OMB No. 1121-0329

U.S. Department of Justice
Office of Justice Programs
Bureau of Justice Statistics

The U.S. Department of Justice (DOJ), Office of Justice Programs (OJP), Bureau of Justice Statistics (BJS) is pleased to announce that it is seeking applications for funding to administer activities under the FY 2011 National Criminal History Improvement Technical Assistance Program (NCHIPTA). This program furthers the Department's mission to enhance the crime fighting and criminal justice capabilities of state and tribal governments by supporting efforts to improve the accuracy, utility, and interstate accessibility of criminal history records and enhancing records of protective orders involving domestic violence and stalking, sex offender records, automated identification systems, and other state systems supporting national records systems and their use for criminal history background checks.

FY 2011 National Criminal History Improvement Technical Assistance 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, May 2, 2011. (See "Deadlines: Registration and Application," page 3.)

Contact Information

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

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

For assistance with any other requirement of this solicitation, contact Devon B. Adams, Chief, Criminal Justice Data Improvement Program at 202-307-0765 or by email at askbjs@usdoj.gov. Include "2011NCHIPTA" in the subject line.

Grants.gov number assigned to announcement: **2011-BJS-2933**

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FY 2011 National Criminal History Improvement Technical Assistance and Training Program
CFDA Number 16.554

Overview

BJS is publishing this notice to announce the continuation of the Technical Assistance Program to support activities under the National Criminal History Improvement Program (NCHIP) and the National Instant Criminal Background Check System (NICS) Act Record Improvement Program (NARIP) in Fiscal Year 2011. The NCHIP program was initiated in 1995 and encompasses evolving efforts to support state activities for the establishment of records systems, as well as the collection and use of criminal history and related records. The NARIP program was implemented in 2009, a result of passing the NICS Improvement Amendments Act of 2007 (Pub. L. 110-180).

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. (See "How to Apply," page 10.) All applications are due by 11:59 p.m. Eastern time on Monday, May 2, 2011.

Eligibility

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

Program-Specific Information

Through this solicitation, BJS is seeking a national technical assistance service provider to support the goals and objectives of its NCHIP and NICS Act Record Improvement Program (NARIP). Direct technical assistance is provided to states, territories, and tribal jurisdictions to ensure that records systems are developed and managed to conform to Federal Bureau Investigation (FBI) standards, make certain that jurisdictions are using the most appropriate technologies, and adhere to the highest standards of practice regarding privacy and confidentiality. An additional component of this program includes routine collection and evaluation of performance measures to guarantee that progress is being made to improve state and national records holdings and information sharing and exchanges. The NCHIP TA program has been supported by BJS since 1995.

All states, the District of Columbia, and five U.S. territories have received funds under the NCHIP program to date. Beginning in FY 2011, federally recognized tribes are also eligible to apply for funds under NCHIP. Detailed information about the history of the NCHIP program and its accomplishments are available at www.bjs.gov/index.cfm?ty=tp&tid=47. NCHIP has provided support to states in the following areas:

- improving disposition reporting and support for courts
- facilitating participation in the Interstate Identification Index (III)
- improving record automation and fingerprint data
- increasing participation in the NICS
- improving identification and access to domestic violence records/protection orders
- creating, updating, and enhancing sex offender registries.

Issues and Needs to be Addressed

Despite the tremendous progress made toward criminal record improvements, several significant shortcomings remain, including the following:

- Many arrest records available through III — excluding those for the fourteen states participating in the National Fingerprint File (NFF) — are missing case outcome information in the FBI's Criminal History File. Missing case disposition information also continues to plague many state record systems. It remains vitally important that the courts and prosecutors be major players in the development of improvements to criminal records systems. Their involvement will ensure the timely and accurate transmittal of disposition information, including non-prosecution outcomes, to criminal record repositories.

- Many states and territories are not submitting all available qualifying records to the NICS Index.

- Some states and territories are not yet submitting qualifying records to the National Crime Information Center (NCIC) Protection Order File, and the FBI reports continued problems with the appropriate flagging of protection orders regarding the prohibition for firearm purchases.

Scope of Work

The recipient of funds selected through this solicitation will be responsible for delivering technical assistance and training to local, state, and tribal justice agencies in the development, management, improvement, acquisition, and integration of their automated criminal history and related information systems. The recipient of funds must be able to effectively work with individual justice agencies (such as a state record repository implementing a new computerized criminal history system), and also with multidisciplinary groups of justice agencies to assist the planning and integration of their information systems at local, state, and regional/tribal levels.

The recipient of funds must have significant demonstrable experience in certain specific areas, particularly as they relate to the creation, maintenance, and transmission of criminal history record information to and among repositories at the local, state and federal levels of government. Specifically, the recipient of funds should have demonstrated knowledge and experience in the following areas:

- State and Federal Criminal History Record Repositories
- Integration Planning and Requirements
- National Information Exchange Model (NIEM), Justice Reference Architecture, and Web Services
- Privacy and Information Quality Policy Development and Implementation
- Interstate Identification Index
- NICS & Criminal History Background Checks

State and Federal Criminal History Record Repositories

The NCHIP program is focused on improving the quality and completeness of criminal history record information to support effective criminal history background checks at the state and federal level. A crucial aspect of BJS's national strategy has been to help identify and work toward solving the information management problems of state and local justice agencies

needing to exchange information with other local agencies, state agencies, agencies in other states, or the federal government. One of the most critical ways justice agencies exchange information is through criminal history record background checks. The recipient of funds must have significant experience in working with states and the federal government on legal, policy, and operational aspects of criminal history background checks. The recipient of funds must also have a demonstrable track record of providing effective assistance, guidance, and expertise on various criminal history background check initiatives.

Integration Planning and Requirements

Criminal history record information improvements relate directly to the effectiveness of local and state information sharing practices. The success of information sharing initiatives frequently depends on multiple independent partners, each with its own mission and capabilities, creating a shared vision for their common enterprise. They must build this shared vision on the basis of well understood, clearly documented requirements. The partners' consensus around these requirements provides a stable foundation for design, implementation, and deployment of information sharing solutions. Establishing this consensus is a key step in planning any information sharing initiative. The recipient of funds must be experienced in assessing information exchange requirements and in planning, developing, and implementing integrated information sharing projects.

National Information Exchange Model (NIEM), Justice Reference Architecture (JRA), and Web Services

A key NCHIP strategy is to provide support for states to adopt the National Information Exchange Model in implementing criminal history record improvement initiatives. NIEM provides a vocabulary that practitioners use to represent the meaning and structure of the information they share. This vocabulary represents the best practices and common understanding across the country, which allows NIEM to ensure interoperability across jurisdictions, while accelerating the definition of information requirements within a jurisdiction. The recipient of funds must have significant experience working with and promoting the use of NIEM (as well as its predecessor, the Global Justice XML Data Model) and be well placed to offer practitioners advice on its proper and efficient use.

Using NIEM involves building Information Exchange Package Documentation (IEPD) for specific exchanges (a process that involves several complex steps and tools). The recipient of funds must have significant experience in developing this process, and with assisting jurisdictions to navigate. The recipient of funds must also have experiences in the utilization of pre-built IEPDs already available from the community and specialized NIEM tools, such as the Law Enforcement Exchange Specification (LEXS), and have demonstrable experience in helping jurisdictions apply these off-the-shelf assets where appropriate. The recipient of funds should also have significant experience in utilizing service-oriented architecture for justice information sharing projects, especially the Global Justice Reference Architecture specifications and guidelines.

As justice and public safety practitioners use the NIEM to represent the semantics of their information exchanges, they also must address how they will transport the information between systems in a way that ensures interoperability and conformance with open standards. The web services stack of industry standards provides a flexible, comprehensive, and standards-based approach to messaging. The recipient of funds must have experience in delivering technical assistance for web services implementations, particularly any related to justice information sharing initiatives.

Privacy and Information Quality Policy Development and Implementation

A critical component of NCHIP-supported information sharing systems and strategies should include some examination of the policies that address the quality of criminal history record information and protect the privacy of the information within criminal record systems. The primary objective of a privacy policy is to demonstrate how an agency intends to abide by existing laws and public expectations for handling personally identifiable information (PII). Effective privacy policies should address how a justice entity intends to address gaps or vulnerabilities in existing laws that govern PII management. A critical element of privacy protection is the adoption of sound operational policies and practices that promote information quality. The implementation of guidance and procedures that assure the quality of the nation's criminal history records remains a key goal of BJS's NCHIP and NARIP programs. The recipient of funds must have experience in assisting justice entities in the development and implementation of such policies.

Interstate Identification Index (III)

The Interstate Identification Index (III) is an "index-pointer" system for the interstate and federal/state exchange of criminal history record information. Through the III system, the FBI makes available an index listing the names of individuals on whom it maintains criminal history record information. An agency seeking information on a specific individual will submit his or her name to the FBI. The FBI will match the name against the index and then "point" the information request to the database (either state or federal) where the information is maintained. The index contains information on persons arrested and fingerprinted for felonies and misdemeanors under state or federal law. It includes identification information (for example, name, birth date, race, and gender), and FBI and state identification numbers from each state that has information about an individual. In many ways, III is the key technological infrastructure that supports national criminal history background checks. The recipient of funds must have extensive expertise on all operational aspects of III, including all of the policies and regulations which govern the use of III, particularly its use for such noncriminal justice purposes as background checks on persons seeking positions of responsibility involving national security, employment with vulnerable populations, money handling, and other activities.

NICS & Criminal History Background Checks

The NICS is a computerized system that queries several national databases simultaneously in order to process a name-based background check. The databases include (1) the Interstate Identification Index (III), which provides access to the criminal history record information of over 70 million people; (2) the National Crime Information Center (NCIC), which includes files of protection orders, convicted sex offenders, and wanted persons; (3) the NICS Index, which includes information relevant to firearm background checks that is not in the III or NCIC; and (4) in cases where the prospective transferee is a non-U.S. citizen, databases of the Department of Homeland Security, U.S. Immigration and Customs Enforcement. The NICS is designed to respond to a Federal Firearms Licensee (FFL) instantly with a determination of whether a prospective buyer is prohibited from receiving or possessing a firearm under federal or state law.

FBI personnel are responsible for processing NICS checks generated by most states, but the system is designed so that states can elect to serve as a point of contact (POC) for purchases occurring in their states. As a POC, a state-designated law enforcement agency processes NICS checks for the FFLs in that state. Currently, 13 states serve as POCs for all firearms transactions within those states. An additional 8 states serve as partial POCs for background checks for either handgun sales or handgun permits within those states, with the FBI conducting checks on long gun transfers. The recipient of funds must have significant expertise on all operational aspects of the NICS and be able to provide assistance to state, local, and tribal

agencies regarding the types of records that qualify for entry into the NICS and minimum data entry requirements.

Deliverables

Technical assistance and training provided under this program includes—

- direct onsite visits
- telephone and web services
- national and regional conferences and workshops, and
- data collection and publication of criminal history related surveys and materials.

Direct onsite visits. The successful applicant will provide technical assistance to states, territories, and tribes to meet increasing demands at the state and federal level for access to complete, accurate, and timely criminal history record information, including efforts to meet the NCHIP goals; compliance with record and data provisions specified in the NICS Improvement Amendments Act; and participation in NCIC, the Integrated Automated Identification Index (IAFIS), and Next Generation Identification (NGI). Technical assistance will be provided as needed to assist the National Crime Prevention and Privacy Compact Council on III-related issues and support efforts to increase the number of states participating in the National Fingerprint File.

Telephone and web service. The successful applicant will have the capacity and resources to provide in-house technical assistance via phone and web for responding to information requests about issues related to the collection, maintenance, use, dissemination, quality, and protection of criminal history and related record information.

National and/or regional workshop(s). The successful applicant will develop, organize, and implement at least one workshop focused on one or more important issues related to criminal record repositories and other relevant criminal justice agencies that affect the quality and completeness of the nation's criminal history record information.

Data collection and publication of criminal history related surveys and materials. The successful applicant will work in collaboration with BJS to collect complete, comprehensive, and relevant data on the number and status of state-maintained criminal history records and the increasing number of operations and services provided by state repositories.

Amount and Length of Awards

BJS will make one award of approximately $500,000 for a 1-year project period. The annual award amount will be renewable for a period of 3 years, subject to availability of funds. 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

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Government's Senior Executive Service (SES) at an agency with a Certified SES Performance Appraisal System for that year. (The 2011 salary table for SES employees is available at www.opm.gov/oca/11tables/indexSES.asp.) Note: A recipient may compensate an employee at a higher rate, provided the amount in excess of this compensation limitation is paid with non-federal funds. (Any such additional compensation will not be considered matching funds where match requirements apply.)

The limitation on compensation rates allowable under an award may be waived on an individual basis at the discretion of the Director of the 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 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:

Program Objectives	Performance Measures	Data to be Provided by Grantees
Improve criminal history record systems in the states and territories to support background checks to identify ineligible firearms purchasers, as well as persons ineligible to hold positions involving children, the elderly, or the disabled.	Percent of on-site technical assistance requests completed. Percent of in-house technical assistance provided. Number of program/conference materials developed.	Number of on-site technical assistance requests received. Number of on-site technical assistance completed. Number of in-house technical assistance requests received. Number of in-house technical assistance requests completed. Number of program/conference materials developed.

	Number of people attending conferences/work-shops. Percent of people exhibiting increased knowledge of program, as determined by pre- and post-testing.	Number of people attending conferences/workshops. Number of people exhibiting increased knowledge of program, as determined by pre- and post-testing.
To conduct a biannual survey of state/territory criminal history record repositories.	Provide response rate of 95% or better.	Number of agencies that responded. Number of agencies.

Submission of performance measures data is not required for the application. Instead, applicants should discuss in their application their proposed methods for collecting data for performance measures. Please refer to the section "What an Application Should Include" (page 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 protections. However, project evaluations that are intended only to generate internal improvements to a program or service, or are conducted only to meet OJP's performance measure data reporting requirements likely do not constitute "research." Applicants should provide sufficient information for OJP to determine whether the particular project they propose would either intentionally or unintentionally collect and/or use information in such a way that it meets the DOJ regulatory definition of research.

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

Notice of New Post-Award Reporting Requirements

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

and systems in place to comply with the reporting requirements should it receive funding. Reports regarding subawards will be made through the FFATA Subaward Reporting System (FSRS), found at www.fsrs.gov.

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

How to Apply

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

All applicants are required to complete the following steps:

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

2. **Acquire or renew registration with the Central Contractor Registration (CCR) database.** OJP requires that all applicants (other than individuals) for federal financial assistance maintain current registrations in the 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 16.544, titled "National Criminal History Improvement Program (NCHIP," and the funding opportunity number is 2011-BJS-2933.

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 website, (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 website page at www.ojp.gov/funding/solicitations.htm.

What an Application Should Include

This section describes what an application should include and sets out a number of elements. Applicants should anticipate that failure to submit an application that contains all of the specified elements may negatively affect the review of the application; and, should a decision be made to

make an award, it may result in the inclusion of special conditions that preclude access to or use of award funds pending satisfaction of the conditions.

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

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

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

2. **Program Narrative**
   This should describe the applicant’s detailed plan for delivering the activities described in the Scope of Work (pgs. 4-7) and address the evaluation criteria. The narrative should provide a proposed timeline and budget for project activities. The narrative should clearly demonstrate the applicant’s knowledge experience administering technical assistance to state and tribal entities and capabilities to handle a national conference, and 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.gov/financialguide/index.htm.

   b. **Budget Narrative**

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

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

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

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.

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

   a. Certifications Regarding Lobbying; Debarment, Suspension and Other Responsibility Matters; and Drug-Free Workplace Requirements (required to be submitted in GMS prior to the receipt of any award funds)

b. Disclosure of Lobbying Activities (required for any applicant that expends any funds for lobbying activities; this form must be downloaded, completed, and then uploaded)

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

d. Standard Assurances (required to be submitted in GMS prior to the receipt of any award funds)

Selection Criteria

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 (25%)

Content of the proposal and how it addresses the tasks in the Scope of Work (pgs. 4-7) and scheduled timeline. Demonstrated knowledge and understanding of state and federal efforts toward improvement of criminal history and related records.

2. Project Design and Implementation (25%)

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 providing technical assistance to improve the quality, completeness, timeliness, accuracy, and accessibility of criminal history and related records to state, territorial, and tribal criminal justice agencies. Demonstrated past successful collaboration with key federal, state, and local agencies, such as, FBI NICS, ATF, the Bureau of Justice Assistance, and state record repositories and related agencies. Demonstrated knowledge of survey research, including survey development, data collection, entry and verification, analysis and publication of results.

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. BJS reviews the application to make sure that the information presented is reasonable, understandable, measurable, and achievable, as well as consistent with the solicitation.

Peer reviewers will review the applications submitted under this solicitation that meet basic minimum requirements. BJS may use either internal peer reviewers, external peer reviewers, or a combination to review the applications under this solicitation. An external peer reviewer is an expert in the field of the subject matter of a given solicitation who is NOT a current 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.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 National Criminal History Improvement Technical Assistance 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 Should Include:

_____ Application for Federal Assistance (SF-424) (see page 12)
_____ Program Narrative (see page 12)
_____ Budget Detail Worksheet (see page 12)
_____ 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 13)
____Key Staff Information

_____ Other Standard Forms as applicable (see page 13), including:
_____ Disclosure of Lobbying Activities (if applicable)
_____ Accounting System and Financial Capability Questionnaire (if applicable)