



OCT. 05

**NIJ**

Solicitation for Concept Papers

**Biometric Technologies**

**Notice:**

**You *must* submit your application electronically using Grants.gov.**

Go to <http://www.ojp.usdoj.gov/nij/funding/howto.htm> for application instructions. For Grants.gov technical support, call 1-800-518-4726.

**Catalog of Federal Domestic Assistance (CFDA) Number:** 16.560

**CFDA Title:** National Institute of Justice Research, Evaluation, and Development Project Grants

**Deadline:**

**November 17, 2005**

**Extended to  
November 25, 2005**

**8 p.m. eastern time**

SL 000714

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

**Alberto R. Gonzales**  
*Attorney General*

**Regina B. Schofield**  
*Assistant Attorney General*

**Glenn R. Schmitt**  
*Acting Director, National Institute of Justice*

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# Biometric Technologies

## 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 (OJP). NIJ provides objective, independent, evidence-based knowledge and tools to enhance the administration of justice and public safety. NIJ supports research that can provide knowledge and tools to guide policy and practice.

NIJ is seeking concept papers for research and development of biometric technologies, or novel applications of those technologies, that will reduce crime; enhance law enforcement and corrections officers' ability to correctly identify both cooperative and non-cooperative individuals; and/or fix the identity of individuals in the justice system.

**Due date:** The due date for this concept paper is November 17, 2005. Extensions to the deadlines are generally not granted.

**Page limit:** The program narrative section of your concept paper must not exceed 5 double-spaced pages in 12-point font with 1-inch margins. Abstract, table of contents, charts, figures, and appendixes do not count toward the 5-page limit for the narrative section. The complete concept paper (including charts, figures, and appendixes) must not exceed 10 double-spaced pages. (The program narrative section of full proposals, for applicants who will be invited to submit them, are limited to 25 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 apply:** Detailed instructions for using Grants.gov to apply are available at <http://www.ojp.usdoj.gov/nij/funding/howto.htm>. For Grants.gov technical support, call 1-800-518-4726.

## II. Concept Paper Topics

Biometric identification uses a unique biological, physiological, or behavioral characteristic to recognize or confirm a person's identity. The best-known biometric identification method is fingerprinting, but fingerprint technologies also include scanning and automated systems for reading and matching fingerprints. Other biometric identification methods include facial, iris,

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voice, handwriting, and signature recognition systems. Biometrics may be a component of another system of interest such as smart cards that contain a “key” such as a fingerprint.

NIJ is seeking concept papers to develop and evaluate technology products that will enhance law enforcement and corrections officers’ ability to correctly identify both cooperative and non-cooperative individuals and to fix the identity of individuals in the justice system. Concept papers must address specific needs in criminal justice. Concept papers should also:

- Describe the operational environment in which the technology will function, identify the criminal justice need that the technology will address, and describe the specific benefit anticipated and how the technology will produce that benefit.
- Describe how the project will collect data, measure the results against defined metrics, and distribute results.
- Address how the project will collect data.
- Address what metrics will be used to evaluate the results—using industry or government standard evaluation methods and measures wherever possible.
- Describe how collected data and experimental results will be made available to the research community to ensure repeatability of experiments (i.e., descriptions of training and test sets, public access to data and result sets, availability of raw results and final published results, and access to any scoring and analysis code).
- Describe past or planned future participation in any applicable industry or government evaluations, “Grand Challenges,” or laboratory, scenario, or operational tests.

#### **A. Operational Needs**

As the research and development organization for the U.S. Department of Justice, NIJ works cooperatively with other DOJ components (Bureau of Alcohol, Tobacco, Firearms & Explosives; Bureau of Justice Statistics; Bureau of Prisons; Drug Enforcement Administration; Federal Bureau of Investigation; Justice Management Division; U.S. Attorneys, and the U.S. Marshals Service) to identify broad-based operational needs for biometric technologies for criminal justice applications. The following operational needs have been identified as priority areas:

- Expedited capture of rolled-equivalent fingerprints and palm prints.
- Confirming and fixing the identity of individuals, e.g., inmates being processed; visitors to correctional facilities; persons with multiple, false, or no identity documentation; deceased persons in mortuaries; subjects of wanted alerts and warrants issued; sex offenders being tracked; and subjects of queries across criminal justice information system databases.

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- Identifying people on video and audio surveillance to prevent unauthorized access on school campuses; identifying individuals in secure or controlled areas; detecting altered appearances; detecting gang activities; and identifying and authorizing communications system users.
  - Expediting automation of legacy biometric information that is not yet shared electronically, e.g., developing common standards for database integration and accuracy and quality control within databases.
  - Collecting biometrics in field environments for improved officer safety in routine duties (i.e., traffic stops); eliminating misidentification of subjects; saving money and time through reduced transportation and processing for identification; fusion of biometric identifiers; and better performance for existing devices.
  - Controlling access to sensitive or controlled areas, evidence or weapons storage areas, communication devices, and computer systems.

There are general requirements for technologies proposed or developed in response to these operational needs. Where applicable, technologies should:

- Use open standards (e.g., Common Biometrics Exchange File Format [CBEFF], Biometrics Application Programming Interface [BioAPI], ANSI/NIST-ITL 1-2000, and INCITS/M1 standards).
- Use existing evaluation databases (e.g., NIST Fingerprints).
- Be a subject of ongoing biometrics evaluations (e.g., Facial Recognition Grand Challenge, Facial Recognition Vendor Test, Iris Challenge Evaluation, Annual Speaker Recognition Challenge).
- Meet the needs within criminal justice for interoperability (e.g., Homeland Security Presidential Directive-12, HSPD-5).
- Be affordable for purchase by State and local criminal justice agencies. Although most research and development efforts will result in prototype or brass board demonstration systems, a target cost of less than \$30,000 in production is highly desired. Costs should be proportionate to anticipated performance and an end-unit cost of much less than \$30,000 is preferred.
- Be designed for use by the average criminal justice practitioner and require minimum training. Technologies should also be easy to maintain and impose a minimal logistics burden. The ability to export data to a remote location, as applicable to the technology, is also highly desired.

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Each of these criteria should be briefly discussed in the concept paper with the approach to meeting each of these requirements substantiated in any resulting requests for full application.

## **B. Possible Technical Approaches**

To meet the identified operational needs, NIJ is particularly interested in the application of biometric technologies in the following areas:

- Temporal processing of facial images.
- Evaluation of iris recognition.
- Fusion of facial and iris, facial and finger, and/or finger and iris biometrics.
- Statistical analysis of the independence of each biometric used in fusion.
- Processing high resolution, 2-dimensional facial images.
- Evaluation of facial recognition and/or voice/speaker recognition performance and quantification of that performance vs. the natural ability of people to recognize individuals.
- Image quality metrics for facial images including camera feedback to enhance captured images, head finding, and automated database updating.
- Use of HDTV (720p) quality security in-car cameras, and recorders for input to biometric systems.
- Intelligent filtering of biometric databases to enhance search speed and probability of correct identification.

Other technological approaches meeting the identified operational needs, or other needs, are encouraged, but applicants should clearly substantiate the law enforcement need for the technology and the expected benefit from application of the technology.

## **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.

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While the concept paper should not include a detailed budget or management plan, the program narrative 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.

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

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 policy and practice.
    - e. Dissemination strategy.
    - f. Description of estimated costs.
    - g. Staffing plan.
    - h. Timeline.
  3. Tables, figures, charts, and appendixes, if applicable.
- A. Submit applications online:** Paper applications are not accepted. Applications must be submitted online at Grants.gov. See <http://www.ojp.usdoj.gov/nij/funding/howto.htm> for application instructions.
- 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. 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.

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- D. 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.
- E. 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>.
- F. Financial capability questionnaire:** Any applicant that is a nongovernmental entity and has not previously received an award from OJP will be required to complete and submit a financial capability questionnaire before any award is made.
- G. An environmental assessment may be required:** All awards are subject to the National Environmental Policy Act (NEPA). To ensure NEPA compliance, NIJ may require some award recipients to submit additional information.
- H. 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," at <http://www.ojp.usdoj.gov/nij/funding.htm#gsya>.
- I. 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.
- J. 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 OJP's Financial Guide at <http://www.ojp.usdoj.gov/FinGuide>.



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**K. 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.)
3. Work that will be funded under another specific solicitation.
4. Proposals that do not involve a suitable treatment of a technology, such as the conduct of applied research, development, analysis, evaluation, or the demonstration of one or more technologies.
5. Pure or basic research that does not have a direct application to law enforcement or a specific timeline to get to a product.

**L. Cost of proposed work:** Total funding for this solicitation and number of awards will depend on the availability of funds and the quality of applications. All awards are subject to the availability of appropriated funds. If appropriate, NIJ recommends that applicants divide the project into discrete phases, stages, or tasks so that NIJ can consider making an award for a specific portion of the work. Typically, NIJ awards grants of \$500,000 and below.

**M. Information technology standards compliance:** As appropriate, all equipment and software developed under grants or agreements awarded pursuant to this solicitation must be compliant with U.S. Department of Justice Information Technology interface standards, including the National Criminal Intelligence Sharing Plan (see [http://it.ojp.gov/documents/National\\_Criminal\\_Intelligence\\_Sharing\\_Plan.pdf](http://it.ojp.gov/documents/National_Criminal_Intelligence_Sharing_Plan.pdf)), Global Justice XML Data Model (see <http://it.ojp.gov/jxdrm/>), and the Law Enforcement Information Sharing Plan (LEISP). A list of additional standards can be found at the OJP Standards Clearinghouse (<http://it.ojp.gov/jsr/intro/intro03.html>).

**N. Funding to faith-based and community organizations:** Consistent with President George W. Bush's Executive Order 13279, dated December 12, 2002, and 28 C.F.R. Part 38, it is OJP policy that faith-based and community organizations that statutorily qualify as eligible applicants under OJP programs are invited and encouraged to apply for assistance awards to fund eligible grant activities. Faith-based and community organizations will be considered on the same basis as any other eligible applicants and, if they receive an award, will be treated on an equal basis with all other grantees in the administration of such awards. No eligible applicant or grantee will be discriminated for or 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. Faith-based organizations receiving OJP awards retain their independence and do not lose or have to modify their religious identity (e.g., removing religious symbols) to receive assistance awards. OJP grant funds, however, may not be used to fund any inherently religious activity, such as prayer or worship. Inherently religious activity

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is permissible, although it cannot occur during an activity funded with OJP grant funds; religious activity must be separate in time or place from the OJP-funded program. Further, participation in such activity by individuals receiving services must be voluntary. Programs funded by OJP are not permitted to discriminate in the provision of services on the basis of a beneficiary's religion.

**O. Call for assistance:**

For technical guidance about applying through Grants.gov, call Grants.gov Technical Support at 1-800-518-4726. For questions about this solicitation, the research being solicited, or other NIJ funding opportunities, see the NIJ Web site at <http://www.ojp.usdoj.gov/nij> or contact NIJ at 202-305-7807.

## **IV. Selection Criteria**

NIJ is firmly committed to the competitive process in awarding grants. All concept papers and proposals are subjected to independent peer-review panel evaluations. 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.**

1. Identification and description of the specific criminal justice need that the technology will address.
2. Description of the operational environment the technology will function in.
3. Description of the specific benefit anticipated (i.e., 10% reduction in a specific crime) and how the technology will produce that benefit.

**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).

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**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.

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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 principal investigator with suggestions for revisions. The final report, abstract, and executive summary then must be submitted 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, a final progress report, and, if applicable, an annual audit report in accordance with the Office of Management and Budget Circular A-133. 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#gasya>.

**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#gasya>. Additional 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 Measures:** To assist OJP in fulfilling its responsibilities under the Government Performance and Results Act (GPRA), P.L. 103-62, applicants who receive funding under this solicitation must provide data that measures the results of the work. This data will also contribute to achieving NIJ's overall research, development, and evaluation mission. NIJ expects research to be accurate, objective, relevant, and useful. Performance measures for this solicitation are as follows:

Objective	Performance Measures	Data Grantee Provides
<p>Develop, test or evaluate biometric technologies that will enhance law enforcement and corrections officers' ability to correctly identify cooperative and non-cooperative individuals, and to fix the identity of individuals in the justice system.</p>	<ol style="list-style-type: none"> <li>1. Relevance 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.</li> <li>2. Quality of the research as assessed by peer reviewers.</li> <li>3. Quality of management as measured by whether significant interim project milestones were achieved, final deadlines were met, and costs remained within approved limits.</li> </ol>	<ol style="list-style-type: none"> <li>1. A final report providing a comprehensive overview of the project and 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.</li> <li>2. Quarterly financial reports, semi-annual progress reports, and a final progress report.</li> </ol>

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### **Tips for Submitting Your Application**

1. Begin the application process early—especially if you have never used the Grants.gov Web site. NIJ will not accept applications received after the deadline listed on the cover. To start the process, go to <http://www.grants.gov>.
2. Go to <http://www.ojp.usdoj.gov/nij/funding/howto.htm> for detailed application instructions.
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 Grants.gov, call 1–800-518–4726.
  - For questions about this solicitation, the research being solicited, or other NIJ funding opportunities, contact NIJ at 202–305–7807.

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](mailto:askncjrs@ncjrs.org).

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The National Institute of Justice is the research, development, and evaluation agency of the U.S. Department of Justice. NIJ's mission is to advance scientific research, development, and evaluation 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.