



National Institute of Justice

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

Jeremy Travis, Director

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Law Enforcement and Corrections Family Support: Solicitation for Research, Evaluation, Development, and Demonstration Projects

APPLICATION DEADLINE:
May 18, 1998

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

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Law Enforcement and Corrections Family Support: Solicitation For Research, Evaluation, Development, and Demonstration Projects

I. Introduction

Under Title XXI of the Violent Crime Control and Law Enforcement Act of 1994, Congress, in recognition of the negative consequences that job-related stress exerts on law enforcement personnel and their families, established a Law Enforcement Family Support program and authorized the Attorney General of the United States to:

- Research the effects of stress on law enforcement personnel and their families and disseminate the findings.
- Identify and evaluate model programs that provide support services to law enforcement personnel and families.
- Provide technical assistance and training programs to develop stress-reduction and family support programs to State and local law enforcement agencies.
- Collect and disseminate information regarding family-support, stress-reduction, and psychological services to State and local law enforcement organizations and other interested parties.
- Determine issues to be researched by the Department of Justice and grant recipients.

In response to this legislation, the National Institute of Justice (NIJ) is requesting proposals to:

1. Develop, demonstrate, and test innovative stress prevention or treatment programs for State or local law enforcement and/or correctional personnel *and their families*.

2. Conduct research on the nature, extent, causes, and consequences of stress experienced by correctional officers and their families, or to evaluate the effectiveness of law enforcement and/or correctional officer prevention or treatment programs.
3. Develop, demonstrate, and test effective ways to change law enforcement or correctional agency policies, practices, and organizational culture to ameliorate stress experienced by law enforcement and correctional officers and their families.

The Act specifies that program funds may only be used to support State and local law enforcement officers *and their families*. Respondents wishing to discuss potential demonstration, training, application, research, or evaluation proposals, or the Institute's ongoing projects on stress among law enforcement officers and their families should contact the U.S. Department of Justice Response Center at 800-421-6770, at 202-307-1480, or by fax at 202-616-9249.

Additional information about NIJ's Law Enforcement Family Support (LEFS) Program can be received by contacting the National Criminal Justice Reference Service (NCJRS) at 1-800-851-3420, by visiting the National Institute of Justice's web page at <http://www.ojp.usdoj.gov/nij/>, by sending e-mail to askncjrs@aspensys.com, or by writing to: Law Enforcement Family Support Program, National Institute of Justice, 810 7th St. N.W., Washington, D.C. 20531.

Copies of all NIJ solicitations may be obtained by contacting the National Criminal Justice Reference Service (NCJRS) at 1-800-851-3420 or e-mail askncjrs@ncjrs.org. Copies are also

available electronically through NIJ's website at <http://www.ojp.usdoj.gov/nij> or through NCJRS Justice Information Center at <http://www.ncjrs.org>.

NIJ is streamlining its process to accommodate the volume of proposals anticipated under this solicitation. Applicants can help in a significant way by sending NIJ a non-binding letter of intent to apply by Friday, April 3, 1998. The Institute will use these letters to forecast the numbers of peer panels it needs and to identify conflicts of interest among potential reviewers.

II. Background

Stress is an occupational hazard for law enforcement and correctional officers of all ranks. While no single definition of stress is commonly accepted, and the word itself may often be used inappropriately to describe banal problems, the debilitating effects of stress on law enforcement personnel are readily observable. In addition to its toll on officers' physical and mental health, and on the efficiency and effectiveness of law enforcement and correctional agencies, the effects of stress can be seen in the incidence among law enforcement and correctional personnel of alcoholism, divorce, and, most tragically, suicide.

Not only the officers bear the debilitating effects of stress, however. Typically, the officer's family, significant others, and co-workers are also burdened. Recognizing that family members and others can be affected by an officer's stress, and that these persons also represent a potential source of support for an officer attempting to cope with stress and its effects, a number of law enforcement and correctional agencies have developed stress-

reduction programs that include family, friends, and peer supporters.

As part of its response to Congressional concern about law enforcement-related stress, NIJ has commissioned a review of stress-reduction and employee assistance programs now operating in law enforcement agencies. This review has been published as an Issues and Practices Report titled, *Developing a Law Enforcement Stress Program for Officers and Their Families*. The report is available through the National Criminal Justice Reference Service (NCJRS) by e-mail at askncjrs@ncjrs.org or at 800-851-3420.

In this report, several conditions known to contribute to stress experienced by law enforcement officers and their families are discussed. These conditions range from the inherent dangers of police work to organizational conditions such as shift work, labor/management tensions, perceptions of favoritism or poor management, inadequate career advancement opportunities, and periods during which there exists either too much or too little work to do. Law enforcement officer and organizational stress has also been attributed to the implementation of community policing practices.

In addition, officers and their family members routinely report stressors such as unpredictable child care needs, increasing media scrutiny, public criticism, threats of law suits, inadequate equipment or training, and certain aspects of police culture. Finally, events involving excessive use of force or police corruption may contribute to officer stress. Conversely stress

caused by a number of factors may contribute to an officer's use of excessive force or other inappropriate or illegal behaviors.

Less is known about the nature and extent of stress experienced by correctional officers and their families, and by corrections agencies. For this reason, NIJ is intensifying efforts to advance knowledge, understanding, and the state of the art of practice in this area. Recent findings indicate that although similar in nature to stress experienced by law enforcement officers, stress experienced by correctional officers may also be associated with chronic understaffing and overtime work, shift work, role conflict or ambiguity, threat of or actual inmate violence, low public recognition, low pay, difficult or untrustworthy employee relations, among other issues.

To be effective, stress-reduction and training programs and protocols should consider addressing all such stressful conditions in a manner conducive to varying concerns of police and corrections management, labor organizations, and family members.

III. Required and Optional Services

The Act specifies that any law enforcement or corrections agency or organization representing law enforcement or correctional personnel that receives funds under this program shall provide one or more of the following services:

- Counseling.
- Child care on a 24-hour basis.
- Marital and adolescent support groups.
- Stress-reduction programs.
- Stress education.

- Training programs and assistance to support any or all of the services listed above.

Further, the Act stipulates that a law enforcement or correctional agency or organization receiving funds under this provision may offer one or more of the following optional services:

- Post shooting debriefing for officers and their spouses.
- Group therapy.
- Hypertension clinics.
- Critical-incident response on a 24-hours basis.
- Family crisis telephone services on a 24-hour basis.
- Counseling for officers and family members exposed to human immunodeficiency virus (HIV).
- Counseling for peers.
- Counseling for families of personnel killed in the line of duty.
- Seminars on alcohol, drug use, gambling, and overeating.
- Technical assistance and training to support any or all of the services described in the list above.

The Act specifies that no more than 5% of grant funds received by a State or local law enforcement or correctional agency or organization may be used for administrative purposes: at least 95% of funds received must be used directly for program operations and services delivered.

IV. Solicitation Request

The purpose of this solicitation is to invite applications seeking funds to undertake hypotheses-based prevention or treatment programs, OR research or evaluation projects, OR development or training projects as described below.

Note: While NIJ reserves the right to categorize all proposals, applicants *are required to specify one of the following three categories* they are seeking funds under.

1. Hypotheses-based prevention or treatment programs: Proposals are sought to develop, implement, and test innovative stress prevention or treatment programs. The programs will include one or more of the required or optional services described above and will be designed to benefit law enforcement and/or correctional officers *and their families*. Projects funded under this section are intended to test the efficacy of innovative service delivery models and serve as demonstration programs that could be replicated by other law enforcement and/or correctional agencies or organizations. Therefore in the course of providing stress prevention or reduction services to test the efficacy of one or more treatment strategies, basic process and program evaluations are required. (Formal, independent impact or outcome evaluations however, are not required for grants awarded under this section.)

Proposals may seek to establish a completely new prevention or treatment strategy, or to expand an existing program by providing new and additional services, and/or providing services to a broader audience (e.g., to the family members of law enforcement or correctional officers).

Proposals should describe the need for the program; set out and justify a service delivery scheme; specify a research design including plans

for conducting process and program evaluations; and present a management, monitoring, and budget plan.

In their proposals, applicants should discuss anticipated follow-up activities and work products including intended publications. They should also describe in detail specific treatment hypotheses (i.e., service delivery strategies) they intend to test programmatically. Applicants under this section should also address the points raised in the Issues paragraph below. Partnership applications which team law enforcement practitioners with expert researchers and/or health care service providers are of particular interest (see eligibility limitations in Section V below).

2. Research and evaluation: NIJ seeks proposals that will provide a comprehensive evaluation of the effectiveness of law enforcement officer stress-prevention and treatment programs. The research for this evaluation must be independent in nature and employ rigorous and scientifically recognized standards and methodologies. Proposals are also sought to conduct research on the nature, extent, causes, and consequences of stress experienced by correctional officers and their families. NIJ also will consider proposals on research and evaluation of specific stress factors or stress-reduction programs.

3. Development or Training Projects: Proposals are sought to develop and demonstrate ways to ameliorate officer and family stress by effecting changes in law enforcement and correctional agency policies, practices, and organizational culture. These proposals should describe innovative development or training programs that will on a state, regional, or national basis demonstrate: (1) how law enforcement and corrections policy makers, personnel, family members, and organizations representing law enforcement

and/or correctional personnel can effect changes in policies, practices, and organizational culture; or (2) training on the establishment, operation, and monitoring of state of the art stress programs for law enforcement and correctional officers *and their families*.

Proposal content should include the extent to which the development or training program will address the nature and extent of stress; prevention and treatment resources and training opportunities; service delivery need assessments; the range and appropriate mix of organizational and service delivery options; costs and cost-sharing arrangements; respective roles of labor, management, and families in the development and implementation of stress programs; stress program staffing requirements and qualifications; creation of referral and outreach networks; confidentiality issues; monitoring of service delivery; training for program staff; and evaluation of program effectiveness.

Proposals should also address development or training program: scale, scope, duration, delivery method, identification and selection of individual and organizational program participants; and proposed follow-up activities, products, or publications if any. Applicants under this section should also address the points raised in the Issues paragraph below. Applicants submitting training program proposals are encouraged to utilize established training academies because they offer the opportunity to institutionalize changes or training requirements. Partnership proposals—for example, from a national organization and one or more regional training academies—are of particular interest.

Issues. Applicants may wish to discuss one or more of the issues listed below in their proposals, together with other issues they identify as important: (1) policies and practices considered likely to prevent as well as treat stress; (2) approaches for minimizing

organizational sources of stress; (3) indicators signaling that stress is affecting officers and/or family members; (4) response strategies to the symptoms of stress; (5) roles of both unions and management in stress program planning, implementation, and ongoing operations; (6) techniques to ensure, as well as convince officers of, program integrity and confidentiality; (7) effects of health insurance issues on the provision of program services; (8) appropriate and inappropriate uses of peer supporters; (9) strengths and weaknesses of mandatory treatment referrals and related procedures; (10) development, use, and updating of service provider referral networks; (11) monitoring and evaluation of services and operations; and outreach to and participation by family members in program services, development efforts, and training.

All proposals should describe in detail the nature of the problem, a intervention (i.e., research, evaluation, development, demonstration or training) plan, and plans for providing an final report and other deliverables if applicable. Proposals under section #1 and #3 above should describe in detail all elements of program operations, the number of staff required to administer the program, the number of anticipated program participants, an implementation work plan identifying benchmark dates, and plans to undertake both process and program evaluations.

Note: As indicated above, while NIJ reserves the right to categorize all proposals, applicants *are required to specify one of the three categories described above under which they are seeking funds*.

V. Application Requirements

This section presents general application information, recommendations to proposal writers, and requirements for grant recipients.

Solicitation

The application form, SF-424, is included at the end of this document. Proposals not conforming to these application procedures will not be considered.

Eligibility. The Act stipulates that only State and local law enforcement agencies and organizations representing State or local law enforcement personnel are eligible to apply for demonstration or training awards. For the purposes of this solicitation, organizations representing enforcement personnel include: National, state, or local labor unions or associations representing commissioned state or local law enforcement or correctional officers in contract negotiations or other employment matters in one or more law enforcement agencies.

Other organizations such as universities, colleges, independent research enterprises, professional associations, hospitals, health care clinics, and counseling or other treatment service providers, while not eligible to submit proposals, may provide technical assistance in either a consulting or sub-contracting capacity to the applicant.

Respondents interested in conducting research and evaluation on related policing topics are encouraged to obtain a copy of NIJ's *Solicitation for Policing Research and Evaluation: Fiscal Year 1998*, by contacting the U.S. Department of Justice Response Center at 800-421-6770, at 202-307-1480 (in the Washington, D.C., area), by fax at 202-616-9249, or by visiting NIJ's web page at <http://www.ojp.usdoj.gov/nij/>.

Award Period. In general, NIJ limits its grants and cooperative agreements to a maximum of 18

months. However, longer budget periods may be considered.

Award Amount. Awards totaling approximately \$938,000 will be made available to support Law Enforcement Family Support Program grants during this period. The Act specifies that a grant to a State or local law enforcement agency may not exceed \$100,000 and that a grant to an organization representing law enforcement or correctional personnel may not exceed \$250,000. Funds under this program may be used to supplement, but not supplant, existing stress-reduction or employee assistance programs.

Special Requirements. The Act further stipulates that each application shall (1) certify that the law enforcement or corrections agency shall match all Federal funds with an equal amount of case or in-kind goods or services from other non-Federal sources; and (2) include a statement from the highest ranking law enforcement or corrections official from the State or locality, or from the highest ranking official from the organization applying for the grant, that attests to the need and intended use of services to be provided with grant funds; and (3) assure that the Attorney General or the Comptroller General shall have access to all records related to the receipt and use of grant funds received.

Due Date. Ten (10) copies of fully executed proposals should be sent to:

Law Enforcement Family Support Program
National Institute of Justice
810 7th St. N.W.
Washington, DC 20531
(For overnight courier use ZIP code 20001)

Completed proposals must be received at the National Institute of Justice by the close of business on Monday, May 18, 1998. *Extensions*

of this deadline will not be permitted. Contact. Applicants with questions about this solicitation are encouraged to contact the U.S. Department of Justice Response Center at 800-421-6770, at 202-307-1480, or by fax at 202-616-9249.

Certifications. Applicants should read and sign the certification form regarding lobbying; debarment, suspension, and other responsibility matters; and drug-free workplace requirements included in this solicitation. Signing this form commits the applicant to compliance with the certification requirements under 28 CFR Part 69, “New Restrictions on Lobbying,” and 28 CFR Part 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 several years, Institute staff have reviewed thousands of 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, 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 state-of-the-art or state-of-the-science knowledge, or current practices, 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 program in simple, straightforward terms. The goals should describe the intended consequences or expected overall effect of the proposed program. Tasks or activities to be conducted should be described in a separate methodology section. 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 program’s goal(s). When in doubt about whether to provide a more detailed explanation or 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 program tasks also will help identify necessary budget items. All staff positions and program 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. 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 program's effectiveness and identify program elements that will require further modification. The description in the application should include how the evaluation will be conducted, the program period during which it will occur, who will conduct it, and what specific measures will be used. In most instances, the evaluation should be conducted by persons not connected with implementation of the procedure, training, service, or technique, or with administration of the program.

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

demonstration program services, or training program methods. Successful proposals will clearly identify the nature of the grant products that can reasonably be expected if the demonstration or training program 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. Items categorized as "Other" or "Miscellaneous" should be specified in the application budget narrative; set-asides for undefined contingencies should not be included.

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 program 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 multi year projects, applicants must include the full amount of NIJ funding for the life of the project. This amount should be reflected in item 15g on Form 424 and in TOTAL PROJECT COSTS in 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 = \$375.00). 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 Standard Form (SF) 424, Application for Federal Assistance, plus instructions, appears in the back of this document. Please follow the instructions carefully. In addition, complete the Budget Detail Worksheet (OJP Form 7150/1), OJP Form 4000/3 (Assurances), and OJP Form 4061/6 (certifications regarding lobbying;

debarment, suspension, and other responsibility matters; and drug-free workplace requirements).

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, 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 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 policy making and the strength of the evidence they can produce.

The organization and management plan to implement, manage, and assess the program. 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 be used for operating programs and the writing of texts or handbooks that provide training in the implementation, management, and assessment of stress-reduction programs. The idea is to train a substantial number of police personnel or others who would then implement stress-reduction training and/or service delivery programs in their own agencies and serve as resources to other police agencies and unions in their jurisdictions.

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? All applicants are required to match (cash, noncash, or both) the amount of Federal funds requested.

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 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? May 18, 1998.

16. Is there a page limit? The Institute has established a limit of 30 double-spaced pages (with font size not smaller than 12 point) 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:

1. SF-424 (with Assurances attached), followed by OJP Form 7150/1 (Budget Detail Worksheet), budget narrative, negotiated rate agreement, and certifications.

2. Names and affiliations of all key persons from applicant and subcontractor(s), advisors, consultants, and Advisory Board members. Include the name of the Principal Investigator, title, organizational affiliation (if any), department (if institution of higher education), address, and phone and fax numbers.

3. Abstract.

4. Table of contents.

5. Project narrative.

6. References.

7. 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 on 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 demonstration or training program were successful, how would criminal justice policies or operations be improved?" Four criteria are applied in the evaluation process:

Impact of the proposed demonstration or training program.

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 program staff.

Economy of the approach. Applicants bear the responsibility of demonstrating to the panel that the proposed program addresses the critical issues of the topic area and that the demonstration or training program results, experiences, and findings could ultimately contribute to a practical application in law enforcement or criminal justice. Reviewers will assess applicants' awareness of related research or program efforts and their ability to direct the demonstration or training program toward answering questions of policy or improving the state of criminal justice operations.

Technical merit is judged by the likelihood that the program design will produce convincing results, findings, and state-of-the-art practices. Reviewers take into account the logic of the program plan, the validity and reliability of measures proposed, the appropriateness of service or training methods to be used, and each applicant's awareness of factors that might dilute the credibility of results, findings, and state-of-the-art practices. 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, as well as 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 depth of experience and the relevance of that experience to the proposed demonstration or training program. Costs are evaluated in terms of the reasonableness of each item and the utility of program services or training consistent with the legislation.

20. Are there any other considerations in selecting applications for an award? Programs should 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.

As indicated above, NIJ, in a separate solicitation, is also seeking proposals to construct a long-term research agenda to aid the development of programs for the reduction of stress among law enforcement officers and their families. In the current period, NIJ expects to fund one award totaling \$100,000 for research agenda development, which will build on the forthcoming Issues and Practices Report, “Developing a Law Enforcement Stress Program for Officers and Their Families.” Demonstration or training programs funded under this solicitation will also build on that report and will be required to give access to NIJ’s grantee(s) charged with developing long-term research.

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 profit making 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? The Institute 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) 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 officers and their families.

Products should include:

A summary of approximately 2,500 words highlighting program results, findings, and state-of-the art practices and the research and policy issues they 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 Program Focus. 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 program goals, review of the literature, description of program methodology, detailed review of program outcomes, conclusions, and policy recommendations.

Clean copies of any automated data sets developed during the demonstration or training program, 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*, with one exception: that confidential treatment, personnel, or training records should not be submitted except in the aggregate and, then, only if anonymity is assured.

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.

Prohibition on supplanting funds. Federal funds must be used to supplement existing funds and not replace those funds that have been appropriated for the same purpose. Potential supplanting will be the subject of application review, as well as preaward review, postaward 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.

Note: This section is not intended to include nonaggregated data pertaining to patient treatment or personnel training records.

Standards of Performance by Recipients

NIJ expects individuals and institutions receiving its support to work diligently and professionally toward implementing, managing, and assessing high-quality demonstration or training programs and related program products. In addition to this general expectation, the Institute imposes specific requirements to ensure that proper financial and administrative controls are applied to the program. Financial and general reporting requirements are detailed in *Financial Guide*, published in April 1996 by the Office of Justice Programs. This guidance 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 are governed by the Single Audit Act of 1984 and OMB Circular A-128, "Audits of State and Local Governments." Nonprofit organizations and institutions of higher education are governed by OMB Circular A-133, "Audits of Institutions of Higher Education and Other Nonprofit Institutions." The type of audit required under these circulars is dependent on the amount of Federal funds that can be audited during the recipient's fiscal year. For example: If the organization receives \$100,000 or more per year in Federal funds, the organization shall have an organization-wide financial and compliance audit. If the organization receives between \$25,000 and \$100,000 a year in Federal funds, the organization may elect to have an organization-wide audit or program audit. If the organization receives less than \$25,000 a year in Federal funds, the organization shall be exempt from the audit requirement.

Commercial (for-profit) organizations shall have financial and compliance audits performed by qualified individuals who are independent of 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 Circulars A-128 and A-133 apply.

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. The National Institute of Justice 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 goals 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; or Filing a false certification in this application or other report or document. Before imposing sanctions, the National Institute of Justice 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 part 18.

Program Monitoring:

Award recipients and Principal Investigators assume certain responsibilities as part of their participation in government-sponsored research, evaluation, and demonstration or training programs. NIJ's monitoring activities are intended to help grantees meet these responsibilities. They are based on good communication and open dialog, with collegiality and mutual respect.

Some of the elements of this dialog are:

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

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 or demonstration programs. An annual "cluster conference" should be anticipated and should be budgeted for by applicants at a cost of \$2,000 for each year of the grant.

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 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. NIJ is prepared to receive such communication through electronic media.

Providing NIJ with copies of presentations made at conferences, meetings, and elsewhere based in whole or in part on the work of the program. Providing NIJ with prepublication copies of articles based on the program that appears 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

NIJ Program Managers should be kept informed of program 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 program 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 it 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 on by NIJ and the grantee. The Institute recognizes that there are legitimate reasons for program extensions. However, NIJ does not consider the assumption of additional research projects that impinge on previous time commitments as legitimate reasons for delay.

Programs 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 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 program's expiration. NIJ 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 and program staff protect subjects from needless risk of harm or embarrassment and proceed with their willing and informed cooperation. NIJ requires that investigators and program staff 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 the program being proposed, a copy of the Board’s approval must be submitted to the National Institute of Justice prior to the demonstration or training program’s implementation. Researchers are encouraged to review 28 CFR 46, ¶46.101 to determine their individual project requirements.

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

National Criminal Justice Reference Service

Box 6000
Rockville, MD 20849–6000

Solicitation

800-851-3420
e-mail: askncjrs@ncjrs.org

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

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