



National Institute of Justice

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

November 2002

Solicitation for Research on Terrorism

Notice: NIJ continues to experience delays in the delivery of U.S. mail. If you are sending time-sensitive materials to NIJ, especially proposals responding to solicitations, we recommend that you use an alternative to the U.S. Postal Service. For delivery by commercial carriers and courier services, our Zip code is 20001.

APPLICATION DEADLINE:
February 14, 2003

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

John Ashcroft
Attorney General

Deborah J. Daniels
Assistant Attorney General

Sarah V. Hart
Director
National Institute of Justice

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

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

Solicitation for Research on Terrorism

I. Introduction

The events of September 11 and the bombings of the Alfred P. Murrah Building in Oklahoma City and the United States embassies in Kenya and Tanzania underscore the urgent need for research on terrorism and the effectiveness of efforts by the criminal justice system to respond to the threat of terrorist events. To address this need, the National Institute of Justice (NIJ) engaged in a strategic planning process to evaluate the current state of knowledge on terrorism and counter-terrorism strategies and identify short-term research priorities. This solicitation seeks proposals for research in these priority areas. NIJ anticipates making awards in several areas described in Research Area One and Research Area Two of this solicitation.

Research Area One targets research to advance our knowledge and understanding of two global crime phenomena that transcend national borders and threaten United States interests: transnational organized crime and international terrorism. Proposed research should investigate the similarities and differences between transnational organized crime groups and international terrorists and, most importantly, the points of intersection between the two.

Research Area Two targets research on the most pressing issues related to terrorism and terrorist events that affect the criminal justice system at the local, State, and Federal levels. These issues include challenges for law enforcement and policymakers in responding to terrorism; links between terrorism and other crimes and the strategies used to control them; public-private and intergovernmental partnerships to respond to terrorist events; and synthesis and dissemination of nonclassified information on terrorist groups.

For the purpose of this solicitation, terrorism is defined as premeditated, politically motivated violence perpetrated against noncombatant targets by subnational groups or clandestine agents, usually intended to influence an audience. International terrorism means terrorism involving citizens or territory of more than one country. The scope of this solicitation does not include acts of terrorism perpetrated by individuals for personal motives.

For Research Area One of this solicitation, the United States must be one of the countries, and the terrorist groups studied must engage in international terrorism.

For Research Area Two the terrorist groups may be either international or domestic.

Letters of Intent Due January 14, 2003

NIJ is streamlining its process to accommodate the volume of proposals anticipated under this and other solicitations. Researchers can help by sending a *nonbinding* letter of intent by January 14, 2003. NIJ will use these letters to forecast the number of peer panels it needs and identify conflicts of interest among potential reviewers.

You can fax a letter identifying: (1) the title of your project or a brief statement of your research question(s) if the title is not fully descriptive; (2) the names of proposed project staff and consultants; and (3) the Research Area (One or Two) to which you expect to apply. Fax your letter to 202-616-0275, Attention: Terrorism Solicitation.

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Funding available under this solicitation is for research and evaluation only; requests for funds for program support or development will not be considered.

Proposals should clearly state how the proposed research will inform and improve policy and practice in the criminal justice system. Proposals should also identify the products to be produced (usually a report of findings), the intended audience, and anticipated format.

Larger, more complex proposals should outline possible ways in which the proposed work could be segmented into projects of smaller scale if required.

II. Areas of Research

RESEARCH AREA ONE: TRANSNATIONAL CRIME AND INTERNATIONAL TERRORISM

1. Background

In 1998, the National Research Council's Committee on Law and Justice convened a workshop on transnational organized crime under the auspices of the National Institute of Justice. The workshop examined the nature and extent of transnational criminal activities and the organizations involved, as well as the enforcement and control responses to transnational organized crime. The workshop's final report emphasized that "there is no consensus about the nature of transnational threats in the national security community, nor is there much discrimination between terrorism and other kinds of transnational offenses." (See *Transnational Organized Crime: Summary of a Workshop*, edited by Peter Reuter and Carol Petrie, Washington, D.C.: National Research Council, 1999:5. Available from the National Academy Press at <http://www.nap.edu>.) Further,

the report acknowledged that terrorism is indeed included in the UN definition of transnational crime, and that (along with drug trafficking) it is "the crime most worrisome to the public."

The September 11 terrorist attacks have caused a rethinking of priorities in many areas. Among them is the importance of possible connections between terrorism and transnational crime. As a result, and in keeping with a priority goal of the Department of Justice to protect America against the threat of terrorism, NIJ is implementing a recommendation of the 1999 workshop report for a "long-term, systematic, rigorous, and objective" research program in this area, and specifically with respect to terrorism as a possible form of transnational organized crime. Part of the increased awareness of the threat that terrorism poses to our society is a concern about the possible relationships between terrorist groups and criminal elements, particularly those operating on a global scale. The research solicited here is intended to be the beginning of a systematic and rigorous research program to advance knowledge in this critical area.

One or more awards are anticipated in Research Area One.

2. Research Issues and Questions

The purpose of Research Area One is to advance our knowledge and understanding of the relationship between two global crime phenomena that transcend national borders and threaten United States interests: transnational organized crime and international terrorism. For this purpose, United States interests are defined to include (1) American citizens and their communities (wherever they are), (2) American economic and governmental institutions, and (3) threats to global security and stability.

Employing a variety of research methods and a broad array of data and information sources, the research will do the following:

A. Investigate the similarities and differences between transnational organized crime groups and international terrorists and, most importantly, the points of intersection between the two.

The former includes similarities in modus operandi, including the use of false identities and other documents necessary to smuggle persons or goods across borders, the use of bribes to officials, and the formation of affiliations and partnerships. The latter will include, for example, any enlistment of criminal organizations into the commission of terrorist acts, terrorists themselves acting for purely criminal as well as political goals, and/or terrorist groups using criminal means to achieve political ends.

B. Determine whether the tools and procedures developed to investigate and prosecute transnational organized crime can be used to combat terrorism. These tools include information gathering, investigative, and prosecutorial procedures. In what ways do organized crime and terrorism require similar or unique law enforcement tools? Do the nature of these transnational offenses and perpetrators create the need for legal tools that are not currently available?

RESEARCH AREA TWO: UNDERSTANDING AND RESPONDING TO TERRORISM

1. Background

Developing effective and appropriate responses to the threat of terrorism and terrorist events requires an understanding of how terrorists operate, including their involvement in illegal activities. Law enforcement agencies, policymakers, and the criminal justice system are devoting increasing resources to respond to this threat and these events. These policy and practice responses raise new issues and challenges for agencies promoting public safety and criminal

justice at the local, State, and Federal levels. Among them are the manner in which law enforcement agencies at all levels coordinate their activities and share information with one another. It is also important to understand how public and private agencies might coordinate their efforts to respond to terrorism.

Multiple awards are anticipated in Research Area Two.

2. Research Issues and Questions

The purpose of Research Area Two is to produce research findings with immediate implications for public safety and public policy. Applicants are invited to explore the following:

A. Study issues and challenges for law enforcement, policy makers, and the criminal justice system in responding to and combating terrorism. Applicants might consider studying partnerships between local and Federal counterterrorism efforts and how other countries have organized to effectively coordinate such efforts; the impact of terrorism and the prevention of terrorism on other crime control and prevention efforts; how the role of the police may be changing to include counterterrorism information gathering and sharing and how the change may affect the relationships between citizens, communities, and local law enforcement; how the stress of responding to terrorist events affects law enforcement officers and other first responders; and how changes in legal processes increase the effectiveness of anti-terrorism efforts.

B. Explore the links between terrorism and other forms of crime and the potential for existing crime control measures to be used to control terrorism. Terrorist groups engage in such criminal activity as fraud; identity theft; counterfeiting of documents, currency, and merchandise; bank robbery; and corruption. Examination of terrorists' involvement in

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different forms of crime and law enforcement's opportunities to control terrorism by successfully preventing, detecting, and prosecuting these crimes is suggested.

C. Evaluate the potential of intergovernmental and public-private partnerships in preparing for and responding to terrorist incidents. This would include identifying high-risk targets and planning for security and response to terrorist incidents directed at such targets. Analyses of the extent and manner of cooperation and information sharing among Federal, State, and local law enforcement agencies are encouraged. Studies aimed at improving the coordination and effectiveness of fire, public safety, and public health resources are also encouraged. Private security coordination with police (local, State, and Federal) could also be addressed, and assessment of existing programs in which public and private security work successfully together is suggested.

D. Synthesize existing nonclassified information on terrorist groups for the purpose of informing the practice of law enforcement, border patrol, and other criminal justice system actors. This information might include their structure, motives, finance and resources, links to organized crime, internal organization, technological capability, methods of operation (including white collar and other criminal activities), and recruitment and communication strategies. Studies that develop and/or evaluate new data sets and contribute to our knowledge of terrorism are encouraged.

III. Data Sources and Research Methods

We expect the data sources for this research to be many and varied. They will include sources not normally or traditionally employed in criminal justice research. The documentary sources will be expected to include official records (e.g., arrest

records, indictments, presentence investigation reports, court records, trial transcripts, etc.), official reports (e.g., GAO reports, Congressional hearings reports, agency reports, etc.), investigative records (e.g., surveillance files, informant reports, memoranda, etc.), studies and surveys (both published and unpublished), financial records, and so on. Beyond this written record, the research will be expected to tap an array of primary sources, which could include interviews with investigators, prosecutors, intelligence analysts, other law enforcement personnel, and academics. As necessary and appropriate, the research may also include interviews with researchers based in the United States and representatives of foreign countries, multinational corporations, and relevant international bodies.

The research methods employed will need to be both creative and adaptive. Concerns about the reliability and validity of data and information must be addressed. In this regard, the researchers should consider using multiple sources to validate specific findings and conclusions so as to give greater confidence in those findings and conclusions.

Although the researchers are asked to propose their own optimal research designs for addressing the questions and issues posed, it is expected that the design will include both qualitative and quantitative approaches involving some combination of interviews, secondary data analyses, network analyses, case studies, systems modeling, and other methods. The proposal should include a clear rationale for whatever design is proposed, as well as contingency plans for meeting unanticipated problems or roadblocks. Where data collection relies on existing law enforcement data sets, letters of cooperation from relevant agencies should be included with the application for funding.

IV. Selection Criteria

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

NIJ reviews grant applications based upon the following criteria:

- **Impact of the Project**

- Importance of the problem.
- Potential for significant advances in such areas as violence and victimization, drugs and crime, crime prevention, law enforcement, courts, corrections.
- Potential for advancement of scientific understanding of the problem area.
- Relevance to improving the policy and practice of criminal justice and related agencies and for improving public safety, security, and quality of life.

- **Quality and Technical Merit**

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

- **Capabilities, Demonstrated Productivity, and Experience of Applicants**
 - Qualifications and experience.
 - Demonstrated ability to manage proposed effort.

The review and award process (including peer review, decisionmaking, and other considerations) may take approximately 6 months to complete. Notifications will be sent to the address indicated on the Application for Assistance. Information regarding award status will not be available until notifications are distributed in writing.

V. How to Apply

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

PART A:

- Application for Federal Assistance—Standard Form (SF 424).
- Proposal abstract.
- Table of contents.
- Budget detail worksheet.
- Budget narrative.
- Proposal narrative.

PART B:

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

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- Responsibility Matters; and Drug-Free Workplace Requirements (one form).
- Disclosure of lobbying activities.
 - Appendixes:
 - Vita/resumé.
 - Letters of cooperation or administrative agreements from organizations collaborating in the research project.
 - Other materials.

The Application Package. Download the application package from NIJ's Web site:

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

The Application for Assistance. The Standard Form 424, Application for Federal Assistance should be the first page of the application. Please follow instructions that accompany the Standard Application for Assistance Form.

In item 10 of the Application, be sure to include 16.560 as the Catalog for Federal Domestic Assistance Number. Indicate the "Title" as "Research on Terrorism."

Enter the title of your proposal in item 11. Start and end dates in item 13 should be adjusted to accommodate a 6-month grantmaking process.

The Proposal Abstract. The proposal abstract is a very important part of the application. The abstract is used in sorting applications for review by the appropriate independent peer panel. Once an award has been granted, the abstract is computerized and serves as a summary available to all interested parties for the duration of the grant. When read separately from the rest of the application, the abstract should serve as a succinct and accurate description of the proposed work. Applicants should concisely describe research goals and objectives, research design, and methods for achieving the goals and objectives.

The abstract should not exceed 400 words. Use the following two headers and instructions in developing the abstract:

1. Research Goals and Objectives

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

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

2. Research Design and Methodology

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

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

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

- Purpose, goals, and objectives.
- Brief review of relevant literature.
- Methodology.
- Anticipated results, implications for policy and practice.
- Task management plan/research calendar.
- Tables, charts, figures, and research timeline (not counted in page limit).

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Page Limit. The number of pages included in the “Program Narrative” section of the application must not exceed 30 double-spaced pages in 12-point font, with 1-inch margins. Bibliographic references along with tables, charts and figures describing the research design, calendar, analysis plan, and similar items are not counted in the 30-page limitation.

Due Date. 10 copies (one unbound) of complete applications must be received at the National Institute of Justice by 4:30 p.m. on the due date. (*Due dates are listed on the cover of this announcement and on the NIJ Web site.*)

Extensions to these deadlines are not permitted. Faxed or electronically transmitted copies will not be accepted.

NIJ reserves the right to return incomplete applications, those not responsive to the scope of this solicitation, or those not complying with format requirements. Applications that are incorrectly collated, incomplete, or handwritten may be considered as submitted or, at NIJ's discretion, may be returned without further review. Proposals exceeding the page limit will not be reviewed. No additions to the original submission are allowed.

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

- Access the NIJ Web site and download application information at:
<http://www.ojp.usdoj.gov/nij/funding.htm>
- Request hard copies of the forms and guidelines by mail from NCJRS at 800–851–3420 or from the Department of Justice Response Center at 800–421–6770 (in

the Washington, D.C., area, at 202–307–1480).

- Request copies by fax. Call 800–851–3420 and select option 1, then option 1 again for NIJ. Code is 1023.
- **Note: Instructions in this announcement supersede those outlined in the document: *Guidelines for Submitting Proposals for National Institute of Justice—Sponsored Research.***

VI. Performance Guidelines

To ensure compliance with the Government Performance and Results Act (GPRA), Public Law 103-62, this solicitation notifies successful applicants that they will be required to collect and report information and data that measure the results of the grant. In order to ensure accountability, the following performance standards are established for all NIJ grantees under this solicitation.

Research and Evaluation Performance Standards. Grantees are required to submit in draft form the following deliverables 90 days before the grant end date:

Deliverables Required 90 Days Before the Grant End Date

- Abstract (400 words).
- Final report.
- Electronic data and supporting documentation capable of being re-analyzed and used by other researchers.

All NIJ draft research reports are peer reviewed upon submission. The reviews are forwarded to the principal investigator with suggestions for

revisions. The principal investigator is then required to submit the revised final report, abstract, executive summary, final data set and codebook/data dictionary by the end date of the grant. The abstract, executive summary, and final report are to be submitted in both paper and electronic/diskette versions. The data set and codebook/dictionary are also to be submitted in electronic form.

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

In addition to the abstract, executive summary, research report, and data set, grantees are required to submit financial status reports and progress reports.

Other Required Reports

- Quarterly Financial Status Reports (Standard Form 269-A).
 - Final Financial Status Report (Standard Form 269-A).
 - Semiannual Categorical Assistance Progress Reports (OJP Form 4587).
 - Final Categorical Assistance Progress Report (OJP Form 4587).
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Financial Status Reports. Financial status reports (SF 269-A) are to be submitted quarterly no later than 45 days following the end of each calendar quarter. Two copies of the financial status report must be submitted to the Office of the Comptroller every quarter during which the award is active even if there has been no financial activity during the reporting period.

Additionally, a final financial report is due 120 days after the end date of the award. Future

awards and fund drawdowns will be withheld if financial status reports are delinquent.

Progress Reports. Recipients of funding are also required to submit semiannual Categorical Assistance Progress Reports (OJP Form 4587). Two copies of the progress report must be submitted to the Office of the Comptroller twice a year even if there has been no substantive activity during the reporting period. The progress report should describe activities during the reporting period and status or accomplishment of objectives as set forth in the approved application for funding. For the duration of the award, progress reports must be submitted within 30 days after the end of the reporting periods (January 1 through June 30 and July 1 through December 31).

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

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

This information will facilitate future program planning and/or research efforts and will allow OJP to provide the Congress and others with measurable results of its grants.

Research Report. The final research report, due in draft form 90 days prior to the end of the grant, should provide a comprehensive overview of the study and should include a detailed description of the research design, data, and methods, a full presentation of scientific findings, and a thorough discussion of the implications of

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the research findings for criminal justice practice and policy.

Evaluation Report. For *evaluation* studies, the research report should also 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.)

CONFIDENTIALITY OF INFORMATION AND HUMAN SUBJECT PROTECTION

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

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

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

The DOJ regulations are set forth in 28 CFR Part 46. In general, 28 CFR Part 46 requires that all research involving human subjects conducted or supported by a Federal department or agency be reviewed and approved by an Institutional Review Board (IRB) before Federal funds are expended for that research. If IRB approval is required for this project, a copy of the IRB's approval as well as supporting documentation concerning the IRB's institutional affiliation, its policies and procedures, and necessary assurances must be submitted to the National Institute of Justice prior to the initiation of any research activities that are not exempt from the provisions of 28 CFR Part 46.

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

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

Send applications to:

Office of Research and Evaluation
Solicitation for Research on Terrorism
National Institute of Justice
810 Seventh Street N.W.
Washington, DC 20531
[overnight courier ZIP code 20001]

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For more information on the National Institute of Justice, please contact:

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

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