



National Institute of Justice

S o l i c i t a t i o n

October 2001

Office of Research and Evaluation 2002 Solicitation for Investigator-Initiated Research

The text of this online solicitation was updated on October 31, 2001 to expand the application topic areas (including terrorism and counter-terrorism) and to update the Topics Designation Form.

APPLICATION DEADLINE:
January 16, 2002

U.S. Department of Justice
Office of Justice Programs
810 Seventh Street N.W.
Washington, DC 20531

John Ashcroft
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For grant and funding information, contact:
Department of Justice Response Center
800-421-6770

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National Institute of Justice
World Wide Web Site:
<http://www.ojp.usdoj.gov/nij>

Office of Research and Evaluation

2002 Solicitation for Investigator-Initiated Research

What's New?

Changes From Previous Investigator-Initiated Solicitations

- T** Proposals will be received under four general topic areas including: Violence and Victimization, Drugs & Crime, Crime Control and Prevention, Justice Systems and Criminal Behavior. Within these broad domains, applicants should identify the specific topic of their research. (See Topics Designation Form, page 9.)
- T** **Proposals concerning violence against women will not be accepted under this solicitation.** There will be separate solicitations on topics related to violence against women in 2002, including domestic violence, sexual assault and stalking.
- T** **Science & Technology Development proposals are not eligible under this solicitation.** NIJ's Office of Science and Technology has a separate solicitation for science and technology development research.
- T** The application package has been re-arranged. Now required are a Topics Designation Form, a detailed listing of previous NIJ grant award performance, a privacy certificate, and a Protection of Human Subjects Assurance Form.
- T** Deliverables and reporting time lines are being reinforced including final technical reports, data sets, as well as standard progress and financial reports.

I. Introduction

The National Institute of Justice (NIJ) is the independent research and development arm of the U.S. Department of Justice. Created by Congress in 1968, the Institute is charged with investing public funds to develop knowledge that will reduce crime, enhance public safety, and improve the administration of justice. Enabling legislation authorizes NIJ to assist State and local justice systems in the following ways:

- By conducting and sponsoring basic and applied research into the causes, prevention, and detection of crime.
- By sponsoring evaluations of major Federal initiatives concerning crime and justice.
- By supporting research and demonstrations to develop new approaches, techniques, systems, and equipment to improve law enforcement and the administration of justice.
- By developing, validating, and evaluating new technologies to deter crime and enhance criminal justice operations.
- By making recommendations to Federal, State, and local governments.
- By collecting and disseminating both domestic and international criminal justice information.

Many of today's crime problems require solutions that go beyond traditional criminal justice boundaries. The Institute continues to promote research collaborations with other Federal agencies and private foundations and has established a variety of research partnerships. Some of these partnerships result in directed solicitations for research on specific topics or programs of relevance to both NIJ and partner agencies.

NIJ directed solicitations are announced throughout the year on NIJ's Web site, in the Federal Register and on the Justice Information Center Web site. Interested applicants may also telephone the National Criminal Justice Reference Service (NCJRS) at 800-851-3420 or e-mail askncjrs@ncjrs.com to receive pending release and announcement dates.

II. Background

NIJ receives and reviews research proposals in response to the broad mandate of the Institute's solicitation for investigator-initiated research. Proposals may be submitted under this program to explore topics of relevance to State or local criminal justice policy or practice with potential for informing policy and practice on a national basis, and proposals to fill important gaps in the development of key areas of scientific knowledge. In recent years, the investigator-initiated solicitation has focused on concerns such as community crime prevention, policing research, juvenile and criminal justice systems improvement, corrections, alcohol- and drug-related crime and treatment, and criminal behavior.

NIJ encourages researchers from all disciplines to explore opportunities for collaborative efforts presented in this and directed solicitations. Partnerships between researchers and practitioners are encouraged. Collaboration is a critical element of a researcher-practitioner partnership. Applications should address management of partnership activities such as problem definition, development of assessment tools, collection of data, and issues of privacy, confidentiality and research involving human subjects. Additionally, while a proposed partnership may have State or local utility, it should also have implications for national knowledge building.

NIJ's Office of Research and Evaluation (ORE) is providing some structure to the 2002 Investigator-Initiated Solicitation by requesting that proposals be submitted under four broad topic areas: violence and victimization, drugs and crime,

crime control and prevention, justice systems and criminal behavior research. Within these broad domains, applicants should identify the specific topic of their research. See the Topics Designation Form on page 9.

A. Violence & Victimization. This program of research at NIJ seeks to develop innovative solutions to the problems of violence and victimization through research-informed strategic planning, support for research and evaluation, and dissemination of research information to the field and public. Although much of NIJ's research in this area continues to be supported through directed solicitations under the Violence Against Women Research Agenda, NIJ is also seeking proposals on other aspects of violence and victimization under the 2002 ORE Investigator-Initiated Solicitation.

By all reports, violent crime is declining in the United States. However, many issues regarding violence have yet to be systematically studied. Much has been accomplished recently to identify attributes and characteristics of violent individuals. However, little is known about behaviors, transactions between individuals, and situations which precipitate violent events. Little information exists to adequately describe characteristics which differentiate violent and non-violent communities. Further, although many laws and associated sanctions have been developed in recent years, little is known about the effectiveness of these approaches in reducing the frequency and prevalence of violence in American communities.

Among other areas, ORE is interested in receiving proposals to study characteristics that relate to levels of violence and victimization including the effects of community attributes such as collective efficacy; decision-making among individuals and other factors related to violent behavior; and the effectiveness of specific laws, policies and programs in reducing violence in communities. NIJ also welcomes applications for research on collective violence and terrorism, including proposals to study causes of collective violence, victims of terrorism, and other related issues.

B. Drugs & Crime. NIJ promotes and supports an ongoing national program of research on drugs and crime through the Arrestee Drug Monitoring Program (ADAM). The 2002 ORE Investigator-Initiated Solicitation looks to support further research that contributes to policy and practice in the area of drugs and crime.

Although proposals will be accepted on other substantive areas and topics, ORE is interested in proposals for drugs and crime research that investigate the underlying assumptions of contemporary policies, programs, and practices. We are also interested in receiving proposals for research to enhance our understanding of the relationship between drugs and crime. We encourage proposals involving research on the nature of drug markets and implications for policy; the characteristics of drug offenders and victims of drug-related crime; drug use and abuse; the relationship of genes, environment and culture in drug abuse; drug enforcement; drug treatment and intervention; and drug policy.

C. Crime Control & Prevention. NIJ has traditionally supported crime control and prevention research in the areas of policing, firearms, spatial analysis and crime mapping, gangs, and crime prevention. NIJ's policing research includes community policing implementation evaluations, evaluations of police problem-solving efforts, police and community studies, studies of police organization and management, police organization performance measurement, establishment of police-researcher partnerships, and studies of police technologies. Our crime control and prevention research also includes the application of crime mapping in developing spatial analysis analytical tools, and in demonstrating the utility of mapping in solving local crime problems. ORE also supports diverse research in crime prevention as well as demonstration projects that focus on data-informed problem solving and decision-making in local communities.

Among other topics, the 2002 ORE Investigator-Initiated Solicitation is seeking proposals to examine the adoption of new

technologies, to evaluate the impact of technology on the practice of policing and police performance, and to examine changes that occur in police organizations as a result of technology.

We are also interested in receiving proposals to examine target-specific opportunity reduction strategies to increase our understanding of the underlying processes and mechanisms that make for successful and effective prevention strategies. Also, ORE is interested in proposals for research to examine implementation and utilization of mapping by all types of criminal justice agencies, and to study the impact of computerized crime mapping on criminal justice agencies. NIJ also welcomes applications for research and evaluation on counter-terrorism, including proposals to study state and local law enforcement strategies to prevent and respond to collective violence and terrorism, evaluation of multi-agency task forces and crisis management teams, and related issues.

D. Justice Systems and Criminal Behavior. NIJ supports research to improve the functioning of components of the justice system through strategic planning, research and evaluation, dissemination of information to improve effectiveness and reduce costs associated with operation of the justice system, and to reduce re-offending among persons entering and being processed through the justice system. NIJ supports research to develop information and knowledge to effectively address correctional and sentencing reform; evaluate options and identify management issues associated with the processing, prosecution and supervision of offenders in the criminal justice system; and to evaluate aspects associated with treatment, behavior change and reintegration of offenders.

The 2002 ORE Investigator-Initiated Solicitation seeks proposals for research that apply a systems perspective to problems in the administration of justice and management of offenders in judicial and correctional settings. Of particular interest are proposals for studies that employ multilevel approaches to measure institutional factors and organizational processes, individual level influences and responses of actors within systems, and the social and cultural context

within which they operate. Studies should seek to assess direct and indirect, intended and unintended effects of policies and programs.

In the area of Justice Systems and Criminal Behavior, we are interested in receiving proposals for research to evaluate the operations of courts within communities; the efficacy of treatment or other programs to influence offender's behavior; and research to evaluate strategies for the management of violent offenders in correctional facilities; and, comparative studies of sentencing as means to control crime and the effect of sentencing on the justice system, its operations, and on communities.

Although ORE will accept proposals in other substantive areas and topics, the above four areas are of priority interest in the 2002 Investigator-Initiated Research Solicitation.

III. Selection Criteria

NIJ is firmly committed to a competitive process in making grant awards. External peer review panelists consider both technical and programmatic merits of a proposed topic. Successful applicants must demonstrate to an independent peer review panel that: 1) the gap in knowledge they seek to fill is critical to understanding crime and justice and is policy relevant; 2) the proposed research design is rigorous and appropriate to posited research questions; and, 3) principal investigators are highly qualified to execute the design within the proposed budget. Institute staff then make recommendations to the NIJ Director based on the results of the independent reviews. Final decisions are made by the NIJ Director after consultation with Institute staff. Reviews of grant applications are based upon the following criteria:

■ Impact of the Project

- Importance of the problem;
- Potential for significant advances in areas such as violence and victimization, drugs

and crime, crime prevention, law enforcement, courts, corrections;

- Potential for advancement of scientific understanding of the problem area;
- Relevance to improving the policy and practice of criminal justice and related agencies and for improving public safety, security, and quality of life.

■ Quality and Technical Merit

- Awareness of existing research;
- Soundness of methodology, analytic, or technical approach;
- Innovation and creativity, where appropriate;
- Feasibility of proposed project and awareness of pitfalls.

■ Capabilities, Demonstrated Productivity, and Experience of Applicants

- Qualifications and experience of personnel to proposed project;
- Demonstrated ability to manage proposed effort;
- Adequacy of proposed budget including time and personnel;
- Past performance on NIJ grants and contracts.

■ Budget Considerations

- Total cost relative to perceived benefit;
- Budget appropriate to level of effort;
- Use of existing resources to conserve costs.

The review process (including peer review, decision-making and other considerations) may take up to six months to complete. Notices of award and non-award are distributed simultaneously about 180 days subsequent to the closing date of a solicitation. Notifications will be sent to the address as indicated on the Application for Assistance. Information regarding award status will not be available until notifications are distributed.

IV. How to Apply

Individuals interested in submitting proposals in response to this solicitation must complete the required application forms and related documents. Applicants must include all of the following information and completed forms to qualify for consideration:

PART A:

- Application for Federal Assistance - Standard Form (SF 424)
- Topics Designation Form
- Proposal abstract
- Table of contents
- Budget Detail Worksheet
- Budget Narrative
- Negotiated indirect rate agreement (if appropriate)
- Program narrative
- References
- Names and affiliations of all key persons including applicants and subcontractor(s), advisors, consultants, and advisory board members. Include name of principal investigator, title, organizational affiliation, department (if institution of higher education), address, phone, fax, and e-mail address.
- List all previous and current NIJ awards and grant numbers including information on final reports and other deliverables to NIJ (whether submitted or outstanding) and a listing of all publications (by NIJ or other publishers) resulting from each grant award.

PART B:

- Privacy certificate
- Protection of Human Subjects Assurance Identification/Certification/Declaration (Form 310)
- Environmental Assessment (if required)
- Geographic Areas Affected Worksheet
- Assurances
- Certifications Regarding Lobbying, Debarment, Suspension, and Other

- Responsibility Matters; and Drug-Free Workplace Requirements (one form)
- Disclosure of Lobbying Activities
- Appendixes:
 - Letters of cooperation from organizations collaborating in the research project
 - Résumés
 - Other materials

The Application Package is available at the NIJ Web site under the URL:

http://www.ojp.usdoj.gov/nij/funding_app.htm

The Application for Assistance. The Standard Form 424 should be the first page of the application. Please follow the instructions in completing the Standard Application for Assistance Form.

In item 10 of the Application, be sure to include 16.560 as the Catalog for Federal Domestic Assistance Number. Indicate the Title to be the “FY2002 ORE Investigator-Initiated Solicitation.”

Enter the title of your proposal in Item 11. Start and end dates in Item 13 should be adjusted to accommodate a six month grant making process. For this solicitation, proposed projects should not have a start date earlier than July 1, 2002.

The Topics Designation Form. The Topics Designation Form should be the second page of the application package and indicate the area into which the proposal falls: Violence & Victimization, Drugs & Crime, Crime Control & Prevention, Justice Systems and Criminal Behavior.

The Proposal Abstract. The proposal abstract is a very important part of the application. Along with the Topics Designation Form, the abstract is used in sorting applications for review by the appropriate independent peer panel. Once an award has been granted, the abstract is computerized and serves as a summary available to all interested parties for the duration of the grant. When read separately from the rest of the application, the abstract should serve as a succinct and accurate

description of the proposed work. Applicants should concisely describe research goals and objectives, research design, and methods for achieving the goals and objectives. Length is not to exceed 400 words. Use the following two headers and instructions in developing the abstract.

Research Goals and Objectives:

Statement of Purpose. State the problem under investigation including goals and objectives of the proposed research project, and anticipated relevance of the project to public policy and/or practice.

Research Subjects. If applicable, describe subjects who will be involved in the proposed project including the number of participants, age, gender, race/ethnicity, and other pertinent characteristics such as how you will gain access to participants.

Proposed Research Design & Methodology:

Methods. Describe the research method and/or design including data to be used in addressing research questions, data collection procedures and instrumentation, access to data, and other methods or procedures unique to the proposed study.

Data Analysis and Products. Describe proposed techniques for data analysis and all expected products including interim and final reports, instrumentation, and data to be archived under NIJ's Data Resource Program.

The Program Narrative. The program narrative should provide information and detail to adequately describe the proposed project and should include:

- Purpose, Goals and Objectives
- Review of Relevant Literature
- Methodology
- Anticipated Results and Products
- Staff/Management Plan
- Tables, Charts, Figures & Research Time-line (not within page limit)

Page limit. The number of pages included in the "Program Narrative" section of the application must not exceed thirty (30), double-spaced pages in 12-point font, with one inch margins. Tables, charts and figures describing the research design, calendar, analysis plan, etc. are encouraged and will not be counted in the 30 page limitation.

Due date. Ten (10) copies (one unbound) of complete proposals **must be received** at the National Institute of Justice by 4:30 p.m. on **January 16, 2002**. Extensions to this deadline are not permitted. Faxed or electronically transmitted copies are not accepted. NIJ reserves the right to return incomplete applications, those not responsive to the scope of this solicitation, or those not complying with format requirements.

Names and affiliations of the author(s) of the proposal should be clearly identified. Proposals that are incorrectly collated, incomplete, or handwritten may be considered as submitted or, at NIJ's discretion, may be returned without further review. Proposals exceeding the page limit will not be reviewed. No additions to the original submission are allowed.

Under the investigator-initiated solicitation, NIJ has recently awarded grants ranging from less than \$100,000 to \$300,000 and occasionally more.

The length of the research study being proposed should be appropriate to the study design. However, to ensure results are useful they must be available in order to inform policy in a timely fashion. Therefore, study time frames of two years or less are encouraged.

Application Materials. Applicants should obtain two packets: 1) application forms (including a sample budget worksheet); and, 2) guidelines for submitting proposals (including requirements for proposal writers and requirements for grant recipients). To receive them, applicants can:

- Access NIJ Web site and download application information at:

<http://www.ojp.usdoj.gov/nij/funding.htm>

- Request hard copies of the forms and guidelines by mail from the NCJRS at 800–851–3420 or from the Department of Justice Response Center at 800–421–6770 (in the Washington, D.C., area, at 202–307–1480).
- Request copies by fax. Call 800–851–3420 and select option 1, then option 1 again for NIJ. Code is 1023.
- **Please note that instructions provided in this announcement supersede those outlined in the document: *Guidelines for Submitting Proposals for National Institute of Justice - Sponsored Research.***

V. Guidelines For Grantees

NIJ has established guidelines for grantees regarding deliverables such as final reports and data sets. **Ninety (90) days prior to the completion of the grant period**, grantees are expected to submit in draft form: a 400 word abstract; a 2,500 word executive summary; and, a technical research report.

Final Deliverables

- Abstract (400 words)
- Executive Summary (2,500 words)
- Technical Report
- Electronic data and supporting documentation

All NIJ draft research reports are peer reviewed upon submission. The reviews are forwarded to the principal investigator with suggestions for revisions. The principal investigator is then required to submit the revised final report, abstract, executive summary, final data set and codebook/data dictionary by the end date of the

grant. The abstract, executive summary and final report are to be submitted in both paper and electronic/diskette versions. The data set and codebook/dictionary are also to be submitted in electronic form.

Data sets must be received by the grant end date. Grant applicants should ensure that the proposed time line and budget accommodates these requirements.

In addition to the abstract, executive summary, technical report and data set, grantees are required to submit quarterly financial status reports and semi-annual progress reports.

Financial Status Report

Financial status reports (SF 269-A) are to be submitted quarterly no later than 45 days following the end of each calendar quarter. Two copies of the financial status report must be submitted to the Office of the Comptroller every quarter during which the award is active even if there has been no financial activity during the reporting period.

Additionally, a final financial report is due 120 days after the end date of the award. Future awards and fund drawdowns will be withheld if financial status reports are delinquent.

Semi-annual Progress Report

Recipients of funding are also required to submit semi-annual Categorical Assistance Progress Reports. Two copies of the progress report must be submitted to the Office of the Comptroller twice a year even if there has been no substantive activity during the reporting period. The progress report should describe activities during the reporting period and status or accomplishment of objectives as set forth in the approved application for funding. For the duration of the award, progress reports must be submitted within 30 days after the end of the reporting periods (January 1 through June 30 and July 1 through December 31).

Additionally, a Final Progress Report providing a summary of achievement of the goals and objectives of the award, significant results, and any products developed under the award, is due 90 days after the end date of the award. Future awards and fund drawdowns may be withheld if progress reports are delinquent.

Forms for submitting financial and progress reports are available at the NIJ website. Report formats will also be provided by the Office of Justice Programs at the time of the grant award.

CONFIDENTIALITY OF INFORMATION AND HUMAN SUBJECT PROTECTION

NIJ has adopted new policies and procedures regarding the confidentiality of information and human subjects protection.

The Department of Justice (DOJ) regulations at 28 Code of Federal Regulations (CFR) Part 22 require recipients of NIJ research funds to protect personally identifiable information that is collected from all research participants. The regulations at 28 CFR Part 22 require applicants for NIJ funding to outline specific procedures for protection of private information about individuals as part of the Privacy Certificate submitted with the application package.

In addition to the regulations in Part 22, DOJ has adopted policies concerning protection of human subjects which are the same as those established by the Department of Health and Human Services in 45 CFR Part 46, Subpart A, also known as the "Common Rule."

The DOJ regulations are set forth in 28 CFR Part 46. In general, 28 CFR Part 46 requires that all research involving human subjects conducted or supported by a federal department or agency be reviewed and approved by an Institutional Review Board (IRB) before federal funds are expended for that research. If IRB approval is required for this project, a copy of the IRB's approval as well as supporting documentation concerning the IRB's institutional affiliation, its policies and procedures,

and necessary assurances must be submitted to the National Institute of Justice prior to the initiation of any research activities that are not exempt from the provisions of 28 CFR Part 46.

Further information regarding Confidentiality and Human Subjects Protections may be found in *Guidelines for Submitting Proposals for National Institute of Justice-Sponsored Research*.

Guidance and information. Applicants who wish to receive additional guidance and information may contact the U.S. Department of Justice Response Center at 800-421-6770. Center staff can provide assistance or refer applicants to an appropriate NIJ professional.

Send applications to:

Office of Research and Evaluation
Solicitation for Investigator-Initiated Research
National Institute of Justice
810 Seventh Street N.W., Rm. 7324
Washington, DC 20531
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For more information on the National Institute of Justice, please contact:

National Criminal Justice Reference Service
Box 6000
Rockville, MD 20849-6000
800-851-3420
e-mail: askncjrs@ncjrs.org

You can view or obtain an electronic version of this document from the NCJRS Justice Information Center Web site (<http://www.ncjrs.org>) or the NIJ Web site (<http://www.ojp.usdoj.gov/nij>).

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**Office of Research and Evaluation
Investigator-Initiated Solicitation
Topics Designation Form**

Please indicate one primary topic area under which this proposal should reviewed.

NOTE: Does the proposed project include a researcher-practitioner partnership? 9 Yes 9 No

- 9 Violence and other criminal behaviors
- 9 Sex Offenders/Offenses
- 9 Domestic violence and violence against women
- 9 Victims of crime
- 9 Crime and delinquency prevention
- 9 Child abuse and neglect
- 9 Juvenile Delinquency
- 9 Policing practices, organization and administration
- 9 Firearms
- 9 Drugs, Drugs and Crime, Alcohol & Drug Testing
- 9 Drug Treatment, Drug Courts
- 9 White-collar, Cyber-Crime
- 9 Transnational Crime, Organized Crime
- 9 Court Operations
- 9 Adjudication and Sentencing
- 9 Corrections Juvenile Adult
- 9 Crime-mapping
- 9 Spatial Analysis
- 9 Terrorism or Counter-Terrorism
- 9 Other Thematic Areas:

(Include this form as the second page to the application)
