



NOV. 04

NIJ

Solicitation for Concept Papers

Terrorism and Transnational Crime

Notice:

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

**Deadline for
Concept Papers:
December 2, 2004**

8 p.m. eastern time

SL 000681

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

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<http://www.ojp.usdoj.gov/nij>

Office of Justice Programs
Partnerships for Safer Communities
<http://www.ojp.usdoj.gov>

Terrorism and Transnational Crime

I. Introduction

The National Institute of Justice (NIJ) is the research, development, and evaluation agency of the U.S. Department of Justice and a component of the Office of Justice Programs. NIJ provides objective, independent, evidence-based knowledge and tools to enhance the administration of justice and public safety. NIJ seeks research to inform its search for the knowledge and tools to guide policy and practice.

NIJ is seeking concept papers for research and evaluation that will inform national policy and practice related to terrorism, transnational criminal behavior, and any connections between them. Proposed research should aim to improve criminal justice and first responder strategies for prevention of, preparation for, response to, and mitigation of terrorist incidents at the Federal, State, and local levels. Applicants can propose research that addresses the topics described below in “Section II: Proposal Topics” or develop research concepts that build on them. All proposed research should have direct, immediate, and obvious implications for policy and practice.

Due date: The due date for this concept paper is listed on the cover of this announcement and on the NIJ Web site at <http://www.ojp.usdoj.gov/nij/funding.htm>. Invited full proposals are likely to be due by March 10, 2005. Extensions to the deadlines are generally not granted.

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

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

How to submit applications to NIJ: Funding applications instructions are in “Guidelines: How to Submit Applications,” available on the NIJ Web site at <http://www.ojp.usdoj.gov/nij/funding.htm>.

II. Concept Paper Topics

This solicitation builds on research NIJ funded in 2003. At that time, NIJ funded 13 research projects (summarized at:

www.ojp.usdoj.gov/nij/international/programs/terro_research_share.html) in four broad areas:

- Terror groups and links to organized crime.
- Law enforcement responses to terrorism.
- The use of information for risk assessment.
- Community and criminal justice prevention and responses to terrorism.

With this solicitation, NIJ now seeks concept papers in the following areas:

1. Assessments of transnational crimes and criminal enterprises to determine the methods and extent to which they are designed or exploited to achieve profit and other objectives of terrorist organizations.
2. Research, case studies, or assessments of existing criminal justice and first responder strategies and operations for preventing, preparing for, responding to, and mitigating terrorist incidents (including those involving weapons of mass destruction). We encourage research on:
 - Problems of information/intelligence collection, analysis, and sharing.
 - Interagency resource allocation, plan development, and role and activity coordination.
 - Understanding and addressing the fears and needs of the public in dealing with the threat of terrorism as well as the potential contributions that the community can make to prevention and response.
 - Communities of special need and importance.
 - Strategies for securing and responding to potential attacks on large city populations and vulnerable targets, and other high-priority targets such as transportation infrastructure, power networks, financial and computer systems, and food and water supplies.
3. Research relating to the relationship between corruption, organized crime, and smuggling (e.g., drugs, human trafficking, natural resources), including the methods by which illicit proceeds of crime are laundered in nonmonetary forms (e.g., gems, weapons, etc.) to avoid detection.

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4. Research relating to the methods, nature, and extent to which the Internet is used as a tool to support terrorist objectives (including recruitment and information dissemination) and criminal enterprises and how this use of the Internet can be anticipated and discovered more effectively.
 5. Analysis of existing information that can be used to develop risk assessment tools.

III. General Requirements and Guidance

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

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

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

The format for your concept paper is as follows:

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

Peer reviewers will evaluate each concept paper and based on their recommendations, NIJ will invite authors of selected concept papers to submit full applications.

Instructions for submitting concept papers can be found in “Guidelines: How to Submit Applications,” (available at <http://www.ojp.usdoj.gov/nij/funding.htm>) and the Office of Justice Programs Grants Management System Handbook (available at <http://www.ojp.usdoj.gov/fundopps.htm>).

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

asked to submit a full proposal, your proposed budget should indicate in detail which items, if any, will be supported with non-Federal contributions.

- E. Number of grants to be awarded:** NIJ's grant award process is highly competitive. The number of awards to be made is subject to the availability of funds and the number and quality of applications received.
- F. When awards will be made:** All applicants, whether they are accepted or rejected, will be notified. The review and approval process for concept papers takes about 8 weeks. The review and approval process for full proposals takes about 6 months. You should not propose to begin work until at least 8 months after the concept paper deadline on the cover of this solicitation. Also, you should not expect to receive notification of a decision for at least 8 months after that date. Lists of awards are updated regularly on NIJ's Web site at <http://www.ojp.usdoj.gov/nij/funding.htm>.
- G. Financial audits are required:** If your organization spends \$500,000 or more of Federal funds during the fiscal year, you may be asked to submit an organization-wide financial and compliance audit report before any award is made. The audit must be performed in accordance with the U.S. Government Accountability Office Government Accounting Standards and must conform to Chapter 19 ("Audit Requirements") of the Office of Justice Programs' Financial Guide (available at <http://www.ojp.usdoj.gov/FinGuide>). You may include the costs of complying with these audits in the proposed budget submitted as part of your application. Detailed information regarding the independent audit is available in Office of Management and Budget Circular A-133 (available at <http://www.whitehouse.gov/omb/circulars>).
- H. An environmental assessment may be required:** All award recipients must comply with the National Environmental Policy Act (NEPA). To ensure NEPA compliance, NIJ may require some award recipients to submit additional information.
- I. Protection of confidentiality:** Federal regulations require applicants for NIJ funding to outline specific procedures for protecting private information about individuals as part of the Privacy Certificate submitted with the application package. For additional information, see "Guidelines: How to Submit Applications," <http://www.ojp.usdoj.gov/nij/funding.htm>.
- J. A DUNS number is required:** The Office of Management and Budget requires that all businesses and nonprofit applicants for Federal funds include a DUNS (Data Universal Numeric System) number in their application for a new award or renewal of an award. Applications without a DUNS number are incomplete. A DUNS number is a unique nine-digit sequence recognized as the universal standard for identifying and keeping track of entities receiving Federal funds. The identifier is used for tracking purposes and to validate address

and point of contact information. NIJ will use the DUNS number throughout the grant life cycle. Obtaining a DUNS number is a free, one-time activity. Obtain one by calling 1-866-705-5711 or by applying online at <http://www.dunandbradstreet.com>. Individuals are exempt from this requirement.

K. Funds cannot be used to lobby: Under the Anti-Lobbying Act (18 U.S.C. § 1913), grantees generally may not use funds to support the enactment, repeal, or modification of any law, regulation, or policy at any level of government. For additional information on rules and regulations, see “Guidelines: How to Submit Applications” at <http://www.ojp.usdoj.gov/nij/funding.htm> and OJP’s Financial Guide at <http://www.ojp.usdoj.gov/FinGuide>.

L. What will *not* be funded: Typically, NIJ *does not* fund the following:

1. Provision of training or direct service.
2. Proposals primarily to purchase equipment, materials, or supplies. (Your budget may include these items if they are necessary to conduct applied research, development, demonstration, evaluation, or analysis, but NIJ does not fund proposals that are primarily to purchase equipment.)

M. Cost of proposed work: NIJ anticipates that up to \$3 million may become available for awards made through this solicitation. All awards are subject to the availability of appropriated funds. NIJ may make 10 to 15 awards of varying amounts depending on funds available and number of high-quality applications. If you propose a project that exceeds the amount of money that may be available for this solicitation, we recommend that you divide the project into phases, stages, or tasks so that NIJ can consider making an award for a specific portion of the work. NIJ cannot guarantee that subsequent phases, stages, or tasks will be funded. Such additional funding depends on NIJ’s resources and your satisfactory completions of each phase, stage or task. Note: Deliverables (e.g., a final report) will be required at the end of each phase, stage, or task.

N. Call for assistance:

1. For technical guidance about using the Grants Management System, call the hotline at 1-888-549-9901.
2. For questions about this solicitation, the research being solicited, or other NIJ funding opportunities, contact the U.S. Department of Justice Response Center at 1-800-421-6770.

IV. Selection Criteria

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

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

Successful applicants must demonstrate the following:

A. Understanding of the problem and its importance.

B. Quality and technical merit.

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

C. Impact of the proposed project.

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

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

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

E. Budget.

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

F. Dissemination strategy.

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

V. Requirements for Successful Applicants

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

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

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

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

- B. Interim reports:** Grantees must submit quarterly financial reports, semi-annual progress reports, and a final progress report. Future awards and fund drawdowns may be withheld if

reports are delinquent. Post-award reporting requirements are described in “Guidelines: How to Submit Applications,” available at <http://www.ojp.usdoj.gov/nij/funding.htm>.

C. Materials concerning protection of confidential information and human subjects:

Recipients of NIJ research funds must comply with Federal regulations concerning the protection of private information about individuals. Recipients also must comply with Federal regulations concerning protection of human subjects. In general, all research involving human subjects that is conducted or supported by NIJ funds must be reviewed and approved by an Institutional Review Board before Federal funds are expended for that research. NIJ may also ask grant recipients for additional information related to privacy and human subjects testing.

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

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

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

Tips for Submitting Your Application

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

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

The National Institute of Justice is the research, development, and evaluation agency of the U.S. Department of Justice.

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

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