



National Institute of Justice

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

Jeremy Travis, Director

September 1996

Solicitation for “Breaking the Cycle” Evaluation

“Breaking the Cycle” Evaluation

I. Introduction

The National Institute of Justice (NIJ) has entered into a Cooperative Agreement with the University of Alabama at Birmingham TASC Program (TASC) to implement the Breaking the Cycle (BTC) Demonstration Project. It is anticipated that Birmingham is the first of what will eventually be several BTC demonstration sites. The evaluator chosen by NIJ will be expected to work closely with the demonstration sites, the NIJ staff, and the BTC program board to complete the evaluation. Up to \$600,000 will be available for the evaluation of the Birmingham site.

Applicants should review the *Areas of Research Required* section (pp. 2-3), the *Due Date* subsection and *Letter of Intent* box (p. 3) and the *Award Amount and Contact* subsections (p. 4) for special conditions that apply to this solicitation.

II. Background

A consortium of federal agencies, led by the Office of National Drug Control Policy (ONDCP) and NIJ, with support from the Bureau of Justice Assistance (BJA), the National Institute on Drug Abuse (NIDA), and the Center for Substance Abuse Treatment (CSAT), has developed the BTC demonstration to test the effectiveness and impact of a comprehensive, fully-integrated, systemwide criminal justice intervention for drug-involved offenders. The BTC program entails universal drug testing and needs assessment of all offenders entering the criminal justice system, followed by appropriate assignment to a combination of treatment,

sanctions, and supervision options regardless of the status of the defendant (in custody, on release) or the status of the case (pretrial, post conviction).

BTC embraces the concept that systemic changes in the criminal justice system, in the form of integrated drug needs assessment, testing, sanctions, and treatment, can result in reduced drug use and reduced consequences of drug use. At its core, the philosophy behind BTC is simple: perform a drug use needs assessment, including testing, for every person entering the criminal justice system and, based on the results, apply the appropriate blend of treatment, sanctions and supervision throughout the period in which the defendant is under criminal justice system supervision. In many fundamental ways, however, BTC will differ from other testing and treatment programs. First, the testing and needs assessment component will be universal, unlike other programs into which participants are screened. Second, BTC will provide drug users with integrated access to a wide(r) range of services and resources, ranging from in- and out-custody treatment, to employment counseling, training, and life enhancement skills. Such programs will be available throughout the period in which the person is under criminal justice system supervision with the goal of eliminating an individual’s drug use, and with progress toward that goal moderated and regulated by sanctions, treatment and supervision.

Both the evaluation and demonstration will be managed by NIJ. A Director of Science and Research will be responsible for structuring BTC to test the primary hypothesis that a systemic policy of drug needs assessment combined with sanctions and services will result in measurable changes at the site level. A Director of Operations will be responsible for ensuring complete program

implementation in each demonstration site, and for securing, coordinating and monitoring technical assistance. A Program Board, including the Director of NIJ, the Director of Science and Research, Director of Operations, technical assistance representatives, and other specialists will provide strategic insights on program components, hypothesis testing, operational issues, and information management in the context of the anticipated expansion to additional sites.

III. Areas of Research Required

The purpose of the BTC evaluation is to test the hypothesis that an integrated policy of systemwide drug testing, needs assessment, treatment and supervision, appropriately tailored to each defendant’s needs, will result in significant societal benefits. BTC offers significant opportunity to expand our understanding of the impact and efficacy of universal mandatory treatment, as well as the consequences of creating forward and backward treatment and supervision linkages within the criminal justice system. The evaluation should pay particular attention to explicating the impact that such a policy of universal assessment and assignment has on:

- ◆ drug use in the subject population;
- ◆ criminal activity in the subject population;
- ◆ social indicators such as health and employment in the subject population;
- ◆ system costs relative to benefits;
- ◆ allocation and utilization of system resources, such as detention and treatment capacity.

These system effects may be in part measured by such factors as:

- ◆ the extent to which universal testing, needs assessment, assignment and supervision are achieved;

- ◆ number of changes in status, or moves from one program phase to another (ex: treatment to sanctions);
- ◆ changes in test failure rates and proportion of incoming population that is drug-free;
- ◆ changes in length of stay under correctional supervision;
- ◆ changes in recidivism and rearrest;
- ◆ impact on case processing, including time to disposition and necessary procedural changes.

Process components that will need to be accounted for include:

- ◆ Court Procedures: monitoring and supervision procedures and responsibilities; impact of judicial style and judicial calendar;
- ◆ Drug Testing Procedures: frequency of testing (by program phase); impact of different testing procedures (random; scheduled; acceptance sampling); procedures for reporting test outcomes to courts;
- ◆ Use of Sanctions/Incentives: assignment of individuals to sanction/treatment modalities; decision rules for use of sanctions;
- ◆ Treatment Services: types of services provided (in-custody; community, etc); relationship between treatment providers and courts;
- ◆ Other Services: education services; employment services; housing assistance; medical care;
- ◆ Exchange of Information: Format of data exchange; types of information exchanged; restrictions and allowable uses of data.

Prospective applicants are reminded that this is a hypothesis-testing evaluation. Taking into consideration the time lines and schedules, the

need for collaboration with the demonstration site, and resource constraints, applicants are encouraged to propose rigorous, multi-method designs that may include experimental and randomized design components. Applicants should also specify the type of research and evaluation presence they anticipate they will maintain at the Birmingham site. NIJ anticipates that additional sites may be added to the evaluation. Accordingly, applicants should briefly discuss factors, including fixed and variable costs and institutional capabilities, that would need to be addressed as part of a multi-site evaluation. **This discussion should be submitted on a separate page and will not be counted against the page limit.**

IV. How to Apply

This section presents information about how to apply, recommendations to proposal writers, and requirements for grant recipients. Proposals not conforming to these application procedures will not be considered.

Letter of Intent

NIJ is trying to streamline its process to accommodate the volume of proposals anticipated under this and other solicitations. Researchers can help in a significant way by sending NIJ a non-binding letter of intent by October 15, 1996. The Institute will use these letters to forecast the numbers of peer panels it needs and to identify conflicts of interest among potential reviewers. **Please fill out the mailer on the last page of this solicitation or send email to rileyj@ojp.usdoj.gov.**

The application form and related forms are appended at the end of this solicitation. These forms are as follows:

- Standard Form (SF) 424 (Application for Federal Assistance) and instructions
- Budget Detail Worksheet (OJP form 7150/1)
- Instructions (for the Program Narrative)
- “Assurances” (OJP Form 4000/3)
- “Certifications....” (OJP Form 4061/6)

Due date. Completed proposals **must be received** at the National Institute of Justice by the close of business on **November 7, 1996 5:00 pm EST**. Postmarked applications arriving after the due date will not be eligible. Extensions of this deadline will not be permitted.

Number of copies. Send ten (10) copies of the fully executed proposal.

Where to send. Proposals should be sent to:

“Breaking the Cycle” Evaluation
National Institute of Justice
Room 868
633 Indiana Avenue N.W.
Washington, DC 20531

Award period. In general, NIJ limits its grants and cooperative agreements to a maximum period of 12 or 24 months. However, longer budget periods may be considered.

Number of awards. NIJ anticipates supporting 1 grant under this solicitation.

Award amount. An award totaling \$600,000 will be made available for this NIJ solicitation. Applications should be structured on the premise that up to \$300,000 will be made available for the Birmingham evaluation in federal Fiscal Year (FY) 1997 and up to \$300,000 in FY 1998.

Contact. *Prospective applicants should refrain from contacting the Birmingham site without first contacting NIJ.* Questions regarding site operations and implementation should be directed to Carolyn Peake at 202-616-3234. Questions regarding application design and hypothesis testing issues should be directed to Jack Riley at 202-616-9030. **Organizations and individuals intending to apply should submit a letter of intent to Jack Riley by October 15, 1996. Applicants intending to submit will receive a supplemental package of information which describes the proposed scope of operations at Birmingham.**

Certifications. Applicants should read and sign the certification form regarding lobbying; debarment, suspension, and other responsibility matters; and drug-free workplace requirement included in this solicitation. Signing this form commits the applicant to compliance with the certification requirements under 28 CFR (Code of Federal Regulations) 69, "New Restrictions on Lobbying," and 28 CFR 67, "Government-Wide Debarment and Suspension (Nonprocurement) and Government-Wide Requirements for Drug-Free Workplace (Grants)." The certification will be treated as a material representation of the fact upon which reliance will be placed by the U.S. Department of Justice in making awards.

Recommendations to Proposal Writers

Over the past 4 years, NIJ staff have reviewed approximately 1,500 grant applications. On the

basis of those reviews and inquiries from applicants, NIJ offers the following recommendations to help potential applicants present workable, understandable proposals, especially for applicants new to NIJ. Many of these recommendations were adopted from materials provided to NIJ by the State Justice Institute. Others reflect standard NIJ requirements.

The author(s) of the proposal should be clearly identified.

Proposals that are incorrectly collated, incomplete, or handwritten will be judged as submitted or, at NIJ's discretion, will be returned without a deadline extension. No additions to the original submission are allowed. NIJ suggests that applicants make certain that they address the questions, issues, and requirements set forth below when preparing an application.

1. What is the subject or problem you wish to address? Describe the subject or problem and how it affects the criminal justice system and the public. Discuss how your approach will improve the situation or advance the state-of-the-art or state-of-the-science knowledge and explain why it is the most appropriate approach to take. Give appropriate citations to the research literature. The source of statistics or research findings cited to support a statement or position should be included in a reference list.

2. What do you want to do? Explain the goal(s) of the project in simple, straightforward terms. The goal(s) should describe the intended consequences or expected overall effect of the proposed project, rather than the tasks or activities to be conducted. To the greatest extent possible, applicants should avoid a specialized vocabulary that is not readily understood by the general public. Technical jargon does not enhance an application.

3. How will you do it? Describe the methodology carefully so that what you propose to do and how you would do it is clear. All proposed tasks should be set forth so that a reviewer can see a logical progression of tasks and relate those tasks directly to the accomplishment of the project's goal(s). When in doubt about whether to provide a more detailed explanation or to assume a particular level of knowledge or expertise on the part of the reviewers, err on the side of caution and provide the additional information. A description of project tasks also will help identify necessary budget items. All staff positions and project costs should relate directly to the tasks described. NIJ encourages applicants to attach letters of cooperation and support from agencies that will be involved in or directly affected by the proposed project.

4. What should you include in a grant application for a program evaluation? If a grant application is for a program evaluation, describe how the evaluation will determine whether the proposed program, training, procedure, service, or technology accomplished the objectives it was designed to meet. Applicants seeking support for a proposed evaluation should describe the criteria that will be used to evaluate the project's effectiveness and identify program elements that will require further modification. The description in the application should include how the evaluation will be conducted, when it will occur during the project period, who will conduct it, and what specific measures will be used. In most instances, the evaluation should be conducted by persons not connected with the implementation of the procedure, training, service, or technique, or the administration of the project.

5. How will others learn about your findings? Include a plan to disseminate the results of the

research, evaluation, technology, or demonstration beyond the jurisdictions and individuals directly affected by the project. The plan should identify the specific methods that will be used to inform the field about the project, such as the publication of journal articles or the distribution of key materials. Expectations regarding products are discussed more fully in the following section, "Requirements for Award Recipients." A statement that a report or research findings "will be made available to" the field is not sufficient.

The specific means of distribution or dissemination as well as the types of recipients should be identified. Reproduction and dissemination costs are allowable budget items. Applicants must concisely describe the interim and final products and address each product's purpose, audience, and usefulness to the field. This discussion should identify the principal criminal justice constituency or type of agency for which each product is intended and describe how the constituent group or agency would be expected to use the product or report. Successful proposals will clearly identify the nature of the grant products that can reasonably be expected if the project is funded. In addition, a schedule of delivery dates of all products should be delineated.

6. What are the specific costs involved? The budget application should be presented clearly. Major budget categories such as personnel, benefits, travel, supplies, equipment, and indirect costs should be identified separately. The components of "Other" or "Miscellaneous" items should be specified in the application budget narrative and should not include set-asides for undefined contingencies.

7. How much detail should be included in the budget narrative? The budget narrative should list all planned expenditures and detail the salaries, materials, and cost assumptions used to estimate

project costs. The narrative and cost estimates should be presented under the following standard budget categories: personnel, fringe benefits, travel, equipment, supplies, contracts, other, and indirect costs. For multiyear projects, applicants must include the full amount of NIJ funding for the entire life of the project. This amount should be reflected in item 15g on Form 424 and in TOTAL PROJECT COSTS in the Budget Detail Worksheet (OJP Form 7150/1). When appropriate, grant applications should include justification of consultants and a full explanation of daily rates for any consultants proposed. To avoid common shortcomings of application budget narratives, include the following information:

- Personnel estimates that accurately provide the amount of time to be spent by personnel involved with the project and the total associated costs, including current salaries for the designated personnel (e.g., Project Director, 50 percent of 1 year's annual salary of \$50,000 = \$25,000). If salary costs are computed using an hourly or daily rate, the annual salary and number of hours or days in a work year should be shown.

- Estimates for supplies and expenses supported by a complete description of the supplies to be used, nature and extent of printing to be done, anticipated telephone charges, and other common expenditures, with the basis for computing the estimates included (e.g., 100 reports x 75 pages each x \$0.05/page = \$375). Supply and expense estimates offered simply as "based on experience" are not sufficient.

8. What travel regulations apply to the budget estimates? Transportation costs and per diem rates must comply with the policies of the applicant organization, and a copy of the applicant's travel policy should be submitted as

an appendix to the application. If the applicant does not have a travel policy established in writing, then travel rates must be consistent with those established by the Federal Government. The budget narrative should state which regulations are in force for the project and should include the estimated fare, the number of persons traveling, the number of trips to be taken, and the length of stay. The estimated costs of travel, lodging, ground transportation, and other subsistence should be listed separately. When combined, the subtotals for these categories should equal the estimate listed on the budget form.

9. Which forms should be used? A copy of (SF) 424, Application for Federal Assistance, plus instructions, appear in the back of this document. Please follow the instructions carefully. In addition, complete the Budget Detail Worksheet (OJP Form 7150/1), Assurances (OJP Form 4000/3), and certifications regarding lobbying; debarment, suspension, and other responsibility matters; and drug-free workplace requirements (OJP Form 4061/6).

10. What technical materials are required to be included in the application?

- A one-page abstract of the full proposal, highlighting the project's purpose, methods, activities and, when known, the location(s) of field research.

- A program narrative, which is the technical portion of the proposal. It should include a clear, concise statement of the problem, goal(s), and objectives of the project and related questions to be explored. A discussion of the relationship of the proposed work to the existing literature is expected.

- A statement of the project's anticipated contribution to criminal justice policy and

practice. It is important that applicants briefly cite those particular issues and concerns of present-day criminal justice policy that stimulate the proposed line of inquiry and suggest what their own investigation would contribute to current knowledge.

- A detailed statement of the proposed research or study design and analytical methodologies. The proposed data sources, data collection strategies, variables and issues to be examined, and procedures of analysis to be employed should be delineated carefully and completely. When appropriate, experimental designs are encouraged because of their potential relevance to policymaking and the strength of the evidence they can produce.
- The organization and management plan to conduct the study. A list of major milestones of events, activities, and products and a timetable for completion that indicates the time commitments to individual project tasks should be included. All grant activities, including writing of the final report, should be completed within the duration of the award period.
- The applicant's curriculum vitae should summarize education, research experience, and bibliographic information related to the proposed work.

11. How may grant funds be used? Grant funds may be used to purchase or lease equipment essential to accomplishing the objectives of the project. The budget narrative must list such equipment and explain why the equipment is necessary. Funds may not be used for operating programs, writing texts or handbooks, training, etc.

12. To what extent may indirect costs be included in the budget estimates? It is the

policy of the Institute that all costs should be budgeted directly; however, if an applicant has an indirect cost rate that has been approved by a Federal agency within the past 2 years, an indirect cost-recovery estimate may be included in the budget. A copy of the approved rate agreement should be submitted as an appendix to the application. If an applicant does not have an approved rate agreement, the applicant should contact the Office of the Comptroller, Office of Justice Programs, at 202-307-0623, to obtain information about preparing an indirect cost-rate proposal.

13. What, if any, matching funds are required? Units of State and local governments (not including publicly supported institutions of higher education) are encouraged to contribute a match (cash, noncash, or both) of requested funds. Other applicants also are encouraged to seek matching contributions from other Federal agencies or private foundations to assist in meeting the costs of the project.

14. Should other funding sources be listed? Applicants are expected to identify all other Federal, local, or private sources of support, including other NIJ programs, to which this or a closely related proposal has been or will be submitted. This information permits NIJ to consider the joint funding potential and limits the possibility of inadvertent duplicate funding. Applicants may submit more than one proposal to NIJ, but the same proposal cannot be submitted in more than one program area.

15. What is the deadline? November 7, 1996 5:00 pm EST.

16. Is there a page limit? NIJ has established a limit of 30 double-spaced pages (with font size not smaller than 12 points) for all normal grant applications. This page limit does not include

references, budget narrative, curriculum vitae, forms noted in item 9 above, or necessary appendixes. Applications for small grants (\$1,000–\$50,000) are limited to 15 double-spaced pages. Proposals failing to conform to these page and font limitations will not be accepted.

17. What elements constitute the proposal?

The following components, presented in the following order, are mandatory. Omission can result in rejection of the application.

- a. SF-424 (with Assurances attached), followed by OJP Form 7150/1 (Budget Detail Worksheet), budget narrative, negotiated rate agreement, and certifications.
- b. Names and affiliations of all key persons from applicant and subcontractor(s), advisers, consultants, and Advisory Board members. Include the name of the Principal Investigator, title, organizational affiliation (if any), department (if institution of higher education), address, phone, and fax.
- c. Abstract.
- d. Table of contents.
- e. Project narrative.
- f. References.
- g. Résumés of key personnel.

18. What does the review process entail? After all applications for a competition are received, NIJ will convene a series of peer review panels of criminal justice professionals and researchers. NIJ will assign proposals to peer panels that it deems most appropriate. Panel members read each proposal and meet to assess the technical merits and policy relevance of the proposed

research. Panel assessments of the proposals, together with assessments by NIJ staff, are submitted to the Director, who has sole and final authority over approval and awards. The review normally takes 60 to 90 days, depending on the number of applications received. Each applicant receives written comments from the peer review panel concerning the strengths and weaknesses of the proposal. These comments may include suggestions for how a revised or subsequent application to NIJ might be improved.

19. What are the criteria for an award? The essential question asked of each applicant is, “If this study were successful, how would criminal justice policies or operations be improved?” Four criteria are applied in the evaluation process:

- Impact of the proposed project.
- Feasibility of the approach to the issue, including technical merit and practical considerations.
- Originality of the approach, including creativity of the proposal and capability of the research staff.
- Economy of the approach. Applicants bear the responsibility of demonstrating to the panel that the proposed study addresses the critical issues of the topic area and that the study findings could ultimately contribute to a practical application in law enforcement or criminal justice. Reviewers will assess applicants’ awareness of related research or studies and their ability to direct the research or study toward answering questions of policy or improving the state of criminal justice operations.

Technical merit is judged by the likelihood that the study design will produce convincing findings. Reviewers take into account the logic and timing of the research or study plan, the validity and

reliability of measures proposed, the appropriateness of statistical methods to be used, and each applicant's awareness of factors that might dilute the credibility of the findings. Impact is judged by the scope of the proposed approach and by the utility of the proposed products. Reviewers consider each applicant's understanding of the process of innovation in the targeted criminal justice agency or setting and knowledge of prior uses of criminal justice research by the proposed criminal justice constituency. Appropriateness of products in terms of proposed content and format is also considered.

Applicants' qualifications are evaluated both in terms of the depth of experience and the relevance of that experience to the proposed research or study. Costs are evaluated in terms of the reasonableness of each item and the utility of the project to NIJ's program.

20. Are there any other considerations in selecting applications for an award? Projects should have a national impact or have potential relevance to a number of jurisdictions. Because of the broad national mandate of the National Institute of Justice, projects that address the unique concerns of a single jurisdiction should be fully justified. Projects that intend to provide services in addition to performing research are eligible for support, but only for the resources necessary to conduct the research tasks outlined in the proposal.

The applicant's performance on previous or current NIJ grants will also be taken into consideration in making funding decisions.

21. Who is eligible to apply? NIJ awards grants to, or enters into cooperative agreements with, educational institutions, nonprofit organizations, public agencies, individuals, and profitmaking

organizations that are willing to waive their fees. Where appropriate, special eligibility criteria are indicated in the solicitation.

22. Does NIJ accept resubmission of proposals? NIJ will accept resubmission of a previously submitted proposal. The applicant should indicate on Question 8, Form 424, that the application is a **revision**. The applicant should include this information in the abstract. Finally, the applicant should prepare a one-page response to the earlier panel review (to follow the abstract) and include (1) the title, submission date, and NIJ-assigned application number of the previous proposal, and (2) a brief summary of responses to the review and/or revisions to the proposal.

Requirements for Award Recipients

Required products. Each project is expected to generate tangible products of maximum benefit to criminal justice professionals, researchers, and policymakers. In particular, NIJ strongly encourages documents that provide information of practical utility to law enforcement officials; prosecutors; judges; corrections officers; victim services providers; and Federal, State, county, and local elected officials.

Products should include:

- A summary of approximately 2,500 words highlighting the research findings and the policy issues those findings will inform. The material should be written in a style that will be accessible to policy officials and practitioners and suitable for possible publication as an NIJ Research in Brief. An NIJ editorial style guide is sent to each project director at the time of the award.
- A full technical report, including a discussion of the research question, review of the literature, description of project methodology, detailed

review of project findings, and conclusions and policy recommendations.

- Clean copies of all automated data sets developed during the research and full documentation prepared in accordance with the instructions in the NIJ publication *Depositing Data with the Data Resources Program of the National Institute of Justice: A Handbook*.

- Brief project summaries for NIJ use in preparing annual reports to the President and Congress.

As appropriate, additional products such as case studies and interim and final reports (e.g., articles, manuals, or training materials) may be specified in the proposal or negotiated at the time of the award.

Prohibition on supplanting funds. Federal funds must be used to supplement existing funds and not replace those funds which have been appropriated for the same purpose. Potential supplanting will be the subject of application review, as well as pre-award review, post-award monitoring, and audit. If there is a potential presence of supplanting, the applicant or grantee will be required to supply documentation demonstrating that the reduction in non-Federal resources occurred for reasons other than the receipt or expected receipt of Federal funds.

Public Release of Automated Data Sets

NIJ is committed to ensuring the public availability of research data and to this end established its Data Resources Program in 1984. All NIJ award recipients who collect data are required to submit a machine-readable copy of the data and appropriate documentation to NIJ prior to the conclusion of the project. The data and materials are reviewed for completeness. NIJ

staff then create machine-readable data sets, prepare users' guides, and distribute data and documentation to other researchers in the field. A variety of formats are acceptable; however, the data and materials must conform with requirements detailed in *Depositing Data With the Data Resources Program of the National Institute of Justice: A Handbook*. A copy of this handbook is sent to each project director at the time of the award. For further information about NIJ's Data Resources Program, contact Dr. James Trudeau at 202-307-1355.

Standards of Performance by Recipients

NIJ expects individuals and institutions receiving its support to work diligently and professionally toward completing a high-quality research or study product. Besides this general expectation, NIJ imposes specific requirements to ensure that proper financial and administrative controls are applied to the project. Financial and general reporting requirements are detailed in *Financial Guide*, published in April 1996 by the Office of Justice Programs. This guideline manual is sent to recipient institutions with the award documents. Project directors and recipient financial administrators should pay particular attention to the regulations in this document.

Audit requirement. State and local governments, nonprofit organizations and institutions of higher education are governed by OMB Circular A-133, as amended. Whether an audit is required under this circular is dependent upon the amount of Federal funds that can be audited during the recipients fiscal year. If the organization receives \$300,000 or more per year in Federal funds, the organization shall have an organizationwide financial and compliance audit.

Commercial (for-profit) organizations shall have financial and compliance audits performed by

qualified individuals who are independent from those who authorize the expenditure of Federal funds. This audit must be performed in accordance with Government Auditing Standards. The audit thresholds contained in OMB Circular A-133, as amended applies.

Applicants are required to provide the period of their organization's fiscal year and the name of their organization's cognizant Federal agency in block 11 of the SF-424. The cognizant Federal agency is generally determined based on the preponderance of Federal dollars received by the applicant.

Financial status reports. Financial status reports (SF 269A) are due quarterly on the 45th day following the end of each calendar quarter. A report must be submitted every quarter the award is active. The final report is due 120 days after the end date of the award. The Office of the Comptroller, Office of Justice Programs, will provide a copy of this form in the initial award package.

Conditions for suspension or termination of funding. NIJ may suspend, in whole or in part, terminate funding for, or impose another sanction on a recipient for the following reasons:

- Failure to comply substantially with the requirements or statutory objectives of the Omnibus Crime Control and Safe Streets Act of 1968, as amended; the Anti-Drug Abuse Act of 1988; program guidelines issued thereunder; or other provisions of Federal law.
- Failure to make satisfactory progress toward the goal(s) or strategies set forth in this application.

- Failure to adhere to the requirements in the agreement, standard conditions, or special conditions.
- Proposing or implementing substantial plan changes to the extent that, if originally submitted, the application would not have been selected for funding.
- Failure to submit reports.
- Filing a false certification in this application or other report or document.

Before imposing sanctions, NIJ will provide reasonable notice to the recipient of its intent to impose sanctions and will attempt informally to resolve the problem. Hearing and appeal procedures will follow those in U.S. Department of Justice regulations in 28 CFR 18.

Program Monitoring

Award recipients and Principal Investigators assume certain responsibilities as part of their participation in government-sponsored research and evaluation. NIJ's monitoring activities are intended to help grantees meet these responsibilities. They are based on good communication and open dialogue, with collegiality and mutual respect. Some of the elements of this dialogue follow:

- Communication with NIJ in the early stages of the grant, as the elements of the proposal's design and methodology are developed and put into operation.
- Timely communication with NIJ regarding any developments that might affect the project's compliance with the schedules, milestones, and products set forth in the proposal. (See statement on "Timeliness" below.)

- Communication with other NIH grantees conducting related research projects. An annual “cluster conference” should be anticipated and should be budgeted for by applicants at a cost of \$1,000 for each year of the grant.

- Providing NIH on request with brief descriptions of the project in interim stages at such time as the Institute may need this information to meet its reporting requirements to Congress. NIH will give as much advance notification of these requests as possible but will expect a timely response from grantees when requests are made. NIH is prepared to receive such communication through electronic media.

- Providing NIH with copies of presentations made at conferences, meetings, and elsewhere based in whole or in part on the work of the project.

- Providing NIH with prepublication copies of articles based on the project appearing in professional journals or the media, either during the life of the grant or after.

- Other reporting requirements (progress reports, final reports, and other grant products) are spelled out elsewhere in this section. Financial reporting requirements will be described in the grant award documents received by successful applicants.

Progress Reports

NIH Program Managers should be kept informed of research progress. Written progress reports are required on a semiannual basis and should inform the Program Manager of which tasks have been completed and whether significant delays or departures from the original workplan are expected. The first progress report should cover the period from the beginning date of the project

through the end of the first **complete** quarter (quarters are January 1–March 31, April 1–June 30, July 1–September 30, and October 1–December 31). Subsequent progress reports should cover the next two quarters.

All progress reports are due 30 days following the end of the reporting period. For example, if a grant is awarded in May, the first progress report would cover the rest of the current quarter (through June 30) and the first complete quarter (July 1–September 30) and would be due October 31; the second progress report would cover the next two quarters (October 1–December 31 and January 1–March 31) and would be due April 30.

Timeliness. Grantees are expected to complete award products within the timeframes that have been agreed upon by NIH and the grantee. NIH recognizes that there are legitimate reasons for project extensions. However, NIH does not consider the assumption of additional research projects that impinge upon previous time commitments as legitimate reasons for delay. Projects with unreasonable delays can be terminated administratively. In this situation, any funds remaining are withdrawn. Future applications from either the project director or the recipient institution are subject to strict scrutiny and may be denied support based on past failure to meet minimum standards.

Publications. The Institute encourages grantees to prepare their work for NIH publication. In cases where grantees disseminate their findings through a variety of media, such as professional journals, books, and conferences, copies of such publications should be sent to the Program Manager as they become available, even if they appear well after a project’s expiration. NIH imposes no restriction on such publications other than inclusion of the following acknowledgment and disclaimer:

This research was supported by grant number _____ from the National Institute of Justice. Points of view are those of the author(s) and do not necessarily represent the position of the U.S. Department of Justice.

Data confidentiality and human subjects protection. Research that examines individual traits and experiences plays a vital part in expanding our knowledge about criminal behavior. It is essential, however, that researchers protect subjects from needless risk of harm or embarrassment and proceed with their willing and informed cooperation. NIJ requires that investigators protect information identifiable to research participants. When information is safeguarded, it is protected by statute from being used in legal proceedings:

“[S]uch information and copies thereof shall be immune from legal process, and shall not, without the consent of the person furnishing such information, be admitted as evidence or used for any purpose in any action, suit, or other judicial, legislative, or administrative proceedings (42 United States Code 3789g).”

Applicants should file their plans to protect sensitive information as part of their proposal. Necessary safeguards are detailed in 28 CFR, ¶22. A short “how-to” guideline for developing a privacy and confidentiality plan can be obtained from NIJ Program Managers.

In addition, the U.S. Department of Justice has adopted human subjects policies similar to those established by the U.S. Department of Health and Human Services. If an institutional review board is necessary for this project, a copy of the board’s approval must be submitted to the National Institute of Justice prior to the initiation of data collection. Researchers are encouraged to review 28 CFR 46, ¶46.101, to determine their individual project requirements.

Copies of the application forms are available from NIJ: Call Mr. Riley at 202-616-3234. Or you can access them for viewing and downloading on the Word Wide Web (see the listing for “NIJ Application Forms - Adobe Acrobat File”
URL: <http://www.ncjrs.org/fedgrant.htm>).

Dear Program Manager:

I intend to apply for funds under the “Breaking the Cycle” solicitation.

Yes No

I will not apply but would like to be considered as a reviewer for the “Breaking the Cycle” solicitation.

Yes No

Name _____

Address _____

Telephone _____



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AFFIX
FIRST CLASS
STAMP

Jack Riley
NIJ Solicitation for Breaking the Cycle
633 Indiana Avenue N.W., Room 868
Washington, D.C. 20531

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