Chief Financial Officer (OCFO), in consultation with BJS, conducts a financial review of applications for potential discretionary awards to evaluate the fiscal integrity and financial capability of applicants; examines proposed costs to determine if the Budget Detail Worksheet and Budget Narrative accurately explain project costs; and determines whether costs are reasonable, necessary, and allowable under applicable federal cost principles and agency regulations.

All final award decisions will be made by the Director of the Bureau of Justice Statistics who also may give consideration to factors including, but not limited to, underserved populations, geographic diversity, strategic priorities, past performance, and available funding when making awards.

Additional Requirements

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

- Civil Rights Compliance
- Faith-Based and Other Community Organizations

- Confidentiality
- Research and the Protection of Human Subjects
- Anti-Lobbying Act
- Financial and Government Audit Requirements
- National Environmental Policy Act (NEPA)
- DOJ Information Technology Standards (if applicable)
- Single Point of Contact Review
- Non-Supplanting of State or Local Funds
- Criminal Penalty for False Statements
- Compliance with Office of Justice Programs Financial Guide
- Suspension or Termination of Funding
- Nonprofit Organizations
- For-profit Organizations
- Government Performance and Results Act (GPRA)
- Rights in Intellectual Property
- Federal Funding Accountability and Transparency Act (FFATA) of 2006
- Awards in Excess of \$5,000,000 – Federal Taxes Certification Requirement
- Active CCR Registration

Application Checklist

FY 2011 Firearm Inquiry Statistics (FIST) Program

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

Eligibility Requirement: Applicants are limited to for-profit (commercial) organizations, nonprofit organizations, faith-based and community organizations, institutions of higher learning, and consortia with demonstrated organization and community-based experience working with American Indian and Alaska Native communities, including tribal for-profit (commercial) and nonprofit organizations, tribal colleges and universities, and tribal consortia. However, consistent with OJP fiscal requirements, for-profit organizations are not allowed to make a profit as a result of this award or to charge a management fee for the performance of this award.

_____ The federal amount requested is within the allowable limit of not to exceed \$500,000.

What an Application Must Include:

- _____ Application for Federal Assistance (SF-424) (see page 12)
- _____ Program Narrative (see page 12)
- _____ Budget Detail Worksheet (see page 13)
- _____ Budget Narrative (see page 13)
- _____ Indirect Cost Rate Agreement (if applicable) (see page 13)
- _____ Tribal Authorizing Resolution, (if applicable) (see page 13)
- _____ Additional Attachments (see page 14)
 - _____ Key Staff Information
 - _____ Privacy Certificate
 - _____ Human Subjects Protection Certification of Compliance
- _____ Other Standard Forms as applicable (see page 14), including:
 - _____ Disclosure of Lobbying Activities (if applicable)
 - _____ Accounting System and Financial Capability Questionnaire (if applicable)