



---

The [U.S. Department of Justice](#) (DOJ), [Office of Justice Programs](#) (OJP), [Bureau of Justice Statistics](#) (BJS) is pleased to announce that it is seeking applications to design and initiate the State and Local White Collar Crime Program. As the principal federal statistical agency in the Department, BJS is responsible for the collection, analysis, publication, and dissemination of statistical information on crime, criminal offenders, victims of crime, and the operations of criminal justice systems at all levels of government. This data collection program furthers the Department's mission by working in partnership with the justice community to identify the most pressing challenges confronting the justice system and to provide information in support of innovative strategies and approaches for dealing with these challenges.

## State and Local White Collar Crime Program

### Eligibility

Eligible applicants are limited to for-profit (commercial) organizations, nonprofit organizations, faith-based and community organizations, institutions of higher learning, and consortia with demonstrated organizational and community-based experience working with American Indian and Alaska Native communities, including tribal for-profit (commercial) and nonprofit organizations, tribal colleges and universities, and tribal consortia. For-profit organizations must agree to forgo any profit or management fee.

### Deadline

Applicants must register with [Grants.gov](#) prior to submitting an application. (See "How to Apply," page 9.) All applications are due by 11:59 p.m. eastern time on July 16, 2012 (See "Deadlines: Registration and Application," page 3.)

### Contact Information

For technical assistance with submitting an application, contact the Grants.gov Customer Support Hotline at 800-518-4726, 606-545-5035, or via e-mail to [support@grants.gov](mailto:support@grants.gov).

**Note:** The [Grants.gov](#) Support Hotline hours of operation are 24 hours a day, 7 days a week, except federal holidays.

For assistance with any other requirements of this solicitation, contact Tracey Kyckelhahn, BJS Statistician, at 202-307-0765 or by e-mail at [askbjs@usdoj.gov](mailto:askbjs@usdoj.gov). Include "SLWCCP2012" in the subject line.

Grants.gov number assigned to announcement: BJS-2012-3346

Release date: June 1, 2012

## Contents

Overview .....	3
Deadlines: Registration and Application .....	3
Eligibility .....	3
Project-Specific Information .....	3
Performance Measures .....	7
Notice of Post-Award FFATA Reporting Requirement.....	9
How to Apply.....	9
What an Application Should Include.....	11
Information to Complete the Application for Federal Assistance (SF-424)	
Program Narrative	
Plan for Collecting the Data Required for this Solicitation's Performance Measures	
Budget Detail Worksheet and Budget Narrative	
Indirect Cost Rate Agreement (if applicable)	
Tribal Authorizing Resolution (if applicable)	
Selection Criteria.....	14
Review Process .....	15
Additional Requirements .....	16
Provide Feedback to OJP on This Solicitation.....	17
Application Checklist.....	18

# State and Local White Collar Crime Program (CFDA # 16.734)

## Overview

The Bureau of Justice Statistics (BJS) is seeking applications to design and test strategies to field the State and Local White Collar Crime Program (SLWCCP). This is the first BJS effort to focus on white collar crime investigated and sanctioned by state and local governments. The immediate goals of the SLWCCP are to develop an operational definition of white collar crime, describe the activities of state attorneys general (AG) in the area of white collar crime, and to recommend future data collection activities that will provide nationally-representative case-level data on state and local governments' handling of white collar crime from criminal, civil and regulatory perspectives.

The successful applicant will develop a survey that will assess the activities in state offices AG related to white collar offending. In addition, the recipient of funds will 1) identify and describe the functions of state agencies in each state that deal with white collar crime matters and 2) determine the nature and content of the data systems that exist in these agencies related to that government's investigation, prosecution, and regulatory action against white collar crime.<sup>1</sup> With this background in state governing structures and in existing administrative data, the successful applicant will make recommendations for BJS to expand and continue the data collection activities of the State and Local White Collar Crime Program. BJS anticipates making one award for up to a 24-month period under this solicitation. BJS is authorized to issue this solicitation under the Omnibus Crime Control and Safe Streets Act of 1968, Section 302.

## Deadlines: Registration and Application

Applicants must register with Grants.gov prior to submitting an application. OJP encourages applicants to register several weeks before the application submission deadline. The deadline to apply for funding under this announcement is 11:59 eastern time on July 16, 2012. See the "How to Apply" section on page 9 for details.

## Eligibility

Refer to the title page for eligibility under this program.

## Project-Specific Information

The SLWCCP is part of a multifaceted BJS effort to develop a data collection program in the area of government investigation and sanctioning of white collar crime, which can include criminal and civil proceedings as well as regulatory actions, such as fines. The successful applicant will work with BJS and experts in the field to create a definition of white collar crime and survey state AG offices regarding their activities in this area. In addition, the successful applicant will examine current BJS data collections for their feasibility in providing national and state-specific information on state and local case processing of white collar crime in the criminal

---

<sup>1</sup> The term "crime" in this solicitation will include criminal, civil, and regulatory violations.

justice system. The recipient of funds will also assess the ability of AG offices and other state agencies to provide administrative data on criminal, civil, and regulatory investigations and prosecutions, which are not currently collected by BJS. These assessments will be used to develop an implementation plan for future data collection efforts on state and local government actions against white collar crime.

## **Statement of Work**

The objectives of this project are to—

1. Schedule a kickoff meeting and develop a plan to complete the design, development, and implementation strategies for SLWCCP no later than 24 months after the start date.
2. Convene an expert panel to help define white collar crime issues at the state and local level.
3. Develop a survey of state AG offices that measures AG activities related to white collar crime; working with BJS, obtain approval from the Office of Management and Budget (OMB) to field the survey; field the survey; and provide BJS with a researchable database with complete documentation.
4. Determine the feasibility of using current BJS data collections to provide national and state-specific information on state and local case processing of white collar crime in the criminal justice system.
5. Document the state-level agencies in each state that handle white collar crime matters; develop a process to assess the ability of AG offices and other state agencies to provide administrative data related to criminal, civil, and regulatory actions that are not currently collected by BJS; if necessary, work with BJS to obtain approval from the OMB before fielding the assessment.
6. Use findings from the survey and assessment to develop recommendations for future data collections.
7. Maintain regular reporting to BJS and regularly meet in person or via teleconference with the BJS project manager.

The recipient of funds will be required to produce the following deliverables. All deliverables outlined below should be detailed in a final report delivered to the BJS project manager:

1. Draft a comprehensive plan to complete the design, development, and implementation strategies for SLWCCP no later than 24 months after the start date. This plan should include a detailed time/task plan that identifies personnel that will work on each task and defines their levels of effort. The timeline should be reasonable, given the scope of work proposed; include a schedule of planned communication with BJS and preliminary due dates of deliverables, and allow for the OMB review and approval process which BJS will facilitate as needed. Schedule a kickoff meeting within 2 weeks of the beginning of the project period to review the proposed time/task plan with the BJS project manager. Draft a revised plan and provide it to BJS within 1 week of the meeting.
2. Convene an expert panel to help define white collar crime issues at the state and local level. This panel will inform both the state AG survey and the assessment of state agencies by: 1) defining white collar crime, 2) identifying the types of questions that should be asked on the state AG survey, and 3) identifying state agencies that handle white collar crime. The panel should also consider methods to identify and access the administrative data that exist in these state agencies and to develop an understanding of white collar crime activities at the local level. A report identifying panel members,

pertinent dialog and decisions, definition of white collar crime, and data that are available or desirable for collection.

3. Develop a survey of state AG offices that measures AG activities related to white collar crime. The instrument will obtain information on various aspects of AG enforcement, investigation, and prosecution of white collar crime. This survey must be approved by the Office of Management and Budget (OMB) before it can be fielded. BJS will work with the successful applicant to prepare the OMB package. Part of this effort will involve pre-testing the instrument with either the expert panel or with up to nine selected AG offices. The pretest results will be included in the OMB materials submitted by the successful applicant to BJS. The time/task plan should assume the program will receive approval to conduct the state AG survey six months after submitting the plan to OMB.
4. Assess the feasibility of using current BJS data collections to provide specific information on state and local case processing of white collar crime in the criminal justice system. For example, the National Judicial Reporting Program (NJRP) collects administrative data on criminal case processing. In addition, BJS collects data from law enforcement and correctional agencies that might be used to examine criminal arrests and incarcerations for white collar crime. The recipient of funds will determine the feasibility of using such data to analyze white collar crime matters in state justice systems and prepare a report summarizing the findings of this work.
5. Identify the state-level agencies in each state that handle white collar crime matters and document their operational relationships. Prepare a set of state-level organization charts that briefly summarize the responsibilities of each agency.
6. Assess the ability of AG offices and other relevant state agencies to provide administrative data on criminal, civil, and regulatory actions not currently collected by BJS. The successful applicant will build on existing BJS efforts to identify sources of administrative data related to criminal case processing and expand those efforts to civil and regulatory actions. Work with BJS to obtain OMB approval to field an assessment of state and local administrative data. This will include providing the estimated burden for participation in the assessment of data capabilities. [It is possible that the OMB packages for the AG survey and the assessment of data capabilities could be merged into one OMB package.]
7. Field the AG survey and the assessment of state and local administrative data. The recipient will provide regular updates of the progress of the AG survey and the assessment of state and local data sources and will work with AG offices to obtain a 95% or higher response rate.
8. Provide BJS with the results of the AG survey. Data and documentation to be provided for archiving include, (a) an electronic copy of the data submitted to BJS; (b) copies of specialized programming code; (c) a comprehensive codebook listing the data variables, variable labels, value labels, and missing value codes; (d) a blank electronic copy of the questionnaire; and (e) manual, electronic, or other data collection protocols. BJS retains all rights to and exclusive use of the data until BJS releases the public dataset, which will be available via the Internet and the National Criminal Justice Data Archives (NACJD) at the University of Michigan. The recipient of funds cannot release or disclose any data collected through this cooperative agreement without prior written approval of BJS or

until the dataset has been released to the public. This includes, but is not limited to, presentations at professional conferences and meetings, press releases, and/or grant applications. Unauthorized release of the data by the recipient of funds or its associates may result in immediate termination or suspension proceedings in accordance with 28 CFR Part 18.

9. Develop a report documenting the findings of the AG office and state agency data assessment and survey and make recommendations for future data collections in the SLWCCP that capture information on state and local investigation and prosecution of white collar crime, based on the contents of current BJS data collections and the ability of state and local jurisdictions to provide administrative data not currently obtained by BJS.
10. Maintain regular reporting to BJS and regularly meet in person or via teleconference with the BJS project manager. For the duration of the project, the recipient will maintain regular contact with the BJS project manager. Facilitate conference calls between project team members and the BJS project manager at least once a month to ensure regular project updates. Submit through the Grants Management System in accordance with the OJP Financial Guide required financial and progress reports.

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

BJS anticipates that it will make 1 award of up to \$500,000 for up to a 24-month project period.

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

The project tasks must be successfully performed within a 24-month (or shorter) period with work beginning in October 2012. The funding of this project will not exceed \$500,000.

### **Limitation on Use of Award Funds for Employee Compensation; Waiver**

With respect to any award of more than \$250,000 made under this solicitation, federal funds may not be used to pay total cash compensation (salary plus bonuses) to any employee of the award recipient at a rate that exceeds 110% of the maximum annual salary payable to a member of the Federal Government's Senior Executive Service (SES) at an agency with a Certified SES Performance Appraisal System for that year. The 2012 salary table for SES employees is available at [www.opm.gov/oca/12tables/indexSES.asp](http://www.opm.gov/oca/12tables/indexSES.asp). Note: A recipient may compensate an employee at a higher rate, provided the amount in excess of this compensation limitation is paid with non-federal funds. (Any such additional compensation will not be considered matching funds where match requirements apply.)

The limitation on compensation rates allowable under an award may be waived on an individual basis at the discretion of the Director of the Bureau of Justice Statistics. An applicant requesting a waiver should include a detailed justification in the budget narrative of its application. Unless the applicant submits a waiver request and justification with the application, the applicant should anticipate that OJP will request the applicant to adjust and resubmit its budget.

The justification should include the particular qualifications and expertise of the individual, the uniqueness of the service being provided, the individual's specific knowledge of the program or project being undertaken with award funds, and a statement explaining that the individual's

salary is commensurate with the regular and customary rate for an individual with his/her qualifications and expertise, and for the work to be done.

### **Minimization of Conference Costs**

No OJP funding can be used to purchase food and/or beverages for any meeting, conference, training, or other event. Exceptions to this restriction may be made only in cases where such sustenance is not otherwise available (i.e., extremely remote areas), or where a special presentation at a conference requires a plenary address where there is no other time for sustenance to be obtained. Such an exception would require prior approval from OJP. This restriction does not apply to water provided at no cost, but does apply to any and all other refreshments, regardless of the size or nature of the meeting. Additionally, this restriction does not impact direct payment of per diem amounts to individuals in a travel status under your organization's travel policy.

Updated Department of Justice and OJP guidance on conference planning, minimization of costs, and conference cost reporting will be forthcoming and will be accessible on the OJP website at [www.ojp.usdoj.gov/funding/funding.htm](http://www.ojp.usdoj.gov/funding/funding.htm).

### **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 by individuals with limited English proficiency may be allowable costs. Reasonable steps to provide meaningful access to services or benefits may include interpretation or translation services where appropriate.

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

### **Match Requirement**

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

### **Performance Measures**

To assist the Department 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, applicants that receive funding under this solicitation must provide data that measure the results of their work done under this solicitation. 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
Develop and administer a survey to state Attorneys General offices on activities to combat white collar crime.	Percent of targeted information that can be gathered accurately using the data collection instrument.	A survey instrument capable of measuring state AG offices' activities to combat white collar crime.
Develop recommendations for future data collection activities that will provide nationally-representative data on state and local government responses to white collar crime.	Percent of deliverables that meet expectations.	A report that details the feasibility of using BJS data to measure the processing of white collar crime in the criminal justice system.
	Percent of eligible state and local agencies contacted.	<p>The number of state and local agencies identified eligible for contact.</p> <p>The number of state and local agencies contacted</p> <p>A report detailing the availability of state and local criminal, civil, and regulatory administrative data.</p>
		A report recommending strategies for future data collection on white collar crime.

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. Refer to the section "What an Application Should Include" on page 11 for additional information.

**Note on Project Evaluations**

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

Research, for the purposes of human subjects protections for OJP-funded programs, is defined as “a systematic investigation, including research development, testing, and evaluation, designed to develop or contribute to generalizable knowledge” 28 C.F.R. § 46.102(d). For additional information on determining whether a proposed activity would constitute research, see the decision tree to assist applicants on the “Research and the Protection of Human Subjects” section of the OJP “Other Requirements for OJP Applications” Web page ([www.ojp.usdoj.gov/funding/other\\_requirements.htm](http://www.ojp.usdoj.gov/funding/other_requirements.htm)). Applicants whose proposals may involve a research or statistical component also should review the “Confidentiality” section on that Web page.

## Notice of Post-Award FFATA Reporting Requirement

Applicants should anticipate that OJP will require 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), to report award information on any first-tier subawards totaling \$25,000 or more, and, in certain cases, to report information on the names and total compensation of the five most highly compensated executives of the recipient and first-tier subrecipients. Each applicant entity must ensure that it has the necessary processes and systems in place to comply with the reporting requirements should it receive funding. Reports regarding subawards will be made through the FFATA Subaward Reporting System (FSRS), found at [www.fsr.gov](http://www.fsr.gov).

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

## How to Apply

Applications will be submitted through Grants.gov. Grants.gov is a “one-stop storefront” that provides a unified process for all customers of federal awards to find funding opportunities and apply for funding. Complete instructions on how to register and submit an application can be found at [www.Grants.gov](http://www.Grants.gov). If the applicant experiences technical difficulties at any point during this process, call the Grants.gov Customer Support Hotline at **800-518-4726**, or **606-545-5035** 24 hours a day, 7 days a week, except federal holidays. Registering with Grants.gov is a one-time process; however, **processing delays may occur, and it can take 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.** In general, OMB 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](http://www.dnb.com). A DUNS number is usually received within 1-2 business days.

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. 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](http://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](http://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. Note that there can be more than one AOR for the organization.
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 CFDA 16.734, titled "Special Data Collection and Statistical Studies," and the funding opportunity number is BJS-2012-3346.
6. **Complete the Disclosure of Lobbying Activities.** All applicants must complete this information. An applicant that expends any funds for lobbying activities must provide the detailed information requested on the form, *Disclosure of Lobbying Activities*, (SF-LLL). An applicant that does not expend any funds for lobbying activities should enter "N/A" in the required highlighted fields.
7. **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."

### **Note: Duplicate Applications**

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

### **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 email the BJS contact identified in the Contact Information section on cover page **within 24 hours after the application deadline** and request approval to submit its application. The applicant must include in the 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) the applicant has received. **Note: Requests are not automatically approved by BJS.** 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.

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, including firewalls.

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

### **What an Application Should Include**

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 applications that are unresponsive to the scope of the solicitation, or that do not include application elements designated by BJS to be critical, will neither proceed to peer review nor receive further consideration. Under this solicitation, BJS has designated the following application elements as critical: Program Narrative, Budget Detail Worksheet and Budget Narrative. The Budget Narrative and the Budget Detail Worksheet may be combined in one document. However, if only one document is submitted, it must contain **both** narrative and detail information.

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, select "For-Profit Organization" or "Small Business" (as applicable).

## 2. Program Narrative

The program narrative shall not exceed 30 double-spaced pages with a font style and size no smaller than 12-point and margins no smaller than 1 inch all around. The page limitation does not include a cover page, table of contents, capabilities and competencies, and budget and budget narrative.

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

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

- a. Statement of the Problem
- b. Project Design and Implementation
- c. Capabilities and Competencies
- d. Plan for Collecting the Data Required for this Solicitation's Performance Measures

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

## 3. Budget Detail Worksheet and Budget Narrative

### a. Budget Detail Worksheet

A sample Budget Detail Worksheet can be found at [www.ojp.gov/funding/forms/budget\\_detail.pdf](http://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, see the OJP Financial Guide at [www.ojp.usdoj.gov/financialguide/index.htm](http://www.ojp.usdoj.gov/financialguide/index.htm).

### b. Budget Narrative

The Budget Narrative should thoroughly and clearly describe every category of expense listed in the Budget Detail Worksheet. Proposed budgets are expected to be complete; reasonable and allowable; cost effective; and necessary for project activities. 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/funding/pdfs/indirect\\_costs.pdf](http://www.ojp.usdoj.gov/funding/pdfs/indirect_costs.pdf).

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

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

If an applicant is unable to obtain and submit with its application a fully-executed (*i.e.*, signed) copy of a tribal resolution or other, comparable legal documentation as may be consistent with the tribe's governance structure, then, at minimum, the applicant should submit an unsigned, draft version of such legal documentation as part of its application (except in cases where, with respect to a tribal consortium applicant, consortium bylaws allow action without the support of all consortium member tribes). If selected for funding, use of and access to funds will be contingent on receipt of the fully-executed tribal resolution or other comparable legal documentation.

**6. Additional Attachments**

- **Key staff Information**

Information on key staff includes a staff loading chart by task and contract year, showing the role and number of hours (per year) committed for proposed staff and identification of proposed key personnel and their qualifications for the significant functions in the project. Along with concise descriptions of the duties each will perform under this grants and identification by name of all key personnel with decision-making authority.

- **Privacy Certification**

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

- **Human Subjects Protection Certificate of Compliance**

BJS requires the funding recipient to submit proper documentation to be used to determine that the research project meets federal requirements for human subjects protections set forth in 28 CFR Part 46. A model certificate is located at [www.bjs.gov/content/hscr.cfm](http://www.bjs.gov/content/hscr.cfm).

7. **Other Standard Forms**

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

a. [Standard Assurances](#)

Applicants must read, certify, and submit this form in GMS prior to the receipt of any award funds.

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

Applicants must read, certify and submit in GMS prior to the receipt of any award funds.

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 submitted).

## Selection Criteria

1. **Statement of the Problem (15%)**

The applicant should demonstrate understanding of the goals and objectives of the project, including the value of the resulting SLWCCP design recommendations for the criminal justice field. The applicant should demonstrate that it is familiar with the challenges in defining white collar crime and in state and local responses to white collar crime.

2. **Project Design and Implementation (45%)**

The application should describe how the applicant will approach each phase of the project as detailed in the statement of work information section.

### **3. Capabilities and Competencies (25%)**

This section should document the applicant's ability to successfully complete the prescribed tasks. This may be done through descriptions of the benefits of the proposed design/work plan, past work, and/or by the relevant skills/experience of proposed program staff. This section should identify 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 identification by name of all key personnel with decision-making authority. Special attention should be given to demonstrating an expertise in the processing of white collar crime by state entities, detailing the proposed staff's experience with survey design and administration, and showing an understanding of the techniques to assess the utility of state-level administrative data to support national data collection efforts. (Curricula Vitae/resumes of key staff should be included in an appendix to the proposal.)

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

The applicant should indicate an understanding of the performance measures required for this grant (described on page 7) and confirm that the necessary measures will be provided.

### **5. Budget complete; reasonable and allowable; cost effective; and necessary for project activities (10%)**

Reasonableness of the project budget should be demonstrated, including the degree to which the budget demonstrates fiscal, management, staff, and organizational capacities to provide sound management for this project, and the degree to which the budget demonstrates that services and products provided by the grantee are of high quality and reasonable cost. Demonstrated fiscal management on past projects of a similar scale should be demonstrated. Methods of conserving costs while maximizing use of existing resources should be presented. Applicants should include a detailed time/task plan that shows the allocation of staff resources (and other costs) by each proposed project task.

## **Review Process**

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

Peer reviewers will review the applications submitted under this solicitation that meet basic minimum requirements. BJS may use either internal peer reviewers, external peer reviewers, or a combination, to review the applications under this solicitation. An external peer reviewer is an expert in the 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. Applications that meet basic minimum requirements 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 BJS, who also may give consideration to factors including, but not limited to, underserved populations, geographic diversity, strategic priorities, past performance, and available funding when making awards.

## **Additional Requirements**

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

- Civil Rights Compliance
- Civil Rights Compliance Specific to State Administering Agencies
- Faith-Based and Other Community Organizations
- Confidentiality
- Research and the Protection of Human Subjects
- Anti-Lobbying Act
- Financial and Government Audit Requirements
- 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

### **Provide Feedback to OJP on This Solicitation**

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

## Application Checklist

# State and Local White Collar Crime Program

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

**Eligibility Requirement:** Eligible applicants are limited to for-profit (commercial) organizations, nonprofit organizations, faith-based and community organizations, institutions of higher learning, and consortia with demonstrated organizational and community-based experience working with American Indian and Alaska Native communities, including tribal for-profit (commercial) and nonprofit organizations, tribal colleges and universities, and tribal consortia. For-profit organizations must agree to forgo any profit or management fee.

\_\_\_\_\_ The federal amount requested is within the allowable limit(s) of \$500,000.

### What an Application Should Include:

- \_\_\_\_\_ Application for Federal Assistance (SF-424) (see page 11)
- \_\_\_\_\_ Program Narrative (see page 12)
  - \_\_\_\_\_ Double-spaced
  - \_\_\_\_\_ 12-point standard font
  - \_\_\_\_\_ 1" standard margins
  - \_\_\_\_\_ Narrative is 30 pages or less
  
- \_\_\_\_\_ Budget Detail Worksheet (see page 12)
- \_\_\_\_\_ Budget Narrative (see page 12)
- \_\_\_\_\_ Disclosure of Lobbying Activities (SF-LLL) (see page 10)
- \_\_\_\_\_ Indirect Cost Rate Agreement (if applicable) (see page 13)
- \_\_\_\_\_ Tribal Authorizing Resolution (if applicable) (see page 13)
- \_\_\_\_\_ Additional Attachments (see page 13)
  - \_\_\_\_\_ Key staff Information
  - \_\_\_\_\_ Privacy Certification
  - \_\_\_\_\_ Human Subjects Protection Certificate of Compliance
  
- \_\_\_\_\_ Other Standard Forms as applicable (see page 14)
  - \_\_\_\_\_ Accounting System and Financial Capability Questionnaire (if applicable)