



OCTOBER 04

NIJ

Solicitation for Concept Papers

**Investigation and Prosecution of
Sexual Violence in Corrections**

Notice:

You *must* submit your application using the Office of Justice Programs' automated Grants Management System. Paper applications will not be accepted. We suggest you begin the process as soon as possible. To start the process, go to <http://www.ojp.usdoj.gov/fundopps.htm>.

Deadline:

**Concept papers:
December 8, 2004**

8 p.m. eastern time

SL 000676

U.S. Department of Justice
Office of Justice Programs
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Washington, DC 20531

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Investigation and Prosecution of Sexual Violence in Corrections

I. Introduction

The National Institute of Justice (NIJ) is the research, development, and evaluation agency of the U.S. Department of Justice. NIJ provides objective, independent, evidence-based knowledge and tools to enhance the administration of justice and public safety. The supports research that can provide knowledge and tools to guide policy and practice.

With this solicitation, NIJ now seeks concept papers that propose research on and evaluation of policies and practices related to the investigation and prosecution of prison sexual violence. Successful applicants must demonstrate how the proposed research will advance knowledge, practice, and policy related to sexual violence in correctional facilities. (NIJ is requesting research on the impact of prison sexual assault and on the connection between, and/or programmatic response to, sexual violence and HIV/AIDS and other sexually transmitted diseases through a separate solicitation.)

Due date: The due date is listed on the cover of this announcement and on the NIJ Web site at <http://www.ojp.usdoj.gov/nij/funding.htm>. Extensions to the deadline are generally not granted.

Page limit: The program narrative section of your concept paper must not exceed **15** double-spaced pages in 12-point font with 1-inch margins. Tables, charts, figures, abstracts, appendixes, and government forms do not count toward the **15**-page limit. (Full proposals, for applicants who will be invited to submit them, are usually limited to 25 to 30 pages.)

Reasons for rejection: NIJ may reject applications that are incomplete, do not respond to the scope of the solicitation, do not comply with format requirements, or are submitted after the deadline. No additions to the original submission are allowed.

How to submit applications to NIJ: Instructions for applying for funding are in "Guidelines: How to Submit Applications," available on the NIJ Web site at <http://www.ojp.usdoj.gov/nij/funding.htm>.

II. Concept Paper Topics

NIJ supports research to inform criminal justice policy and practice. In 2003, NIJ released a solicitation seeking proposals for quantitative research on prison sexual violence in response to the goals of the Prison Rape Elimination Act of 2003 (PREA), Public Law 208-79. NIJ is now seeking additional research addressing the investigation and prosecution of sexual violence in correctional settings. The overall goals of the PREA include developing and implementing national standards to detect and prevent prison rape (as defined in the PREA), increasing the

availability of data and information to aid in improving the management and administration of correctional facilities, and increasing the accountability of prison officials.

As a result of the PREA, a number of large-scale research efforts have begun, including development by the Bureau of Justice Statistics of a national study to measure the incidence and prevalence of prison sexual violence. In addition, NIJ is supporting a major qualitative research study of prison culture as it relates to sexual violence. Other funded projects will identify sexual violence prevention programs or develop risk assessment tools to identify potential victims or predators.

The themes and topic areas presented in this section are not exclusive but should guide the applicant to the types of research being sought that are directly relevant to the goals of the PREA. You are encouraged to consider research projects in male and female prisons, jails, juvenile institutions, and regarding individuals under community supervision. (Note: Individuals under community supervision are appropriate subjects to the extent that they inform research on the impact of sexual violence perpetrated in correctional settings.)

Research and evaluation on investigation and prosecution of sexual violence in corrections NIJ is seeking research and evaluation on policies and practices used in the investigation of allegations, reports, and acts of sexual assault in correctional settings, including inmate-on-inmate and staff-on-inmate incidents. Studies may focus on a single site's policies and practices or a cross-site analysis of multiple sites, including jails, juvenile facilities and other correctional settings. Of particular interest are studies on policies used by corrections agencies to designate a specific agency or entity as having investigational jurisdiction for these crimes; policies that dictate the selection and assignment of law enforcement personnel to investigate these incidents in a correctional setting; and protocols, policies, and procedures that guide response to, and investigation of these allegations, reports, and acts as well as the prosecution of the perpetrator.

NIJ is equally interested in strategies and practices that may enhance the response and outcome of these investigations. Examples include specialized training requirements for law enforcement investigators; the procurement and use of proper investigative equipment; the use of appropriate practices to secure the crime scene and gather evidence; the use of appropriate practices to establish a chain of custody and preserve evidence; use of DNA in investigations; the establishment of collaborative and coordinated activities between corrections administrators, law enforcement investigators, medical authorities, public health agencies, and prosecutors in the timely and comprehensive investigation and referral of these crimes; and prosecutorial practices used to advance prison rape cases in the same manner as rapes not committed in a prison setting.

The level of funding will be based on the applicant's comprehensive approach to addressing policies that inform investigations of sexual assault in correctional settings, current methods and

practices used in the investigation of these crimes, and the prosecution of offenders. All proposals must track the process through the investigation of these crimes. Applicants may choose to track the process beyond investigation through prosecution but are not required to do so.

III. General Requirements and Guidance

NIJ is asking you to submit a concept paper that captures the essence of a full proposal. The main difference between a concept paper and a proposal is that concept papers are much shorter and do not contain detailed budgets.

Your concept paper should state the problem under investigation (including goals and objectives of the proposed project) and the relevance of the project to public policy, practice, or theory. The narrative program section should state the research question and objectives and explain how the work will contribute to knowledge and practice. It should describe in sufficient detail the research methods and analytic strategy.

While the concept paper should not include a detailed budget or management plan, it should include a staffing plan and an estimate of the funding required, summarized by task, and a general timeframe for completion of those tasks and the project as a whole.

Format your concept paper as follows:

1. Abstract of no more than 400 words
2. Program narrative:
 - a. Research question or problem
 - b. Research goals and objectives
 - c. Research design and methods
 - d. Implications for knowledge and practice
 - e. Dissemination plan for project deliverables
 - f. Description of estimated costs
 - g. Staffing plan
 - h. Timeline
3. Tables, figures, charts, and appendixes (if applicable)

Peer reviewers will evaluate each concept paper and based on their recommendations, NIJ staff will invite authors of selected concept papers to submit full applications. Instructions for submitting proposals can be found in "Guidelines: How to Submit Applications" (available at <http://www.ojp.usdoj.gov/nij/funding.htm>) and the Office of Justice Programs Grants Management System Handbook (available at <http://www.ojp.usdoj.gov/fundopps.htm>). Full proposals are expected to be submitted by March 6, 2005.

- A. Submit applications online:** Paper applications are not accepted. Applications must be submitted through the Office of Justice Programs' online Grants Management System. NIJ suggests you begin the process early, especially if this is the first time you have used the system. To begin, go to <http://www.ojp.usdoj.gov/fun>. There are three types of documents that can be uploaded to an application package: PDFs, Word Documents, and Text Documents. The Grants Management System does not consider an application complete until three files are uploaded: (1) "Program Narrative," (2) "Budget Detail Worksheet and Narrative," and (3) "Other Program Attachments." Upload your concept paper into the "Program Narrative" box. Concept papers do not have "Budget Detail Worksheets and Narratives" and do not have "Other Program Attachments." Therefore, you should upload blank files into those boxes in GMS.
- B. Relevance of the project for policy and practice:** Higher-quality concept papers clearly explain the practical implications of the project. They connect technical expertise with policy and practice. To ensure that the project has strong relevance for policy and practice, some researchers and technologists collaborate with practitioners and policymakers. You may include letters showing support from practitioners, but they carry less weight than clear evidence that you understand why policymakers and practitioners would benefit from your work and how they would use it. While a partnership may affect State or local activities, it should also have broader implications for others across the country.
- C. Equal opportunity for all applicants:** It is OJP policy that faith-based and community organizations that statutorily qualify as eligible applicants under OJP programs are invited and encouraged to apply for awards. Faith-based and community organizations will be considered for an award on the same basis as any other eligible applicants and, if they receive awards, will be treated on an equal basis with nonfaith-based and community organization grantees in the administration of such awards. No eligible applicant or grantee will be discriminated against on the basis of its religious character or affiliation, religious name, or the religious composition of its board of directors or persons working in the organization.
- D. Cofunding is not required:** A grant made by NIJ under this solicitation may be for up to 100 percent of the total cost of the project. You must indicate whether you believe it is feasible for you to contribute cash, facilities, or services as nonfederal support for the project. Your concept paper should identify generally any such contributions that you propose to make. If you are asked to submit a full proposal, your proposed budget should indicate in detail, which items, if any, will be supported with nonfederal contributions.
- E. Number of grants to be awarded:** NIJ's grant award process is highly competitive. The number of awards to be made is subject to the availability of funds and the number and quality of applications received.

- F. When awards will be made:** All applicants, whether they are accepted or rejected, will be notified. The review and approval process for concept papers takes about 8 weeks. The review and approval process for full proposals takes about 6 months. You should not propose to begin work until at least 8 months after the deadline on the cover of this solicitation. Also, you should not expect to receive notification of a decision for at least 8 months after that date. Lists of awards are updated regularly on NIJ's Web site at <http://www.ojp.usdoj.gov/nij/funding.htm>.
- G. Financial audits are required:** If your organization spends \$500,000 or more of Federal funds during the year, you will be required to submit an organization-wide financial and compliance audit report before any award is made. The audit must be performed in accordance with the U.S. General Accounting Office Government Accounting Standards and must conform to Chapter 19 ("Audit Requirements") of the Office of Justice Programs' *Financial Guide* (available at <http://www.ojp.usdoj.gov/FinGuide>). You may include the costs of complying with these audits in the proposed budget submitted as part of your application. Detailed information regarding the independent audit is available in Office of Management and Budget Circular A-133 (available at <http://www.whitehouse.gov/omb/circulars>).
- H. An environmental assessment may be required:** All award recipients must comply with the National Environmental Policy Act (NEPA). To ensure NEPA compliance, NIJ may require some award recipients to submit additional information.
- I. Protection of confidentiality:** Federal regulations require applicants for NIJ funding to outline specific procedures for protecting private information about individuals as part of the Privacy Certificate submitted with the application package. For more information, see "Guidelines: How to Submit Applications" available at <http://www.ojp.usdoj.gov/nij/funding.htm>.
- J. New requirement—DUNS number:** Beginning October 1, 2003, a Dun and Bradstreet Data Universal Numbering System (DUNS) number must be included in every application for a new award or renewal of an award. The DUNS number will be required whether an applicant submits an application through the Office of Justice Programs' Grants Management System or using the government-wide electronic portal (<http://www.grants.gov>). **An application will not be considered complete until a valid DUNS number is provided by the applicant.** Individuals who would personally receive a grant or cooperative agreement from the Federal government are exempt from this requirement.

Applicants can receive a DUNS number at no cost by calling the dedicated toll-free DUNS number request line at 1-866-705-5711.

If you have questions, contact the Office of Justice Programs' Office of the Comptroller's Customer Service Center at 1-800-458-0786.

- K. Funds cannot be used to lobby:** Under the Anti-Lobbying Act (18 U.S.C. § 1913), grantees generally may not use funds to support the enactment, repeal, or modification of any law, regulation, or policy at any level of government. For more information on rules and regulations, see "Guidelines: How to Submit Applications" at <http://www.ojp.usdoj.gov/nij/funding.htm> and OJP's *Financial Guide* at <http://www.ojp.usdoj.gov/FinGuide>.
- L. What will *not* be funded:** Typically, NIJ *does not* fund projects that provide training or direct service. For this solicitation, NIJ is not likely to fund proposals that focus on risk assessment, general prevention program evaluation, or ethnographic studies on sexual activity or sexual violence in a correctional setting because these topics may duplicate existing studies. Proposals that duplicate the tasks and duties assigned to the Bureau of Justice Statistics under the PREA will not be considered under this solicitation.
- M. Cost of proposed work:** NIJ anticipates that up to \$2 million will become available for up to 10 awards for projects that last up to 36 months. All awards are subject to the availability of appropriated funds and depend on the number of high-quality applications. If you propose a project that exceeds the amount of money available for this solicitation, we recommend that you divide the project into phases, stages, or tasks so that NIJ can consider making an award for a specific portion of the work. NIJ cannot guarantee that subsequent phases, stages, or tasks will be funded. Such additional funding depends on NIJ's resources and your satisfactory completion of each phase, stage, or task. Note: Deliverables (e.g., a final report) will be required at the end of each phase, stage, or task.
- N. Call for assistance:**
1. For technical guidance about using the Grants Management System, call the hotline at 1-888-549-9901.
 2. For questions about this solicitation, the research being solicited, or other NIJ funding opportunities, contact the U.S. Department of Justice Response Center at 1-800-421-6770.

IV. Selection Criteria

NIJ is firmly committed to the competitive process in awarding grants. All concept papers and proposals are subjected to independent peer-review panel evaluations. External peer-review panelists consider both technical and programmatic merits. Panelists are selected based on their expertise in subject areas pertinent to the proposals.

Peer-review panelists will evaluate concept papers and full proposals using the criteria listed below. Following this assessment, NIJ will then invite selected applicants to submit full proposals. Full proposals will also be peer reviewed. NIJ staff then make recommendations to the NIJ Director. The Director makes final award decisions.

Successful applicants must demonstrate the following:

A. Understanding of the problem and its importance.

B. Quality and technical merit.

1. Awareness of the state of current research or technology.
2. Soundness of methodology and analytic and technical approach.
3. Feasibility of proposed project and awareness of pitfalls.
4. Innovation and creativity (when appropriate).

C. Impact of the proposed project.

1. Potential for significant advances in scientific or technical understanding of the problem.
2. Potential for significant advances in the field.
3. Relevance for improving the policy and practice of criminal justice and related agencies and improving public safety, security, and quality of life.
4. Affordability and cost-effectiveness of proposed end products, when applicable (e.g., purchase price and maintenance costs for a new technology or cost of training to use the technology).
5. Perceived potential for commercialization and/or implementation of a new technology (when applicable).

D. Capabilities, demonstrated productivity, and experience of applicants.

1. Qualifications and experience of proposed staff.
2. Demonstrated ability of proposed staff and organization to manage the effort.
3. Adequacy of the plan to manage the project, including how various tasks are subdivided and resources are used.
4. Successful past performance on NIJ grants and contracts (when applicable).

E. Budget.

1. Total cost of the project relative to the perceived benefit.
2. Appropriateness of the budget relative to the level of effort.
3. Use of existing resources to conserve costs.

F. Dissemination strategy.

1. Well-defined plan for the grant recipient to disseminate results to appropriate audiences, including researchers, practitioners, and policymakers.
2. Suggestions for print and electronic products NIJ might develop for practitioners and policymakers.

V. Requirements for Successful Applicants

If you are invited to submit a proposal and your proposal is funded, you will be required to submit several reports and other materials as follows:

- A. Final report:** The final report should be a comprehensive overview of the project and should include a detailed description of the project design, data, and methods; a full presentation of scientific findings; and a thorough discussion of the implications of the project findings for criminal justice practice and policy. It must contain an abstract of no more than 400 words and an executive summary of no more than 2,500 words.

A draft of the final report, abstract, and executive summary must be submitted 90 days before the end date of the grant. The draft report will be peer reviewed upon submission. The reviews will be forwarded to the principal investigator with suggestions for revisions. The principal investigator must then submit the revised final report, abstract, and executive summary by the end date of the grant. The abstract, executive summary, and final report must be submitted in both paper and electronic formats.

For evaluation studies, the report should include a section on measuring program performance. This section should outline the measures used to evaluate program effectiveness, modifications made to those measures as a result of the evaluation, and recommendations regarding these and other potential performance measures for similar programs. (This information will be particularly valuable to NIJ and other Federal program agencies in implementing performance measures for federally funded criminal justice programs.)

- B. Interim reports:** Grantees must submit quarterly financial reports, semi-annual progress reports, and a final progress report. Future awards and fund drawdowns may be withheld if reports are delinquent. Post-award reporting requirements are described in “Guidelines: How to Submit Applications,” available at <http://www.ojp.usdoj.gov/nij/funding.htm>.
- C. Materials concerning protection of confidential information and human subjects:** Recipients of NIJ research funds must comply with Federal regulations concerning the protection of private information about individuals. Recipients also must comply with Federal regulations concerning protection of human subjects. In general, all research involving human subjects that is conducted or supported by NIJ funds must be reviewed and approved

by an Institutional Review Board before Federal funds are expended for that research. NIJ may also ask grant recipients for additional information related to privacy and human subjects testing.

Additional general information regarding NIJ's requirements for privacy and protection of human subjects appears in "Guidelines: How to Submit Applications," available at <http://www.ojp.usdoj.gov/nij/funding.htm>. Complete information about NIJ's requirements can be found at <http://www.ojp.usdoj.gov/nij/humansubjects>.

- D. Electronic data:** Some grant recipients will be required to submit electronic data and supporting documentation, such as a codebook or dictionary, capable of being re-analyzed and used by other researchers. The materials must be submitted by the end date of the grant. Grant applicants should ensure that the proposed timeline and budget accommodate these requirements.

- E. Performance guidelines:** As part of government-wide efforts to measure the performance of Federal funding, in May 2002, the White House issued guidance on how to evaluate the performance of Federal research programs. Research should be: (1) relevant—that is, important and appropriate for meeting the needs of the field, (2) of high quality, and (3) well-managed by grantees and well-monitored by the Federal agency. Therefore, in addition to the reporting requirements discussed above, a grantee's performance will be evaluated on whether the final research report was (1) relevant to the needs of the field as measured by whether the grantee's substantive scope did not deviate from the funded proposal or any subsequent agency modifications to the scope; (2) of high quality as assessed by peer reviewers; and (3) well-managed as measured by whether significant interim project milestones were achieved, final deadlines were met, and costs remained within approved limits. For more details on NIJ's requirements under the Government Performance and Review Act, see "Guidelines: How to Submit Applications," available at <http://www.ojp.usdoj.gov/nij/funding.htm>.

Tips for Submitting Your Application

1. Begin the application process early—especially if you have never used the online Grants Management System before. NIJ will not accept applications received after the closing date and time listed on the cover. To start the process, go to—
<http://www.ojp.usdoj.gov/fundopps.htm>.
2. Review “Guidelines: How to Submit Applications” for more instructions. It is available at <http://www.ojp.usdoj.gov/nij/funding.htm>.
3. Although your project may budget for the purchase of equipment if the equipment is necessary to conduct the project, NIJ will not fund applications that are primarily to purchase equipment, materials, or supplies.
4. Call for help:
 - C For technical guidance about the Grants Management System, call the hotline at 1-888-549-9901.
 - C For questions about this solicitation, the research being solicited, or other NIJ funding opportunities, contact the U.S. Department of Justice Response Center at 1-800-421-6770.

View or print a copy of this document from the NIJ Web site (<http://www.ojp.usdoj.gov/nij/funding.htm>) or request one by calling NCJRS at 1-800-851-3420 or e-mailing askncjrs@ncjrs.org.

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NIJ provides objective, independent, evidence-based knowledge and tools to enhance the administration of justice and public safety.

NIJ is a component of the Office of Justice Programs, which also includes the Bureau of Justice Assistance, the Bureau of Justice Statistics, the Office of Juvenile Justice and Delinquency Prevention, and the Office for Victims of Crime.