



National Institute of Justice

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

Jeremy Travis, Director

July 1995

Data Resources Program Funding for the Analysis of Existing Data

The National Institute of Justice (NIJ) is seeking applicants to conduct original research using data from the National Archive of Criminal Justice Data, especially those from previously funded NIJ projects.

Of particular interest are the following applications:

- Studies using archived data sets containing similar information collected at different times or from different sites.
- Applications of alternative or emerging statistical techniques and methodologies to archived data sets that extend the understanding of criminal justice processes and criminal behavior.
- Research on archived data sets that explores the development of applications of direct benefit to practitioners.

Priority Topics

The Institute is particularly interested in innovative proposals addressing the following issues:

- Drugs and the Criminal Justice System, including analyses of the Drug Use Forecasting data, and data examining drug testing/treatment programs.
- Violence, including examination of the correlates of violent criminal behavior and the influences of drugs and gangs.
- Policing, including community policing and problem-oriented policing.
- Sentencing, including measures of implementation and “success,” intermediate sanctions, and consequences of sentencing policy.

To Obtain Data

More than 200 NIJ-sponsored data sets, covering a wide range of criminal justice issues, are currently available through the National Archive of Criminal Justice Data.

A copy of the latest catalog describing these data, *Data Resources of the National Institute of Justice*, is available from the National Institute of Justice/NCJRS, Box 6000, Rockville, MD 20849-6000, 800-851-3420.

Copies of user guides and codebooks are available at no charge from the National Archive of Criminal Justice Data, ICPSR, Box 1248, Ann Arbor, MI 48106, 800-999-0960 or 313-763-5011.

Data files are available without charge to faculty, staff, and students at ICPSR member institutions and to individuals working on grants for the Department of Justice.

Award Information

Researchers from all disciplines who are interested in addressing topical criminal justice policy concerns through the exploration and analysis of archived data are encouraged to apply. Awards will not be made to individuals to conduct additional analyses on data they collected under a previous NIJ grant or contract.

Particular consideration will be given to proposals that provide direct applications to criminal justice policy or practice or that suggest innovative applications of emerging statistical techniques and analytic methodologies.

Awards of up to \$25,000 will be made to support research to be conducted within a 9-month period.

Due dates for proposals are September 15, 1995, and January 15, June 15, and September 15, 1996.

For more information, contact James Trudeau (202-307-1355) or Pamela K. Lattimore (202-307-2961), Data Resources Program, National Institute of Justice, 633 Indiana Avenue, N.W., Washington, DC 20531.

Recent Awards

Multiple Indicators of Drug Abuse in American Cities: Relationships between DUF, DAWN, and Arrest Data
St. Louis Metropolitan Police Department
Scott Decker

The Impacts of Arrest on the Social Control of Violence Among Intimates
Rutgers University
Jeffrey Fagan

Adjusting the National Crime Victimization Survey's Estimate of Rape and Domestic Violence for "Gag" Factors
University of South Carolina
Ann Coker

Relationship between Price and Demand for Cocaine and Heroin: An Investigation Using DUF Data
RAND Corporation
Jonathan P. Caulkins

Unemployment and Weapon-Specific Violent Crime Rates: National, State and City Analyses, 1975-1990
University of Western Michigan
Susan Carlson

Estimating Crime Commission Rates Using Inmate Survey Data
Rutgers University
Joel Garner and Jeffrey Fagan

Influence of Crime, Neighborhood Change, Crime and Disorder on Community Viability
Temple University
Ralph Taylor

Measuring Probation and Parole Effectiveness Using Alternative Outcome Measures
University of California-Irvine
Crystal Garcia

Community Structure and Patterns of Criminal Homicide
University of Maryland
Brian Wiersema

Investigating Calls-for-Service as a Measure of Crime
University of Houston
David Klinger

Victims of Non-Fatal Gunshot Wounds
Howard University
Vernetta Young

Application Information

In this section, applicants will find recommendations to grant writers, requirements for grant recipients, general application information, and application deadlines.

Please see the information below for general application and eligibility requirements and selection criteria. Proposals not conforming to these application procedures will not be considered.

Ten (10) copies of **fully executed proposals** should be sent to:

Solicitation for Analysis of Archived Data
National Institute of Justice
633 Indiana Avenue N.W.
Washington, DC 20531

Recommendations to Grant Writers

Over the past 4 years, Institute staff have reviewed approximately 1,500 grant applications. On the basis of those reviews and inquiries from applicants, the Institute offers the following recommendations to help potential applicants present workable, understandable proposals. Many of these recommendations were adopted from materials provided to NIJ by the State Justice Institute, especially for applicants new to NIJ. 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. The Institute suggests that applicants make certain that they

address the questions and issues set forth below when preparing an application.

1. What is the subject or problem you wish to address?

Discuss how your approach will improve the situation or advance the state of the art of knowledge, and explain why it is the most appropriate approach to take. 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 goals 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 are 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 will also help identify necessary budget items. All staff positions and project costs should relate directly to the tasks described. The Institute encourages applicants to attach letters of cooperation and support from agencies that will be involved in or directly affected by the proposed project.

4. How will others learn about your findings? Include a plan to disseminate the results of the research or evaluation 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.

5. 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.

6. 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. 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 line 6k on 424A. 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 = \$375.00). Supply and expense estimates offered simply as “based on experience” are not sufficient.

7. 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.

8. Which forms should be used? A copy of Standard Form SF 424, Application for Federal Assistance, plus instructions, appears in the back of this solicitation. Please follow the instructions carefully and include all parts and pages. In addition to SF 424, recent requirements involve certification regarding (1) lobbying; (2) debarment, suspension, and other responsibility matters; and (3) drug-free workplace requirements. The certification form that is attached to SF 424 should be signed by the appropriate official and included in the grant application.

9. What technical materials should be included in the application?

- A one-page abstract of the full proposal, highlighting the project’s purpose, methods, and activities.
- A program narrative, which is the technical portion of the proposal. It should include a clear, concise statement of the problem, goals, 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 con-

cerns 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.

10. Use of grant funds. 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.

11. 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, 202–307–0623, to obtain information about preparing an indirect cost rate proposal.

The institutional affiliations of investigators are encouraged to waive or reduce indirect and overhead fees. These fees will be limited to no more than 20 percent of the total amount of the award.

12. 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, non-cash, 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.

13. 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.

14. What are the deadlines? September 15, 1995, and January 15, June 15, and September 15, 1996.

15. Is there a page limit? The Institute has established a limit of 15 double-spaced pages for all secondary analysis grant applications. This page limit does not include references, budget narrative, curriculum vitae, or necessary appendixes. NIJ does not wish to create elaborate regulations regarding type fonts, margins, and spacing. Applicants are cautioned, however, that obvious attempts to stretch interpretations of the Institute's limits have, in the past, caused proposal reviewers to regard such efforts unfavorably.

16. What is the page order? The following order is mandatory. Omission can result in rejection of the application:

1. SF 424
2. Names and affiliations of all key persons from applicant and subcontractor(s), advisors, consultants, and Advisory Board members.
3. Abstract
4. Table of contents
5. Budget narrative
6. Assurances and Certifications, etc.

7. Negotiated rate agreement

8. Program narrative

9. References

10. Resumes of key personnel

17. What does the review process entail? After all applications for a competition are received, NIJ will convene a review panel. Panel members read each proposal and meet to assess the technical merits and policy relevance of the proposed research. Panel assessments of the proposals 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.

18. What are the criteria for an award? The essential question asked of each applicant is, "If this study is successful, how will 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 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 the Institute's program.

19. Are there any other considerations in selecting applications for an award? Projects should have a national or regional 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.

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

20. Who is eligible to apply? NIJ awards grants to, or enters into cooperative agreements with, educational institutions, nonprofit organizations, public agencies, individuals, and profit making organizations that are willing to waive their fees.

21. Does NIJ accept resubmission of proposals? The Institute will accept resubmission of a previously submitted proposal. The applicant should indicate for 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) including 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; victims services providers; and Federal, State, county, and local elected officials.

Products should include:

- A summary of approximately 2,500 words highlighting the findings of the research 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 data resources manual.
- Brief project summaries for NIJ use in preparing annual reports to the President and the 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.

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 user's 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, 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, the Institute 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 and Administrative Guide for Grants*, a publication of 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.

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 are:

- Communication with NIJ in the early stages of the grant, as the elements of the proposal's design and methodology are developed and operationalized.
- 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 NIJ 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.

- Consideration of communication with the field through electronic media to make available interim reports and data sets, and other grant products as appropriate.
- Providing NIJ 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 the Congress. NIJ will give as much advance notification of these requests as possible but will expect a timely response from grantees when requests are made.
- Providing NIJ with copies of presentations made at conferences, meetings, and elsewhere based in whole or in part on the work of the project.
- Providing NIJ 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 solicitation. Financial reporting requirements will be described in the grant award documents received by successful applicants.

Communications

NIJ program managers should be kept informed of research progress. Written progress reports are required on a quarterly basis. All awards use standard quarterly reporting periods (January 1 through March 31, April 1 through June 30, and so forth) regardless of the project's start date. Progress reports will inform the monitor which tasks have been completed and whether significant delays or departures from the original workplan are expected.

Timeliness

Grantees are expected to complete award products within the timeframes that have been agreed upon by NIJ and the grantee.

Publications

The Institute encourages grantees to prepare their work for NIJ 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. NIJ imposes no restriction on such

publication other than 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 crime control and criminal behavior. It is essential, however, that researchers protect subjects from needless risk of harm or embarrassment and proceed with 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 U.S.C. 3789g(a).

Applicants should file their plans to protect sensitive information as part of their proposal. Necessary safeguards are detailed in 28 Code of Federal Regulations (CRF), Part 22. A short “how-to” guideline for developing a privacy and confidentiality plan can be obtained from NIJ program managers.

In addition, the Department of Justice has adopted human subject policies similar to those established by the Department of Health and Human Services. In general, these policies exempt researchers from Institutional Review Board (IRB) review provided that necessary safeguards of privacy and confidentiality have been met. However, the Institute may find in certain instances that subjects or subject matters are especially sensitive and may require IRB review. These exceptions will be decided on an individual basis during application review. Applicants should read 23 CFR, Part 46, to determine their individual project requirements.

For more information on the National Institute of Justice and to learn how to obtain an electronic version of this document, please contact:

National Institute of Justice
National Criminal Justice Reference Service
Box 6000
Rockville, MD 20849-6000
800-851-3420
e-mail askncjrs@ncjrs.aspensys.com

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

U.S. Department of Justice
Office of Justice Programs
National Institute of Justice

Washington, D.C. 20531

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