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United States Senate

COMMITTEE ON
HOMELAND SECURITY AND GOVERNMENTAL AFFAIRS

WASHINGTON, DC 20510-6250

CHRISTOPHER R. HIXON, STAFF DIRECTOR
GABRIELLE A. BATKIN, MINORITY STAFF DIRECTOR

STAFF MEMORANDUM

December 12, 2016

To: Senate Committee on Homeland Security and Governmental Affairs
Fr: Minority Staff to Ranking Member Tom Carper
Re: Four Years Later: The Federal Government's Support for Public Health Research on Gun Violence Since Sandy Hook

On December 14, 2012, twenty children and six teachers lost their lives in a mass shooting at Sandy Hook Elementary School in Newtown, Connecticut.¹ In the aftermath of this tragedy, President Obama called on our nation to address the epidemic of gun violence and enlisted Vice President Biden to lead a task force to make recommendations to the President that accomplishes this goal without infringing on the Second Amendment rights of law-abiding citizens.

In January 2013, President Obama announced 23 executive actions to reduce gun violence, including a Presidential memorandum directing the Secretary of Health and Human Services to conduct or sponsor public health research on the causes and prevention of gun violence through the scientific agencies within the Department of Health and Human Services.² When announcing this memorandum, President Obama stated that: while some have “threatened to defund scientific or medical research into the causes of gun violence ... we don't benefit from ignorance. We don't benefit from not knowing the science of this epidemic of violence.”³

Although Congressional efforts to reduce gun violence have stalled since Sandy Hook, there appears to be an increasing amount of common ground in calling for further research on gun violence, including from the unlikely partnership between former Republican Representative Jay Dickey and former Centers for Disease Control official Dr. Mark Rosenberg:

“... [W]e are in strong agreement now that scientific research should be conducted into preventing firearm injuries and that ways to prevent firearm deaths can be found without encroaching on the rights of legitimate gun owners. The same evidence-based approach that is saving millions of lives from motor-vehicle crashes, as well as from smoking,

¹ Final Report of the Sandy Hook Advisory Commission, Sandy Hook Advisory Commission (Mar. 6, 2015).

² Presidential Memorandum: “Engaging in Public Health Research on the Causes and Prevention of Gun Violence” (Jan. 16, 2013).

³ Remarks by the President and the Vice President on Gun Violence, Office of the Press Secretary, The White House (Jan. 16, 2013).

cancer and HIV/AIDS, can help reduce the toll of deaths and injuries from gun violence.”⁴

At the request of Ranking Member Tom Carper, minority staff of the Senate Committee on Homeland Security and Governmental Affairs sought to understand the federal government’s support for public health research of gun violence and the implementation President Obama’s memorandum. Minority staff requested and received information from the Centers for Disease Control and Prevention, the National Institutes of Health, the National Institute of Justice, the National Research Council, and the National Science Foundation.⁵

According to these responses, the federal government has taken modest steps since the memorandum to improve data collection and increase evidence-based research into the causes of gun violence and ways to prevent it:

- The National Research Council identified a comprehensive scientific research agenda for gun violence research designed to produce impacts within three to five years. The agenda focused on the characteristics of firearm violence, risk and protective factors, interventions and strategies, gun safety technology, and the influence of video games and other media.⁶
- The Centers for Disease Control added 22 states to the National Violent Death Reporting System, a state-based surveillance system which helps inform communities on the causes of violent deaths.⁷ The Centers for Disease Control also released the results of a study of elevated levels of gun violence in Wilmington, Delaware that identified root causes of gun violence and offered recommendations on prevention and early interventions.⁸
- The National Institutes of Health funded two ongoing public health research projects into the causes and prevention of gun violence and announced three funding opportunities that

⁴ Jay Dickey and Mark Rosenberg, *We Won’t Know the Cause of Gun Violence Until we Look for It*, WASHINGTON POST (Jul. 27, 2012).

⁵ Response Letters re: Gun Violence Research from Dr. Thomas R. Frieden, Director, CENTERS FOR DISEASE CONTROL AND PREVENTION, U.S. DEP’T OF HEALTH AND HUMAN SERVICES (Apr. 18, 2016); Dr. France A. Córdova, Director, NATIONAL SCIENCE FOUNDATION (Jul. 1, 2016); Bruce B. Darling, Executive Director, NATIONAL ACADEMY OF SCIENCES AND NATIONAL RESEARCH COUNCIL (Jul. 21, 2016); Dr. Francis S. Collins, Director, NATIONAL INSTITUTES OF HEALTH, U.S. DEP’T OF HEALTH AND HUMAN SERVICES (Aug. 10, 2016); Peter J. Kadzik, Assistant Attorney General, U.S. DEP’T OF JUSTICE (Sep. 2, 2016).

⁶ *Priorities for Research to Reduce the Threat of Firearm-Related Violence*, INSTITUTE OF MEDICINE AND NATIONAL RESEARCH COUNCIL OF THE NATIONAL ACADEMIES (Alan I. Leshner, Bruce M. Altevogt, Arlene F. Lee, Margaret A. McCoy, and Patrick W. Kelley eds., 2013).

⁷ Response Letter re: Gun Violence Research from Dr. Thomas R. Frieden, Director, CENTERS FOR DISEASE CONTROL AND PREVENTION, U.S. DEP’T OF HEALTH AND HUMAN SERVICES (Apr. 18, 2016); National Violent Death Reporting System, CENTERS FOR DISEASE CONTROL AND PREVENTION (last updated Oct. 13, 2016).

⁸ Steven Sumner, et. al, *Elevated Rates of Urban Firearm Violence and Opportunities for Prevention Wilmington, Delaware*, Division of Violence Prevention, NATIONAL CENTER FOR INJURY PREVENTION AND CONTROL, CENTERS FOR DISEASE CONTROL AND PREVENTION (Nov. 3, 2015).

included requests for gun violence research. Since fiscal year 2013, the National Institutes of Health have devoted approximately \$4.7 million to gun violence research.⁹

- The National Institute of Justice issued eight solicitations that included requests for scientific research related to firearms, including the Gun Safety Technology Challenge, which examined existing and emerging gun safety technologies. Since fiscal year 2013, the National Institute of Justice has devoted approximately \$8.8 million to gun violence research awards.¹⁰

Despite these efforts, the federal government's support for public health research of gun violence remains limited. Although the Obama Administration has repeatedly requested additional resources for gun violence research since fiscal year 2014, Congress has not appropriated any direct funding for this effort. As a result, policymakers still lack scientifically sound evidence on what policies would help to reduce gun violence. As the United States remembers the fourth anniversary of the shooting at Sandy Hook, Congress should consider public health research as a bipartisan opportunity to identify ways to reduce gun violence while respecting the Second Amendment.

⁹ Response Letters re: Gun Violence Research from Dr. Francis S. Collins, Director, NATIONAL INSTITUTES OF HEALTH, U.S. DEP'T OF HEALTH AND HUMAN SERVICES (Aug. 10, 2016).

¹⁰ Response Letters re: Gun Violence Research from Peter J. Kadzik, Assistant Attorney General, U.S. DEP'T OF JUSTICE (Sep. 2, 2016). In October 2016, the National Institute of Justice also awarded more than \$3.3 million for research to reduce firearms violence. *Justice Department Awards More than \$3.3 Million for Research to Reduce Firearms Violence*, OFFICE OF JUSTICE PROGRAMS, U.S. DEP'T OF JUSTICE (Oct. 25, 2016).

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KEITH B. ASHDOWN, STAFF DIRECTOR
GABRIELLE A. BATKIN, MINORITY STAFF DIRECTOR

March 16, 2016

Dr. Tom Frieden
Director
Centers for Disease Control and Prevention
1600 Clifton Road
Atlanta, GA 30329

Dear Director Frieden:

I write today to request information regarding the Centers for Disease Control and Prevention's (CDC) support for scientific research into the causes and prevention of gun violence.

As the largest collection of public health professionals conducting scientific research for injury prevention in the world, the CDC's National Center for Injury Prevention and Control (Injury Center) has a mission to prevent violence and injuries, and reduce their consequences. Using a public health approach of defining problems, identifying risk factors, and testing prevention strategies, the Injury Center has been at the forefront of identifying scientifically sound solutions to reducing injuries and saving lives.

In the 1990s, the Injury Center played an important role in conducting high-quality, peer-reviewed research into the underlying causes of gun violence. But this changed starting in 1996 when Congress began inserting language into annual spending bills prohibiting the CDC from spending its funds "to advocate or promote gun control."¹ While this language—sponsored by then Representative Jay Dickey—only prohibits the use of funds to support legislative efforts to limit access to firearms, it has often been misconstrued to ban any and all scientific research on gun violence.

As a result, public health researchers at the CDC and other federal agencies have been discouraged from conducting scientific research on gun violence. Although the CDC self-directs a portion of its nearly \$6.2 billion annual budget to a wide variety of intra- and extramural research, the CDC has been reluctant to devote funding to gun violence research without a specific appropriation from Congress. Scientists at the CDC have expressed frustration with their inability to conduct more extensive studies on gun violence, which could help to reduce the over 30,000 Americans killed by gun violence each year.²

¹ P.L. 104-208, 110 Stat. 3009-244 (Sep. 30, 1996).

² Jess Bidgood, *When Gun Violence Felt Like a Disease, a City in Delaware Turned to the C.D.C.*, NEW YORK TIMES (Dec. 24, 2015).

Encouragingly, recent developments at the CDC have shown that your agency has the ability do more to assist communities that struggle with gun violence.

In my home town of Wilmington, Delaware, the CDC conducted an investigation into elevated levels of gun violence after receiving a request from Wilmington officials and Delaware's Department of Health and Social Services. Released in December 2015, the results of this investigation identified many of the root causes of gun violence in the community and offered recommendations on how prevention and early intervention could reduce violence for those most at risk.³ In February 2013, the CDC also released the results of an investigation of youth suicide clusters in Delaware's Kent and Sussex counties, finding that 45 percent of suicides between January 2009 and May 2012 were committed using firearms.

I am optimistic that Delaware can benefit from the CDC's work and believe that many other communities across the United States could also benefit from similar scientific research, as well. In a Washington Post op-ed with the Injury Center's former director Mark Rosenberg, Representative Dickey came out in support of additional research, writing that: "...[W]e are in strong agreement now that scientific research should be conducted into preventing firearm injuries and that ways to prevent firearm deaths can be found without encroaching on the rights of legitimate gun owners. The same evidence-based approach that is saving millions of lives from motor-vehicle crashes, as well as from smoking, cancer and HIV/AIDS, can help reduce the toll of deaths and injuries from gun violence."⁴

As a supporter of the Second Amendment to the United States Constitution, I believe that law-abiding citizens have the right to buy and own firearms. I also believe that we can take common sense steps to reduce gun violence. With more than 117,000 Americans injured or killed each year with firearms, conducting scientific research on gun violence is one such step.⁵

Enclosed with this letter is a set of questions and requests for information for your response. I ask that you please respond by April 15, 2016. The Committee's minority staff is authorized to conduct this investigation under the authority of Senate Rule XXV and Senate Resolution 73 (114th Congress). If you or members of your staff have any questions about this request, please feel free to contact Kevin Burris at (202) 224-2627. Thank you for your attention to this matter.

³ Steven Sumner, et. al, *Elevated Rates of Urban Firearm Violence and Opportunities for Prevention—Wilmington, Delaware*, Division of Violence Prevention, National Center for Injury Prevention and Control, Centers for Disease Control and Prevention (Nov. 3, 2015).

⁴ Jay Dickey and Mark Rosenberg, *How to Protect Gun Rights While Reducing the Toll of Gun Violence*, WASHINGTON POST (Dec. 25, 2015).

⁵ Centers for Disease Control and Prevention, Web-based Injury Statistics Query and Reporting System (WISQARS), *Fatal and Nonfatal Injury Reports* (2013).

With best personal regards, I am

Sincerely yours,

A handwritten signature in blue ink that reads "Thomas R. Carper". The signature is fluid and cursive, with a long, sweeping tail on the word "Carper".

Thomas R. Carper
Ranking Member

Enclosure

cc: The Honorable Ron Johnson
Chairman

**Questions for Dr. Tom Frieden
Director, Centers for Disease Control and Prevention**

1. Please describe the CDC's policy toward scientific research into the causes and prevention of gun violence.
2. Has the CDC or the Department of Health and Human Services' Office of the General Counsel conducted any analysis of the Dickey Amendment, including the types of gun violence research that are still permissible? If so, please provide this analysis.
3. In the aftermath of the shooting at Sandy Hook Elementary School in December 2012, President Obama issued a memorandum directing the Secretary of Health and Human Services (HHS), through the Director of the CDC and other agencies within HHS, to conduct or sponsor research into the causes of gun violence and the ways to prevent it.⁶ Please describe the efforts CDC has taken in response to this memorandum.
4. In April 2013, the National Center for Injury Prevention and Control asked the Institute of Medicine to recommend a research agenda on the public health aspects of firearm-related violence.⁷ Please describe the actions the CDC plans to take in response to the findings of the Institute of Medicine report issued in June 2013.
5. From 1996 to the present, please describe notable examples of research conducted or funded by the CDC, including research by or through the National Center for Injury Prevention and Control, related to understanding gun violence. Please also provide all instances when the CDC included requests for gun violence research in its research proposal solicitation materials.
6. For each year from FY1996 to FY2015, what portion of the CDC's budget, including the budget of the National Center for Injury Prevention and Control, has been devoted to gun violence research?
7. Each year, CDC's Division of Violence Prevention solicits investigator-initiated research via an "R01" Grant Program Announcement. The language in these announcements signals to grant-seeking public health researchers the research priorities of the CDC and its Division of Violence Prevention. Please describe any Division of Violence Prevention's R01 Grant Program Announcements related to gun violence research put forward from 1996 to the present.

⁶ Presidential Memorandum – Engaging in Public Health Research on the Causes and Prevention of Gun Violence (Jan. 16, 2013).

⁷ *New Report Identifies Research Priorities for Most Pressing Gun Violence Problems in U.S.*, National Academies of Sciences, Engineering, and Medicine (June 5, 2013).

8. The National Violent Death Reporting System collects and combines data from multiple sources to provide states and communities with a more complete record of the circumstances surrounding violent deaths. Participation from all 50 states would significantly increase the amount of data available to the National Violent Death Reporting System and, thereby, improve its effectiveness. In how many states has the National Violent Death Reporting System been implemented? How many states have applied to be included in this system? What circumstances have prevented all state applicants from being added to the National Violent Death Reporting System?
9. Has the CDC previously entered into any agreements with the National Rifle Association offering to provide advanced notice of any publication on the subject of gun violence? If so, please provide a description of any such agreements as well as communications and documents memorializing the agreements.
10. From 1996 to the present, has the CDC instructed any employee or researcher to not conduct scientific research on gun violence? Has the CDC instructed any employees or researchers to re-write reports submitted for publication to avoid using any variation of the word "gun"?
11. What remedies are available to CDC researchers who believe their scientific research has been inappropriately suppressed or discouraged? Please describe any review or appeals processes and include a list of the offices or review boards who would address any such concerns.



Centers for Disease Control
and Prevention (CDC)
Atlanta GA 30329-4027

April 18, 2016

The Honorable Thomas R. Carper
Ranking Member, Committee on Homeland Security
and Governmental Affairs
United States Senate
Washington, DC 20510

Dear Senator Carper:

Thank you for your letter regarding the status of the Centers for Disease Control and Prevention's (CDC) research into the causes and prevention of gun violence. CDC appreciates your concerns and those of the Committee on Homeland Security and Governmental Affairs, and is committed to protecting the health, safety, and security of the American people.

Enclosed, please find detailed responses to the specific questions outlined in your letter. We appreciate the Committee's interest in this important public health issue.

If you have additional questions or concerns, please contact Cristi Schwarcz in the CDC Washington Office at Cschwarcz@cdc.gov or (202) 245-0600.

Sincerely,

A handwritten signature in black ink that reads "Thomas R. Frieden".

Thomas R. Frieden, MD, MPH
Director, CDC

Enclosure

Centers for Disease Control and Prevention (CDC) Response to the Senate Committee on Homeland Security and Governmental Affairs regarding Gun Violence Research

- 1. Please describe the CDC's policy toward scientific research into the causes and prevention of gun violence.**

Understanding the patterns, characteristics, and impact of firearm violence is an important step toward preventing firearm injuries and deaths in the United States. While CDC's National Center for Injury Prevention and Control (NCIPC) has no specific program dedicated to firearm violence research and prevention, firearms are a mechanism (cause) of injury. Therefore, CDC addresses firearm-related violence prevention in the context of addressing related areas, including youth violence, child maltreatment, domestic violence, and sexual violence. These areas coincide with topical line items that are supported through CDC's annual appropriation for research and non-research activities. The Fiscal Year (FY) 2017 President's Budget includes \$10 million to dedicate to gun violence prevention research.

- 2. Has the CDC or the Department of Health and Human Services' (HHS) Office of the General Counsel conducted any analysis of the Dickey Amendment, including the types of gun violence research that are still permissible? If so, please provide this analysis.**

In 1997, after the Dickey Amendment was passed, CDC interpreted the amendment as prohibiting impermissible lobbying related to advocating or promoting gun control. CDC also interpreted the amendment to mean that activities that supported the collection of firearm injury-related data and engagement in scientific, public health research directed to preventing injuries from violence and firearms were still permissible.

More recently, in January 2013, the President issued a Presidential Memorandum, "Engaging in Public Health Research on the Causes and Prevention of Gun Violence" (Presidential Memorandum). This Presidential directive outlines the types of gun violence research that are permissible, including conducting or sponsoring research into the causes of gun violence and ways to prevent it, identifying the most pressing research questions with the greatest potential public health impact, and assessing existing public health interventions to prevent gun violence.

The President's plan to reduce gun violence, "Now is the Time," also states that the language in the Dickey Amendment, limiting the use of appropriated funds to "advocate or promote gun control," does not bar CDC from conducting research on the causes of gun violence, noting specifically that "research on gun violence is not advocacy."

- 3. In the aftermath of the shooting at Sandy Hook Elementary School in December 2012, President Obama issued a memorandum directing the Secretary of Health and Human Services (HHS), through the Director of the CDC and other agencies within HHS, to conduct or sponsor research into the causes of gun violence and the ways to prevent it. Please describe the efforts CDC has taken in response to this memorandum.**

In January 2013, in response to the President's memorandum, CDC asked the Institute of Medicine (IOM), in collaboration with the National Research Council (NRC), to convene a committee to engage diverse stakeholders and identify the most pressing research questions on

gun violence, including those with the greatest potential public health impact. The IOM/NRC released their report, which is available at www.nationalacademies.org/hmd/Reports/2013/Priorities-for-Research-to-Reduce-the-Threat-of-Firearm-Related-Violence.aspx, on June 5, 2013. In addition, the CDC Foundation, in collaboration with CDC, commissioned the IOM/NRC to develop and disseminate three supplemental discussion papers focusing on youth possession and acquisition of firearms, the relationship between alcohol and firearm violence, and firearm access by persons at risk of harming themselves or others. These papers, available at www.nationalacademies.org/hmd/~media/Files/Activity%20Files/Global/2014-DEC-18/Youth-Acquisition-Carrying-Firearms-US.pdf, www.nationalacademies.org/hmd/~media/Files/Activity%20Files/Global/2014-DEC-18/Alcohol-Firearms.pdf, and www.nationalacademies.org/hmd/~media/Files/Activity%20Files/Global/2014-DEC-18/Firearms-Suicide-Homicide.pdf, were released in late 2014.

In February 2014, CDC met with a number of Executive Branch agencies, including representatives from HHS and the Department of Justice, to discuss approaches for strengthening data to understand patterns and characteristics of firearm violence, address research questions identified in the IOM/NRC report, ensure that research carried out by the different agencies is complementary and builds upon individual and collective strengths, and determine opportunities to collaborate on current or future efforts. For examples of CDC investigations, analyses of surveillance, and other data to document the public health burden of firearm injuries, see **Appendix A**.

In FY 2015, with increased appropriations, CDC expanded the National Violent Death Reporting System (NVDRS) from 18 to 32 participating states. In FY16, utilizing increased appropriation (\$4.7 million), CDC plans to expand the NVDRS to an additional four to seven states. NVDRS is a state-based surveillance system that pools information about the “who, when, where, and how” from data on violent deaths to provide insights on “why” they occur. It gives states and communities a clearer understanding of violent deaths to guide local decisions about efforts to prevent violence and track progress over time. Findings from NVDRS have resulted in tailored interventions, including increased veterans services to prevent suicide, ensuring child witnesses of domestic violence homicides are linked to social services, and screening older adults for depression.

- 4. In April 2013, the National Center for Injury Prevention and Control asked the Institute of Medicine to recommend a research agenda on the public health aspects of firearm-related violence. Please describe the actions the CDC plans to take in response to the findings of the Institute of Medicine report issued in June 2013.**

The President’s FY 2017 Budget request includes \$10 million in funding for gun violence prevention research. These funds would enable CDC to pursue research priorities identified in the IOM/NRC report.

Should funding become available, CDC will pursue research activities that align with the priorities identified in the IOM/NRC report, *Priorities for Research to Reduce the Threat of*

Firearm-Related Violence (available at www.nap.edu/read/18319/chapter/1). This includes understanding the characteristics of firearm violence (e.g., patterns of access and use among children and youth, and among high-risk racial/ethnic minority populations; rural/urban differences in firearm-related violence); the risk and protective factors for homicide and suicide firearm violence (e.g., alcohol, other situational or environmental factors; the factors influencing non-fatal firearm violence); and the effectiveness of interventions to prevent firearm violence (e.g., safe storage practices; whether existing evidence-based approaches and policies for preventing interpersonal violence are effective in reducing firearm-related deaths and injuries).

5. **From 1996 to the present, please describe notable examples of research conducted or funded by the CDC, including research by or through the National Center for Injury Prevention and Control, related to understanding gun violence.**

For a list of projects funded through the research grant programs, the Injury Control Research Centers (ICRC), and the first cycle of the Academic Centers of Excellence for Youth Violence Prevention (ACE), please see **Appendix B**.

5a. Please also provide all instances when the CDC included requests for gun violence research in its research proposal solicitation materials.

Firearm-related research priorities were included in funding solicitations from 1996-2001 within the context of addressing assaultive behavior among youth, suicidal behavior, intimate partner violence and sexual violence. The funding solicitations for the ICRCs and ACEs were broad and did not include specific priorities for firearm-related research. For a list of these funding announcements, please see **Appendix C**.

6. **For each year from FY1996 to FY2015, what portion of the CDC's budget, including the budget of the National Center for Injury Prevention and Control, has been devoted to gun violence research?**

In FY 1997, Congress redirected \$2.6 million from gun violence prevention activities to traumatic brain injury. CDC addresses firearm-related violence prevention in the context of other violence-related areas, including youth violence, child maltreatment, domestic violence, and sexual violence. These areas coincide with topical line items that are supported through CDC's annual appropriation for research and non-research activities. As previously noted, CDC has requested \$10 million to dedicate to gun violence prevention research in the FY 2017 President's Budget.

Because firearms are a cause of injuries in these related areas, CDC has awarded research grants that address firearms as part of their scope, based on a competitive process. Proposals are evaluated for scientific and technical merit by an external peer review group, in accordance with CDC peer review policy and procedures, using stated review criteria. Since awards are competitive, the funding levels for firearm-related activities from 1997 through 2015 have ranged from about \$100,000 to just over \$1 million. Comparisons to the total NCIPC budget or total CDC budget are not informative because the agency's budget structure and scope have changed dramatically in the past 20 years.

7. **Each year, CDC's Division of Violence Prevention solicits investigator-initiated research via an "RO1" Grant Program Announcement. The language in these announcements signals to grant-seeking public health researchers the research priorities of the CDC and its Division of Violence Prevention. Please describe any Division of Violence Prevention's RO1 Grant Program Announcements related to gun violence research put forward from 1996 to the present.**

Firearm-related research priorities were included in funding solicitations from 1996-2001 within the context of addressing assaultive behavior among youth, suicidal behavior, intimate partner violence, and sexual violence. All R01 applications were evaluated for scientific and technical merit by an external peer review group, in accordance with CDC peer review policy and procedures, using stated review criteria. Following initial peer review, recommended applications received a second level of review. A variety of factors were considered in making funding decisions, such as scientific and technical merit of the proposed project as determined by scientific peer review, availability of funds, and relevance of the proposed projects to program priorities.

The research solicitations during these years focused on enhancing the understanding of social, economic, and environmental factors that may impact the frequency and severity of these forms of violence. The research solicitations also focused on enhancing evaluations of policies, programs, or other interventions that may reduce morbidity, mortality, and disabilities associated with suicidal behavior, assaultive violence, firearm-related injuries, intimate partner violence, and sexual violence. Researchers proposed firearm-related research projects in the Injury Control Research Center (ICRC) grants and in the first cycle of funding for the Academic Centers of Excellence for Youth Violence Prevention (ACEs) during this period. The funding solicitations for the ICRCs and ACEs were broad and did not include specific priorities for firearm-related research. **See Appendix C.**

The funding priorities for the R01 investigator-initiated research grants from 2002-2012 emphasized dissemination research and effectiveness research, particularly the effectiveness of primary prevention strategies to prevent child maltreatment, intimate partner violence, sexual violence, youth violence, and suicidal behavior. The research objectives outlined in Funding Opportunity Announcements are based on priorities in the NCIPC Research Agenda.

8. **The National Violent Death Reporting System collects and combines data from multiple sources to provide states and communities with a more complete record of the circumstances surrounding violent deaths. Participation from all 50 states would significantly increase the amount of data available to the National Violent Death Reporting System and, thereby, improve its effectiveness. In how many states has the National Violent Death Reporting System been implemented?**

NVDRS has been implemented in 32 states, and with the FY2016 appropriations increase, the system will expand to include an additional four to seven states. The funding announcement was recently released, and states' applications are due to CDC on May 27. Final funding decisions will be made by September. CDC has requested an increase of \$7.6 million in FY 2017 in order to support NVDRS nationwide.

8a. How many states have applied to be included in this system?

Over the years, 41 states have applied to the NVDRS funding opportunity announcements. This year, 18 states and Washington, DC, are eligible to apply. The remaining 32 states are funded for multiple years. Therefore, they are not eligible to apply this year.

8b. What circumstances have prevented all state applicants from being added to the National Violent Death Reporting System?

Currently, NVDRS does not include all state applicants because levels of funding are not sufficient to support every state. Therefore, all prior funding opportunity announcements for NVDRS have been competitive. Based on objective reviews, criteria for not funding prior applicants include lack of an injury prevention (or other suitable public health) infrastructure to provide adequate staffing and resources, inability to develop or demonstrate partnerships with data providers (vital registrars, coroners/medical examiners, or law enforcement) required for NVDRS, problems with grant/application writing, and/or state legislation that restricts sharing of data required for NVDRS.

The FY 2017 President's Budget includes \$23.5 million in funding for the National Violent Death Reporting System. With the total request of \$23.5 million, CDC will be able to complete the expansion of NVDRS to all 50 states and Washington, DC.

CDC expects that all states will apply for NVDRS funding should full funding be provided to support a national system. In FY 2016 and FY 2017, to prepare for additional expansion, CDC and our partners will continue to work with unfunded states to determine barriers related to collecting violent death data and develop strategies to address identified barriers. CDC has and will continue to collaborate with partners to provide training to previously unfunded states to offer guidance for implementing the system and for facilitating collaboration between previously unfunded states and experienced states.

9. Has the CDC previously entered into any agreements with the National Rifle Association offering to provide advanced notice of any publication on the subject of gun violence? If so, please provide a description of any such agreements as well as communications and documents memorializing the agreements.

CDC routinely informs stakeholder organizations, including the National Rifle Association, when articles of interest, such as articles on firearm-related violence, are released.

10. From 1996 to the present, has the CDC instructed any employee or researcher to not conduct scientific research on gun violence? Has the CDC instructed any employees or researchers to re-write reports submitted for publication to avoid using any variation of the word "gun"?

CDC has not instructed employees or researchers to refrain from scientific research on gun violence. To ensure scientific integrity, technical accuracy, consistency with appropriations language, and usefulness to the intended audience, CDC has a standard agency review process for any manuscript or report produced by CDC scientists. Agency review is not specific to any topic area.

In the course of reviewing manuscripts or reports on firearm violence, CDC has asked employees to use correct terminology—for example, to say “died as a result of a firearm-related injury” vs. “died from a firearm” in the same way as one would write “died as a result of a motor-vehicle crash” vs. “died from a car.”

11. What remedies are available to CDC researchers who believe their scientific research has been inappropriately suppressed or discouraged? Please describe any review or appeals processes and include a list of the offices or review boards who would address any such concerns.

CDC is committed to a transparent research process and works to conduct scientific research in a manner that increases our knowledge of public health and ensures scientific quality and integrity. As diligent stewards of the public funds entrusted to us, CDC programs work to ensure that our scientific efforts meet established public health goals. Working with their leadership, scientists and subject matter experts ensure accuracy, validity, and appropriateness of results and findings and follow best practices to assure scientific quality and integrity. CDC scientists are required to complete scientific integrity and quality training.

CDC has established an organizational framework that supports its scientists through the Associate Director for Science (ADS) structure. Through the ADS structure, CDC scientists can consult with their manager, leader, or ADS in their immediate program if they have concerns about research decisions. The ADS in the immediate program may escalate the matter to ADSs serving at higher organizational levels within the agency, as needed. Scientists may also escalate the matter to an ADS serving at higher organizational levels if they are in disagreement with the ADS in their immediate program or believe their research has been inappropriately discouraged.

To enhance the agency’s strategic approach to scientific research, CDC also has established the Excellence in Science Committee (EISC). The EISC provides a forum for information exchange among CDC’s ADSs. As an advocate for scientific quality and integrity, the EISC serves as a consulting body for science-related issues and makes recommendations when appropriate.

Enclosure

Appendix A – Examples of CDC firearm-related surveillance activities and analyses

Fowler KA, Dahlberg LL, Haileyesus T, Annest JL. Firearm injuries in the United States. *Preventive Medicine* 2015; 79:5-14.

Sullivan EM, Annest JL, Simon TR, Luo F, Dahlberg L. Suicide trends among persons aged 10–24 years — United States, 1994–2012. *Morbidity and Mortality Weekly Report* 2015; 64(08):201-205.

Kegler SR, Mercy JA. Firearm homicides and suicides in major metropolitan areas—United States, 2006-2007 and 2009-2010. *Morbidity and Mortality Weekly Report* 2013; 62(30):597-602.

Sullivan, E., Annest, J. L., Luo, F., Simon, T. R., & Dahlberg, L. L. Suicide among adults aged 35–64 years—United States, 1999–2010. *Morbidity and Mortality Weekly Report*, 2013; 62(17):321-325.

Ferdon CD, Dahlberg LL, Kegler S. Homicide rates among persons aged 10-24 years – United States, 1981-2010. Centers for Disease Control and Prevention. *Morbidity and Mortality Weekly Report*, 2013; 62(27):545-548.

Egley A, Logan J, McDaniel D. Gang Homicides — Five U.S. Cities, 2003–2008. *Morbidity and Mortality Weekly Report*, 2012; 61(03):46-51.

Enclosure

Appendix B – CDC firearm-related research projects

Projects listed below were funded through the research grant programs, the Injury Control Research Centers (ICRC) and the first cycle of the Academic Centers of Excellence for Youth Violence Prevention (ACE).

Jeffrey Fagan
Situational Contexts of Gun and Non-Gun Injuries
R49/R01 1995-1997

Jeffrey Fagan
Lethal & Non-Lethal Adolescent Violence: Social, Economic, & Neighborhood
R49/R01 1996-1998

David McDowall
Injury Prevention Effects of Violence Interventions
R49/R01 1996-1998

David Grossman
Firearm Storage Device Evaluation
R49/R01 1998-2000

David Hemenway
Adult Firearms Survey
ICRC 1998-2001 (Harvard)

Daniel Webster
Understanding risks for retaliatory shootings and opportunities for prevention
ICRC 1999-2000 (Hopkins)

Daniel Webster
Estimating the effects of laws setting minimum legal age for handgun purchase and possession on youth suicide and homicide
ACE 2000-2005

David Hemenway
Evaluation of State-Level Firearms Policies
ICRC 2001-2006 (Harvard)

Appendix C – Research solicitations

A synopsis of firearm-related funding announcements, from 1996-2001, within the context of addressing assaultive behavior among youth, suicidal behavior, intimate partner violence and sexual violence, is provided below.

1996

FOA# CE96-011 Grants for Violence-Related Injury Prevention Research

Grant applicants should concentrate on the need to reduce morbidity, mortality, and disabilities caused by suicidal behavior, assaultive behavior among youth, and family and intimate partner violence.

1. Injury from Suicidal and Assaultive Behavior

Enhancing our understanding of social, economic, and environmental factors that may affect suicidal behavior:

- Study how choice of method (firearm, overdosing, etc.) in planning or attempting suicidal behavior is influenced by cultural, social, or environmental factors.
- Conduct research to determine the nature of suicide risk among gay and lesbian persons in comparison to the general population.
- Evaluate policies, programs, or interventions that may reduce suicidal behavior via the modification of social, economic, or environmental circumstances.
- Assess the effectiveness of interventions that attempt to remove access to lethal means in reducing injury and severity of injury from suicidal behavior.

Enhancing our understanding of the importance of social and economic factors that influence assaultive behavior among youth:

- Study why many socioeconomically disadvantaged youth do not engage in assaultive behavior despite their socioeconomic status.
- Undertake research to increase our understanding of relationships between poverty and assaultive behavior among youth.
- Study how unequal access to criminal justice, health care, and educational systems is related to assaultive behavior.
- Evaluate policies, programs, or interventions that may reduce assaultive behavior among youth via the modification of social or economic circumstances.

2. Family and Intimate Violence Prevention

Address and define the needs of mothers and children in families where intimate violence occurs.

- Undertake research to determine effective interventions for mothers and children in families with ongoing violence
- Conduct studies to determine which mothers and children are most likely to be helped by interventions designed for families with ongoing violence
- Examine variables related to mothers, children, and families that may predict intervention effectiveness
- Conduct studies related to the impact of children witnessing violence in their families.

Define the incidence or prevalence of functional limitations and disabilities among women as a result of intimate partner violence.

- Quantify injuries sustained (nature and severity) and subsequent short and long-term (1-year) functional limitations and disability
 - Quantify the use of acute care, mental health, rehabilitation, and social services
 - Identify risk factors for adverse outcomes
-

1998

FOA# CE98-029 Grants for Violence-Related Injury Prevention Research

Grant applicants should concentrate on the need to reduce morbidity, mortality, and disabilities caused by suicidal behavior, firearm-related injury, sexual violence, or intimate partner violence.

1. *Injury prevention research addressing emerging issues in suicidal behavior*
 - Conduct research to develop and improve measurement instruments for the identification and study of suicides and suicide attempts in surveys, research studies, and surveillance systems.
 - Conduct research designed to improve understanding of the nature of suicide risk among emerging high-risk populations such as young African American males.
 - Conduct research that further illuminates understanding of the contribution of potential risk factors for suicide such as impulsivity, sexual orientation, and hopelessness.
 2. *Injury prevention research addressing firearm-related injuries among children and adolescents*
 - Conduct research to improve understanding of the motivations and deterrents for weapon carrying behavior among adolescents at high risk for firearm-related injuries.
 - Conduct research that estimates injury risk associated with firearm storage or carriage practices.
 - Conduct research that addresses the effects of firearm safety training and education programs on firearm storage and carriage practices.
 3. *Injury prevention research addressing sexual violence or intimate partner violence*
 - Conduct research to address the impact of welfare and welfare-to-work programs on women (and their children) who experience intimate partner violence.
 - Conduct research to determine the effectiveness of prevention programs for adolescent males at risk for perpetration of sexual violence or intimate partner violence or intervention programs for perpetrators of sexual violence or intimate partner violence.
 - Conduct research on risk factors for perpetration of sexual violence.
-

1999

FOA# CE99-055 Extramural Grants for Violence-Related Injury Evaluation Research

The purposes of this program are to: evaluate the effectiveness and/or cost effectiveness of interventions and policies designed to reduce morbidity, mortality, and disabilities caused by suicidal behavior, firearm-related injury, sexual violence, or intimate partner violence.

1. In the area of suicide, there is particular interest in projects to evaluate suicide prevention interventions for general or high risk populations and projects to evaluate services provided in various settings such as a managed care setting.
2. In the area of firearm injuries, there is particular interest in projects evaluating prevention programs and policies that offer promise in preventing firearm injuries among children and adolescents (e.g., safe storage of firearms in homes, safe gun technology, curricula to promote gun safety for children and adolescents).

3. In the areas of sexual violence and intimate partner violence, there is particular interest in evaluation research to determine the effectiveness of:
 - Prevention programs for adolescent males at risk for perpetration of sexual violence or intimate partner violence; or
 - Intervention programs for perpetrators of sexual violence or intimate partner violence.
-

2001

FOA# CE01-016 Grants for Violence-Related Injury Prevention Research

Research is sought to better understand the etiology of violence and its consequences, to determine how best to prevent violence-related injury among different segments of the population and in different settings, and how best to reduce the severity of the emotional and physical consequences of violence.

1. *Improve understanding of the etiology of violence (i.e., interpersonal youth violence, child abuse, intimate partner violence, suicide, and sexual assault) and its consequences through research that addresses:*
 - The independent, additive, interactive, and sequential effects of psychological, socioeconomic, and environmental risk and protective factors.
 - Factors that have differential effects on the onset, persistence, escalation, de-escalation, or desistance of violent offending at different ages.
 - Factors that increase the severity of the emotional and physical consequences of violence and suicidal behavior.
 - The effect of social and economic risk and protective factors such as poverty, social contagion, social norms, and social capital on interpersonal violence.
 - The effect of psychological, social, and environmental factors not directly related to mental health on suicide.
 - The risks and benefits of firearm access or carrying.
2. *Improve understanding of the relationships between different types of violence. of particular concern are:*
 - The relationship between intimate partner violence victimization and perpetration to child abuse.
 - The effects of exposure to child abuse and intimate partner violence on suicidal behavior.
 - The effects of witnessing violence as a child in the home and community on violent behavior during adolescence and adulthood.
3. *Design and test preventive interventions for intimate partner violence, sexual violence, suicidal behavior, and child abuse.*
4. *Evaluate the feasibility and impact of screening and intervention methods in the acute medical care setting for youth interpersonal violence, child abuse, suicidal ideation, and intimate partner violence.*
5. *Advance our understanding of the effectiveness of interventions to prevent youth violence by evaluating:*
 - The long-term impact of promising interventions.
 - Multifaceted interventions to prevent youth violence.

Enclosure

- The effect youth-violence-prevention strategies in diverse cultural and social settings.
 - The cost effectiveness of promising interventions
-

2015

FOA# CE15-001 Research Grants for Preventing Violence and Violence-Related Injury

NCIPC is soliciting investigator-initiated research that will help expand and advance knowledge in three areas: (1) how best to disseminate, implement, and translate evidence-based primary prevention strategies, programs and policies designed to reduce youth violence; (2) what works to prevent violence by rigorously evaluating primary prevention strategies, programs, and policies; and (3) research to determine ways to effectively prevent serious and lethal interpersonal and self-directed violence. The following research objectives are the focus of this announcement:

1. *Research to prevent youth violence:*

- Dissemination/implementation/translation research to accelerate the adoption of evidence-based strategies, programs, and policies to prevent youth violence. There is particular interest in research that examines how models that have shown preventive effects on violence outcomes at the community level (e.g., Communities That Care, Cardiff Violence Prevention Program) can be adopted for use in high risk communities. Prevention models that bring together different sectors within communities to make data driven decisions about the set of evidence-based prevention activities that are most appropriate for the local community and then ensure implementation of those strategies have the potential to reduce risk for violence at the community level. Additional research is needed to help communities understand the capacity needed to implement these models, how the models can be appropriately adopted, and the effects of modifications on violence outcomes.
- Effectiveness research to determine which community-level and societal-level strategies, programs, and policies effectively prevent youth violence. This includes studies to assess the effectiveness of economic development schemes (e.g., business improvement districts) and other efforts to improve the physical, social, and economic characteristics of neighborhoods; and the effectiveness of strategies aimed at reducing the level and concentration of community risk factors. There is also interest in the area of youth violence to assess the economic efficiency of strategies, programs and policies designed to prevent youth violence.
- Effectiveness research to prevent serious and lethal violence among youth. Although there is a strong and growing evidence-base to prevent youth violence (e.g., universal school-based programs, parent/family focused interventions), there is less evidence addressing the more serious forms of violence among youth. Research is needed to determine ways to effectively prevent serious and lethal violence involving youth, particularly identifying and evaluating strategies addressing the leading mechanisms of youth homicide and assault-related injuries.

2. *Research to prevent teen dating violence, intimate partner violence, and sexual violence:*

- Within the context of teen dating violence, intimate partner and sexual violence, there is interest in assessing the efficacy/effectiveness of primary prevention strategies aimed at preventing the initial perpetration of violence and promoting respectful, nonviolent relationships.⁶ Intervening in ways that prevent the initial perpetration of violence, that alter developmental trajectories leading to initial perpetration of violence, and that promote an environment of nonviolence and respect is key to eliminating sexual and intimate partner violence.
- Effectiveness research to determine which community-level and societal-level strategies, programs, and policies effectively prevent teen dating violence, intimate partner and sexual

violence. This includes studies to assess the effectiveness of economic schemes (e.g., microfinance, business improvement districts) and other efforts to improve the physical, social, and economic characteristics of neighborhoods and other settings; studies to assess the effectiveness of social and cultural norm change strategies at the community and societal level aimed at changing social contexts that condone or tolerate aggression and perpetration; and the effectiveness of strategies aimed at reducing the level and concentration of community risk factors.

- There is also interest in studies to assess the effectiveness of programs, policies, or strategies to prevent injuries and deaths in the context of teen dating violence and intimate partner violence. Women are much more likely than men to be injured or killed in incidents of violence between intimate partners. Research is needed to determine ways to effectively prevent serious and lethal violence against intimate partners, particularly identifying and evaluating strategies addressing the leading mechanisms of intimate partner homicide.

3. *Research to prevent suicidal behavior:*

- In the area of suicidal behavior, there is interest in efficacy/effectiveness studies of social, economic, and environmental primary prevention strategies to prevent suicidal behavior, including strategies aimed at enhancing connectedness for groups at high-risk for suicidal behavior and community-level efforts to reduce social isolation and stigma associated with seeking help for personal crises. There is also interest in studies to determine whether evidence-based programs for other forms of violence can also prevent suicidal behavior. Suicidal behavior and interpersonal violence share a number of risk and protective factors. However, only a limited number of evaluations of strategies that have demonstrated reductions in interpersonal violence have examined the impact of these strategies on suicidal behavior.
- There is also interest in studies assessing the effectiveness of programs, policies, and other intervention strategies to reduce access to lethal means. Research indicates that the means used in suicidal behavior (e.g., jumping from a bridge, hanging or suffocation versus taking pills) has a substantial impact on whether the act results in significant injury or death. Strategies related to means restriction, however, have rarely been rigorously evaluated particularly for their impact and feasibility for broader implementation. Knowledge is also limited regarding the effects of means restriction on different age groups, and how means substitution (i.e., switching from one suicide method to another) will limit the effectiveness of means-restriction strategies.

Grants for Injury Control Research Centers (ICRCs)

The purposes of this program are: 1) To support injury prevention and control research on priority issues as delineated in: Healthy People 2000; Injury Control in the 1990's: A National Plan for Action; Injury in America; Injury Prevention: Meeting the Challenge; and Cost of Injury: A Report to the Congress; 2) To support ICRCs which represent CDC's largest national extramural investment in injury control research and training, intervention development, and evaluation; 3) To integrate collectively, in the context of a national program, the disciplines of engineering, epidemiology, medicine, biostatistics, public health, law and criminal justice, and behavioral and social sciences in order to prevent and control injuries more effectively; 4) To identify and evaluate current and new interventions for the prevention and control of injuries; 5) To bring the knowledge and expertise of ICRCs to bear on the development and improvement of effective public and private sector programs for injury prevention and control; and

Enclosure

6) To facilitate injury control efforts supported by various governmental agencies within a geographic region.

Grants for Academic Centers of Excellence for Youth Violence Prevention

The primary objectives of the Centers were to: 1) Build the scientific infrastructure necessary to support the development and widespread application of effective youth violence interventions, 2) promote interdisciplinary research strategies to address the problem of youth violence 3) foster collaboration between academic researchers and communities, and 4) empower communities to address the problem of youth violence. For the research component, centers could propose studies addressing the risk and protectives associated with youth violence as well as efficacy and effectiveness trials to prevent youth violence.

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WASHINGTON, DC 20510-6250

CHRISTOPHER R. HIXON, STAFF DIRECTOR
GABRIELLE A. BATKIN, MINORITY STAFF DIRECTOR

May 25, 2016

Nancy Rodriguez
Director
National Institute of Justice
810 Seventh Street, NW
Washington, DC 20531

Dear Ms. Rodriguez

I write today to request information regarding the National Institute of Justice's support for scientific research into the causes and prevention of gun violence.

In the aftermath of the shooting at Sandy Hook Elementary School, President Obama issued a memorandum in January 2013 directing scientific agencies within the Department of Health and Human Services to conduct or sponsor public health research into the causes of gun violence and the ways to prevent it.¹ In response, the Centers for Disease Control and Prevention (CDC) asked the Institute of Medicine to convene stakeholders to identify the most pressing research questions on gun violence.² The CDC also met with a number of executive branch agencies to discuss approaches for strengthening data to understand patterns and characteristic of firearm violence, address research questions, and determine opportunities to collaborate on current or future efforts.

To better understand the National Institute of Justice's efforts related to gun violence release and the President's memorandum, please provide the following information:

1. Please describe the National Institute of Justice's policy toward scientific research into the causes and prevention of gun violence.
2. Please describe the efforts the National Institute of Justice has taken or plans to take in response to the President's January 2013 memorandum regarding gun violence research.
3. From 1996 to the present, please describe notable examples of research conducted or funded by the National Institute of Justice related to gun violence. Please also

¹ Presidential Memorandum – Engaging in Public Health Research on the Causes and Prevention of Gun Violence (Jan. 16, 2013).

² In March 2016, National Academies of Sciences, Engineering, & Medicine renamed the Institute of Medicine as the Health and Medicine Division.

Nancy Rodriguez

May 25, 2016

Page 2

provide all instances when the National Institute of Justice included requests for gun violence research in its research proposal solicitation materials.

4. For each year from FY1996 to FY2015, what portion of the National Institute of Justice's budget has been devoted to gun violence research?
5. From 1996 to the present, has the National Institute of Justice faced any obstacles, such as a lack of funding or interest from the research community, in conducting scientific research on gun violence?

Please respond to this letter by June 24, 2016. The Committee's minority staff is authorized to conduct this investigation under the authority of Senate Rule XXV and Senate Resolution 73 (114th Congress). If you or members of your staff have any questions about this request, please feel free to contact Roberto Berrios at (202) 224-2627. Thank you for your attention to this matter.

With best personal regards, I am

Sincerely yours,



Tom Carper
Ranking Member

cc: The Honorable Ron Johnson
Chairman

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COMMITTEE ON
HOMELAND SECURITY AND GOVERNMENTAL AFFAIRS

WASHINGTON, DC 20510-6250

May 25, 2016

The Honorable Dr. Francis S. Collins
Director
National Institutes of Health
1 Center Drive
Bethesda, MD 20892

Dear Dr. Collins:

I write today to request information regarding the support of the National Institutes of Health for scientific research into the causes and prevention of gun violence.

In the aftermath of the shooting at Sandy Hook Elementary School, President Obama issued a memorandum in January 2013 directing scientific agencies within the Department of Health and Human Services to conduct or sponsor public health research into the causes of gun violence and the ways to prevent it.¹ In response, the Centers for Disease Control and Prevention (CDC) asked the Institute of Medicine to convene stakeholders to identify the most pressing research questions on gun violence.² The CDC also met with a number of executive branch agencies to discuss approaches for strengthening data to understand patterns and characteristic of firearm violence, address research questions, and determine opportunities to collaborate on current or future efforts.

To better understand the efforts of the National Institutes of Health related to gun violence release and the President's memorandum, please provide the following information:

1. Please describe the policy of the National Institutes of Health toward scientific research into the causes and prevention of gun violence.
2. Please describe the efforts the National Institutes of Health have taken or plans to take in response to the President's January 2013 memorandum regarding gun violence research.
3. From 1996 to the present, please describe notable examples of research conducted or funded by the National Institutes of Health related to gun violence. Please also

¹ Presidential Memorandum – Engaging in Public Health Research on the Causes and Prevention of Gun Violence (Jan. 16, 2013).

² In March 2016, National Academies of Sciences, Engineering, & Medicine renamed the Institute of Medicine as the Health and Medicine Division.

The Honorable Dr. Francis S. Collins

May 25, 2016

Page 2

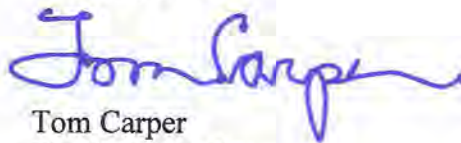
provide all instances when the National Institutes of Health included requests for gun violence research in its research proposal solicitation materials.

4. For each year from FY1996 to FY2015, what portion of the budget of the National Institutes of Health has been devoted to gun violence research?
5. From 1996 to the present, have the National Institutes of Health faced any obstacles, such as a lack of funding or interest from the research community, in conducting scientific research on gun violence?

Please respond to this letter by June 24, 2016. The Committee's minority staff is authorized to conduct this investigation under the authority of Senate Rule XXV and Senate Resolution 73 (114th Congress). If you or members of your staff have any questions about this request, please feel free to contact Roberto Berrios at (202) 224-2627. Thank you for your attention to this matter.

With best personal regards, I am

Sincerely yours,



Tom Carper
Ranking Member

cc: The Honorable Ron Johnson
Chairman

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CHRISTOPHER R. HIXON, STAFF DIRECTOR
GABRIELLE A. BATKIN, MINORITY STAFF DIRECTOR

May 25, 2016

Bruce B. Darling
Executive Officer
National Research Council
500 Fifth Street, NW
Washington, DC 20001

Dear Mr. Darling:

I write today to request information regarding the National Research Council's support for scientific research into the causes and prevention of gun violence.

In the aftermath of the shooting at Sandy Hook Elementary School, President Obama issued a memorandum in January 2013 directing scientific agencies within the Department of Health and Human Services to conduct or sponsor public health research into the causes of gun violence and the ways to prevent it.¹ In response, the Centers for Disease Control and Prevention (CDC) asked the Institute of Medicine to convene stakeholders to identify the most pressing research questions on gun violence.² The CDC also met with a number of executive branch agencies to discuss approaches for strengthening data to understand patterns and characteristic of firearm violence, address research questions, and determine opportunities to collaborate on current or future efforts.

To better understand the National Research Council's efforts related to gun violence release and the President's memorandum, please provide the following information:

1. Please describe the National Research Council's policy toward scientific research into the causes and prevention of gun violence.
2. Please describe the efforts the National Research Council has taken or plans to take in response to the President's January 2013 memorandum regarding gun violence research.
3. From 1996 to the present, please describe notable examples of research conducted or funded by the National Research Council related to gun violence. Please also

¹ Presidential Memorandum – Engaging in Public Health Research on the Causes and Prevention of Gun Violence (Jan. 16, 2013).

² In March 2016, National Academies of Sciences, Engineering, & Medicine renamed the Institute of Medicine as the Health and Medicine Division.

Bruce B. Darling

May 25, 2016

Page 2


provide all instances when the National Research Council included requests for gun violence research in its research proposal solicitation materials.

4. For each year from FY1996 to FY2015, what portion of the National Research Council's budget has been devoted to gun violence research?
5. From 1996 to the present, has the National Research Council faced any obstacles, such as a lack of funding or interest from the research community, in conducting scientific research on gun violence?

Please respond to this letter by June 24, 2016. The Committee's minority staff is authorized to conduct this investigation under the authority of Senate Rule XXV and Senate Resolution 73 (114th Congress). If you or members of your staff have any questions about this request, please feel free to contact Roberto Berrios at (202) 224-2627. Thank you for your attention to this matter.

With best personal regards, I am

Sincerely yours,



Tom Carper
Ranking Member

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CHRISTOPHER R. HIXON, STAFF DIRECTOR
GABRIELLE A. BATKIN, MINORITY STAFF DIRECTOR

May 25, 2016

The Honorable Dr. France A. Córdova
Director
National Science Foundation
4201 Wilson Boulevard
Arlington, VA 22230

Dear Dr. Córdova:

I write today to request information regarding the National Science Foundation's support for scientific research into the causes and prevention of gun violence.

In the aftermath of the shooting at Sandy Hook Elementary School, President Obama issued a memorandum in January 2013 directing scientific agencies within the Department of Health and Human Services to conduct or sponsor public health research into the causes of gun violence and the ways to prevent it.¹ In response, the Centers for Disease Control and Prevention (CDC) asked the Institute of Medicine to convene stakeholders to identify the most pressing research questions on gun violence.² The CDC also met with a number of executive branch agencies to discuss approaches for strengthening data to understand patterns and characteristic of firearm violence, address research questions, and determine opportunities to collaborate on current or future efforts.

To better understand the National Science Foundation's efforts related to gun violence release and the President's memorandum, please provide the following information:

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2. Please describe the efforts the National Science Foundation has taken or plans to take in response to the President's January 2013 memorandum regarding gun violence research.
3. From 1996 to the present, please describe notable examples of research conducted or funded by the National Science Foundation related to gun violence. Please also

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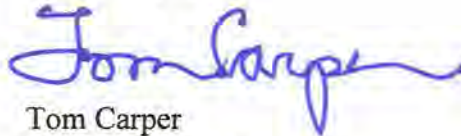
provide all instances when the National Science Foundation included requests for gun violence research in its research proposal solicitation materials.

4. For each year from FY1996 to FY2015, what portion of the National Science Foundation's budget has been devoted to gun violence research?
5. From 1996 to the present, has the National Science Foundation faced any obstacles, such as a lack of funding or interest from the research community, in conducting scientific research on gun violence?

Please respond to this letter by June 24, 2016. The Committee's minority staff is authorized to conduct this investigation under the authority of Senate Rule XXV and Senate Resolution 73 (114th Congress). If you or members of your staff have any questions about this request, please feel free to contact Roberto Berrios at (202) 224-2627. Thank you for your attention to this matter.

With best personal regards, I am

Sincerely yours,



Tom Carper
Ranking Member

cc: The Honorable Ron Johnson
Chairman

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COMMITTEE ON
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WASHINGTON, DC 20510-6250

June 17, 2016

Dr. Tom Frieden
Director
Centers for Disease Control and Prevention
1600 Clifton Road
Atlanta, GA 30329

Dear Director Frieden:

Let me begin by thanking you for your leadership of Centers for Disease Control and Prevention (CDC) during an especially challenging chapter in our nation's history. I also write today to urge the CDC to expand its support for scientific research into the causes and prevention of gun violence and to use available research funds to aid in this effort.

Following the deadliest shooting in our nation's history in Orlando on June 12, 2016, the American Medical Association (AMA) adopted a policy calling gun violence "a public health crisis" requiring a comprehensive response from the public health community. The AMA also cited a provision in current law that it believes has prohibited the CDC from researching gun violence for the past 20 years.

While I agree with the AMA that gun violence is a public health crisis and commend their dedication to its prevention, I believe the AMA was incorrect in suggesting that the CDC is banned from conducting gun violence research.

As you may recall, I wrote to you earlier this year requesting information regarding the CDC's interpretation of the Dickey Amendment, the provision in law that the AMA believes restricts the CDC's gun violence research efforts. In response, the CDC indicated that it interpreted the amendment to "prohibit impermissible lobbying related to advocating or promoting gun control" but that "activities that supported the collection of firearm injury-related data and engagement in scientific, public health research directed to preventing injuries from violence and firearms were still permissible." The CDC also stated that "understanding the patterns, characteristics, and impact of firearm violence is an important step toward preventing firearm injuries and deaths in the United States."

The CDC's response and conversations with my staff have also informed me that the CDC is reluctant to conduct gun violence research, not because of the Dickey Amendment, but due to limited funding in the absence of a \$10 million line-item appropriation for gun violence research. Despite President Obama's FY 2016 and 2017

Dr. Tom Frieden
June 17, 2016
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budget requests including \$10 million for research on the causes of gun violence and ways to prevent it, Congress has not acted to provide any level of funding for this effort. This is a failure on the part of Congress, and I am committed to helping the CDC obtain this additional funding.

However, in the absence of Congressional leadership, I strongly urge the CDC to prioritize existing funds to allow a more robust research process to begin. The CDC has done some work, including a recent report on gun violence in my hometown of Wilmington, Delaware, an expansion of the National Violent Death Reporting System, and an effort with stakeholders to identify the most pressing research questions on this issue. However, the public health community has an opportunity to do much more while also respecting the right of law-abiding citizens to buy and own firearms under the Second Amendment of the United States Constitution.

Using a public health approach of defining problems, identifying risk factors, and testing prevention strategies is a common sense step the CDC and our nation can take to reduce gun violence. Thank you very much for your consideration of this request and for your leadership of CDC.

With best personal regards, I am

Sincerely yours,



Tom Carper
Ranking Member

cc: The Honorable Ron Johnson
Chairman

NATIONAL SCIENCE FOUNDATION
4201 WILSON BOULEVARD
ARLINGTON, VIRGINIA 22230



July 1, 2016

The Honorable Tom Carper
Ranking Member
Committee on Homeland Security and Governmental Affairs
United States Senate
Washington, DC 20510

Dear Senator Carper:

Thank you for your letter of May 25, 2016. Below are the National Science Foundation's responses to your inquiry regarding the agency's support for scientific research into the causes and prevention of gun violence:

1. Please describe the National Science Foundation's policy toward scientific research into the causes and prevention of gun violence.
The National Science Foundation (NSF) supports basic research to promote the progress of science and engineering – this research drives scientific discovery, maintains America's global competitiveness, and builds the modern workforce that is critical for addressing the complex challenges that face the Nation. NSF does not have a proposal or award policy related to scientific research into the causes and prevention of gun violence.
2. Please describe the efforts the National Science Foundation has taken or plans to take in response to the President's January 2013 memorandum regarding gun violence research.
The President's January 2013 memorandum regarding gun violence research provides Presidential direction to the Secretary of Health and Human Services, through the Director of the Centers for Disease Control and Prevention and other scientific agencies within the Department of Health and Human Services. NSF is an independent agency, and does not fall under the direction of the Secretary of Health and Human Services.
3. From 1996 to the present, please describe notable examples of research conducted or funded by the National Science Foundation related to gun violence. Please also provide all instances when the National Science Foundation included requests for gun violence research in its research proposal solicitation materials.
Please see the attachment for examples of NSF-funded research conducted during this time period that could be related to the causes and prevention of gun violence. NSF funding opportunities are identified at <http://nsf.gov/funding/index.jsp>. As you will note, solicitations are typically general, disciplinary-based announcements intended to permit NSF to invest in a robust and diverse portfolio of scientific research projects.

4. For each year from FY1996 to FY2015, what portion of the National Science Foundation's budget has been devoted to gun violence research?
NSF does not have a budget line-item dedicated to gun violence research.

5. From 1996 to the present, has the National Science Foundation faced any obstacles, such as a lack of funding or interest from the research community, in conducting scientific research on gun violence?
NSF cannot predict the types of proposals the research community will submit to the agency when a general solicitation is released – for example, NSF's Directorate for Social, Behavioral, and Economic Sciences supports research that builds fundamental knowledge of human behavior, interaction, and social and economic systems, organizations and institutions. NSF is focused on funding national needs at the frontiers of science and engineering, as considered through the Agency's merit review process.

NSF supports research, innovation, and discovery that provides the foundation for economic growth in this country. By advancing the frontiers of science and engineering, our nation can develop the knowledge and cutting edge technologies needed to address the challenges we face today and will face in the future.

We greatly appreciate your interest in the work of the National Science Foundation. Please contact Amanda Hallberg Greenwell, Head, Office of Legislative and Public Affairs at (703) 292-8070 if you have additional questions.

Sincerely,



France A. Cordova
Director

Attachment

Identical Letter to:
The Honorable Ron Johnson, Chair

Attachment A: Examples of research funded by the National Science Foundation related to gun violence, 1996-present.

Award Number	Title
9515327	Situational Contexts of Gun Use By Young Males
9727882	Violent Incidents Among African-American Public School Students: A Proposal for Research
9808050	Why Northern New Englanders Seldom Commit Murder: Violent Crime and Violent Death in New Hampshire and Vermont
9910223	SGER: Coping with Community-based Traumatic Events: The Columbine High School Shootings and the 9/11 Terrorist Attacks
0242106	Gun Control and the Cultural Theory of Risk
0215551	National Consortium on Violence Research
0750762	Social and Behavioral Dimensions of Violent Crime
0735471	SGER: Campus Violence: Exploring a Community's Response to Tragedy
0737940	SGER: Coping, Adjustment, and Resilience Among College Women Following the Mass Shooting at Virginia Tech
0921619	Doctoral Dissertation Research in Political Science: The Logic of Armed Violence in Drug Wars
1060949	Testing Competing Theories of Violence
1151449	CAREER: "Crime Victimization Patterns in American Cities"
1422327	Collaborative Research: Threat Perception Following Mass Violence Events
1624296	RAPID: Risk Perception, Threat, and Anxiety Decay in Lone-Wolf Terrorist Events in the US
1602672	Doctoral Dissertation Research: Mass Shootings and the Gun Control and Gun Rights Movements
1613947	EAPSI: A Psychology of Gun Ownership

More detailed information, including the award abstract, researcher names, institutions, programs and other data associated with the awards listed above can be found at <http://nsf.gov/awardsearch/>.

The National Academies of
SCIENCES • ENGINEERING • MEDICINE

National Research Council
Executive Office

July 21, 2016

The Honorable Tom Carper
Ranking Member
Committee on Homeland Security and Governmental Affairs
United States Senate
Washington DC 20510-6250

Dear Senator Carper:

Thank you for your letter of May 25th concerning research on gun violence. We are pleased to provide the information you requested even though our institution is not a government agency. As you may know, the National Research Council is a part of the National Academy of Sciences, an independent 501 (c) (3) non-profit organization, and not a federal agency that funds research.

Our responses to your questions appear in the order in which they appear in your letter.

1. The National Research Council (NRC) does not have a policy on research into the causes and prevention of gun violence. We have a history of providing advice on the causes and prevention of gun violence just as we have on a wide range of topics for which science, engineering, and medicine can provide evidence-based findings and recommendations. We provide this advice by convening a balanced committee of prominent experts to study a topic. Each committee's work undergoes a rigorous review by an equally qualified group of independent reviewers. Once we are satisfied that the report has met our standards, the report is then released to the public.
2. Because the NRC is a non-profit organization, and not a government agency, we did not develop a plan in response to the President's January 2013 memorandum on gun violence research.
3. We have completed the following reports dealing directly with gun violence since 1996:

Means of Violence: Workshop in Brief (HMD, BCYF, CLAJ) 2015

In an average day, there are approximately 4,000 violent deaths across the globe. In 1 week, there are 26,000, and in 1 month, 120,000. Workshop speaker James Mercy of the Centers for Disease Control and Prevention (CDC) highlighted that these figures are directly influenced by the means and methods selected as tools of violence and their degree of lethality; simply put, means matter.

The Honorable Tom Carper

Page 2

July 21, 2016

Priorities for Research to Reduce the Threat of Firearm-Related Violence (CLAJ, IOM) 2013

In 2010, more than 105,000 people were injured or killed in the United States as the result of a firearm-related incident. This report presents a potential research agenda that focuses on the causes of, possible interventions to, and strategies to minimize the burden of firearm-related violence. It resulted from the request of the Centers for Disease Control and Prevention (CDC) and the CDC Foundation (mentioned in your letter) to the NRC and Institute of Medicine (IOM) to convene a committee of experts to develop a potential research agenda. The CDC requested this report soon after President Obama issued his executive orders directing federal agencies to improve knowledge pertinent to firearm-related violence.

Ballistic Imaging (CLAJ, CNSTAT, NMAB) 2008

Ballistic Imaging assesses the state of computer-based imaging technology in forensic firearms identification. The book evaluates the current law enforcement database of images of crime-related cartridge cases and bullets and recommends ways to improve the usefulness of the technology for suggesting leads in criminal investigations. It also advises against the construction of a national reference database that would include images from test-fires of every newly manufactured or imported firearm in the United States. The book also suggests further research on an alternate method for generating an investigative lead to the location where a gun was first sold: "microstamping," the direct imprinting of unique identifiers on firearm parts or ammunition.

Technological Options for User-Authorized Handguns: A Technology-Readiness Assessment (NAE) 2005

Misuse of handguns is a significant factor in deaths, morbidity, and crime in the United States. One approach to reducing certain types of handgun misuse is to create a user-authorized handgun (UAHG), a firearm that can be operated only by an authorized user(s). Technological Options for User-Authorized Handguns clarifies the technical challenges of developing a reliable UAHG. This report determines the requirements and specifications of UAHGs for those concerned with public and/or personal safety, and identifies technologies that could satisfy these needs.

Firearms and Violence: A Critical Review (CLAJ) 2004

For years proposals for gun control and the ownership of firearms have been among the most contentious issues in American politics. For public authorities to make reasonable decisions on these matters, they must take into account facts about the relationship between guns and violence as well as conflicting constitutional claims and divided public opinion. In performing these tasks, legislators need adequate data and research to judge both the effects of firearms on violence and the effects of different violence control policies.

We also bring to your attention a recent National Institute of Justice (NIJ) solicitation "Investigator-Initiated Research and Evaluation on Firearms Violence." This solicitation is directed to the research community and specifically references the Academies 2013 research priorities report described above (p. 4-5). A copy of this solicitation is attached.

The Honorable Tom Carper

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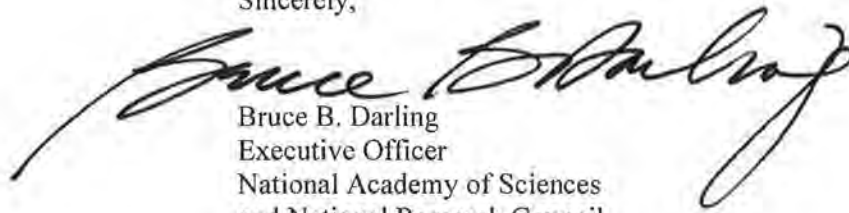
July 21, 2016

4. While it is difficult to provide a precise figure, our activities related to gun violence represent less than 1% of our annual expenditures. Since the Academy is not a research funding agency, we do not budget by issue area. All of our work is dependent on the receipt of specific grants or contracts, which prevents us from budgeting in advance.
5. Federal restrictions on funding research related to gun violence has limited the number of projects that we have undertaken at the request of federal agencies since 1996. We would be happy to take on any new assignments that either the Executive Branch or Congress may have for our institution.

We thank you for your inquiry and would be pleased to work with you in the future in any way that might be helpful. If you need any further assistance, you can contact Kathi Grasso at kgrasso@nas.edu of our Committee on Law and Justice staff, or Clyde Behney the Director of the Health and Medicine Division at cbehney@nas.edu. You may also contact our Congressional Affairs office if you like, through either Jim Jensen, at jjensen@nas.edu, or Barbara Schlein at bschlein@nas.edu.

We look forward to working with you.

Sincerely,



Bruce B. Darling
Executive Officer
National Academy of Sciences
and National Research Council

Attachment:

Investigator-Initiated Research and Evaluation on Firearms Violence Solicitation

cc: The Honorable Ron Johnson

Chairman, Committee on Homeland Security and Governmental Affairs

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Reports that Deal Directly with Guns

[Means of Violence: Workshop in Brief](#) (HMD, BCYF, CLAJ) 2015

In an average day, there are approximately 4,000 violent deaths across the globe. In 1 week, there are 26,000, and in 1 month, 120,000. Workshop speaker James Mercy of the Centers for Disease Control and Prevention (CDC) highlighted that these figures are directly influenced by the means and methods selected as tools of violence and their degree of lethality; simply put, means matter.

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For years proposals for gun control and the ownership of firearms have been among the most contentious issues in American politics. For public authorities to make reasonable decisions on these matters, they must take into account facts about the relationship between guns and violence as well as conflicting constitutional claims and divided public opinion. In performing these tasks, legislators need adequate data and research to judge both the effects of firearms on violence and the effects of different violence control policies.

Forensic Analysis: Weighing Bullet Lead Evidence (DELS and Mike Cohen) 2004

Since the 1960s, testimony by representatives of the Federal Bureau of Investigation in thousands of criminal cases has relied on evidence from Compositional Analysis of Bullet Lead (CABL), a forensic technique that compares the elemental composition of bullets found at a crime scene to the elemental composition of bullets found in a suspect's possession. Different from ballistics techniques that compare striations on the barrel of a gun to those on a recovered bullet, CABL is used when no gun is recovered or when bullets are too small or mangled to observe striations. *Forensic Analysis: Weighing Bullet Lead Evidence* assesses the scientific validity of CABL, finding that the FBI should use a different statistical analysis for the technique and that, given variations in bullet manufacturing processes, expert witnesses should make clear the very limited conclusions that CABL results can support. The report also recommends that the FBI take additional measures to ensure the validity of CABL results, which include improving documentation, publishing details, and improving on training and oversight.

Owner-Authorized Handguns: A Workshop Summary (NAE) 2003

The feasibility and potential impact of so-called smart handguns has generated considerable public interest and debate. This report summarizes a June 2002 workshop at the National Academy of Engineering that examined three related issues: the state of technology for owner-authorized handguns; the role of product liability in the development and marketing of such firearms; and the potential impact of these smart guns on health and crime. Smart-gun technology has the potential to prevent unintended or undesirable uses of handguns, such as accidental shootings; the shooting of police officers by assailants using the officers' own weapons; suicides; homicides with stolen handguns; and other gun-related crimes. However, information presented at the workshop suggests that considerably more research is needed to bring a reliable and commercially viable product to the marketplace. The report also notes that the impact of smart-guns will be influenced by legal issues, human behavior, economic conditions, and other factors.

Deadly Lessons: Understanding Lethal School Violence (CLAJ, BCYF) 2002

The shooting at Columbine High School riveted national attention on violence in the nation's schools. This dramatic example signaled an implicit and growing fear that these events would continue to occur and even escalate in scale and severity.

Reports that Touch on Gun-related Issues

Evidence for Violence Prevention Across the Lifespan and Around the World (IOM) 2014

The Evidence for Violence Prevention Across the Lifespan and Around the World is the summary of a workshop convened in January 2013 by the Institute of Medicine's Forum on Global Violence Prevention to explore value and application of the evidence for violence prevention across the lifespan and around the world. As part of the Forum's mandate is to engage in multisectoral, multidirectional dialogue that explores crosscutting approaches to violence prevention, this workshop examined how existing evidence for violence prevention can continue to be expanded, disseminated, and implemented in ways that further

the ultimate aims of improved individual well-being and safer communities. This report examines violence prevention interventions that have been proven to reduce different types of violence (e.g., child and elder abuse, intimate partner and sexual violence, youth and collective violence, and self-directed violence), identifies the common approaches most lacking in evidentiary support, and discusses ways that proven effective interventions can be integrated or otherwise linked with other prevention programs.

[Preventing Intimate Partner Violence: Workshop Summary](#) (IOM) 2014

The Evidence for Violence Prevention Across the Lifespan and Around the World is the summary of a workshop convened in January 2013 by the Institute of Medicine's Forum on Global Violence Prevention to explore value and application of the evidence for violence prevention across the lifespan and around the world. As part of the Forum's mandate is to engage in multisectoral, multidirectional dialogue that explores crosscutting approaches to violence prevention, this workshop examined how existing evidence for violence prevention can continue to be expanded, disseminated, and implemented in ways that further the ultimate aims of improved individual well-being and safer communities. This report examines violence prevention interventions that have been proven to reduce different types of violence (e.g., child and elder abuse, intimate partner and sexual violence, youth and collective violence, and self-directed violence), identifies the common approaches most lacking in evidentiary support, and discusses ways that proven effective interventions can be integrated or otherwise linked with other prevention programs.

[Contagion of Violence: Workshop Summary](#) (IOM) 2013

The past 25 years have seen a major paradigm shift in the field of violence prevention, from the assumption that violence is inevitable to the recognition that violence is preventable. Part of this shift has occurred in thinking about why violence occurs, and where intervention points might lie. In exploring the occurrence of violence, researchers have recognized the tendency for violent acts to cluster, to spread from place to place, and to mutate from one type to another. Furthermore, violent acts are often preceded or followed by other violent acts.

[Evidence for Violence Prevention Across the Lifespan and Around the World: Workshop Summary](#) (IOM) 2013

The Evidence for Violence Prevention Across the Lifespan and Around the World is the summary of a workshop convened in January 2013 by the Institute of Medicine's Forum on Global Violence Prevention to explore value and application of the evidence for violence prevention across the lifespan and around the world. As part of the Forum's mandate is to engage in multisectoral, multidirectional dialogue that explores crosscutting approaches to violence prevention, this workshop examined how existing evidence for violence prevention can continue to be expanded, disseminated, and implemented in ways that further the ultimate aims of improved individual well-being and safer communities. This report examines violence prevention interventions that have been proven to reduce different types of violence (e.g., child and elder abuse, intimate partner and sexual violence, youth and collective violence, and self-directed violence), identifies the common approaches most lacking in evidentiary support, and discusses ways that proven effective interventions can be integrated or otherwise linked with other prevention programs.

[U.S. Health in International Perspective: Shorter Lives, Poorer Health](#) (CPOP, DBASSE, BPHPHP) 2013

The United States is among the wealthiest nations in the world, but it is far from the healthiest. Although life expectancy and survival rates in the United States have improved dramatically over the past century, Americans live shorter lives and experience more injuries and illnesses than people in other high-income countries. The U.S. health disadvantage cannot be attributed solely to the adverse health status of racial or ethnic minorities or poor people: even highly advantaged Americans are in worse health than their counterparts in other, "peer" countries.

[Communications and Technology for Violence Prevention: Workshop Summary](#) (IOM) 2012

In the last 25 years, a major shift has occurred in the field of violence prevention, from the assumption that violence is inevitable to the realization that violence is preventable. As we learn more about what works to reduce violence, the challenge facing those who work in the field is how to use all of this new information to rapidly deploy or enhance new programs. At the same time, new communications technologies and distribution channels have altered traditional means of communications, and have made community-based efforts to prevent violence possible by making information readily available. How can these new technologies be successfully applied to the field of violence prevention?

[Social and Economic Costs of Violence: Workshop Summary](#) (IOM) 2012

Measuring the social and economic costs of violence can be difficult, and most estimates only consider direct economic effects, such as productivity loss or the use of health care services. Communities and societies feel the effects of violence through loss of social cohesion, financial divestment, and the increased burden on the healthcare and justice systems. Initial estimates show that early violence prevention intervention has economic benefits. The IOM Forum on Global Violence Prevention held a workshop to examine the successes and challenges of calculating direct and indirect costs of violence, as well as the potential cost-effectiveness of intervention.

[Preventing Violence Against Women and Children: Workshop Summary](#) (IOM) 2011

Violence against women and children is a serious public health concern, with costs at multiple levels of society. Although violence is a threat to everyone, women and children are particularly susceptible to victimization because they often have fewer rights or lack appropriate means of protection. In some societies certain types of violence are deemed socially or legally acceptable, thereby contributing further to the risk to women and children. In the past decade research has documented the growing magnitude of such violence, but gaps in the data still remain. Victims of violence of any type fear stigmatization or societal condemnation and thus often hesitate to report crimes. The issue is compounded by the fact that for women and children the perpetrators are often people they know and because some countries lack laws or regulations protecting victims. Some of the data that have been collected suggest that rates of violence against women range from 15 to 71 percent in some countries and that rates of violence against children top 80 percent. These data demonstrate that violence poses a high burden on global health and that violence against women and children is common and universal.

[Understanding Crime Trends: Workshop Report](#) (CLAJ) 2009

Changes over time in the levels and patterns of crime have significant consequences that affect not only the criminal justice system but also other critical policy sectors. Yet compared with such areas as health status, housing, and employment, the nation lacks timely information and comprehensive research on crime trends.

[Violence Prevention in Low- and Middle-Income Countries: Finding a Place on the Global Agenda, Workshop Summary](#) (IOM) 2008

The current state of science in violence prevention reveals progress, promise, and a number of remaining challenges. In order to fully examine the issue of global violence prevention, the Institute of Medicine in collaboration with Global Violence Prevention Advocacy, convened a workshop and released the workshop summary entitled, *Violence Prevention in Low-and Middle-Income Countries*.

[Advancing the Federal Research Agenda on Violence Against Women](#) (CLAJ) 2004

This report expands on the work of an earlier National Research Council panel whose report, *Understanding Violence Against Women*, was published in 1996. The report is based on the presentations and deliberations of a workshop convened in January 2002, at the request of Congress, to develop a detailed research agenda on violence against women. While some of the research recommendations in the earlier report have been funded and carried out, the workshop demonstrated that important gaps remain. For example, prevalence and incidence data are still inadequate to measure trends or to reveal whether interventions being designed under federal programs are, in fact, working. Among its primary recommendations, the committee underscored the importance of strengthening the data and research infrastructure in this area, especially the need for better prevalence data and longitudinal data to determine the causes of violent victimization of women and the impact of interventions.

[Juvenile Crime, Juvenile Justice](#) (CBASSE) 2001

Even though youth crime rates have fallen since the mid-1990s, public fear and political rhetoric over the issue have heightened. The Columbine shootings and other sensational incidents add to the furor. Often overlooked are the underlying problems of child poverty, social disadvantage, and the pitfalls inherent to adolescent decisionmaking that contribute to youth crime. From a policy standpoint, adolescent offenders are caught in the crossfire between nurturance of youth and punishment of criminals, between rehabilitation and "get tough" pronouncements. In the midst of this emotional debate, the National Research Council's Panel on Juvenile Crime steps forward with an authoritative review of the best available data and analysis. *Juvenile Crime, Juvenile Justice* presents recommendations for addressing the many aspects of America's youth crime problem.

[Understanding Violence Against Women](#) (CBASSE) 1996

Violence against women is one factor in the growing wave of alarm about violence in American society. High-profile cases such as the O.J. Simpson trial call attention to the thousands of lesser-known but no less tragic situations in which women's lives are shattered by beatings or sexual assault.

Violence in Urban America: Mobilizing a Response (CBASSE) 1994

In this summary of a unique conference on urban violence, mayors, police chiefs, local, state, and federal agency experts, and researchers provide a wealth of practical ideas to combat violence in urban America. This book will be a valuable guide to concerned community residents as well as local officials in designing new approaches to the violence that afflicts America's cities.

Understanding and Preventing Violence Volumes 1-4 (CBASSE) 1993

By conservative estimates, more than 16,000 violent crimes are committed or attempted every day in the United States. Violence involves many factors and spurs many viewpoints, and this diversity impedes our efforts to make the nation safer.



August 10, 2016

The Honorable Thomas R. Carper
Ranking Member
Committee on Homeland Security
and Governmental Affairs
United States Senate
Washington, DC 20510

Dear Senator Carper:

Thank you for your May 25, 2016 letter regarding the National Institutes of Health's (NIH) support of scientific research on the causes and prevention of gun violence. The NIH appreciates your concerns. As you may know, a key component of the NIH's mission is to enhance health, lengthen life, and reduce illness and disability. In the spirit of this mission, the NIH is committed to understanding effective public health interventions to prevent injuries and mortality associated with violence, including gun violence.

Enclosed please find detailed responses to the specific questions outlined in your letter. We appreciate your attention to this important public health issue.

Sincerely yours,

Francis S. Collins, M.D., Ph.D.
Director

Enclosure

cc:
The Honorable Ron Johnson
Chairman, Committee on Homeland Security
and Governmental Affairs

**The National Institutes of Health Response to Senator Thomas Carper regarding Support of Scientific Research into the Causes and Prevention of Gun Violence
August 9, 2016**

1. Please describe the policy of the National Institutes of Health toward scientific research into the causes and prevention of gun violence.

The National Institutes of Health (NIH) has and will continue to support meritorious research to prevent the injuries and mortality associated with violence, including firearms violence. This research may be conducted within the context of multiple types of violence, of which firearms violence is only one type. NIH-supported research on the causes and prevention of firearms violence addresses a range of topics, such as understanding environmental and sociocultural risks for firearm violence; means restriction for people who are at-risk for suicide; and pediatrician counseling for parents on safety practices, including safe firearm storage.

To apply for grant funding, applicants may respond to a specific NIH Funding Opportunity Announcement (FOA) that invites research on gun violence, or the applicant may submit an “unsolicited” or investigator-initiated application to NIH’s general funding opportunity announcements for unsolicited research applications.¹ For all areas of research, NIH funding decisions are based on the scientific merit of the proposed project, portfolio balance, budgetary considerations, and public health need.

2. Please describe the efforts that the National Institutes of Health have taken or plans to take in response to the President’s January 2013 memorandum regarding gun violence research.

As you know, President Obama’s Presidential Memorandum called for the scientific agencies within the Department of Health and Human Services (HHS) to conduct or sponsor research into the causes of gun violence and the ways to prevent it.

In response to the President’s Executive Actions, the NIH issued three funding opportunity announcements (R01, R03, and R21)² calling for research on violence, with particular focus on firearm violence. These funding opportunities were posted in September 2013 and will be open until January 2017.

¹ See http://grants.nih.gov/grants/guide/parent_announcements.htm

² <http://grants.nih.gov/grants/guide/pa-files/PA-13-363.html>; <http://grants.nih.gov/grants/guide/pa-files/PA-13-368>; and <http://grants.nih.gov/grants/pa-files/PA13-369.html>

Six NIH Institutes and Centers³ and three Offices within the NIH Office of the Director⁴ participated in one or more of the FOAs. The announcements invite applications for research into the causes and consequences of violence as it relates to the health of individuals and communities, including the:

- Underlying behavioral, neurobiological, and genetic mechanisms of violence;
- Impact on public health, including individual-level and societal costs of violence;
- Mental health and substance-related conditions associated with violence;
- Risk and protective factors at the individual, family, and community level;
- Safe and effective interventions to reduce and/or prevent violence and its triggers; and
- Best strategies to increase adoption and implementation of evidence-based interventions.

To date, the NIH has supported a number of projects through these FOAs. These projects all support research on risk factors for violence or intervention methods for reducing violence; several focus on health determinants and consequences of firearms violence.

The NIH Research Portfolio Online Reporting Tools (RePORT) provides links to NIH-funded projects. The following links will return information on grants awarded in response to these FOAs: https://projectreporter.nih.gov/reporter_searchresults.cfm; and https://projectreporter.nih.gov/reporter_searchresults.cf

3. From 1996 to the present, please describe notable examples of research conducted or funded by the National Institutes of Health related to gun violence.

The following examples include both active and completed projects:

Alcohol, Drug, and Other Prior Crimes and Risk of Arrest in Handgun Purchasers

Principal Investigator: Garen Wintemute

Institution: University of California at Davis

Grant Number: R01AA 023551

Fiscal Year: FY 2015 – FY 2017

This study will examine the relationship between prior arrests and convictions for alcohol-related offenses, prior criminal activity of other types including drug-related offenses, and subsequent risk for violent and firearm-related criminal activity among legally authorized handgun purchasers in California. Investigators will assess the relationship among these factors by systematically evaluating California handgun sale records, criminal history records, and Department of Motor Vehicle records for persons who purchased handguns in 2001. Records will be evaluated beginning 10 days following the gun sale (the first day on which the purchased handgun could have been acquired) through December 31, 2013, allowing for up to 13 years of

³ National Institute on Alcohol Abuse and Alcoholism (NIAAA); Eunice Kennedy Shriver National Institute of Child Health and Human Development (NICHD); National Institute on Drug Abuse (NIDA); National Institute of General Medical Sciences (NIGMS); National Institute of Mental Health (NIMH); and National Institute on Minority Health and Health Disparities (NIMHD).

⁴ Office of Disease Prevention (ODP); Office of Behavioral and Social Sciences Research (OBSSR); and the Office of Research on Women's Health (ORWH).

observation of individual cases. The findings of this study will add to our understanding of the relationship between alcohol use and violence and help develop interventions to prevent violence.

Means Restriction for Discharge of Suicidal Patients in Emergency Care

Principal Investigator: Carol Wolf Runyan, Ph.D.

Institution: University of Colorado Denver

Grant Number: R21MH105827

Fiscal Year: FY 2015- FY 2017

Focusing on the eight-state region of the Mountain West (AZ, CO, ID, MT, NV, NM, UT, and WY), this study will document current emergency department (ED) discharge practices for suicidal patients and will examine barriers and facilitators to adopting new ED protocols generally, with a focus on means restriction counseling. Interviews will also be conducted with hospital decision-makers, leaders of law enforcement organizations, gun retailers, and shooting ranges. This information will help the investigators to identify the practical temporary safe storage options for families with a suicidal member.

Alcohol, Firearms, and Adolescent Gunshot Injury Risk

Principal Investigator: Douglas Wiebe

Institution: University of Pennsylvania

Grant Number: R01AA014944

Fiscal Year: FY 2004 – FY 2008

Homicide is a leading cause of death among young people ages 10-24 years old. Compared to non-Hispanic White males and Hispanic males, the homicide rate among non-Hispanic African-American males is much higher (51.5 per 100,000 compared to 2.9 per 100,000 and 13.5 per 100,000 respectively). Many in this age group who are killed with firearms are shot during intentional assaults, and for each gunshot assault that is fatal, more individuals require emergency department treatment for non-fatal assaultive gunshot trauma. To determine whether locations frequented, daily activities, and social interactions influence risks for firearm and non-firearm assaultive injury, including whether exposure to alcohol influences these risks, the investigators conducted a population-based study of youth, ages 10-24 years, presenting to emergency departments in two inner-city Philadelphia hospitals. The sample that resulted was 100 percent male and predominately African-American. Findings from the study showed that individuals' locations and activities influenced their likelihood of being assaulted. Gunshot assault risks included being alone and were lower in areas with high neighbor connectedness. Acquiring a gun and entering areas with more vacant properties, vandalism, and violence appeared to increase the risk of getting shot shortly thereafter. Entering an area with more vacant properties, vandalism and violence also appeared to increase the risk of non-gunshot assault. Other non-gunshot assault risks included being in areas with recreation centers and higher levels of truancy. Risks varied by age group. (See Wiebe et al, *Epidemiology*, January 2016)⁵.

⁵ Wiebe et al, Mapping Activity Patterns to Quantify Risk of Violent Assault in Urban Environments. *Epidemiology*, January 2016.

Randomized, Controlled Trial to Prevent Child Violence

Principal Investigator: Shari L. Barkin

Institution: Wake Forest University Health Sciences

Grant Number: R01HD042260

Fiscal Year: FY 2001- FY 2004

In the late 1990s and early 2000s, major health organizations issued practice guidelines for incorporating violence prevention into routine primary care for children and adolescents. However, there was almost no scientific evidence at the time about whether these prevention approaches were effective in changing parents' or children's behaviors. In 2001-2006, the NICHD funded a rigorous research study to evaluate a violence-prevention program based on pediatricians' guidance in well-child visits. Pediatricians from a practice-based research network (Pediatric Research in Office Settings, or PROS), participated in the study. Nearly 5,000 families participated. Pediatric offices were randomly assigned to implement either the Safety Check violence-prevention program or a literacy prevention program that was used for comparison. The Safety Check program addressed media use; parental use of physical disciplining techniques; and gun ownership and storage.

The results of the study showed that the intervention was effective in decreasing media use. Moreover, among the nearly one-quarter of families that owned firearms, there was a substantial increase in safe firearm storage in the intervention group, but not in the control group. Few parents in either group reported using physical discipline. Parents' use of time outs (a recommended technique) and use of physical discipline did not change significantly over time in either group.

Please also provide all instances when the National Institutes of Health included requests for gun violence research in its research proposals and solicitation materials.

The following NIH FOAs have included requests for firearm violence research or have mentioned firearm violence within the larger context of high risk behavior:

- Research on the Health Determinants and Consequences of Violence and its Prevention, Particularly Firearm Violence (R01)
PA-13-363
Released September 27, 2013⁶
- Research on the Health Determinants and Consequences of Violence and its Prevention, Particularly Firearm Violence (R03)
PA-13-368
Released September 27, 2013⁷
- Research on the Health Determinants and Consequences of Violence and its Prevention, Particularly Firearm Violence (R21)
PA-13-369
Released September 27, 2013⁸

⁶ <http://grants.nih.gov/grants/guide/pa-files/PA-13-363.html>

⁷ <http://grants.nih.gov/grants/guide/pa-files/PA-13-368.html>

⁸ <https://grants.nih.gov/grants/guide/pa-files/PA-13-369.html>

- Enhancing Adolescent Health Promotion across Multiple High Risk Behaviors
PA-02-159
Released August 28, 2002⁹

Over the years, the NIH has also offered a number of funding opportunity announcements related to violence, without a focus on gun violence; examples include: Research on Teen Dating Violence (PA-09-169, PA-09-170), Mental Health Consequences of Violence and Trauma (PA-07-313, PAR-07-315, PA-07-314, PA-07-312), Research on Children Exposed to Violence (PAR-03-096), and Research on the Development of Interventions for Youth Violence (RFA: OD-00-005). If you would like to see more examples of NIH funding opportunities, you may search the NIH Guide to Grants and Contracts¹⁰ using keywords of interest.

Topic-specific program announcements, like those listed above, identify areas of priority or emphasis on particular funding mechanisms for a specific area of science. In addition to these topic-specific program announcements, the NIH also supports “Parent Announcements” which are broad funding opportunity announcements that allow applicants to submit investigator-initiated applications. Investigators who would like to propose research studies on firearms-related violence could apply under these mechanisms.

⁹ <https://grants.nih.gov/grants/guide/pa-files/PA-02-159.html>

¹⁰ <http://grants.nih.gov/funding/index.htm>

4. For each year from FY 1996 to FY 2015, what portion of the budget of the National Institutes of Health has been devoted to gun violence research?

In any given fiscal year, funding on research on the causes and prevention of gun violence represents a very small portion of the total NIH budget (estimates below).

Fiscal Year	Number of Projects	Total Dollars Awarded for Research on the Causes and Prevention of Gun Violence	Total NIH Budget	Gun Violence Research as a Proportion of the Total NIH Budget
1996	2	\$343,470	\$11,972,562,000	0.002869%
1997	2	\$358,007	\$12,740,843,000	0.002810%
1998	4	\$1,016,837	\$13,674,843,000	0.007436%
1999	3	\$1,026,760	\$15,629,156,000	0.006570%
2000	3	\$411,812	\$17,840,587,000	0.002308%
2001	5	\$1,069,337	\$20,458,556,000	0.005227%
2002	9	\$2,398,644	\$23,321,382,000	0.010285%
2003	9	\$2,460,727	\$27,166,715,000	0.009058%
2004	6	\$2,208,949	\$28,036,627,000	0.007879%
2005	12	\$3,876,695	\$28,594,357,000	0.013558%
2006	10	\$3,436,798	\$28,560,417,000	0.012033%
2007	5	\$2,185,682	\$29,178,504,000	0.007491%
2008	7	\$3,282,795	\$29,607,070,000	0.011088%
2009	9	\$3,446,986	\$30,545,098,000	0.011285%
2010	5	\$2,533,232	\$31,238,000,000	0.008109%
2011	5	\$2,453,536	\$30,916,345,000	0.007936%
2012	6	\$2,399,096	\$30,860,913,000	0.007774%
2013	5	\$1,505,398	\$29,315,822,000	0.005135%
2014	4	\$688,495	\$30,142,653,000	0.002284%
2015	7	\$2,523,647	\$30,311,349,000	0.008326%

5. From 1996 to the present, have the National Institutes of Health faced any obstacles, such as a lack of funding or interest from the research community, in conducting scientific research on gun violence?

The Consolidated Appropriations Act of 2012 included a restriction on HHS funding, stating that “None of the funds made available in this title may be used, in whole or in part, to advocate or promote gun control.” This language has been in all subsequent appropriations bills. The NIH does not support any research that aims to advocate or promote gun control. It is difficult to know if the provision in the appropriations law is discouraging investigators from pursuing research on the causes and prevention of gun violence, research the NIH does support.

The NIH believes that research around strategies to prevent the injury and mortality associated with firearms violence serves a critical public health need. In line with the Administration’s

2013 memorandum, the NIH issued three program announcements to encourage research on the causes and prevention of gun violence to communicate to the research community that we wish to re-invigorate this research area.



U.S. Department of Justice

Office of Legislative Affairs

Office of the Assistant Attorney General

Washington, D.C. 20530

September 2, 2016

The Honorable Thomas R. Carper
Ranking Member
Committee on Homeland Security
and Governmental Affairs
United States Senate
Washington, DC 20510

Dear Senator Carper:

This responds to your letter to the National Institute of Justice (NIJ) Director dated May 25, 2016, regarding NIJ's support for scientific research into the causes and prevention of gun violence. We apologize for our delay in responding to your letter.

As you may know, NIJ is the research, development, and evaluation agency of the Department of Justice (the Department). NIJ is dedicated to improving knowledge and understanding of crime and justice issues through science. NIJ provides objective and independent knowledge and tools to reduce crime and promote justice, particularly at the state and local levels. In general, NIJ works to reduce crime and promote justice by supporting rigorous research drawing on expertise in the physical, forensic, and social sciences. This is accomplished through a combination of extramural (external) projects and intramural (internal) research. The vast majority of NIJ research, development, testing, and evaluation projects are external and funded under competitive solicitations. NIJ's intramural research complements and advances extramural research efforts. NIJ is organized into three science offices, the Office of Research and Evaluation, the Office of Science and Technology, and the Office of Investigative and Forensic Sciences. Please see information below from NIJ.

NIJ Research Program

NIJ has an ongoing program of research related to gun violence and gun violence prevention that has existed since the 1980's. This program of research is comprised primarily of external research projects funded through competitive awards. NIJ has also carried out intramural research, convened expert working groups, and supported a critical review of firearms and violence by the National Research Council.¹ The six objectives that currently guide NIJ's program of firearms research are detailed in **Appendix A**.

¹ National Research Council. (2005). *Firearms and Violence: A Critical Review*. Washington, DC: National Academies of Sciences. Retrieved from <http://www.nap.edu/read/10881/chapter/1#ii>.

NIJ's firearms research portfolio has made meaningful contributions to knowledge and practice regarding firearms violence and evidence-based practices to reduce firearms violence. The portfolio has evolved over the years based on knowledge gained and emerging needs and priorities in the field. NIJ made an effort to summarize a selection of notable NIJ-funded studies in **Appendix B**, organized by objective. Please note that the opinions, findings, and conclusions or recommendations in these studies are those of the funding recipients and do not necessarily reflect the official position or policies of the Department.

Recent Efforts

As noted in your letter, the January 16, 2013, Presidential Memorandum entitled *Engaging in Public Health Research on the Causes and Prevention of Gun Violence* was addressed to the Secretary of the Department of Health and Human Services (HHS). However, consistent with the direction to HHS and the goals articulated in the President's January 2013 actions, including as part of *Now is the Time: The President's Plan to Protect our Children and our Community by Reducing Gun Violence*, NIJ has consistently funded research into gun violence. Please see the then-Acting NIJ Director's February 14, 2013 statement, which briefly described NIJ's investments in gun violence research since the 1980's and announced the 2013 NIJ solicitation titled *Research on Firearms and Violence*.² Since 2013, NIJ has continued to release an annual solicitation to support research on this topic.

The *Now is the Time* plan also called for the Attorney General to work with technology experts to review existing and emerging gun safety technologies and to issue a report on the availability and use of those technologies. Further, it called for the Administration to issue a challenge to the private sector to develop innovative gun safety technologies and provide prizes for those that are proven reliable and effective. In response to this direction, NIJ published *A Review of Gun Safety Technologies* in 2013.³ This report examined existing and emerging gun safety technologies and their availability and use. In support of this effort, an NIJ grantee conducted an assessment of advanced gun safety technologies, typically known by various terms such as smart guns, user-authorized hand guns, child-proof guns, and personalized firearms, compared to conventional firearms. Additionally, in 2015, NIJ published the Gun Safety Technology Challenge. This Challenge, which is ongoing, seeks to determine the reliability of firearms incorporating advanced gun safety technologies when compared to similar conventional firearms. The U.S. Army Aberdeen Test Center is testing the articles submitted to this Challenge. Subsequently, the President released a January 4, 2016 Presidential Memorandum entitled *Promoting Smart Gun Technology*. As required by that memorandum, the Department worked with the Department of Homeland Security and the Department of Defense to publish the

² Ridgway, G (2013). Statement on NIJ's Role in the National Dialogue on Gun Violence. Washington, DC: National Institute of Justice. Retrieved from <http://www.nij.gov/about/director/pages/gun-violence.aspx>.

³ Greene, M. (2013). *A Review of Gun Safety Technologies*. Washington, DC: National Institute of Justice. Retrieved from <https://www.ncjrs.gov/pdffiles1/nij/242500.pdf>.

Report to the President Outlining a Strategy to Expedite Deployment of Gun Safety Technology in April 2016.⁴

In 2016, NIJ released a solicitation titled *Investigator-Initiated Research and Evaluation on Firearms Violence*. This solicitation highlighted the findings of the 2013 Institute of Medicine (IOM) report, *Priorities for Research to Reduce the Threat of Firearm-Related Violence*, and emphasized multiple topics and research questions that are of particular priority to NIJ. These include: (1) the characteristics of firearm violence, (2) risk and protective factors, and (3) interventions and strategies.

NIJ Solicitations and Funding

You requested information regarding all instances since 1996 where NIJ included requests for gun violence research in its research proposal solicitation materials. NIJ has consistently solicited for external research related to firearms and gun violence over that time period. In recent years, NIJ has issued a standalone solicitation related to firearms and worked to make firearms research funding available on a more consistent basis. From 2013 to 2016, NIJ released an annual firearms research solicitation in an effort to establish a consistent and predictable source of funding. In previous years, broader solicitations may have included specific requests for research related to firearms. **Appendix C** includes information from NIJ, based on available records, on its solicitations since 1996 that included requests for research related to firearms. Further information about these solicitations may be found at: <http://www.nij.gov/funding/Pages/expired.aspx>.

As to your questions regarding funding, **Appendix D** provides information from NIJ, based on available records, on its funding for firearms research since 1996. NIJ's funding is used to support firearms research, as well as a wide and extensive range of other topics that NIJ has a statutory responsibility to address, including, for example, policing, institutional corrections, violence and victimization, courts, crime prevention, white-collar crime, property crime, and technology development. According to NIJ, the competition for resources among these topics has contributed to inconsistencies in the availability of funding for firearms research from one year to the next.

For some research topics, such as research on domestic radicalization and school safety, Congress provides NIJ with designated funding each year, which enables NIJ to provide the field with more stable and predictable funding opportunities over multiple years. Such funding arrangements enhance NIJ's ability to develop research portfolios that build upon themselves over time. They also help to establish a higher level of competence and experience among a greater number of researchers in the field. According to NIJ, there remain relatively few experienced researchers in the field of firearms violence who have been able to overcome challenges related to data access from criminal justice agencies. With the lack of an experienced pool of expert researchers, the pool of applications that NIJ receives are not as strong or diverse

⁴ (2016). Report to the President Outlining a Strategy to Expedite Deployment of Gun Safety Technology. Departments of Justice, Homeland Security, and Defense. Retrieved from https://www.whitehouse.gov/sites/default/files/docs/final_report-smart_gun_report.pdf.

The Honorable Thomas R. Carper
Page Four

as NIJ might otherwise expect. Although the research community appears to recognize the importance of research in the area of firearms violence, without consistent and substantial funding, few researchers are able to make firearm research their central focus. While firearms research continues to be a priority for NIJ, without high levels of experience specifically related to the challenges of conducting firearms research, the research community produces applications that are not as strong as they might otherwise be, and NIJ makes fewer research awards.

We hope this information is helpful. Please do not hesitate to contact this office if we may provide additional assistance regarding this or any other matter.

Sincerely,

A handwritten signature in black ink, appearing to read "PK" followed by a horizontal line and the word "for".

Peter J. Kadzik
Assistant Attorney General

Enclosures

cc: The Honorable Ron Johnson
Chairman

Appendix A:
National Institute of Justice (NIJ) Gun Violence Research Objectives

1. Knowledge-Building

This objective includes basic research aimed at increasing the understanding of firearms acquisition, ownership, and use; the use of firearms in crime and violence; and factors that may inform efforts at prevention and control of firearms violence.

2. Prevention/Intervention Program Evaluation

This objective is focused on studies and evaluations of programs aimed at the reduction of firearms violence. Some of these are comprehensive, involving multiple agencies and strategies; others are more focused in location and scope. Many are specifically targeted to juveniles and young adults.

3. Legislative Assessment

This objective includes studies of Federal, State, and local firearms statutes and policies designed to regulate and control access to and use of firearms. Examples include laws or policies directed at certain types of firearms and those directed at certain prohibited groups, including felons, juveniles, and the mentally ill.

4. Analysis of Secondary (Illicit) Firearms Markets

This objective involves studies of secondary firearms markets – that is, the movement of guns following their initial retail sale by Federal Firearms Licensees (FFLs) – which facilitate illegal access to weapons by criminals, juveniles, and other prohibited persons.

5. Technology Development

This objective is focused on science and technology to increase the safety and security of firearms ownership and use and to assist law enforcement in detecting and controlling criminal firearms violence. The NIJ initiatives under this objective include the design and testing of concealed weapons detection systems, gunshot locator devices, and “smart gun” technologies for preventing the use of firearms by unauthorized persons.

6. Data Systems Development

This objective involves the improvement of data systems for studying gun violence. Since many of the pressing questions cannot be addressed with limited data, NIJ started this initiative to improve the quality of research conclusions and policy statements.¹

¹ National Research Council. (2005). Firearms and Violence: A Critical Review. Washington, DC: National Academies of Sciences. Retrieved from <http://www.nap.edu/read/10881/chapter/1#i>

Appendix B: National Institute of Justice (NIJ) Gun Violence Research Examples

Additional information regarding a selection of notable NIJ-funded studies is provided below, organized by objective. **Please note that the opinions, findings, and conclusions or recommendations in these studies are those of the funding recipients and do not necessarily reflect the official position or policies of the Department.** NIJ made an effort to summarize the funding recipients' studies below.

1. Knowledge-Building

In 1996, NIJ funded a 4-year study of gun violence among inner-city youth, *Situational Context of Gun Use by Young Males in Inner Cities*, which reviewed “the lessons of the epidemic of youth gun violence in the late 1980’s and early 1990’s in terms of its impact on adolescent development and the role of aggression in everyday life.”¹

In 2001, NIJ funded a multi-year research and program-development effort, *Strategies for Disrupting Illegal Firearm Markets: A Case Study of Los Angeles*, designed to understand the nature of illegal gun markets operating in the city of Los Angeles, California.²

A project funded in 2013, titled *A Tale of Four Cities: Improving Our Understanding of Gun Violence*, focused on gun crime incident review teams.³

2. Prevention/Intervention Program Evaluation

The most notable NIJ-funded evaluation of a firearm violence reduction program was the evaluation of Operation Ceasefire in Boston, a program designed to reduce gang violence, illegal gun possession, and gun violence using a problem-solving, focused-deterrence approach.⁴

NIJ also funded an evaluation in 2009 of the Project Safe Neighborhoods (PSN) program.⁵

¹ Wilkinson, D. & Fagan, J. (2002). Situational Contexts of Gun Use by Young Males in Inner Cities, Final Report. Columbia University. Retrieved from <https://www.ncjrs.gov/pdffiles1/nij/grants/194120.pdf>

² Ridgeway, G., Pierce, G., Braga, A., Tita, G, Wintemute, G, & Roberts, W. (2013). Strategies for Disrupting Illegal Firearm Markets: A Case Study of Los Angeles. RAND Corporation. Retrieved from <https://www.ncjrs.gov/pdffiles1/nij/grants/241135.pdf>

³ Kroovand Hipple, N., McGarrell, E. F., O'Brien, M. & Huebner, B. M. (2016). Gun crime incident reviews as a strategy for enhancing problem solving and information sharing, *Journal of Crime and Justice*, DOI: 10.1080/0735648X.2016.1155303

⁴ Braga, A., Kennedy, D.M., Waring, E.J., & Piehl, A.M. (2001). Problem-oriented policing, deterrence, and youth violence: An evaluation of Boston's Operation Ceasefire. *Journal of Research in Crime and Delinquency*, 38(3): 195-225.

⁵ McGarrell, E.F., Hipple, N.K., Corsaro, N., Bynum, T.S., Perez, H., Zimmermann, C.A., & Garmo, M. (2009). Project Safe Neighborhoods – A national program to reduce gun crime: Final Project Report. Retrieved from <https://www.ncjrs.gov/pdffiles1/nij/grants/226686.pdf>

Please note that the opinions, findings, and conclusions or recommendations in these studies are those of the funding recipients and do not necessarily reflect the official position or policies of the Department.

3. Legislative Assessment

An NIJ-funded study titled *The Effect of Nondiscretionary Concealed Weapon Carrying Laws on Homicide*, published in 2004, investigated the relationship between state homicide rates and the presence of laws that make it easier for civilians to obtain concealed carry permits.⁶

In 2002, an NIJ-funded study produced a report titled *Effectiveness of Denial of Handgun Purchase by Violent Misdemeanants*.⁷

4. Analysis of Secondary (Illicit) Firearms Markets

In 1997, NIJ funded a study that aimed to assist law enforcement agencies in analyzing the dynamics of illegal markets in firearms and to develop problem-solving interventions designed to help enforce laws against illegal selling, illegal possession, and illegal use of firearms.

Associated reports included *Characteristics and Dynamics of Crime Gun Markets: Implications for Supply-Side Focused Enforcement Strategies*, submitted in 2003,⁸ and *New Approaches to Understanding and Regulating Primary and Secondary Illegal Firearms*, submitted in 2013.⁹

⁶ Hepburn, L., Miller, M., Azrael, D., & Hemenway, D. (2004). The effect of nondiscretionary concealed weapon carrying laws on homicide. *The Journal of Trauma* 56 (3), pp. 676-81. Retrieved from <http://eds.b.ebscohost.com>

⁷ Wintemute, G. J., Wright, M. A., Drake, C. M., & Beaumont, J. J. (2002). Effectiveness of Denial of Handgun Purchase by Violent Misdemeanants: Final Report. University of California-Davis. Retrieved from <https://www.ncjrs.gov/pdffiles1/nij/grants/197063.pdf>

⁸ Pierce, G. L., Braga, A. A., Koper, C., McDevitt, J., Carlson, D., Roth, J., Saiz, A., Hyatt, R., & Griffith, R. E. (2003). Characteristics and Dynamics of Crime Gun Markets: Implications for Supply-Side Focused Enforcement Strategies. Northeastern University, MA. Retrieved from <https://www.ncjrs.gov/pdffiles1/nij/grants/208079.pdf>

⁹ Pierce, G., Braga, A., Wintemute, G., Dolliver, M. (2013). New Approaches to Understanding and Regulating Primary and Secondary Illegal Firearms. Northeastern University, MA. Retrieved from <https://www.ncjrs.gov/pdffiles1/nij/grants/241021.pdf>

**Appendix C:
National Institute of Justice (NIJ) Solicitations
Including Requests for Research Related to Firearms**

Fiscal Year	Solicitation Title
1996	NIJ Solicitation: Technology Research and Development Partnership Projects for Community Policing
1997	Solicitation for Investigator-Initiated Research
1997	NIJ Solicitation for the Study of Illegal Firearms Markets
1998	Solicitation for Investigator-Initiated Research
1998	Juvenile Accountability Incentive Block Grant Program Research and Evaluation Solicitation
1999	Assessment of the Strategic Approaches to Community Safety Initiative
1999	Solicitation for Safe School Technologies
1999	NIJ Science and Technology Solicitation
1999	Solicitation for Investigator-Initiated Research
2000	Office of Research and Evaluation 2000 Solicitation for Investigator-Initiated Research
2000	Strategic Approaches to Community Safety Initiative Solicitation for a Research Partner for the Eastern District of Michigan
2000	Strategic Approaches to Community Safety Initiative Solicitation for a Research Partner for the Western District of New York
2000	NIJ Science and Technology Solicitation
2000	Strategic Approaches to Community Safety Initiative Solicitation for a Research Partner for the District of New Mexico
2001	Office of Research and Evaluation 2001 Solicitation for Investigator-Initiated Research
2001	Solicitation for a Demonstration/Evaluation of the Utility of ATF's Youth Crime Gun Interdiction Initiative
2001	Data Resources Program: Funding for the Analysis of Existing Data
2001	NIJ "Smart Gun" Solicitation
2002	NIJ School Safety Technology Solicitation, FY 2002
2002	NIJ Less-Than-Lethal Technology Solicitation, FY 2002
2002	Science and Technology Solicitation, FY 2002
2002	Office of Research and Evaluation 2002 Solicitation for Investigator-Initiated Research
2003	NIJ Science and Technology Solicitation, FY 2003
2003	Office of Research and Evaluation 2003 Solicitation for Investigator-Initiated Research
2003	Evaluations of OJJDP Discretionary Funds Projects - Teens, Crime, and Community Works Training
2004	Science & Technology, Fiscal Year 2004
2004	Research on Firearms & Violence

2005	Evaluation of Office of Juvenile Justice and Delinquency Prevention FY 2003 Discretionary Funds Projects
2005	General Forensic Research and Development
2005	Sensor, Surveillance, and Biometric Technologies
2005	Outcomes of Police Use of Force
2006	School Safety Technologies
2006	Sensors and Surveillance Technologies
2006	Biometric Technologies
2006	Research and Development on Impression Evidence
2006	Research and Development on Crime Scene Tools, Techniques, and Technologies
2006	Outcome Evaluations of Violence Prevention Programs
2006	Process and Outcome Evaluation of G.R.E.A.T.
2006	Public Safety Interventions
2007	Research on Policing and Public Safety Interventions
2007	Forensic Science Training Development and Delivery Program
2007	Criminal Justice Technology Centers of Excellence
2007	Evidence-Based Model Programs for Cold Case Units
2007	Research and Development on Crime Scene Tools, Techniques, and Technologies
2007	Research and Development on Impression Evidence
2007	Sensors and Surveillance Technologies
2007	Body Armor for Law Enforcement and Corrections
2007	Intimate Partner Violence and Stalking: Research for Policy and Practice
2008	Sensor and Surveillance Technology
2009	Research and Development in the Forensic Analysis of Trace Evidence
2009	Research and Development on Impression Evidence
2010	Weapons and Protective Systems Technology Center for Excellence
2011	Sensor, Surveillance, and Biometric Technologies for Criminal Justice Applications
2013	Research on Firearms and Violence
2014	Research and Evaluation on Firearms and Violence
2015	Research and Evaluation on Firearms Violence Reduction
2015	Process Evaluation of the Firearm Locks Distribution and Safe Storage Program Research and Evaluation on Firearms Violence Reduction
2015	Research and Development for Publicly Funded Forensic Science Laboratories to Assess the Testing and Processing Physical Evidence
2015	Research and Development in Forensic Science for Criminal Justice Purposes
2015	Gun Safety Technology Challenge
2016	Investigator-Initiated Research and Evaluation on Firearms Violence

**Appendix D:
National Institute of Justice (NIJ)
Firearms Research Funding**

Fiscal Year	NIJ Approximate Firearms Research Awards*	NIJ Budget**	Approximate Proportion of NIJ Budget Devoted to Firearms Research
1996	\$239,000	\$30,000,000	0.80%
1997	\$766,935	\$31,429,000	2.44%
1998	\$1,085,593	\$42,577,000	2.55%
1999	\$1,778,630	\$46,148,000	3.85%
2000	\$643,802	\$43,448,000	1.48%
2001	\$9,357,125	\$69,846,000	13.40%
2002	\$3,600,765	\$54,879,000	6.56%
2003	\$323,583	\$59,490,000	0.54%
2004	\$1,621,975	\$47,495,000	3.42%
2005	\$1,219,475	\$54,265,000	2.25%
2006	\$968,223	\$54,298,000	1.78%
2007	\$205,891	\$54,298,000	0.38%
2008	\$0	\$37,000,000	0.00%
2009	\$300,000	\$48,000,000	0.63%
2010	\$0	\$51,495,800	0.00%
2011	\$60,000	\$50,929,423	0.12%
2012	\$0	\$46,440,000	0.00%
2013	\$2,673,151	\$46,750,942	5.72%
2014	\$4,206,316	\$46,877,500	8.97%
2015	\$1,911,499	\$43,217,500	4.42%
Total	\$30,961,963	\$958,884,165	3.23%

*Amounts provided by NIJ, based on available records.

**Amounts provided by NIJ, based on available records, are enacted amounts for NIJ Research, Development, and Evaluation Programs (NIJ “Base”), as well as Section 213 Research, Evaluation, and Statistics Set-Aside funds, if applicable. NIJ also receives funds from various sources that may also have been used, where appropriate, to fund Firearms Research. Depending on the source, these funds may also have been used to fund research related to gun violence, firearms technology, and firearms forensics.



The [U.S. Department of Justice](#) (DOJ), [Office of Justice Programs](#) (OJP), [National Institute of Justice](#) (NIJ) is seeking applications for funding investigator-initiated research and evaluation related to reducing firearms violence and understanding the causes and effects of firearms violence. This solicitation aims to strengthen our knowledge base and improve public safety by producing findings with practical implications for reducing firearms violence. This solicitation is focused specifically on producing research related to intentional, interpersonal firearms violence. This program furthers the Department's mission by sponsoring research to provide objective, independent, evidence-based knowledge and tools to meet the challenges of crime and justice, particularly at the State and local levels.

Investigator-Initiated Research and Evaluation on Firearms Violence

Applications Due: May 13, 2016

Eligibility

In general, NIJ is authorized to make grants to, or enter into contracts or cooperative agreements with, States (including territories), units of local government, federally recognized Indian tribal governments that perform law enforcement functions (as determined by the Secretary of the Interior), nonprofit and for-profit organizations (including tribal nonprofit and for-profit organizations), institutions of higher education (including tribal institutions of higher education), and certain qualified individuals. For-profit organizations must agree to forgo any profit or management fee. Foreign governments, foreign organizations, and foreign institutions of higher education are not eligible to apply.

NIJ welcomes applications that involve two or more entities that will carry out the funded federal award activities, however, one eligible entity must be the applicant and the other(s) must be proposed as subrecipient(s). The applicant must be the entity with primary responsibility for conducting and leading the research or evaluation. If successful, the applicant will be responsible for monitoring and appropriately managing any subrecipients or, as applicable, for administering any procurement subcontracts that would receive federal program funds from the applicant under the award.

An eligible applicant may submit more than one application, as long as each application proposes a different project in response to the solicitation. (Applicants should also review and consider the "Duplicate Applications" note under [How to Apply](#) in Section D. Application and Submission Information.) Subrecipients may be part of multiple proposals.

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

Deadline

Applicants must register with Grants.gov prior to submitting an application. All applications are due to be submitted and in receipt of a successful validation message in Grants.gov by 11:59 p.m. eastern time on May 13, 2016.

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

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

Contact Information

For technical assistance with submitting an application, contact the Grants.gov Customer Support Hotline at 800-518-4726 or 606-545-5035, or via email to support@grants.gov. The Grants.gov Support Hotline hours of operation are 24 hours a day, 7 days a week, except federal holidays.

Applicants that experience unforeseen Grants.gov technical issues beyond their control that prevent them from submitting their application by the deadline must email the NIJ contact identified below **within 24 hours after the application deadline** and request approval to submit their application. Additional information on reporting technical issues is found under "Experiencing Unforeseen Grants.gov Technical Issues" in the [How to Apply](#) section.

For assistance with any other requirements of this solicitation, contact the National Criminal Justice Reference Service (NCJRS) Response Center: toll-free at 1-800-851-3420; via TTY at 301-240-6310 (hearing impaired only); email grants@ncjrs.gov; fax to 301-240-5830; or web chat at <https://webcontact.ncjrs.gov/ncichat/chat.jsp>. The NCJRS Response Center hours of operation are 10:00 a.m. to 6:00 p.m. eastern time, Monday through Friday, and 10:00 a.m. to 8:00 p.m. eastern time on the solicitation close date. General information on applying for NIJ awards can be found at www.nij.gov/funding/Pages/welcome.aspx. Answers to frequently asked questions that may assist applicants are posted at www.nij.gov/funding/Pages/faqs.aspx.

Grants.gov number assigned to this announcement: NIJ-2016-9091

Release date: March 14, 2016

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Investigator-Initiated Research and Evaluation on Firearms Violence

(CFDA No. 16.560)

A. Program Description

Overview

NIJ seeks applications for funding investigator-initiated research and evaluation related to reducing firearms violence and understanding the causes and effects of firearms violence. This solicitation aims to strengthen our knowledge base and improve public safety by producing findings with practical implications for reducing firearms violence. This solicitation is focused specifically on producing research related to intentional, interpersonal firearms violence.

Authorizing Legislation: Title I of the Omnibus Crime Control and Safe Streets Act of 1968 (sections 201 and 202).

Program-Specific Information

Although violent crime rates have fluctuated in recent years and are well below the peaks reached in the early 1990s, firearms violence continues to pose a serious threat to public safety. Firearms continue to play a significant role in increasing the severity of lethality of crime, and most homicides in the United States are committed with firearms.

NIJ has a long history of supporting research on firearms, including a number of studies that examine how firearms go from legal purchase to use in illegal activities. NIJ has also supported a variety of studies that evaluate the effectiveness of strategies to reduce firearms violence. A recent example is a study that NIJ funded in 2015 to evaluate the effectiveness of gunshot detection technology to aid in the response, investigation, and prevention of firearms violence and related crime.

There remains a great need for high-quality research to inform efforts at the national, State, and local levels to better understand and respond to firearms violence. In 2013, the Institute of Medicine (IOM) and National Research Council (NRC) released a report titled *Priorities for Research to Reduce the Threat of Firearm-Related Violence*.¹ This IOM/NRC report is the product of a multi-disciplinary group of national experts assembled to identify research priorities and research questions that could be explored with significant progress made in three to five years. The IOM/NRC report provides a valuable resource of carefully considered and independently reviewed topics, priorities, and issues related to conducting research in this area.

For the purposes of this solicitation, NIJ will accept investigator-initiated proposals for research on a wide range of issues related to intentional, interpersonal firearms violence. However, NIJ is particularly interested in supporting research related to the following three areas identified in the IOM/NRC report:

¹ Institute of Medicine and National Research Council. 2013. *Priorities for research to reduce the threat of firearm-related violence*. Washington, D.C.: The National Academies Press.

- (1) The characteristics of firearm violence.
- (2) Risk and protective factors.
- (3) Interventions and strategies.

Within these areas, NIJ is particularly interested in the following topics identified in the IOM/NRC report and presented with examples of research questions of interest:

Characterize differences in nonfatal and fatal gun use across the United States.

- What attributes of guns, ammunition, gun users, and other circumstances affect whether a gunshot injury will be fatal or nonfatal?
- What characteristics differentiate mass shootings that were prevented from those that were carried out?

Identify factors associated with juveniles and youths having access to, possessing, and carrying guns.

- Which individual and/or situational factors influence the illegal acquisition, carrying, and use of guns by juveniles?
- What are the key community-level risk and protective factors (such as the role of social norms), and how are these risk and protective factors affected by the social environment and neighborhood/community context?

Improve understanding of risk factors that influence the probability of firearm violence in specific high-risk physical locations.

- What factors in the physical and social environment characterize neighborhoods or sub-neighborhoods with higher or lower levels of gun violence?
- What is the effect of stress and trauma on community violence, especially firearm-related violence?
- What is the effect of concentrated disadvantage on community violence, especially firearm-related violence?

Improve the understanding of whether interventions intended to diminish the illegal carrying of firearms reduce firearms violence.

- What is the degree to which background checks at the point of sale are effective in deterring acquisition of firearms by those who are legally disqualified from owning one?

Improve understanding of the effectiveness of actions directed at preventing access to firearms by violence-prone individuals.

- To what extent does enforcement of laws requiring removal of firearms from the homes of people with a history of intimate partner violence reduce homicide and injury?

The challenges of conducting research related to firearms violence have been noted by various parties and are discussed in the IOM/NRC report. NIJ is seeking applications that reflect an accurate understanding of challenges related to data availability, quality, and fragmentation. Proposals may be strengthened by integrating data from multiple sources and disciplines, assembling multi-disciplinary research teams, and incorporating both quantitative and qualitative research methods. Projects should be designed to produce findings with national implications. This does not preclude applications for studies focusing on one or a limited number of localities, but applicants should clearly justify how the findings will have broader implications for understanding or reducing firearms violence at a national level.

Goals, Objectives, Deliverables, and Expected Scholarly Products

The goals of the Investigator-Initiated Research and Evaluation on Firearms Violence solicitation are to strengthen our knowledge base and improve public safety by producing findings with practical implications for reducing firearms violence. The objectives of this solicitation are to fund research and evaluation projects that employ high-quality, rigorous social science methods and produce results with practical implications for improving efforts to reduce intentional, interpersonal firearms violence.

In addition to required data sets, interim and final progress and financial reports,² NIJ expects scholarly products to result from each award under this solicitation, taking the form of one or more published, peer-reviewed, scientific journal articles, and/or (if appropriate) law review journal articles, book chapter(s) or book(s) in the academic press, technological prototypes, patented inventions, or similar scientific products.

Evaluation Research

If an application includes an evaluation research component (or consists entirely of evaluation research), the application is expected to propose the most rigorous evaluation design appropriate for the research questions to be addressed.

If the primary purpose of the evaluation is to determine the effectiveness or impact of an intervention (e.g., program, practice, or policy), the most rigorous evaluation designs may include random selection and assignment of participants (or other appropriate units of analysis) to experimental and control conditions. In cases where randomization is not feasible, applicants should propose a strong quasi-experimental design that can address the risk of selection bias. Applications that propose meta-analysis of existing evaluation studies must establish clear inclusion criteria that favor and provide separate analysis of effect sizes for randomized and strong quasi-experimental studies. Applicants are encouraged to review evidence rating criteria on the CrimeSolutions.gov website for further information on high-quality evaluation design elements³.

Applications that include evaluation research should consider including cost/benefit analysis. In cases where evaluations find that interventions have produced the intended benefit, cost/benefit analysis provides valuable and practical information for practitioners and policymakers that aids decision-making.

² See "Federal Award Administration Information" ("General Information About Post-Federal Award Reporting Requirements") section of this solicitation, below, for additional information.

³ www.crimesolutions.gov/about_instrument.aspx.

Evaluation research projects may address a wide range of research questions beyond those focused on the effectiveness or impact of an intervention. Different research designs may be more appropriate for different research questions and at different stages of program development. In all cases, applications are expected to propose the most rigorous evaluation design appropriate for the research questions to be addressed.

B. Federal Award Information

NIJ anticipates that up to a total of \$3 million may become available for awards under this solicitation. From that total, NIJ anticipates that it will make multiple awards with project budgets ranging from \$200,000 to \$750,000 and project periods up to three years, beginning on January 1, 2017.

To allow time for, among other things, any necessary post-award review, modification, and clearance by OJP of the proposed budget, applicants should propose an award start date of January 1, 2017.

If the applicant is proposing a project that reasonably could be conducted in discrete phases, with each phase resulting in completion of one or more significant, defined milestones, then NIJ strongly recommends that the applicant structure the application—specifically including the narrative, expected scholarly products, timelines/milestones, and budget detail worksheet and budget narrative—to clearly set out each phase. (This is particularly the case if the applicant proposes a project that will exceed—in cost or length of project period—the amount or length anticipated for an individual award (or awards) under this solicitation.) Given limitations on the availability to NIJ of funds for research, development, and evaluation awards, this information will assist NIJ in considering whether partial funding of proposals that would not receive full funding would be productive. (If NIJ elects to fund only certain phases of a proposed project in FY 2016, the expected scholarly products from the partial-funding award may, in some cases, vary from those described above.)

NIJ may, in certain cases, provide supplemental funding in future years to awards under its research, development, and evaluation solicitations. Important considerations in decisions regarding supplemental funding include, among other factors, the availability of funding, strategic priorities, NIJ's assessment of the quality of the management of the award (for example, timeliness and quality of progress reports), and NIJ's assessment of the progress of the work funded under the award.

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

Type of Award⁴

NIJ expects that it will make any award from this solicitation in the form of a grant or cooperative agreement. A cooperative agreement is a particular type of grant used if NIJ expects to have ongoing substantial involvement in award activities. Substantial involvement includes direct oversight and involvement with the grantee organization in implementation of the grant, but does not involve day-to-day project management. See [Administrative, National Policy, and other](#)

⁴ See generally 31 U.S.C. §§ 6301-6305 (defines and describes various forms of federal assistance relationships, including grants and cooperative agreements [a type of grant]).

[Legal Requirements](#), under [Section F. Federal Award Administration Information](#), for details regarding the federal involvement anticipated under an award from this solicitation.

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

Please note: Any recipient of an award under this solicitation will be required to comply with Department of Justice regulations on confidentiality and human subjects' protection. See "Evidence, Research, and Evaluation Guidance and Requirements" under "Solicitation Requirements" in [OJP's Funding Resource Center](#).

Financial Management and System of Internal Controls

Award recipients and subrecipients (including any recipient or subrecipient funded in response to this solicitation that is a pass-through entity⁵) must, as described in the Part 200 Uniform Requirements set out at 2 C.F.R. 200.303:

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

In order to better understand administrative requirements and cost principles, applicants are encouraged to enroll, at no charge, in the Department of Justice Grants Financial Management Online Training available [here](#).

⁵ For purposes of this solicitation (or program announcement), "pass-through entity" includes any entity eligible to receive funding as a recipient or subrecipient under this solicitation (or program announcement) that, if funded, may make a subaward(s) to a subrecipient(s) to carry out part of the funded program.

Budget Information

What will not be funded:

- Proposals primarily to purchase equipment, materials, or supplies. (A budget may include these items if they are necessary to conduct research, development, demonstration, evaluation, or analysis.)
- Proposals that are not responsive to this specific solicitation.
- Proposals that seek to develop technology for functional or operational purposes only.
- Research that lacks clear implications for justice policy and/or practice in the United States

Cost Sharing or Matching Requirement

See “Cofunding” paragraph under item 4 (“Budget Detail Worksheet and Budget Narrative”) under [What an Application Should Include](#) in Section D. Application and Submission Information.

Pre-Agreement Cost (also known as Pre-award Cost) Approvals

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

OJP does not typically approve pre-agreement costs; an applicant must request and obtain the prior written approval of OJP for all such costs. If approved, pre-agreement costs could be paid from grant funds consistent with a grantee’s approved budget, and under applicable cost standards. However, all such costs prior to award and prior to approval of the costs are incurred at the sole risk of an applicant. Generally, no applicant should incur project costs *before* submitting an application requesting federal funding for those costs. Should there be extenuating circumstances that appear to be appropriate for OJP’s consideration as pre-agreement costs, the applicant should contact the point of contact listed on the title page of this announcement for details on the requirements for submitting a written request for approval. See the section on [Costs Requiring Prior Approval](#) in the [Financial Guide](#), for more information.

Limitation on Use of Award Funds for Employee Compensation; Waiver

With respect to any award of more than \$250,000 made under this solicitation, recipients may not use federal funds to pay total cash compensation (salary plus cash bonuses) to any employee of the award recipient at a rate that exceeds 110% of the maximum annual salary payable to a member of the Federal Government’s Senior Executive Service (SES) at an agency with a Certified SES Performance Appraisal System for that year.⁶ The 2016 salary table for SES employees is available at the Office of Personnel Management [website](#). Note: A recipient may compensate an employee at a greater rate, provided the amount in excess of this compensation limitation is paid with non-federal funds. (Any such additional compensation will not be considered matching funds where match requirements apply.) For employees who

⁶ OJP does not apply this limitation on the use of award funds to the nonprofit organizations listed at Appendix VIII to 2 C.F.R. Part 200.

charge only a portion of their time to an award, the allowable amount to be charged is equal to the percentage of time worked times the maximum salary limitation.

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

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

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

OJP strongly encourages applicants that propose to use award funds for any conference-, meeting-, or training-related activity to review carefully—before submitting an application—the OJP policy and guidance on “conference” approval, planning, and reporting available at www.ojp.gov/financialguide/DOJ/PostawardRequirements/chapter3.10a.htm. OJP policy and guidance (1) encourage minimization of conference, meeting, and training costs; (2) require prior written approval (which may affect project timelines) of most conference, meeting, and training costs for cooperative agreement recipients and of some conference, meeting, and training costs for grant recipients; and (3) set cost limits, including a general prohibition of all food and beverage costs.

Participant Support Costs and Incentives for Social Science Research

NIJ has established policies concerning the use of reasonable and justified stipends (including travel costs) and incentives to support research integrity; please see Participant Support Costs and Incentives for Social Science Research at <http://www.nij.gov/funding/Pages/research-participant-costs-and-incentives.aspx> for guidance on requests for approval and proper tracking protocol.

Costs Associated with Language Assistance (if applicable)

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

For additional information, see the "Civil Rights Compliance" section under “Solicitation Requirements” in [OJP's Funding Resource Center](#).

C. Eligibility Information

For eligibility information, see title page.

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

Limit on Number of Application Submissions

If an applicant submits multiple versions of the same application, NIJ will review only the most recent system-validated version submitted. For more information on system-validated versions, see [How to Apply](#).

D. Application and Submission Information

What an Application Should Include

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

Moreover, applicants should anticipate that applications determined to be nonresponsive to the scope of the solicitation, or that do not include the application elements that NIJ has designated to be critical, will neither proceed to peer review nor receive further consideration. Under this solicitation, NIJ has designated the following application elements as critical: Program Narrative, Budget Detail Worksheet, Budget Narrative, and resumes/curriculum vitae of key personnel. For purposes of this solicitation, “key personnel” means the principal investigator, and any and all co-principal investigators. Please review the “Note on File Names and File Types” under [How to Apply](#) to be sure applications are submitted in permitted formats.

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

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

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

Intergovernmental Review: This funding opportunity (program) **is not** subject to [Executive Order 12372](#). (In completing the SF-424, applicants are to make the appropriate selection in response to question 19 to indicate that the “Program is not covered by E.O. 12372.”)

2. Project Abstract

The project abstract is a very important part of the application, and serves as an introduction to the proposed project. NIJ uses the project abstract for a number of purposes, including

assignment of the application to an appropriate review panel. If the application is funded, the project abstract typically will become public information and be used to describe the project.

Applications should include a high-quality project abstract that summarizes the proposed project in 250-400 words. Project abstracts should be—

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

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

Project abstracts should follow the detailed template (including the detailed instructions as to content) available at www.nij.gov/funding/documents/nij-project-abstract-template.pdf.

3. Program Narrative

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

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

The following sections should be included as part of the program narrative.⁷

Program Narrative Guidelines:

a. Title Page (not counted against the 30-page program narrative limit).

The title page should include the title of the project, submission date, funding opportunity number, and the name and complete contact information (that is, address, telephone number, and e-mail address) for both the applicant organization and the principal investigator.

⁷ As noted earlier, if the proposed program or project reasonably could be conducted in discrete phases, with each phase resulting in completion of one or more significant, defined milestones, then NIJ strongly recommends that the applicant structure the application – specifically including the narrative, expected scholarly products, timelines/milestones, and budget detail worksheet and budget narrative – to set out each phase clearly. (In appropriate cases, the expected scholarly product(s) from a particular phase may vary from those described above.) See generally, “Goals, Objectives, Deliverables, and Expected Scholarly Products” under “Program-Specific Information,” above.

b. Resubmit Response (if applicable) (not counted against the 30-page program narrative limit).

If an applicant is resubmitting a proposal presented previously to NIJ, but not funded, the applicant should indicate this. A statement should be provided, no more than two pages, addressing: (1) the title, submission date, and NIJ-assigned application number of the previous proposal, and (2) a brief summary of revisions to the proposal, including responses to previous feedback received from NIJ.

c. Table of Contents and Figures (not counted against the 30-page program narrative limit).

d. Main Body

The main body of the program narrative should describe the proposed project in depth. The following sections should be included as part of the program narrative:

- Statement of the Problem.
- Project Design and Implementation.
- Potential Impact.
- Capabilities/Competencies.

Within these sections, the narrative should address:

- Purpose, goals, and objectives.
- Review of relevant literature.
- Detailed description of research design and methods, such as research questions, hypotheses, description of sample, and analysis plan.
- Planned Scholarly Products (See [Goals, Objectives, Deliverables, and Expected Scholarly Products](#) under [Program-Specific Information](#), above, for a discussion of expected scholarly products.)
- Implications for criminal justice policy and practice in the United States.
- Management plan and organization.
- Plan for Dissemination to Broader Audiences (if applicable to the proposed project). Applicants should identify plans (if any) to produce or to make available to broader interested audiences – such as criminal/juvenile justice practitioners or policymakers – summary information from the planned scholarly products of the proposed project (such as summaries of articles in peer-reviewed scientific journals), in a

form designed to be readily accessible and useful to those audiences. (Such dissemination might include, for example, trade press articles and webinars.)

e. Performance Measures

To demonstrate program progress and success, as well as, to assist the Department with fulfilling its responsibilities under the Government Performance and Results Act of 1993 (GPRA), Public Law 103-62, and the GPRA Modernization Act of 2010, Public Law 111-352, applicants that receive funding under this solicitation must provide data that measure the results of their work done under this solicitation. OJP will require any award recipient, post award, to provide the data requested in the “Data Grantee Provides” column so that OJP can calculate values for the “Performance Measures” column. (Submission of performance measures data is not required for the application.) Performance measures for this solicitation are as follows:

Objective	Performance Measure(s)	Data Grantee Provides
Conduct research in social and behavioral sciences having clear implications for criminal justice policy and practice in the United States.	<ol style="list-style-type: none"> 1. Relevance to the needs of the field as measured by whether the project’s substantive scope did not deviate from the funded proposal or any subsequent agency-approved modifications to the scope. 2. Quality of the research as demonstrated by the scholarly products that result in whole or in part from work funded under the NIJ award (published, peer-reviewed, scientific journal articles, and/or (as appropriate for the funded project) law review journal articles, book chapter(s) or book(s) in the academic press, technological prototypes, patented inventions, or similar scientific products). 3. Quality of management as measured by such factors as whether significant project milestones were achieved, reporting and other deadlines were met, and costs remained within approved limits. 	<ol style="list-style-type: none"> 1. Quarterly financial reports, semi-annual and final progress reports, and, if applicable, an annual audit report in accordance with the Part 200 Uniform Requirements of the work performed under the NIJ award. 2. List of citation(s) to all scholarly products that resulted in whole or in part from work funded under the NIJ award. 3. If applicable, each data set that resulted in whole or in part from work funded under the NIJ award.

f. Appendices (not counted against the 30-page program narrative limit) include:

- Bibliography/references.
- Any tools/instruments, questionnaires, tables/charts/graphs, or maps pertaining to the proposed project that are supplemental to such items included in the main body of the narrative.

- Curriculum vitae or resumes of the principal investigator and any and all co-principal investigators. In addition, curriculum vitae, resumes, or biographical sketches of all other individuals (regardless of “investigator” status) who will be significantly involved in substantive aspects of the proposal (including, for example, individuals such as statisticians serving as consultants to conduct proposed data analysis).
- List (to the extent known) of all proposed project staff members, including those affiliated with the applicant organization or any proposed subrecipient organization(s), any proposed consultant(s) and contractors (whether individuals or organizations), and any proposed members of an advisory board for the project (if applicable). The list should include, for each individual and organization: name, title (if applicable), employer or other organizational affiliation, and roles and responsibilities proposed for the project. Applicants should use the “Proposed Project Staff, Affiliation, and Roles” form available at www.nij.gov/funding/documents/nij-project-staff-template.xlsx to provide this listing.
- Proposed project timeline and expected milestones.
- Human Subjects Protection paperwork (documentation and forms related to Institutional Review Board (IRB) review).
(See nij.gov/funding/humansubjects/Pages/welcome.aspx) NOTE: Final IRB approval is not required at the time an application is submitted.
- Privacy Certificate (for further guidance go to nij.gov/funding/humansubjects/pages/confidentiality.aspx).
- List of any previous and current NIJ awards to applicant organization and investigator(s), including the NIJ-assigned award numbers and a brief description of any scholarly products that resulted in whole or in part from work funded under the NIJ award(s). (See “Goals, Objectives, Deliverables, and Expected Scholarly Products” under “Program-Specific Information,” above, for definition of “scholarly products.”)
- Letters of cooperation/support or administrative agreements from organizations collaborating in the project, such as law enforcement and correctional agencies (if applicable).
- List of other agencies, organizations, or funding sources to which this proposal has been submitted (if applicable).
- Data archiving plan. Applicants should anticipate that NIJ will require (through special award conditions, including a partial withholding of award funds) that data sets resulting in whole or in part from projects funded under this solicitation be submitted for archiving with the National Archive of Criminal Justice Data (NACJD) (See www.nij.gov/funding/data-resources-program/applying/Pages/data-archiving-strategies.aspx).

Applications should include as an appendix a brief plan – labeled “Data Archiving Plan” – to comply with data archiving requirements. The plan should provide brief details about proposed data management and archiving, including submission to NIJ (through NACJD) of **all files and documentation** necessary to allow for future efforts by others to reproduce the project’s findings and/or to extend the scientific value of the data set through secondary analysis. Pertinent files and documentation include, among other things, qualitative and quantitative data produced, instrumentation and data collection forms, codebook(s), any specialized programming code necessary to reproduce all constructed measures and the original data analysis, description of necessary de-identification procedures, and (when required) a copy of the privacy certificate and informed consent protocols.

The plan should be one or two pages in length and include the level of effort associated with meeting archiving requirements.

Note that required data sets are to be submitted 90 days before the end of the project period.

4. Budget Detail Worksheet and Budget Narrative

a. Budget Detail Worksheet

A sample Budget Detail Worksheet can be found at www.ojp.gov/funding/Apply/Resources/BudgetDetailWorksheet.pdf. Applicants that submit their budget in a different format should include the budget categories listed in the sample budget worksheet. (Work associated with satisfying data archiving requirements should be reflected.) NIJ expects applicants to provide a thorough narrative to each section of the Budget Detail Worksheet. The Budget Detail Worksheet should be broken down by year.

For questions pertaining to budget and examples of allowable and unallowable costs, see the Financial Guide at <http://ojp.gov/financialguide/DOJ/index.htm>.

b. Budget Narrative

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

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

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

of the proposed project. The narrative may include tables for clarification purposes but need not be in a spreadsheet format. As with the Budget Detail Worksheet, the Budget Narrative should be broken down by year.

c. Cofunding

An award made by NIJ under this solicitation may account for up to 100 percent of the total cost of the project. The application should indicate whether it is feasible for the applicant to contribute cash, facilities, or services as non-federal support for the project. The application should identify generally any such contributions that the applicant expects to make and the proposed budget should indicate in detail which items, if any, will be supported with non-federal contributions.

For additional match information, see the [Cost Sharing or Match Requirement](#) section under [Section B. Federal Award Information](#).

If a successful application proposes a voluntary match amount, and OJP approves the budget, the total match amount incorporated into the approved budget becomes mandatory and subject to audit.

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

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

e. Pre-Agreement Cost Approvals

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

5. Indirect Cost Rate Agreement (if applicable)

Indirect costs are allowed only under the following circumstances:

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

Attach a copy of the federally approved indirect cost rate agreement to the application. Applicants that do not have an approved rate may request one through their cognizant federal agency, which will review all documentation and approve a rate for the applicant organization, or, if the applicant’s accounting system permits, costs may be allocated in the direct cost categories. For the definition of Cognizant Federal Agency, see the “Glossary of Terms” in the [Financial Guide](#). For assistance with identifying your cognizant agency, please contact the Customer Service Center at 1-800-458-0786 or at ask.ocfo@usdoj.gov. If DOJ is the cognizant federal agency, applicants may obtain information needed to submit an indirect cost rate proposal at www.ojp.gov/funding/Apply/Resources/IndirectCosts.pdf.

In order to use the “de minimis” indirect rate, attach written documentation to the application that advises OJP of both the applicant’s eligibility (to use the “de minimis” rate) and its election. If the applicant elects the “de minimis” method, costs must be consistently charged as either indirect or direct costs, but may not be double charged or inconsistently charged as both. In addition, if this method is chosen then it must be used consistently for all federal awards until such time as you choose to negotiate a federally approved indirect cost rate.⁸

6. Tribal Authorizing Resolution (if applicable)

Tribes, tribal organizations, or third parties proposing to provide direct services or assistance to residents on tribal lands should include in their applications a resolution, a letter, affidavit, or other documentation, as appropriate, that certifies that the applicant has the legal authority from the tribe(s) to implement the proposed project on tribal lands. In those instances when an organization or consortium of tribes applies for a grant on behalf of a tribe or multiple specific tribes, the application should include appropriate legal documentation, as described above, from all tribes that would receive services or assistance under the grant. A consortium of tribes for which existing consortium bylaws allow action without support from all tribes in the consortium (i.e., without an authorizing resolution or comparable legal documentation from each tribal governing body) may submit, instead, a copy of its consortium bylaws with the application.

7. Applicant Disclosure of High-Risk Status

Applicants are to disclose whether they are currently designated high-risk by another federal grant making agency. This includes any status requiring additional oversight by the federal agency due to past programmatic or financial concerns. If an applicant is designated high-risk by another federal grant making agency, you must email the following information to OJPComplianceReporting@usdoj.gov at the time of application submission:

- The federal agency that currently designated the applicant as high-risk.
- Date the applicant was designated high risk.
- The high-risk point of contact name, phone number, and email address, from that federal agency.
- Reasons for the high-risk status.

OJP seeks this information to ensure appropriate federal oversight of any grant award. Disclosing this high risk information does not disqualify any organization from receiving an OJP award. However, additional grant oversight may be included, if necessary, in award documentation.

⁸ See 2 C.F.R. § 200.414(f).

8. Additional Attachments

a. Applicant disclosure of pending applications⁹

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

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

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

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

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

Applicants should include the table as a separate attachment to their application. The file should be named "Disclosure of Pending Applications."

Applicants that do not have pending applications as described above are to include a statement to this effect in the separate attachment page (e.g., "[Applicant Name on SF-424] does not have pending applications submitted within the last 12 months for federally funded grants or subgrants (including cooperative agreements) that include

⁹ Typically, the applicant is not the principal investigator; rather, the applicant, most frequently, is the institution, organization, or company in which the principal investigator is employed.

requests for funding to support the same project being proposed under this solicitation and will cover the identical cost items outlined in the budget narrative and worksheet in the application under this solicitation.”).

b. Research and Evaluation Independence and Integrity

If a proposal involves research and/or evaluation, regardless of the proposal’s other merits, in order to receive funds, the applicant must demonstrate research/evaluation independence, including appropriate safeguards to ensure research/evaluation objectivity and integrity, both in this proposal and as it may relate to the applicant’s other current or prior related projects. This documentation may be included as an attachment to the application which addresses BOTH i. and ii. below.

- i. For purposes of this solicitation, applicants must document research and evaluation independence and integrity by including, at a minimum, one of the following two items:
 - a. A specific assurance that the applicant has reviewed its proposal to identify any research integrity issues (including all principal investigators and sub-recipients) and it has concluded that the design, conduct, or reporting of research and evaluation funded by NIJ grants, cooperative agreements, or contracts will not be biased by any personal or financial conflict of interest on the part of part of its staff, consultants, and/or sub-recipients responsible for the research and evaluation or on the part of the applicant organization;

OR

- b. A specific listing of actual or perceived conflicts of interest that the applicant has identified in relation to this proposal. These conflicts could be either personal (related to specific staff, consultants, and/or sub-recipients) or organizational (related to the applicant or any subgrantee organization). Examples of potential investigator (or other personal) conflict situations may include, but are not limited to, those in which an investigator would be in a position to evaluate a spouse’s work product (actual conflict), or an investigator would be in a position to evaluate the work of a former or current colleague (potential apparent conflict). With regard to potential organizational conflicts of interest, as one example, generally an organization could not be given a grant to evaluate a project if that organization had itself provided substantial prior technical assistance to that specific project or a location implementing the project (whether funded by OJP or other sources), as the organization in such an instance would appear to be evaluating the effectiveness of its own prior work. The key is whether a reasonable person understanding all of the facts would be able to have confidence that the results of any research or evaluation project are objective and reliable. Any outside personal or financial interest that casts doubt on that objectivity and reliability of an evaluation or research product is a problem and must be disclosed.
- ii. In addition, for purposes of this solicitation applicants must address the issue of possible mitigation of research integrity concerns by including, at a minimum, one of the following two items:

- a. If an applicant reasonably believes that no potential personal or organizational conflicts of interest exist, then the applicant should provide a brief narrative explanation of how and why it reached that conclusion. Applicants **MUST** also include an explanation of the specific processes and procedures that the applicant will put in place to identify and eliminate (or, at the very least, mitigate) potential personal or financial conflicts of interest on the part of its staff, consultants, and/or sub-recipients for this particular project, should that be necessary during the grant period. Documentation that may be helpful in this regard could include organizational codes of ethics/conduct or policies regarding organizational, personal, and financial conflicts of interest.

OR

- b. If the applicant has identified specific personal or organizational conflicts of interest in its proposal during this review, the applicant must propose a specific and robust mitigation plan to address conflicts noted above. At a minimum, the plan must include specific processes and procedures that the applicant will put in place to eliminate (or, at the very least, mitigate) potential personal or financial conflicts of interest on the part of its staff, consultants, and/or sub-recipients for this particular project, should that be necessary during the grant period. Documentation that may be helpful in this regard could include organizational codes of ethics/conduct or policies regarding organizational, personal, and financial conflicts of interest. There is no guarantee that the plan, if any, will be accepted as proposed.

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

9. Financial Management and System of Internal Controls Questionnaire

In accordance with the Part 200 Uniform Requirements as set out at [2 C.F.R. 200.205](#), federal agencies must have in place a framework for evaluating the risks posed by applicants before they receive a federal award. To facilitate part of this risk evaluation, **all** applicants (other than an individual) are to download, complete, and submit this [form](#).

10. Disclosure of Lobbying Activities

All applicants must complete this information. Applicants that expend any funds for lobbying activities are to provide the detailed information requested on the form [Disclosure of Lobbying Activities \(SF-LLL\)](#). Applicants that do not expend any funds for lobbying activities are to enter "N/A" in the text boxes for item 10 ("a. Name and Address of Lobbying Registrant" and "b. Individuals Performing Services").

How to Apply

Applicants must register in, and submit applications through Grants.gov, a primary source to find federal funding opportunities and apply for funding. Find complete instructions on how to register and submit an application at www.Grants.gov. Applicants that experience technical difficulties during this process should call the Grants.gov Customer Support Hotline at **800-518-4726** or **606-545-5035**, 24 hours a day, 7 days a week, except federal holidays. Registering with Grants.gov is a one-time process; however, **processing delays may occur, and it can take several weeks** for first-time registrants to receive confirmation and a user password. OJP encourages applicants to **register several weeks before** the application submission deadline. In addition, OJP urges applicants to submit applications 72 hours prior to the application due date to allow time to receive validation messages or rejection notifications from Grants.gov, and to correct in a timely fashion any problems that may have caused a rejection notification.

NIJ strongly encourages all prospective applicants to sign up for Grants.gov email [notifications](#) regarding this solicitation. If this solicitation is cancelled or modified, individuals who sign up with Grants.gov for updates will be automatically notified.

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

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

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

GMS does not accept executable file types as application attachments. These disallowed file types include, but are not limited to, the following extensions: “.com,” “.bat,” “.exe,” “.vbs,” “.cfg,” “.dat,” “.db,” “.dbf,” “.dll,” “.ini,” “.log,” “.ora,” “.sys,” and “.zip.” GMS may reject applications with files that use these extensions. It is important to allow time to change the type of file(s) if the application is rejected.

All applicants are required to complete the following steps:

OJP may not make a federal award to an applicant organization until the applicant organization has complied with all applicable DUNS and SAM requirements. Individual applicants must comply with all Grants.gov requirements. If an applicant has not fully complied with the requirements by the time the federal awarding agency is ready to make a federal award, the

federal awarding agency may determine that the applicant is not qualified to receive a federal award and use that determination as a basis for making a federal award to another applicant.

Individual applicants should search Grants.gov for a funding opportunity for which individuals are eligible to apply. Use the Funding Opportunity Number (FON) to register. Complete the registration form at <https://apply07.grants.gov/apply/IndCPRegister> to create a username and password. Individual applicants should complete all steps except 1, 2 and 4.

- 1. Acquire a Data Universal Numbering System (DUNS) number.** In general, the Office of Management and Budget requires that all applicants (other than individuals) for federal funds include a DUNS number in their applications for a new award or a supplement to an existing award. A DUNS number is a unique nine-digit sequence recognized as the universal standard for identifying and differentiating entities receiving federal funds. The identifier is used for tracking purposes and to validate address and point of contact information for federal assistance applicants, recipients, and subrecipients. The DUNS number will be used throughout the grant life cycle. Obtaining a DUNS number is a free, one-time activity. Call Dun and Bradstreet at 866-705-5711 to obtain a DUNS number or apply online at www.dnb.com. A DUNS number is usually received within 1-2 business days.
- 2. Acquire registration with the System for Award Management (SAM).** SAM is the repository for standard information about federal financial assistance applicants, recipients, and subrecipients. OJP requires all applicants (other than individuals) for federal financial assistance to maintain current registrations in the SAM database. Applicants must be registered in SAM to successfully register in Grants.gov. Applicants must **update or renew their SAM registration annually** to maintain an active status. SAM registration and renewal can take as long as 10 business days to complete.

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

Information about SAM registration procedures can be accessed at www.sam.gov.

- 3. Acquire an Authorized Organization Representative (AOR) and a Grants.gov username and password.** Complete the AOR profile on Grants.gov and create a username and password. The applicant organization's DUNS number must be used to complete this step. For more information about the registration process, go to www.grants.gov/web/grants/register.html. Individuals registering with Grants.gov should go to <http://www.grants.gov/web/grants/applicants/individual-registration.html>.
- 4. Acquire confirmation for the AOR from the E-Business Point of Contact (E-Biz POC).** The E-Biz POC at the applicant organization must log into Grants.gov to confirm the applicant organization's AOR. The E-Biz POC will need the Marketing Partner Identification Number (MPIN) password obtained when registering with SAM to complete this step. Note that an organization can have more than one AOR.
- 5. Search for the funding opportunity on Grants.gov.** Use the following identifying information when searching for the funding opportunity on Grants.gov. The Catalog of Federal Domestic Assistance number for this solicitation is 16.560 titled "National Institute of

Justice Research, Evaluation, and Development Project Grants” and the funding opportunity number is NIJ-2016-9091.

- 6. Submit a valid application consistent with this solicitation by following the directions in Grants.gov.** Within 24-48 hours after submitting the electronic application, the applicant should receive two notifications from Grants.gov. The first will confirm the receipt of the application and the second will state whether the application has been successfully validated, or rejected due to errors, with an explanation. It is possible to first receive a message indicating that the application is received and then receive a rejection notice a few minutes or hours later. Submitting well ahead of the deadline provides time to correct the problem(s) that caused the rejection. **Important:** OJP urges applicants to submit applications **at least 72 hours prior** to the application due date to allow time to receive validation messages or rejection notifications from Grants.gov, and to correct in a timely fashion any problems that may have caused a rejection notification. All applications are due to be submitted and in receipt of a successful validation message in Grants.gov by 11:59 p.m. eastern time on May 13, 2016.

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

Note: Duplicate Applications

If an applicant submits multiple versions of the same application, NIJ will review only the most recent system-validated version submitted. See Note on File Names and File Types under [How To Apply](#).

Experiencing Unforeseen Grants.gov Technical Issues

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

The following conditions are generally insufficient to justify late submissions:

- Failure to register in SAM or Grants.gov in sufficient time (SAM registration and renewal can take as long as 10 business days to complete. The information transfer from SAM to Grants.gov can take up to 48 hours.)
- Failure to follow Grants.gov instructions on how to register and apply as posted on its website.

- Failure to follow each instruction in the OJP solicitation.
- Technical issues with the applicant's computer or information technology environment, including firewalls.

Notifications regarding known technical problems with Grants.gov, if any, are posted at the top of the OJP funding web page at <http://ojp.gov/funding/index.htm>.

E. Application Review Information

Selection Criteria

Applications that meet basic minimum requirements will be evaluated by peer reviewers using the following review criteria.

Statement of the Problem (Understanding of the problem and its importance) – 10%

1. Demonstrated understanding of the problem.
2. Demonstrated awareness of the state of current research.

Project Design and Implementation (Quality and technical merit) – 50%

1. Soundness of methods and analytic and technical approach to addressing the stated aim(s) of the proposed project.
2. Feasibility of proposed project.
3. Awareness of potential pitfalls of proposed project design and feasibility of proposed actions to minimize and/or mitigate them.

Potential Impact – 20%

Potential for a significant scientific or technical advance(s) that will improve criminal/juvenile justice in the United States, such as:

1. Potential for significantly improved understanding of the stated criminal/juvenile justice problem.
2. Potential for innovative solution to address (all or a significant part of) the stated criminal/juvenile justice problem.

Capabilities/Competencies (Capabilities, demonstrated productivity, and experience of the applicant organization and proposed project staff) – 20%

1. Qualifications and experience of proposed project staff (that is, the principal investigator, any and all co-principal investigators, and all other individuals (and organizations) identified in the application (regardless of "investigator" status) who will be significantly involved in substantive aspects of the proposal).

2. Demonstrated ability of the applicant organization to manage the effort.
3. Relationship between the capabilities/competencies of the proposed project staff (including the applicant organization) and the scope of the proposed project.

Budget

Peer reviewers will consider and may comment on the following additional items in the context of scientific and technical merit.

1. Total cost of the project relative to the perceived benefit (cost effectiveness).
2. Appropriateness of the budget relative to the level of effort.
3. Use of existing resources to conserve costs.
4. Proposed budget alignment with proposed project activities.

Plan for Dissemination to Broader Audiences (if applicable to the proposed project)

Peer reviewers may comment—in the context of scientific and technical merit—on the proposed plan (if any) to produce or to make available to broader interested audiences, such as criminal/juvenile justice practitioners or policymakers, summary information from the planned scholarly products of the project.

Review Process

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

Peer reviewers will review the applications submitted under this solicitation that meet basic minimum requirements. For purposes of assessing whether applicants have met basic minimum requirements, OJP screens applications for compliance with specified program requirements to help determine which applications should proceed to further consideration for award. Although program requirements may vary, the following are common requirements applicable to all solicitations for funding under OJP grant programs:

- Applications must be submitted by an eligible type of applicant.
- Applications must request funding within programmatic funding constraints (if applicable).
- Applications must be responsive to the scope of the solicitation.
- Applications must include all items designated as “critical elements.”
- Applicants will be checked against the System for Award Management.

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

NIJ may use internal peer reviewers, external peer reviewers, or a combination, to assess applications meeting basic minimum requirements on technical merit using the solicitation’s selection criteria. An external peer reviewer is an expert in the subject matter of a given solicitation who is not a current DOJ employee. An internal reviewer is a current DOJ employee who is well-versed or has expertise in the subject matter of this solicitation. A peer review panel will evaluate, score, and rate applications that meet basic minimum requirements.

OJP reviews applications for potential discretionary awards to evaluate the risks posed by applicants before they receive an award. This review may include but is not limited to the following:

1. Financial stability and fiscal integrity.
2. Quality of management systems and ability to meet the management standards prescribed in the Financial Guide.
3. History of performance.
4. Reports and findings from audits.
5. The applicant's ability to effectively implement statutory, regulatory, or other requirements imposed on award recipients.
6. Proposed costs to determine if the Budget Detail Worksheet and Budget Narrative accurately explain project costs, and whether those 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 National Institute of Justice. Peer reviewers’ ratings and any resulting recommendations are advisory only, although their views are considered carefully. In addition to peer review ratings, considerations for award recommendations and decisions may include, but are not limited to, planned scholarly products, proposed budgets, past performance (including scholarly products) under prior NIJ and OJP awards, research independence and integrity, strategic priorities, and available funding when making awards.

F. Federal Award Administration Information

Federal Award Notices

OJP sends award notification by email through GMS to the individuals listed in the application as the point of contact and the authorizing official (E-Biz POC and AOR). The email notification includes detailed instructions on how to access and view the award documents, and how to accept the award in GMS. GMS automatically issues the notifications at 9:00 p.m. eastern time on the award date (by September 30, 2016). Recipients will be required to login; accept any outstanding assurances and certifications on the award; designate a financial point of contact; and review, sign, and accept the award. The award acceptance process involves physical

signature of the award document by the authorized representative and the scanning of the fully-executed award document to OJP.

Administrative, National Policy, and other Legal Requirements

If selected for funding, in addition to implementing the funded project consistent with the agency-approved project proposal and budget, the recipient must comply with award terms and conditions, and other legal requirements, that are included in the award, incorporated into the award by reference, or are otherwise applicable to the award. OJP strongly encourages prospective applicants to review the information pertaining to these requirements **prior** to submitting an application. To assist applicants and recipients in accessing and reviewing this information, OJP has placed it on its [Solicitation Requirements](#) page of the [OJP Funding Resource Center](#).

Please note in particular the following two forms, which applicants must submit in GMS prior to the receipt of any award funds, as each details legal requirements with which applicants must provide specific assurances and certifications of compliance. Applicants may view these forms in the [OJP Funding Resource Center](#) and are strongly encouraged to review and consider them carefully prior to making an application for OJP grant funds.

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

Upon grant approval, OJP electronically transmits (via GMS) the award document to the prospective award recipient. In addition to other award information, the award document contains award terms and conditions that specify national policy requirements¹⁰ with which recipients of federal funding must comply; uniform administrative requirements, cost principles, and audit requirements; and program-specific terms and conditions required based on applicable program (statutory) authority or requirements set forth in OJP solicitations and program announcements. For example, certain efforts may call for special requirements, terms, or conditions relating to intellectual property, data/information-sharing or -access, or information security; or audit requirements, expenditures and milestones, or publications and/or press releases.

OJP also may place additional terms and conditions on an award based on its risk assessment of the applicant, or for other reasons it determines necessary to fulfill the goals and objectives of the program.

Prospective applicants may access and review the text of mandatory conditions OJP includes in all OJP awards, as well as the text of certain other conditions, such as administrative conditions, via the [Mandatory Award Terms and Conditions](#) page of the [OJP Funding Resource Center](#).

As stated above, NIJ may elect to make awards under this program as either a grant or a cooperative agreement. Cooperative agreement awards include standard “federal involvement” conditions that describe the general allocation of responsibility for execution of the funded program. Generally stated, under cooperative agreement awards, responsibility for the day-to-

¹⁰ See *generally* 2 C.F.R. 200.300 (provides a general description of national policy requirements typically applicable to recipients of federal awards, including the Federal Funding Accountability and Transparency Act of 2006 (FFATA)).

day conduct of the funded project rests with the recipient in implementing the funded and approved proposal and budget, and the award terms and conditions. Responsibility for oversight and redirection of the project, if necessary, rests with NIJ.

In addition to any “federal involvement” condition(s), OJP cooperative agreement awards include a special condition specifying certain reporting requirements required in connection with conferences, meetings, retreats, seminars, symposium, training activities, or similar events funded under the award, consistent with OJP policy and guidance on “conference” approval, planning, and reporting.

General Information About Post-Federal Award Reporting Requirements

Recipients must submit quarterly financial reports, semi-annual progress reports, final financial and progress reports, and, if applicable, an annual audit report in accordance with the Part 200 Uniform Requirements. Applicants should anticipate that NIJ will require recipients to use a version of the non-budgetary components of the Research Performance Progress Report (RPPR) template/format for progress reports, appropriately modified for NIJ research awards. General information on RPPRs may be found at www.nsf.gov/bfa/dias/policy/rppr/. Future awards and fund drawdowns may be withheld if reports are delinquent.

Special Reporting requirements may be required as appropriate.

As indicated earlier in this solicitation, NIJ expects scholarly products to result from any award under this solicitation. Please review the [Goals, Objectives, Deliverables, and Expected Scholarly Products](#) segment of the “Program-Specific Information” section of this solicitation, as well as the “Performance Measures” section.

In addition to the expectation of scholarly products, successful applicants under this solicitation will be required to submit the following deliverables regarding the work funded by the NIJ award.

Required Data Sets and Associated Files and Documentation

As discussed earlier, NIJ requires recipients of an award under this solicitation to submit to NACJD all data sets that result in whole or in part from the work funded by NIJ, along with associated files and any documentation necessary to allow for future efforts by others to reproduce the project’s findings and/or to extend the scientific value of the data set through secondary analysis. All data sets and necessary documentation are to be submitted 90 days prior to the end of the project period. For more information, see the “Program Narrative” section of [What an Application Should Include](#).

G. Federal Awarding Agency Contact(s)

For Federal Awarding Agency Contact(s), see the title page.

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

H. Other Information

Provide Feedback to OJP

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

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

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

Application Checklist

Investigator-Initiated Research and Evaluation on Firearms Violence

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

What an Applicant Should Do:

Prior to Registering in Grants.gov:

- _____ Acquire a DUNS Number (see page 23)
- _____ Acquire or renew registration with SAM (see page 23)

To Register with Grants.gov:

- _____ Acquire AOR and Grants.gov username/password (see page 23)
- _____ Acquire AOR confirmation from the E-Biz POC (see page 23)

To Find Funding Opportunity:

- _____ Search for the funding opportunity on Grants.gov (see page 23)
- _____ Download Funding Opportunity and Application Package (see page 23)
- _____ Sign up for Grants.gov [email](#) notifications (optional) (see page 22)
- _____ Read [Important Notice: Applying for Grants in Grants.gov](#)
- _____ Read OJP policy and guidance on “conference” approval, planning, and reporting available at ojp.gov/financialguide/DOJ/PostawardRequirements/chapter3.10a.htm (see page 10)

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

- _____ (1) application has been received
- _____ (2) application has either been successfully validated or rejected with errors (see page 24)

If no Grants.gov receipt, and validation or error notifications are received:

- _____ Please refer to the section: Experiencing Unforeseen Grants.gov Technical Issues (see page 24)

General Requirements:

- _____ Review the [Solicitation Requirements](#) in the OJP Funding Resource Center.

What an Application Should Include:

- _____ Application for Federal Assistance (SF-424) (see page 11)
- _____ Project Abstract (if applicable) (see page 11)
- _____ Program Narrative (see page 12)
- _____ Budget Detail Worksheet (see page 16)
- _____ Budget Narrative (see page 16)
- _____ Indirect Cost Rate Agreement (if applicable) (see page 17)
- _____ Tribal Authorizing Resolution (if applicable) (see page 18)
- _____ Applicant Disclosure of High-Risk Status (see page 18)
- _____ Additional Attachments
 - _____ Applicant Disclosure of Pending Applications (see page 19)
 - _____ Research and Evaluation Independence and Integrity (see page 20)
- _____ Financial Management and System of Internal Controls Questionnaire (see page 21)
- _____ [Disclosure of Lobbying Activities \(SF-LLL\)](#) (see page 21)
- _____ Employee Compensation Waiver request and justification (if applicable) (see page 9)