

REQUEST FOR ACTION: GRANT REQUESTS, APPLICATIONS & AWARDS

Version: 09/02/2003

AGENDA FOR: ☒ MAYOR ☐ COUNCIL AUTHORITY: ☐ DATE: January 4, 2011

FOR INFORMATION CONTACT:

DEPARTMENT: POLICE CONTACT NAME: Cpl. Art Surratt
ADDRESS: 600 Civic Center TELE: 596-1302
GRANT PHASE: APPLICATION CONTRACT NUM: RENEWAL, AMENDMT, CHNG #
PROGRAM OR PROJECT TITLE: Strategic Approaches to Sexual Assault Evidence
GRANTOR: National Institute of Justice
FUNDS SOURCE: FEDERAL EXPLAIN: MATCH REQUIRED? NO
SOURCE AGENCY: Department of Justice AMOUNT: \$182,296.00
DATE GRANT BEGINS: July 1, 2011 DATE GRANT ENDS: December 31, 2011
GRANT NUMBER:

SUMMARY:

The National Institute of Justice is seeking applicants interested in participating in an action research project designed for local jurisdictions that are struggling with large quantities of untested sexual assault kits. The purpose of this study is to understand the underlying nature of the problem and identify effective and sustainable solutions. The Tulsa Police Department, TPD Lab, Domestic Violence Intervention Services (DVIS) will partner with the OSU Health and Science Center on this project. There is no cash match required.

BUDGET:

FINANCE DIRECTOR APPROVAL:

MATCH

FUNDING SOURCE:

REQUEST FOR ACTION: All department items requiring Council approval must be submitted through Mayor's Office.

It is recommended that the Mayor authorize a Police Department designee to access the program's Internet web site and apply for this grant.

DEPARTMENT HEAD APPROVAL: [Signature] DATE: 01/04/11
CITY ATTORNEY APPROVAL: [Signature] 1-4-2011
FINANCE APPROVAL (initials): BUDGET [Signature] 1/4/2011
FINANCE REVIEW (initials): ACCTNG [Signature] CFDA No: 16.588
MAYORAL APPROVAL: [Signature] 1-12-11

FOR CITY COUNCIL OFFICE USE ONLY:

COMMITTEE: COMMITTEE DATE(S): DATE RECEIVED:
HEARING DATE: SECOND AGENDA DATE: FIRST AGENDA DATE:
APPROVED:

For City Clerk's Office Use Only (Agenda Date: MMDDYYYY; Sec #, Dept ##, Item ##, Sub-Item ##, Status: S=Synopsis):

01-10-2011 4 19 4

U.S. Department of Justice

Office of Justice Programs

National Institute of Justice

OMB No. 1121-0329



The U.S. Department of Justice (DOJ), Office of Justice Programs (OJP), National Institute of Justice (NIJ) is pleased to announce that it is seeking applications for funding to participate in an action research project designed for State and local jurisdictions that are struggling with large quantities of untested sexual assault kits. The purpose of this study is to understand the underlying nature of the problem and to identify effective and sustainable solutions. This program furthers the Department's mission by sponsoring research to provide objective, independent, evidence-based knowledge and tools to meet the challenges of crime and justice, particularly at the State and local levels.

Solicitation: Strategic Approaches to Sexual Assault Kit (SAK) Evidence: An Action Research Project

Eligibility

Applicants are limited to States (including territories) and units of local government (including federally-recognized Indian tribal governments as determined by the Secretary of the Interior). Each applicant must demonstrate a team approach that includes an effective partnership between the applicant jurisdiction's criminal justice practitioner agencies and a research organization partner. Please carefully review the "Program-Specific Information" section, beginning on page 3, for additional details.

Deadline

Registration with Grants.gov is required prior to application submission. (See "How to Apply," page 10.)

Note: A Webinar for applicants will be held on November 17, 2010 at 2:00 p.m. eastern standard time. See <http://www.ojp.usdoj.gov/nij/sexual-assault-kits.htm> for more details.

All applications are due by 11:59 p.m. eastern time on January 17, 2011. (See "Deadlines: Registration and Application," page 3.)

Contact Information

For technical assistance with submitting the application, contact the Grants.gov Customer Support Hotline at 800-518-4726 or via e-mail to support@grants.gov.

Note: The Grants.gov Support Hotline hours of operation are 24 hours a day, 7 days a week, except Federal holidays.

For assistance with any other requirement of this solicitation, contact Kristina Rose, Deputy Director, at 202-307-0466 or by e-mail to Kristina.Rose@usdoj.gov; or Katharine Browning, Ph.D., Senior Social Science Analyst, at 202-616-4786 or by e-mail at Katharine.Browning@usdoj.gov.

Grants.gov number assigned to announcement: NIJ-2011-2808

SL# 000947

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Strategic Approaches to Sexual Assault Kit (SAK) Evidence: An Action Research Project (CFDA 16.560)

Overview

NIJ is seeking applicants interested in participating in an action research project designed for State and local jurisdictions that are struggling with large quantities of untested sexual assault kits. The purpose of this study is to understand the underlying nature of the problem and identify effective and sustainable solutions.

The action research project will be conducted in two phases. The first phase will be a six-month planning grant in which the teams will come together, conduct an initial assessment of the problem, and develop a working plan for implementing the remainder of the action research steps in the second phase of the project. This solicitation is for the first phase of the project only.

Authorizing Legislation: Omnibus Crime Control and Safe Streets Act of 1968 (sections 201 and 202).

Deadlines: Registration and Application

Registration is required prior to submission. OJP strongly encourages registering with Grants.gov several weeks before the deadline for application submission. The deadline for applying for funding under this announcement is 11:59 p.m. eastern time on January 17, 2011. Please see the "How to Apply" section, page 10, for more details.

Eligibility

Please refer to the title page for eligibility under this program.

Program-Specific Information—Strategic Approaches to Sexual Assault Kit (SAK) Evidence: An Action Research Project

Over the past few years, the discovery of thousands of untested sexual assault kits (SAK) (also known as "rape kits") in law enforcement agencies has been the topic of extensive media coverage, numerous policy discussions, and Congressional hearings. These untested SAKs are often referred to as being part of a "backlog," but in actuality this is not the case. A backlog refers to evidence that has been submitted to a crime laboratory by a law enforcement agency and is awaiting DNA analysis.¹ In this solicitation, we are referring to SAK evidence that has **not yet been submitted to a crime laboratory and may have been recently discovered in the law enforcement agency's property room or storage facility.**

¹Mark Nelson. Making Sense of the DNA Backlog: Myths and Realities, Washington, DC: U.S. Department of Justice, National Institute of Justice, 2010, NCJ 230183.

The purpose of this study is two-fold. First, NIJ is interested in learning about the underlying factors that contribute to this unsubmitted SAK evidence. Second, based on what is learned, promising strategies will be developed and implemented to reduce and eliminate the untested kits in that jurisdiction. Through monitoring and assessment, all strategies will be evaluated for their effectiveness and sustainability. The primary goals of this research project are to:

- Develop transportable lessons and practices regarding SAK evidence using a proven problem-solving research model.
- Improve the criminal justice system response to sexual assault, from the initial point of contact through prosecution.

A recent NIJ study of more than 2,000 law enforcement agencies across the country found that 14 percent of all unsolved homicides and 18 percent of unsolved rapes contained evidence that was not submitted by law enforcement agencies to crime labs for analysis.² The same study showed that investigating officers may not have submitted the evidence to a crime lab for a number of reasons. For example, subsequent investigation may have shown that the evidence would not have probative value; charges against an alleged perpetrator may have been dropped; the suspect may have pled guilty; or, in a rape case, the issue may be "consent" and, therefore, analysis of the evidence may have been considered not to be relevant or of sufficient probative value for the purposes of helping to establish whether or not there was consent. However, the study showed that some law enforcement agencies may not fully understand the potential value of forensic evidence in developing new leads in a criminal investigation. Forty-four percent said that one of the reasons they did not send evidence to the lab was because a suspect had not been identified and 15 percent said that they did not submit evidence because analysis had not been requested by a prosecutor. Specialized training in these cases may have been beneficial and led to a different outcome. The only way to determine if the untested evidence in law enforcement custody needs to be submitted for forensic analysis is to review the case and the evidence itself.³

There has been little research on the nature of untested SAK evidence, and few, if any, promising practices exist to guide jurisdictions as they manage the current situation and develop valid and reliable policies and procedures for the future.

The issue of untested SAK evidence has prompted a number of research questions that include:

- What should be the course of action when a large quantity of untested SAK evidence is discovered in a given jurisdiction? Should resources be devoted to test all evidence—even cases past the statute of limitations?
- Alternatively, should a "triage" process be established to determine what SAK evidence should be sent to the lab and when? If a triage is warranted, upon what rules should it be established?
- How many untested kits contain probative evidence in one or more cases? What procedures need to be put in place to ensure these kits are processed in the future?
- When and how should sexual assault victims be notified during this process?

² Kevin J. Strom, Jeri Roper-Miller, Shelton Jones, Nathan Sikes, Mark Pope and Nicole Horstmann, The 2007 Survey of Law Enforcement Forensic Evidence Processing (pdf, 81 pages), Final Report, Washington, DC: U.S. Department of Justice, National Institute of Justice, September 2009, 228415.

³ Ibid

- What types of follow-up services are effective for victims who have been recently notified of re-opened cases?

Applicants should consider these and other research questions when formulating their proposed action research projects.

Overview of Action Research

Action research refers to an approach where researchers engage in an active partnership with one or more practitioner agencies to solve problems. Action research often includes the following steps:

1. Identifying the problem.
2. Developing the strategies to address the problem.
3. Implementing the strategies.
4. Monitoring the progress of the implementation.
5. Providing feedback to better refine the strategies targeting the problem.
6. Assessing and evaluating the implementation and the impact the strategies have.

The research partner plays a key role in identifying the problem by analyzing data and other information that can pinpoint the issue that will be addressed. The research partner works in partnership with the practitioner agency to develop intervention strategies to target the problem. The practitioner agency implements the strategies and the researchers monitor the progress and provide feedback to better refine the approach. Finally, the researchers conduct an assessment on the implementation and impact of the strategies.

NIJ, as the research and evaluation arm of the U.S. Department of Justice, has been at the forefront of the development and support of this type of criminal justice action research, and has played a pioneering role in the advancement of this strategic problem-solving approach within the criminal justice system. Examples of previous NIJ action research include the Operation Ceasefire Program in Boston (see <http://www.ncjrs.gov/pdffiles1/nij/188741.pdf>) and the Strategic Approaches to Community Safety Initiative (SACSI) (see <http://www.ncjrs.gov/pdffiles1/nij/216298.pdf>). For further reading on action research, please refer to:

- *Action Research for Crime Control and Prevention* by Lois Felson Mock (<http://www.ncjrs.gov/App/publications/Abstract.aspx?id=252402>).
- *Research for Problem Solving and the New Collaborations* by David Kennedy (<http://www.ncjrs.gov/pdffiles1/176979.pdf>).
- *The Memphis Strategic Approaches to Community Safety Initiatives Project: A Case Study* by James R. "Chip" Coldren, Jr. and David R. Forde. (<http://www.ncjrs.gov/pdffiles1/nij/grants/232198.pdf>).

The Sexual Assault Kit Action Research Project

NIJ will award funding to 3-5 sites to be part of this action research project. The formal applicant must be a State or unit of local government, although each site should demonstrate a team

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approach that includes an effective partnership between the practitioner agencies and a research organization or partner. The research partner should have a full understanding of the action research approach. The practitioner team should consist of, but not be limited to, representatives from police departments, the crime laboratory, the prosecutor's office, and a community-based victim services organization.⁴ NIJ will provide guidance and technical assistance on action research to the practitioner team and its research partners as needed.

Note: A Webinar for applicants will be held on November 17, 2010 at 2:00 p.m. eastern standard time. See <http://www.ojp.usdoj.gov/nij/sexual-assault-kits.htm> for more details.

The action research project will be conducted in two phases. The first phase will be a six-month planning grant in which the teams will come together, conduct an initial assessment of the problem, and develop a working plan for implementing the remainder of the action research steps in the second phase of the project.

Phase 1: Planning

This solicitation is for proposals for the first phase of the project. In the first phase of the project, the team will need to conduct an audit of the cases in the set of untested SAKs, as a first step in the action research process.

As part of the application:

- The applicant must submit signed letters of commitment from the agency that has untested sexual assault evidence, the crime laboratory that provides DNA services to the law enforcement agency, the prosecutor's office, a community-based victim services organization, and a research organization. The letters must be included in the application to be considered for funding.
- The application should include a list of key team members from each participating agency (one from each agency) and describe the role of each team member. Each team should designate a "site coordinator" who will serve as the central point of contact for the site team. This individual will be responsible for fostering and coordinating communication among the team members and ensuring that the team is meeting its milestones.
- As part of the application, information regarding the extent of untested evidence that has yet to be submitted to a crime laboratory should be provided in detail. The number of untested kits in the crime laboratory for which an official request for testing has not been made, may be included in this description. There should be a minimum of 500 untested cases combined in this set for the purposes of this solicitation.
- The application should include a discussion of current practices and procedures regarding the submission of physical evidence in sexual assault cases and a discussion of potential outcome variables that might be appropriate for the applicant's jurisdiction.

⁴ A community-based victim services organization is a nonprofit, nongovernmental organization that assists sexual assault victims, including rape crisis centers, faith-based organizations, and other organizations with a documented history of effective work concerning sexual assault.

- The applicant should demonstrate the willingness and ability of the participating agencies that make up the site team to follow up on leads generated from analysis of DNA samples from sexual assault kits.
- Funds for Phase 1 may be used to cover personnel costs (including research partners), travel expenses for meetings and project activities, group meeting expenses, and preliminary DNA screening or analysis (as appropriate for the project).

Within 60 days of award, a 2-day workshop for all the sites will take place in Washington, DC. All key site team personnel will be expected to attend. The workshop will focus on the elements of a successful action research project and key issues around DNA and untested SAK evidence. Funding for this workshop will be provided through NIJ's logistical contractor and does not need to be factored into the applicant's budget.

Phase 2: Implementation

Phase two is contingent on successful progress during phase one and the submission of an implementation plan and research design for the remaining steps of the action research project.

Amount and length of awards: For phase one, NIJ anticipates that up to a total of \$1 million may become available for up to 5 planning grant awards of up to \$200,000 each made through this solicitation. **All awards are subject to the availability of appropriated funds and to any modifications or additional requirements that may be imposed by law.** NIJ funding for an individual research project rarely exceeds \$500,000, though total funding for projects requiring multiple years to complete has exceeded \$1 million in some cases.

NIJ envisions applicants will use funds from year 1 to analyze and define the problem, develop strategies and procedures for possible solutions, and develop a research design to provide assessment of outcomes and impacts of this action research project. Eligible funded applicants will then be allowed to apply for further assistance to implement their action research plans.

Applicants should be aware that the total period for an award ordinarily will not exceed 3 years (one year planning and two years implementation and evaluation). Additional funding, up to \$4 million, subject to appropriations availability, will be made available to continue the study after the planning year has concluded.

Evaluation research: Within applications proposing evaluation research, funding priority will be given to experimental research designs that use random selection and assignment of participants to experimental and control conditions. When randomized designs are not feasible, priority will be given to quasi-experimental designs that include contemporary procedures such as Propensity Score Matching or Regression Discontinuity Design to address selection bias in evaluating outcomes and impacts.

Evaluations that also include measurements of program fidelity and implementation as part of a thorough process assessment are desirable. Measurements of program fidelity should be included as part of an assessment of program processes and operations to ensure that policies, programs, and technologies are implemented as designed. As one aspect of a comprehensive evaluation, assessments of program processes should include objective measurements and qualitative observations of programs as they are actually implemented and of services that are

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delivered. These may include assessment of such aspects as adherence to program content and protocol, quantity and duration, quality of delivery, and participant responsiveness.

Proposed evaluation research designs with multiple units of analysis and multiple measurements will also be given priority. Design aspects that contribute to the validity of results are necessary to effectively address issues of generalizability and representativeness of findings.

Finally, applications that include cost/benefit analysis will be given priority. NIJ views cost/benefit analysis as an effective way to communicate and disseminate findings from evaluation research.

Please note: All applicants under this solicitation must comply with Department of Justice regulations on confidentiality and human subjects' protection. See "Other Requirements for OJP Applications" at http://www.ojp.usdoj.gov/funding/other_requirements.htm.

What will not be funded:

1. Work that will be funded under another specific solicitation.
2. Proposals that do not contain a research component or do not respond to the specific goals of this solicitation.
3. Proposals that only offer to eliminate the sexual assault kit backlog but not to participate in the research portion of the study.

Budget Information

Limitation on Use of Award Funds for Employee Compensation; Waiver: With respect to any award of more than \$250,000 made under this solicitation, Federal funds may not be used to pay total cash compensation (salary plus bonuses) to any employee of the award recipient at a rate that exceeds 110% of the maximum annual salary payable to a member of the Federal Government's Senior Executive Service (SES) at an agency with a Certified SES Performance Appraisal System for that year. (The 2010 salary table for SES employees is available at www.opm.gov/oca/10tables/indexSES.asp.) Note: A recipient may compensate an employee at a higher rate, provided the amount in excess of this compensation limitation is paid with non-Federal funds. (Any such additional compensation will not be considered matching funds where match requirements apply.)

The limitation on compensation rates allowable under an award may be waived on an individual basis at the discretion of the Director of the National Institute of Justice. An applicant that wishes to request a waiver must include a detailed justification in the budget narrative of its application. Unless the applicant submits a waiver request and justification with the application, the applicant should anticipate that OJP will request the applicant to adjust and resubmit its budget.

The justification should include: the particular qualifications and expertise of the individual, the uniqueness of the service being provided, the individual's specific knowledge of the program or project being undertaken with award funds, and a statement explaining that the individual's salary is commensurate with the regular and customary rate for an individual with his/her qualifications and expertise, and for the work that is to be done.

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Match requirement: See “Cofunding” paragraph under “What an Application Should Include” (below).

Performance Measures

To assist in fulfilling the Department's responsibilities under the Government Performance and Results Act (GPRA), Public Law 103-62, applicants that receive funding under this solicitation must provide data that measure the results of their work. Any award recipient will be required, post award, to provide the data requested in the “Data Grantee Provides” column so that OJP can calculate values for the “Performance Measures” column. Performance measures for this solicitation are as follows:

Objective	Performance Measure(s)	Data Grantee Provides
1. To develop a plan for an action research project. 2. To implement an action research project that includes an assessment of outcomes and impact in Phase 2.	1. Develop a plan that effectively addresses a jurisdiction's particular circumstances as assessed by peer reviewers. 2. Establish coordinating teams to implement plans as demonstrated by copies of executed agreements. 3. If applicable, effectively execute an action research project.	1. Interim and final reports concerning the status and outcomes from the action research planning grant, including an implementation plan for the research project, clearly relating the project to the jurisdictions' circumstances. 2. If applicable, interim and final reports concerning the status and outcomes from the action research project.

Submission of performance measures data is not required for the application. Instead, applicants must discuss in their application their proposed methods for collecting data for performance measures. Please refer to the section “What an Application Should Include” (below) for additional information.

Note on project evaluations: Applicants that propose to use funds awarded through this solicitation to conduct project evaluations should be aware that certain project evaluations (such as systematic investigations designed to develop or contribute to generalizable knowledge) may constitute “research.” However, project evaluations that are intended only to generate internal improvements to a program or service, or are conducted only to meet OJP's performance measure data reporting requirements likely do not constitute “research.” Research is subject to applicable DOJ human subjects protections. Applicants should provide sufficient information for OJP to determine whether the particular project they propose would either intentionally or unintentionally collect and/or use information in such a way that it meets the DOJ regulatory definition of research.

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Research, for the purposes of OJP-funded programs, is defined as, "a systematic investigation, including research development, testing, and evaluation, designed to develop or contribute to generalizable knowledge." 28 C.F.R. § 46.102(d). For additional information on determining whether a proposed activity would constitute research, see the decision tree to assist applicants on the "Research and the Protection of Human Subjects" section of the OJP Web site (www.ojp.usdoj.gov/funding/other_requirements.htm).

Notice of New Post-Award Reporting Requirements

Applicants should anticipate that all recipients (other than individuals) of awards of \$25,000 or more under this solicitation, consistent with the Federal Funding Accountability and Transparency Act of 2006 (FFATA), will be required to report award information on any first-tier subawards totaling \$25,000 or more, and, in certain cases, to report information on the names and total compensation of the five most highly compensated executives of the recipient and first-tier subrecipients. Each applicant entity must ensure that it has the necessary processes and systems in place to comply with the reporting requirements should it receive funding.

It is expected that reports regarding subawards will be made through the FFATA Subaward Reporting System (FSRS), found at <https://www.fsrs.gov>. Additional guidance on reporting will be provided in the near future by OJP and/or the Office of Management and Budget (OMB).

Please note also that applicants should anticipate that no subaward of an award made under this solicitation may be made to a subrecipient (other than an individual) unless the potential subrecipient acquires and provides a Data Universal Numbering System (DUNS) number.

How to Apply

Applications will be submitted through Grants.gov. Grants.gov is a "one-stop storefront" that provides a unified process for all customers of Federal awards to find funding opportunities and apply for funding. Complete instructions on how to register and submit an application can be found at www.Grants.gov. If the applicant experiences technical difficulties at any point during this process, please call the Grants.gov Customer Support Hotline at 800-518-4726, 24 hours a day, 7 days a week, except Federal holidays. Registering with Grants.gov is a one-time process; however, **processing delays may occur, and it can take up to several weeks** for first-time registrants to receive confirmation and a user password. OJP highly recommends that applicants start the registration process as early as possible to prevent delays in submitting an application package by the specified application deadline.

All applicants are required to complete the following steps:

1. **Acquire a DUNS number.** A DUNS number is required for Grants.gov registration. In general, the Office of Management and Budget requires that all applicants (other than individuals) for Federal funds include a DUNS (Data Universal Numbering System) number in their applications for a new award or renewal of an existing award. 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 addresses and point of contact information for Federal assistance applicants, recipients, and subrecipients. The DUNS number will be used throughout the grant life cycle. Obtaining a DUNS number is a free, one-time activity.

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Obtain a DUNS number by calling Dun and Bradstreet at 866-705-5711 or by applying online at www.dnb.com. Individuals are exempt from this requirement.

2. **Acquire or renew registration with the Central Contractor Registration (CCR) database.** OJP requires that all applicants (other than individuals) for Federal financial assistance maintain current registrations in the Central Contractor Registration (CCR) database. An applicant must be registered in the CCR to successfully register in Grants.gov. The CCR database is the repository for standard information about Federal financial assistance applicants, recipients, and subrecipients. Organizations that have previously submitted applications via Grants.gov are already registered with CCR, as it is a requirement for Grants.gov registration. Please note, however, that applicants must **update or renew their CCR registration annually** to maintain an active status. Information about CCR registration procedures can be accessed at www.ccr.gov.
3. **Acquire an Authorized Organization Representative (AOR) and a Grants.gov username and password.** Complete the AOR profile on Grants.gov and create a username and password. The applicant organization's DUNS Number must be used to complete this step. For more information about the registration process, go to www.grants.gov/applicants/get_registered.jsp.
4. **Acquire confirmation for the AOR from the E-Business Point of Contact (E-Biz POC).** The E-Biz POC at the applicant organization must log into Grants.gov to confirm the applicant organization's AOR. Please note that there can be more than one AOR for the organization.
5. **Search for the funding opportunity on Grants.gov.** Please use the following identifying information when searching for the funding opportunity on Grants.gov. The Catalog of Federal Domestic Assistance (CFDA) number for this solicitation is 16.560, titled "National Institute of Justice Research, Evaluation, and Development Project Grants," and the funding opportunity number is NIJ-2011-2808.
6. **Submit an application consistent with this solicitation by following the directions in Grants.gov.** Within 24-48 hours after submitting the electronic application, the applicant should receive an e-mail validation message from Grants.gov. The validation message will state whether the application has been received and validated, or rejected, with an explanation. **Important:** Applicants are urged to submit applications **at least 72 hours prior** to the due date of the application to allow time to receive the validation message and to correct any problems that may have caused a rejection notification.

Note: Grants.gov will forward the application to OJP's Grants Management System (GMS). GMS does not accept executable file types as application attachments. These disallowed file types include, but are not limited to, the following extensions: ".com," ".bat," ".exe," ".vbs," ".cfg," ".dat," ".db," ".dbf," ".dll," ".ini," ".log," ".ora," ".sys," and ".zip."

Experiencing Unforeseen Grants.gov Technical Issues

If an applicant experiences unforeseen Grants.gov technical issues beyond the applicant's control that prevent submission of its application by the deadline, the applicant must contact NIJ staff **within 24 hours after the deadline** and request approval to submit its application. At that time, NIJ staff will instruct the applicant to submit specific information detailing the technical

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difficulties. The applicant must e-mail: a description of the technical difficulties, a timeline of submission efforts, the complete grant application, the applicant DUNS number, and Grants.gov Help Desk tracking number(s) received. After the program office reviews all of the information submitted, and contacts the Grants.gov Help Desk to validate the technical issues reported, OJP will contact the applicant to either approve or deny the request to submit a late application. If the technical issues reported cannot be validated, the application will be rejected as untimely.

To ensure a fair competition for limited discretionary funds, the following conditions are not valid reasons to permit late submissions: (1) failure to begin the registration process in sufficient time, (2) failure to follow Grants.gov instructions on how to register and apply as posted on its Web site, (3) failure to follow all of the instructions in the OJP solicitation, and (4) technical issues experienced with the applicant's computer or information technology (IT) environment.

Notifications regarding known technical problems with Grants.gov, if any, are posted at the top of the OJP funding Web page, www.ojp.usdoj.gov/funding/solicitations.htm.

What an Application Should Include

This section describes what an application should include and sets out a number of elements. Applicants should anticipate that failure to submit an application that contains all of the specified elements may negatively affect the review of the application; and, should a decision be made to make an award, it may result in the inclusion of special conditions that preclude access to or use of award funds pending satisfaction of the conditions.

Moreover, applicants should anticipate that some application elements are so critical that applications unresponsive to the scope of the solicitation, or that do not include a program narrative, budget detail worksheet including a budget narrative, tribal resolution (if applicable), resumes/curriculum vitae of key personnel, and all required sign letters of commitment (see page 13) will neither proceed to peer review nor receive further consideration.

OJP strongly recommends use of appropriately descriptive file names (e.g., "Program Narrative," "Budget Detail Worksheet and Budget Narrative," "Timelines," "Memoranda of Understanding," "Resumes") for all attachments. OJP recommends that resumes be included in a single file.

1. Information to Complete the Application for Federal Assistance (SF-424)

The SF-424 is a standard form required for use as a cover sheet for submission of pre-applications, applications, and related information. Grants.gov and GMS take information from the applicant's profile to populate the fields on this form. When selecting "type of applicant," if the applicant is a for-profit entity, please select "For-Profit Organization" or "Small Business" (as applicable).

2. Program Narrative

The program narrative section of the application must not exceed 25 double-spaced pages in 12-point font with 1-inch margins. Abstract, table of contents, charts, figures, appendices, and government forms do not count toward the 25-page limit for the narrative section.

If the program narrative fails to comply with these length-related restrictions, noncompliance may be considered in peer review and in final award decisions.

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Program Narrative Guidelines:

- a. **Title Page** (not counted against the 25-page program narrative limit).
The title page should include the title of the project, submission date, funding opportunity number, and the applicant's name and complete contact information (i.e., name, address, telephone number, and e-mail address).
- b. **Project Abstract** (not counted against the 25-page program narrative limit)
The 400 to 600-word abstract should provide a brief summary of the proposal, including the make-up of the project team and the basic approach being used to accomplish the project.
- c. **Table of Contents and Figures** (not counted against the 25-page program narrative limit).
- d. **Main body.** The main body of the program narrative should describe the project in depth. The following sections should be included as part of the program narrative:
 - Statement of the Problem.
 - Project/Program Design and Implementation.
 - Capabilities/Competencies.
 - Impact/Outcomes and Evaluation.

Note: Within the above sections, the narrative should address:

 - Purpose, goals, and objectives.
 - Detailed description of the jurisdiction's current problem and the approach that will be used to accomplish the project objectives. See "Phase 1: Planning" discussion on page 6 for additional details regarding what the narrative should include.
 - Implications for criminal justice policy and practice in the United States.
 - Management plan and organization.
- e. **Appendices** (not counted against the 25-page program narrative limit) include:
 - Bibliography/references.
 - Any tools/instruments, questionnaires, tables/charts/graphs, or maps pertaining to the proposed study.
 - Curriculum vitae, resumes or biographical sketches of all key personnel.
 - Project timeline and research calendar with expected milestones.
 - Research independence and integrity (see "Selection Criteria," below).
 - Human Subjects Protection Paperwork including Institutional Review Board (IRB) documentation and forms (see <http://www.ojp.gov/nij/funding/humansubjects/human-subjects.htm>).
 - Privacy Certificate (for further guidance go to <http://www.ojp.gov/nij/funding/humansubjects/privacy-certificate-guidance.htm>).
 - List of previous and current NIJ awards to applicant organization and investigator(s).

NIJ-2011-2808

- Signed letters of commitment from participating agencies, as described in the “Phase 1: Planning” section, on page 6 (above).
- List of other agencies, organizations, or funding sources to which you have submitted this proposal (if applicable).
- Other materials specified by the solicitation.

3. Budget Detail Worksheet and Budget Narrative

a. Budget Detail Worksheet

A sample Budget Detail Worksheet can be found at www.ojp.gov/funding/forms/budget_detail.pdf. If the budget is submitted in a different format, the budget categories listed in the sample budget work sheet must be included.

For questions pertaining to budget and examples of allowable and unallowable costs, please see the OJP Financial Guide at www.ojp.usdoj.gov/financialguide/index.htm.

b. Budget Narrative

The Budget Narrative should thoroughly and clearly describe every category of expense listed in the Budget Detail Worksheet. The narrative should be mathematically sound and correspond with the information and figures provided in the Budget Detail Worksheet. The narrative should explain how all costs were estimated and calculated and how they are relevant to the completion of the proposed project. The narrative may include tables for clarification purposes but need not be in a spreadsheet format. As with the Budget Detail Worksheet, the Budget Narrative must be broken down by year.

Cofunding: A grant made by NIJ under this solicitation may account for up to 100 percent of the total cost of the project. The applicant should indicate whether it is feasible for the applicant to contribute cash, facilities, or services as non-Federal support for the project. The application should identify generally any such contributions that the applicant expects to make, and the proposed budget should indicate in detail which items, if any, will be supported with non-Federal contributions.

4. Indirect Cost Rate Agreement (if applicable)

Indirect costs are allowed only if the applicant has a federally approved indirect cost rate. (This requirement does not apply to units of local government.) A copy of the rate approval must be attached. If the applicant does not have an approved rate, one can be requested by contacting the applicant's cognizant Federal agency, which will review all documentation and approve a rate for the applicant organization or, if the applicant's accounting system permits, costs may be allocated in the direct cost categories. If DOJ is the cognizant Federal agency, obtain information needed to submit an indirect cost rate proposal at www.ojp.usdoj.gov/financialguide/part3/part3chap17.htm.

5. Tribal Authorizing Resolution (if applicable)

If an application is being submitted by either (1) a tribe or tribal organization or (2) a third party proposing to provide direct services or assistance to residents on tribal lands, then a current authorizing resolution of the governing body of the tribal entity or other enactment of the tribal council or comparable governing body authorizing the inclusion of the tribe or tribal organization and its membership must be included with the application. In those instances when an organization or consortium of tribes proposes to apply for a

NIJ-2011-2808

grant on behalf of a tribe or multiple specific tribes, then the application must include a resolution from all tribes that will be included as a part of the services/assistance provided under the grant. A consortium of tribes for which existing consortium bylaws allow action without support from all tribes in the consortium (i.e., without authorizing resolution or other enactment of each tribal governing body) may submit a copy of its consortium bylaws with the application in order to satisfy this requirement.

6. Other Standard Forms

Additional forms that may be required in connection with an award are available on OJP's funding page at www.ojp.usdoj.gov/funding/forms.htm. For successful applicants, receipt of funds may be contingent upon submission of all necessary forms. Please note in particular the following forms.

- a. Certifications Regarding Lobbying; Debarment, Suspension and Other Responsibility Matters; and Drug-Free Workplace Requirements (required to be submitted in GMS prior to the receipt of any award funds)
- b. Disclosure of Lobbying Activities (required for any applicant that expends any funds for lobbying activities; this form must be downloaded, completed, and then uploaded)
- c. Accounting System and Financial Capability Questionnaire (required for any applicant other than an individual that is a non-governmental entity and that has not received any award from OJP within the past 3 years; this form must be downloaded, completed, and then uploaded)
- d. Standard Assurances (required to be submitted in GMS prior to the receipt of any award funds)

Selection Criteria

Statement of the Problem (Understanding of the problem and its importance)—5%

Project/Program Design and Implementation (Quality and technical merit)—20%

1. Soundness of the approach to accomplish the proposed work.
2. Feasibility of proposed project and awareness of pitfalls.
3. Innovation and creativity (when appropriate).

Capabilities/Competencies (Capabilities, demonstrated productivity, and experience of applicants)—45%

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).

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Budget—10%

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.

Impact/Outcomes and Evaluation (Relevance to policy and practice)—20%

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 in the United States and improving public safety, security, and quality of life.
4. Affordability and cost-effectiveness of proposed products, when applicable (e.g., purchase price and maintenance costs for a new technology or cost of training to use the technology).

Research Independence and Integrity

Regardless of a proposal's rating under the criteria outlined above, in order to receive funds, the applicant's proposal must demonstrate research independence, including appropriate safeguards to ensure research objectivity and integrity.

For purposes of this solicitation, research independence and integrity pertains only to ensuring that the design, conduct, or reporting of research funded by NIJ grants, cooperative agreements, or contracts will not be biased by any financial interest on the part of the investigators responsible for the research or on the part of the applicant.

In the appendix dealing with research independence and integrity, the applicant must explain the process and procedures that the applicant has put in place to identify and manage potential financial conflicts of interest on the part of its staff, consultants, and/or subrecipients. It must also identify any potential or organizational financial conflicts of interest on the part of the applicant with regard to the proposed research. If the applicant believes that there are no potential organizational financial conflicts of interest, the applicant must provide a brief narrative explanation of why it believes that to be the case.

Where potential organizational financial conflicts of interest exist, in the appendix the applicant must identify the safeguards the applicant has put in place to address those conflicts of interest.

Considerations in evaluating research independence and integrity will include, but may not be limited to, the adequacy of the applicant's efforts to identify factors that could affect the objectivity/integrity of the proposed staff and/or the organization in carrying out the research, development, or evaluation activity; and the adequacy of the applicant's existing or proposed remedies to control any such factors.

Review Process

OJP is committed to ensuring a fair and open process for awarding grants. NIJ reviews the application to make sure that the information presented is reasonable, understandable, measurable, and achievable, as well as consistent with the solicitation.

Peer reviewers will review the applications submitted under this solicitation that meet basic minimum requirements. NIJ may use either internal peer reviewers, external peer reviewers, or

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a combination to review the applications under this solicitation. An external peer reviewer is an expert in the field of the subject matter of a given solicitation who is NOT a current U.S. Department of Justice employee. An internal reviewer is a current U.S. Department of Justice employee who is well-versed or has expertise in the subject matter of this solicitation. Eligible applications will be evaluated, scored, and rated by a peer review panel. Peer reviewers' ratings and any resulting recommendations are advisory only. In addition to peer review ratings, considerations for award recommendations and decisions may include, but are not limited to, underserved populations, geographic diversity, strategic priorities, past performance, and available funding.

The Office of the Chief Financial Officer (OCFO), in consultation with NIJ conducts a financial review of applications for potential discretionary awards to evaluate the fiscal integrity and financial capability of applicants; examines proposed costs to determine if the budget detail worksheet and budget narrative accurately explain project costs; and determines whether costs are reasonable, necessary, and allowable under applicable Federal cost principles and agency regulations.

All final award decisions will be made by the Director of the National Institute of Justice who also may give consideration to factors including, but not limited to, underserved populations, geographic diversity, strategic priorities, past performance, and available funding when making awards.

Additional Requirements

Applicants selected for awards must agree to comply with additional legal requirements upon acceptance of an award. OJP strongly encourages applicants to review the information pertaining to these additional requirements prior to submitting an application. Additional information for each requirement can be found at www.ojp.usdoj.gov/funding/other_requirements.htm.

- Civil Rights Compliance
- Faith-Based and Other Community Organizations
- Confidentiality
- Research and the Protection of Human Subjects
- Anti-Lobbying Act
- Financial and Government Audit Requirements
- National Environmental Policy Act (NEPA)
- DOJ Information Technology Standards (if applicable)
- Single Point of Contact Review
- Non-Supplanting of State or Local Funds

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- Criminal Penalty for False Statements
- Compliance with Office of Justice Programs Financial Guide
- Suspension or Termination of Funding
- Nonprofit Organizations
- For-profit Organizations
- Government Performance and Results Act (GPRA)
- Rights in Intellectual Property
- Federal Funding Accountability and Transparency Act (FFATA) of 2006
- Awards in Excess of \$5,000,000 – Federal Taxes Certification Requirement
- Active CCR Registration

If the proposal is funded, the award recipient will be required to submit several reports and other materials, including:

Final substantive 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, placed in the context of existing literature; a thorough discussion of the implications of the project findings for criminal justice practice and policy in the United States; etc. It must contain an abstract of no more than 600 words and an executive summary of 2,500 to 4,000 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 principal investigator 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 electronic format.

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 Office of Management and Budget Circular A-133. Future awards and fund drawdowns may be withheld if reports are delinquent.

Application Checklist

Strategic Approaches to Sexual Assault Kit (SAK) Evidence: An Action Research Project

This application checklist has been created to assist in developing an application.

Eligibility Requirement:

_____ Tribal authorizing resolution (if applicable)

What an Application Should Include:

- _____ Application for Federal Assistance (SF-424) (see page 12)
- _____ Program Narrative (see page 12)
- _____ Appendices to the Program Narrative: (see page 13)
 - _____ Bibliography/references
 - _____ Any tools/instruments, questionnaires, tables/charts/graphs, or maps pertaining to the proposed study
 - _____ Curriculum vitae, resumes or biographical sketches of all key personnel
 - _____ Project timeline and research calendar with expected milestones
 - _____ Research independence and integrity
 - _____ Human Subjects Protection Paperwork
 - _____ Privacy Certificate
 - _____ List of previous and current NIJ awards to applicant organization and investigators
 - _____ Signed letters of commitment from participating agencies
 - _____ List of other agencies, organizations, or funding sources to which you have submitted this proposal (if applicable)
 - _____ Data Archiving Strategy
- _____ Budget Detail Worksheet (see page 14)
- _____ Budget Narrative (see page 14)
- _____ Indirect Cost Rate Agreement (if applicable) (see page 14)
- _____ Tribal Authorizing Resolution (if applicable) (see page 14)
- _____ Program Narrative/Abstract Format: (see page 12)
 - _____ Double-spaced
 - _____ 12-point standard font
 - _____ 1" standard margins
 - _____ Narrative is 25 pages or less
- _____ Other Standard Forms as applicable (see page 15), including:
 - _____ Disclosure of Lobbying Activities (if applicable)
 - _____ Accounting System and Financial Capability Questionnaire (if applicable)

NIJ-2011-2808

DVIS

Call RAPE

Domestic Violence Intervention Services, Inc.

Board of Directors

President:
Lee Eslicker
President-Elect:
Dan Schmidt
Vice President:
Paula Huck
Secretary:
Virginia Cohlman
Treasurer:
Lynn Fosperman
Executive Director:
Tracey Redmon Lyall
Members:

Diane Allen
Leta Bell
Glenda Cantrell
Lisa Coffee-Smith
Brian Conway
Jeffrey Dixon
Mary Frances Edmonds
Kathie Hannagan
Rosemary Harris
Don Henderson
Stephanie Jackson
Virginia Jackson
Renée Jacobs
Laura Nelson
Liz Ross
Kari Taylor
Susan Thomas
Georgina Van Tuyl
Andrew Warren

Advisory Board Members

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Bryan B. Close
Phyllis Dotson
Linda Kantor
Marilyn Keller
Bill Knight
Bettye and James Knight
Paula Marshall
John Strong, Jr.
Barbara Thornton
Steve Turnbo
Vicki Vaniman
Donna Witt

December 21, 2010

Sergeant Gary Stansill
c/o Tulsa Police Department
600 Civic Center
Tulsa, OK 74103

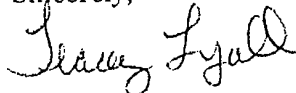
Dear Sergeant Stansill,

Domestic Violence Intervention Services, Inc. (DVIS/ Call Rape) is committed to supporting the City of Tulsa and the Tulsa Police Department in their application for the "Strategic Approaches to Sexual Assault Kit (SAK) Evidence: An Action Research Project".

We provide victims of sexual assault with comprehensive services including counseling, hospital advocacy and legal services. Our mission is "Rebuilding lives affected by domestic violence and sexual assault through advocacy, shelter, counseling, and education". Our vision is to promote a safer community by fostering social change, ending domestic and sexual violence, healing survivors, and saving lives.

We are fully committed to participating in this project and if funded will provide counseling as needed to victims whose cases have been reopened, as well as assist the Tulsa Police Department in notifying victims that their case has been reopened. We look forward to working with the city, the district attorney's office, OSU Tulsa, the Sexual Assault Nurse Examiner Program, and the Tulsa Police Department to address the backlog of sexual assault kits.

Sincerely,

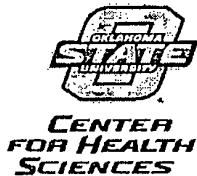


Tracey Lyall, MSW, LSW
Executive Director

rebuilding lives affected by domestic violence and sexual assault

Domestic Violence Intervention Services Inc. • 4300 S. Harvard Ave., Suite 100 • Tulsa, OK 74135-2608
918.585.3163 • FAX 918.584.1835 • 24-Hour Crisis Line 918.7HELPME (918.743.5763) • www.dvis.org





Graduate Programs

Department of Forensic Sciences
1111 West 17th Street
Tulsa, Oklahoma 74107-1898
(918) 561-1108
Fax (918) 561-5729

December 27, 2010

Chuck Jordan, Chief
Tulsa Police Department
600 Civic Center
Tulsa, Oklahoma 74103

Dear Chief Jordan:

This letter will formalize the commitment of the Graduate Program in Forensic Science at the Center for Health Sciences, Oklahoma State University to participate with the Tulsa Police Department and the District Attorney's Office in the grant written in response to the solicitation entitled "Strategic Approaches to Sexual Assault Kit (SAK) Evidence: An Action Research Project" from the Office of Justice Programs, National Institutes of Justice.

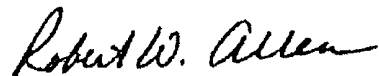
In my opinion, our program can offer manpower and expertise that will contribute to the success of this project if funding is awarded by the National Institutes of Justice. Our graduate program consists of 30-40 graduate students, 10-15 of which are resident on the Center for Health Sciences (CHS) campus at any given time. These students are training to receive Master's degrees in forensic biology, forensic chemistry, and forensic pathology and can provide the manpower to review the case files associated with the unsubmitted SAK as well as contribute to recognizing trends or other features common to these cases that may be responsible for the failure to process them further in the forensic laboratory. Our students all receive training in research design and methods as well as integrity in research as part of their coursework requirements. In addition, students in our program are eligible for internships in the Tulsa Police Laboratory and therefore are familiar with the workings of the lab and the individuals employed there. In addition to manpower, students receive statistical training that will be needed for analysis of their own thesis research. Beyond what they receive in coursework and from mentoring faculty in the Department of Forensic Sciences, there is extensive statistical expertise available on the CHS campus from the Department of Behavioral Sciences, the Office of Research (which administers medical drug/procedure trials), and the Department of Educational Development (which assesses teaching methods). These resources will also be available for this project if needed.

Chuck Jordan, Chief

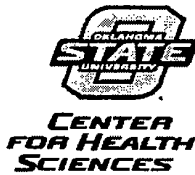
Page 2

In summary, the Department of Forensic Sciences is excited at the prospect of participating in this important research. The most rewarding research is that which benefits the greatest number of people in a timely fashion. This project therefore certainly qualifies as rewarding research and we look forward to working with Tulsa law enforcement in this important area.

Sincerely,

A handwritten signature in black ink that reads "Robert W. Allen". The signature is written in a cursive style with a large, stylized "R" and "A".

Robert W. Allen, PhD
Chairman, Department of
Forensic Sciences



Graduate Programs

Department of Forensic Sciences
1111 West 17th Street
Tulsa, Oklahoma 74107-1808
(918) 561-1108
Fax (918) 561-5729

January 5, 2011

Chuck Jordan, Chief
Tulsa Police Department
600 Civic Center
Tulsa, Oklahoma 74103

Dear Chief Jordan:

This letter will formalize the commitment of the Graduate Program in Forensic Science at the Center for Health Sciences, Oklahoma State University to participate with the Tulsa Police Department and the District Attorney's Office in the grant written in response to the solicitation entitled "Strategic Approaches to Sexual Assault Kit (SAK) Evidence: An Action Research Project" from the Office of Justice Programs, National Institutes of Justice.

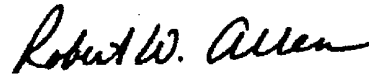
In my opinion, our program can offer manpower and expertise that will contribute to the success of this project if funding is awarded by the National Institutes of Justice. Our graduate program consists of 30-40 graduate students, 10-15 of which are resident on the Center for Health Sciences (CHS) campus at any given time. These students are training to receive Master's degrees in forensic biology, forensic chemistry, and forensic pathology and can provide the manpower to review the case files associated with the unsubmitted SAK as well as contribute to recognizing trends or other features common to these cases that may be responsible for the failure to process them further in the forensic laboratory. Our students all receive training in research design and methods as well as integrity in research as part of their coursework requirements. In addition, students in our program are eligible for internships in the Tulsa Police Laboratory and therefore are familiar with the workings of the lab and the individuals employed there. In addition to manpower, students receive statistical training that will be needed for analysis of their own thesis research. Beyond what they receive in coursework and from mentoring faculty in the Department of Forensic Sciences, there is extensive statistical expertise available on the CHS campus from the Department of Behavioral Sciences, the Office of Research (which administers medical drug/procedure trials), and the Department of Educational Development (which assesses teaching methods). These resources will also be available for this project if needed.

Chuck Jordan, Chief

Page 2

In summary, the Department of Forensic Sciences is excited at the prospect of participating in this important research. The most rewarding research is that which benefits the greatest number of people in a timely fashion. This project therefore certainly qualifies as rewarding research and we look forward to working with Tulsa law enforcement in this important area.

Sincerely,

A handwritten signature in black ink that reads "Robert W. Allen". The signature is written in a cursive, flowing style.

Robert W. Allen, PhD
Chairman, Department of
Forensic Sciences



TIM HARRIS
TULSA COUNTY DISTRICT ATTORNEY

TULSA COUNTY COURTHOUSE
500 S. DENVER AVE., SUITE 900
TULSA, OKLAHOMA 74103-3832
(918) 596-4805
FAX: (918) 596-4830

December 28, 2010

Tulsa Police Department
SAK Research Project

To Whom It May Concern:

This correspondence is to serve as a Letter of Commitment to the Tulsa Police Department's SAK Research Project.

The Tulsa County District Attorney's Office has a history of vigorous prosecution of sexually based offenses and compassionate service to the victims of these heinous crimes. During prosecution, each victim is assigned an advocate by the District Attorney's to aid and support them through this difficult process.

The Tulsa County District Attorney's Office has a close, positive relationship with the Tulsa Police Department and it's investigators in particular.

Our agency recognizes the value of researching and testing the untested Sexual Assault Kits in the possession of the Tulsa Police Department. We look forward to utilizing the results in the prosecution of any sex offenders identified as a result when charges are possible and appropriate.

The Tulsa County District Attorney's Office enthusiastically supports the project and commits to being an active team member should this NIJ grant be awarded.

Sincerely,

Tim Harris
Tulsa County District Attorney



OFFICE OF THE CHIEF OF POLICE
TULSA POLICE DEPARTMENT

December 21, 2010

National Institute of Justice
810 Seventh Street, NW
Washington, DC 20531

The Tulsa Police Department is applying for the grant (NIJ-2-11-2808) funding
"Strategic Approaches to Sexual Assault Kit Evidence: An Action Research Project".

The Tulsa Police Department has obtained commitments from a research partner (Oklahoma State University Health Sciences), the Tulsa County District Attorney's Office, and a non-profit victim advocacy agency (Domestic Violence Intervention Services of Tulsa). The Tulsa Police Department has an "in-house" forensics lab, and a nationally recognized SANE (Sexual Assault Nurse Examiners) program. Tulsa is an ideal location for this research. All of the agencies mentioned above, and required for the grant, are already part of a team set up in Tulsa for victim services. Tulsa PD, DVIS, SANE have protocols in place and work together on each sexual assault case. The Tulsa PD Forensics Lab, the Tulsa PD property room (where the untested kits are stored) and OSU Health Sciences are housed in the same building and have already worked on projects together. OSU is also equipped with a forensics lab, which would make the logistics of any outsourcing necessary quite efficient.

The Tulsa Police Department, which includes an independent Sex Crimes Unit and Child Crisis Unit in addition to the lab and property room, is very enthused about the research and all of the questions that can be answered as a result. We look forward to improving our services to victims of sexual assault. If awarded this most worthwhile grant, the Tulsa Police Department will vigorously fulfill all of the prerequisites and values of the research.

Thank you,

Chuck Jordan
Chief of Police
Tulsa Police Department

Tulsa Police Department Strategic Approach to Nonsubmitted Sexual Assault Kit (SAK) Evidence

Submitted: January 15, 2011

Funding Opportunity Number: NIJ-2011-2808

Tulsa Police Department

Grants Coordinator

Cpl. Arthur Surratt

600 Civic Center

Tulsa, Ok. 74103

918-596-1302

ASURRATT@CITYOFTULSA.ORG

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PROJECT ABSTRACT

Today, more than 3,400 Sexual Assault Kits (SAK) sit in the Tulsa Police Department (TPD) Property Room, untested and not analyzed for DNA evidence. Cases date as far back as 1989. The reasons for the large number of unsubmitted SAK vary from case to case but primarily are due to an investigator's belief the test was not needed, based on case facts (e.g. victim did not want to prosecute or would not assist in the investigation). In addition investigators are aware of laboratories limitations in terms of expense and manpower in processing evidence and therefore must scrutinize what they submit. Historically the total volume of SAK exceeds laboratories capacity to process in a timely manner. The recent media attention and reported studies has raised legitimate questions as to whether or not evidence contained in unsubmitted SAK would be of value for the case from which it was derived or other reported crimes. This proposed project will allow the TPD and its partners to reassess these cases, test evidence and pursue justice when able, and, through identifying barriers to SAK testing and subsequent prosecution in these cases, develop strategies for policy changes in the future.

The Tulsa Police Department will facilitate a project team, composed of professionals from Oklahoma State University Tulsa Center for Health Science (research partner), the Tulsa County District Attorney's Office (prosecutor's office), Tulsa Domestic Violence Intervention Services, Inc. (a community-based victim services nonprofit organization), Tulsa's Sexual Assault Nurse Examiner (SANE) program and the Tulsa Police Forensic Laboratory. The team will develop a two-phase action research project to identify and assess untested Sexual Assault Kits (SAK) currently held in the Tulsa Police Property Room.

In phase one of the project, an audit will be performed by the Tulsa Police Department to establish the number of SAK currently held in their property room that have never been submitted to a laboratory for testing. Once identified, the corresponding police report would be obtained for reviewing case details. The team will develop a scoring and screening process for determining which cases should be tested under phase two. In phase one the project team will create a plan of action for processing the selected SAK and the subsequent results (i.e. re-opening cases, delivering victim services). The developed action plan for phase two will be a comprehensive plan designed to not only process an anticipated large number of SAK but derive other measurable factors that may include:

- The reasons behind the SAK not being submitted;
- The number of cases re-opened or cases discovered from CODIS hits;
- Victim impact on re-opened cases;
- Quality of evidence over time;

PROGRAM NARRATIVE

STATEMENT OF THE PROBLEM

The recent national media attention given to untested Sexual Assault Kits (SAK) has raised several key questions:

- Why do so many SAK go unsubmitted for testing?
- What should be done with them?
- What would result if they were submitted for testing?

The primary purpose for this grant application is to answer the above questions.

This issue has prompted law enforcement agencies across the country to re-examine their policies and procedures in regard to the large number of unsubmitted SAK they possess. Historically law enforcement receives more SAK than can be processed by laboratories in a timely manner. With some 3,400 unsubmitted SAK in its possession, the Tulsa Police Department (TPD) is no exception to this problem.

The TPD, like most law enforcement agencies with large numbers of unsubmitted SAKs, is restricted by manpower, cost and lab capabilities to resolve the problem. Therefore, the TPD and its committed partner agencies eagerly pursue this NIJ opportunity to participate in an action research project dealing with the issue of unsubmitted SAK. The team's objective will be to develop model strategies and procedures with the goal that it could be translated nationally to reduce and eliminate the backlog of unsubmitted SAK.

Goals for Phase One

The primary goals for phase one of this action research project are:

- Determine the number of unsubmitted SAK currently retained by the TPD.
- Create a process whereas to determine which of the unsubmitted SAK will be tested;
- Create a research design for testing the SAK and measurable outcomes;
- Develop a plan of action for phase two that will address laboratory testing, criminal investigation, prosecution, and victim services;
- Determine what other measures can be obtained from data obtained during the project (e.g. the degree degradation of evidence over time).

The primary goals for phase two will be:

- Determine the key reasons why SAK were not submitted for testing;
- Identify law enforcement practices that created a barrier to investigating and responding to victims of sexual assaults that resulted in the SAK's not being tested. (i.e., victim's treatment by law enforcement, leading to mistrust and subsequent lack of cooperation);
- Evaluating the outcome in testing SAK that results in cases being re-opened.
- Develop a protocol for law enforcement agencies to utilize for their unsubmitted SAK.
- Develop an efficient and cost-effective process whereby laboratories could test larger numbers of SAK.

TPD Current Practice in Regards to SAK

Cases with completed SAK are assigned to one of two TPD investigative units:

- The Sex Crime Unit, which is responsible for investigating sexual assaults of all victims whose current age is 14 or older;
- The Child Crisis Unit (which collaborates with the Child Abuse Network as multi-disciplinary team member) investigates all sexual assaults of victims whose current age is 13 or younger.

All cases that require a Sexual Assault Nurse Examiner (SANE) exam with a resulting SAK will be assigned to an investigator within the appropriate unit. All SAK generated by the TPD are turned into the TPD Property Room under a numbered property receipt that corresponds to the generated case file number.

The assigned investigator will make a determination, based on case facts, as to whether or not to submit the SAK to the TPD Forensic Lab for analysis. The investigator completes a lab request form and submits it to the TPD Forensic Lab for when they believe testing is warranted. SAK that are not submitted for lab testing are retained in the TPD Property Room.

Until recently, few SAK were ever destroyed. Over the past several years the TPD Property Room has submitted requests to the Sex Crime Unit supervisor for a disposition of old SAK, typically dating from the 1980s or 1990s. The supervisor, when time permits, will research the case and decide whether to retain the SAK or have it destroyed. Although many SAK have been destroyed in the past few years, far more remain in the Property Room, untested and unexamined.

TPD Standards for Closing Cases and Retaining SAK

The TPD, as with most law enforcement agencies, utilizes the FBI Uniform Crime Reporting standards for closing cases. The categories include Arrest, Exceptionally Cleared, Unfounded, and administratively closed. TPD use the term “inactivated” that UCR defines under administratively closed cases. This category is typically used when the case cannot be classified as Arrest, Unfounded, or Exceptionally closed (e.g. the victim fails to cooperate in the follow-up investigation or suspect cannot be identified).

About two years ago a procedure was developed for TPD detectives to follow when a case is closed as being UNFOUNDED or EXCEPTIONALLY cleared (due to D.A. declining charges). In these circumstances the investigator is prompted as to whether or not to keep evidence (including SAK) within the property room. If the evidence is not retained, a form is generated to dispose of the evidence or return to owner (the SAK would be destroyed). Even in those circumstances the majority of the SAKs are retained, whether they are submitted for lab testing or not.

Approximately 45-50 percent of rape cases are closed as INACTIVE. A majority of the inactive rape cases occur when the victim fails to cooperate in the investigation by:

- Requesting the investigation cease;
- Does not wish to prosecute;
- Cannot be reached or fails to respond to investigators’ attempts at contacting them for follow-up investigations.

The SAK are usually retained when cases are inactivated, as well as with most of the other closure classifications.

Investigators are aware of the expense and backlog of cases the lab has to handle. Therefore, they will not arbitrarily submit evidence for testing unless they believe it is

needed in the investigation. Investigators must scrutinize the need for testing evidence so as to not create a larger backlog for the lab and thereby having to wait for longer periods of time for test results. As a result, a large number of SAK are retained and a majority was not submitted to the TPD Lab (or any other lab) for testing. This has led to a large number of untested SAK still being retained in the TPD Property Room with some dating back to 1989.

Tulsa SANE director, Kathy Bell, reports that from July 1991 (when the Tulsa SANE program began) through November 2010, some 6,402 SANE exams (with resulting SAK) were conducted for the Tulsa metropolitan and surrounding area. She further reports that about 70 percent of those were requested by the TPD. Thus, an estimated 4,500 SAK (an average of 237 SAK per year) have been submitted to the TPD Property Room since July 1991.

The TPD does not have a database that can determine precisely how many SAK are currently being held or much less how many of those were submitted for testing. To come to an estimate, the project team used the year 2007 as a measure and cross-referenced data from the property room with data from the TPD Lab. In 2007, only 24 percent of the SAK were submitted for testing, leaving 76 percent untested.

If 237 SAK are submitted to TPD each year, and 76 percent of them are untested, there are an estimated 3,783 untested SAK dating from 1989.

At issue are the questions:

- . Is there evidence contained in the unsubmitted SAK that would be of probative value for that particular case?

- Can evidence from unsubmitted SAK case identify or match other sexual assaults (or any other crime which has DNA evidence)?
- Under what guidelines should unsubmitted SAK in closed cases be tested?
- Should victims be notified as to whether or not SAK was submitted for testing?
- What effect will testing have in terms cost and backlog within the lab?
- When should a SAK be destroyed?

This action research project will be designed to answer the above questions and more.

PROJECT DESIGN AND IMPLEMENTATION

Auditing SAK for Phase One

During phase one of the project, an audit will be conducted to physically locate (within TPD Property Room) all SAK on closed cases and determine if the SAK was ever submitted for testing. This will be accomplished by cross referencing data from the Tulsa SANE program, Tulsa Police records, the TPD Property Room and the Tulsa Police Lab. The Tulsa SANE program has reports from exams conducted from July 1991 to the present. As described above, not all the exams were for the Tulsa Police Department. These reports will be searched by hand and checked against TPD Records to determine if the SANE report corresponds to an existing police report by victim's name. The police report should reflect a property receipt number whereby the TPD Property Room can determine if the SAK still exists. In addition, the Tulsa Police Property Room will hand

search property receipts dating back from July 1991 back to 1989, for which SANE does not have reports. The oldest known SAK dates back to February 5, 1989. Once a SAK has been matched to a TPD case file, the report should reflect (in most cases) whether or not the SAK was submitted for testing. If the case file does not reflect testing it can then be double checked against the TPD Forensic lab to confirm no test was conducted.

TPD has an existing database called "Case Management" that will be utilized to store needed information for phase one (i.e. police reports, property receipt numbers, stranger/nonstranger, SAK exam completed, submitted to lab etc).

The potential pitfalls or anticipated problems associated with phase one:

- The TPD Forensic lab database only goes back to 2003, so they will be unable to confirm any testing prior to 2003 without manually searching archived documents stored at another location.
- Police records prior to 2005 have to be manually accessed by records personnel who only work day shift hours.
- Police reports prior to 1993 are on micro film and due to equipment failure cannot be obtained. Due to budget restraints the needed equipment cannot be replaced at this time.
- Based on the issues noted above, SAK in the property room dating from 1989 to July 1991 present a complex problem for retrieving necessary data.

It is anticipated these problems will be addressed prior to implementing phase one.

Process for Screening SAK in Phase Two

The team will generate a questionnaire for each case with a numbered score after each question. The questions will deal with whether or not the SAK should be submitted for testing in phase two. For example, “Based on the case facts do you believe evidence produced from testing will provide probative value in this case?” The answer will be a score selections of one to five, with one being strongly disagree, and progress positively up to a five, being strongly agree. Another question may be, “Based on case facts available do you believe evidence from the SAK in this case could lead to identifying a suspect in other crimes?” The team will determine a bench mark score for testing the SAK in phase two. The team will decide which team members (i.e., DVIS, TPD, DA etc) should review the cases and score it, with emphasis on using multiple members to help alleviate bias.

Develop Research Design

During Phase one the project team will develop an action research plan to be implemented in Phase two. Part of this plan will be to utilize investigators from the TPD Sex Crime Unit and the Child Crisis Unit to follow-up on any cases re-opened or CODIS hits that could result from testing the SAK in phase two. During phase one the research team (Oklahoma State University Center for Health Science) will create a database to be utilized by the team in phase two. Data from all discovered unsubmitted SAK will be entered. Data that will be entered will be designed to answer questions, such as how the case was closed (arrest, exceptionally cleared, unfounded, inactivated, etc), race/sex/age of victim, time of offense, time/date of exam, named or unnamed suspect, stranger or non-stranger attack, etc.. Other plans may include:

- Developing a protocol with DVIS/Call Rape to work with investigators in contacting victim on re-opened cases and to offer services.
- Develop a plan for the TPD Forensic lab to process an anticipated large volume of SAK.
- Develop a protocol on when to attempt to gather other needed evidence (such as a buccal swab from a listed suspect) prior to testing a SAK.

CAPABILITIES/COMPETENCIES

Tulsa would be well suited if awarded this grant opportunity because of the unique collaborative relationship already present between the partnering agencies. Oklahoma State University Center for Health Sciences (research entity) is housed in the same facility as the TPD Forensic Laboratory and the TPD Property Room, where the SAK are stored. These three components have already successfully completed projects together. In addition the Tulsa' SANE program is located within the Tulsa Police Department and in close proximity with the Sex Crime Unit.

The partnering agencies already have established protocols, a close working relationship, and a history of successful service to the community and sexual assault victims.

Tulsa Police Department: Key Contacts/Project Staffs—Sgt. Mark Mears, TPD Sex Crime Unit; Sgt. Gary Stansill (retired), Site Coordinator.

The TPD has approximately 691 sworn personnel serving the City of Tulsa with a population of about 380,000. The TPD Detective Division has two investigative units assigned to work sexual assaults as described earlier. The Sex Crime Unit has seven

investigators (that included two supervisors) that in 2009 were assigned about 795 cases that included 334 rape cases. The Child Crisis Unit currently has nine investigators (including two supervisors) that in 2009 were assigned about 1,450 cases that included about 350 sexual assaults involving children who were thirteen or younger.

The Sex Crime Unit and the Child Crisis Unit has an extensive combined investigative experience and a history of prosecutorial success that belies their dedication and devotion to the victims of sexual assault. Both Units have successfully investigated complex and high profile cases including several serial rape investigations. The last serial rape investigation spanned several years and resulted in the arrest and conviction of the rapist. This particular investigation has been utilized by the FBI's National Academy as an example of successfully profiling a major investigation.

TPD's role in phase one will be to use investigators to search the secure databases of the TPD for case files from victim names supplied by SANE. The case file will be reviewed to determine if the SAK was submitted to the lab. The SAK not submitted will be placed in a database for later retrieval. In addition TPD will:

- Develop a plan of action for phase two in which unsubmitted SAK cases will be reviewed for potential testing.
- Work with other team members in developing a scoring sheet to be utilized in phase two case review process.
- Develop a phase two plan for investigating re-opened cases or any other appropriate investigation resulting from CODIS hits or the discovery of other cases from DNA matches.

- Work with DVIS/Call Rape in developing a plan for contacting victims on cases to be investigated.

Tulsa Police Forensic Laboratory: Key Contacts/Project Staffs—Tara Valouch,
TPD Laboratory Director; Jon Wilson, TPD Forensic Operations Manager

The Tulsa Police Department Forensic Laboratory is an ASCLD/LAB accredited laboratory and a NDIS participating lab that is in good standing and able to upload all eligible profiles into CODIS. All DNA analysis performed under this program will be maintained under the applicable federal privacy regulations. The Biology Section Technical Leader is a qualified CODIS user who has taken the FBI DNA Auditor training and has experience in external audits by the National Forensic Science Technology Center (NFSTC), ASCLD/LAB *International* and the National Institute of Justice (NIJ). The management structure will consist of the Laboratory Director and the Operations Manager / DNA Technical Leader in conjunction with the Tulsa Police Department.

The role of the TPD Forensic Laboratory in phase one of this project will be to assist TPD investigators in auditing unsubmitted SAK. The lab will, when necessary, reference their files and databases for when investigators cannot determine from the case file whether a SAK was submitted for testing. Furthermore, the lab will be active with other team members during phase one to develop an action plan for testing an anticipated large number of SAK during phase two.

Oklahoma State University Center for Health Sciences, Department of Forensic
Sciences: Key Contact/Project Staff—Robert W. Allen, PhD, Chairman,
Department of Forensic Sciences

The Department of Forensic Sciences, Center for Health Sciences, Oklahoma State University is a graduate program leading to the MSFS degree. Forensic disciplines

in which students train includes; forensic biology, forensic chemistry, forensic pathology and questioned documents. Faculty participating in graduate student training are largely practitioners-turned-academic faculty, or remain active in practice within their respective disciplines. The Graduate Program is an original research/thesis based program and enrollment has averaged 25-30 students for the past 5 years. The Graduate Program is also one of twelve nationwide accredited by the Forensic Education Program Accreditation Commission (FEPAC) of the American Academy of Forensic Sciences (AAFS). Moreover, the CHS program is only one of three in the nation residing within a campus facility that also houses a practicing forensic laboratory (in our case the Tulsa Police Forensic Laboratory and Property Room, located one floor below the Graduate Program in Forensic Sciences).

Research performed by students and faculty is of high caliber as evidenced by presentations at regional and national meetings and by publications bearing the names of students and faculty that have appeared in peer-reviewed journals. Selected titles of recent thesis publications from the graduate program are attached separately as Appendix 1. A quick scan of titles in Appendix 1 underscores the depth and breadth of research performed in the Graduate Program over the years. Included among the projects are those applying new technology to traditional forensic problems as well as those applying traditional technology in new ways. In both cases the research performed follows traditional investigative methods that begin with a research question or hypothesis. In addition, although occasional studies involve simply descriptive statistics, most projects utilize more sophisticated statistical analyses to prove or disprove a hypothesis. Thus, the

Graduate Program is knowledgeable about statistical methods involved in sampling and in determining the significance of findings.

In summary, the CHS has the necessary expertise and manpower to fulfill the role of Academic Partner for Phase 1 and also to participate as an Academic Partner for Phase 2 should our proposal for Phase 1 be funded.

Tulsa Sane Program: Key Contact/Project Staff—Kathy Bell, Tulsa SANE Director

The TPD introduced the Sexual Assault Nurse Examiners Program (SANE) in 1991 to ensure more timely medical treatment and accurate collection of forensic evidence. Tulsa's SANE program is a unique, community-based team approach that has become a national model for the dignified and compassionate treatment of sexual assault victims. Tulsa's SANE program experience and wisdom now spans nearly twenty years. As soon as a rape is reported, a police officer is dispatched to the victim's location. Simultaneously a SANE nurse and a rape crisis advocate are called to a quiet, comfortable suite of rooms donated by one hospital to serve the entire community as a site in which the examinations are to be performed. When the victim arrives with a law enforcement officer, she/he is examined immediately by a nurse that has received specialized education in the examination of patients. Even in the case of a critically injured patient that cannot be transferred from one location to another, the same SANE nurses go to the location of the patient and perform that exam. The Tulsa Police Department has always been a huge supporter of the SANE program, encouraging education and continuing growth. The primary focus of the SANE Program is on the medical care of rape victims but incidental to that we have discovered when you have

forensically educated healthcare professionals, you will have not only good medical care but good forensic care too.

The TPD Forensic Laboratory reported a dramatic improvement in evidence collection and preservation after the SANE program was implemented. As the years have gone by, changes to collection techniques and analysis have been made. Because of the close association of the Tulsa Police lab and the nurses those changes have been readily applied to practice in a short period of time. There has been a steady increase in the number of cases that result in judicial proceedings. A significant increase has been seen in plea agreements that are reached many times due to the evidence that has been collected.

The role of the Tulsa SANE program in this project would be to provide consistency and quality of the evidence that is to be evaluated , a critical variable that should have minimal impact on our proposed Phase one research, thereby allowing for a more informative meta analysis of other factors associated with each SAK case. Turnover among the nurses in the SANE program is minimal. Five of the thirteen examiners have been with the program since its inception in 1991. Three have between 10-15 years experience, two between five and 10 years, two between one and five years and only one with less than one year of experience. Because there are a small number of nurses, theoretically there would be consistency among the evidence collected. They would have all obtained the same basic education and updates over the years.

Tulsa's SANE program received the 1992 U.S. Department of Justice Award for Public Service; the 1994 Innovations in State and Local Government Award from the Ford Foundation and the John F. Kennedy School of Government at Harvard University;

and the 1994 NOVA (National Organization of victim Assistance) Award for Distinguished Service to Victims of Crime. In 2002 Tulsa SANE was re-recognized by the Ford Foundation for its continued efforts in the replication of SANE programs throughout the country. There have been many publications about the program and it is recognized as a successful model.

In yet another example of the collaboration between Oklahoma State University and the law enforcement in Tulsa, the SANE program has been integrated into the University's distance learning infrastructure. Nurses interested in SANE training can now access curriculum through OSU's online courseware. When completed, students can come to campus for weekend hands-on training in conducting exams. This has greatly increased accessibility to the SANE program for trainees who otherwise might not be able to receive it.

SANE's role in phase one will be to audit an estimated 6450 SANE reports dating back to July of 1991. A data analyst will go through each report to determine if the report corresponds to a TPD case. If so it will be entered in a database and forwarded to TPD investigators who will obtain the case file to determine if the SAK was submitted to the lab. In addition SANE will work with the project team in developing the action plan for phase two that will consist of evaluating evidence obtained from SAK for quality and consistency that could determine if any future SANE practices or procedures need changing.

DVIS/Call Rape: Key Contact/Project Staff—Elaine Thompson

Domestic Violence Intervention Services, Inc. (DVIS/Call Rape) was founded in 1976 as the Tulsa Task Force for Battered Women, offering a telephone crisis line. In

1979, the organization began offering a comprehensive array of services, was incorporated, and became a member agency of the United Way. The name was then changed to Domestic Violence Intervention Services, Inc. (DVIS). In January of 2005, DVIS merged with Call Rape and added sexual assault services to the existing continuum of care. The organization has now grown into the only local community-based full service agency in Tulsa and Creek counties, and the only accredited domestic violence agency in the state of Oklahoma, providing intervention, prevention, and education services to families and individuals affected by domestic violence and sexual assault. DVIS/Call Rape provides hospital advocacy, a 24-hour crisis line, emergency shelter, transitional living, outpatient counseling, court and legal advocacy, and community outreach and education.

The mission of DVIS/Call Rape is “Rebuilding lives affected by domestic violence and sexual assault through advocacy, shelter, counseling, and education”. Their vision is to promote a safer community by fostering social change, ending domestic and sexual violence, healing survivors, and saving lives.

In February, 2008, DVIS earned national accreditation for its eligible services through the Council on Accreditation (COA). COA is an independent, international, not-for-profit child- and family-service and behavioral healthcare accrediting organization founded in 1977. The accreditation process supports DVIS’ strategy of continuous service improvement by providing an objective review to ensure the agency meets national standards of organizational strength and quality of service.

At DVIS Counselors assist victims of sexual assault by conducting intensive mental health therapy. Legal services, hospital advocacy, a 24-hour crisis line, and case management are some of the other services they offer to victims of sexual assault. DVIS/Call Rape is committed to participating in this project and will assist the TPD in notifying victims that their case has been reopened and also offer no-cost counseling as needed to victims whose cases have been reopened.

Tulsa County District Attorney: Key Contact/Project Staff—Doug Drummond,
First Assistant Tulsa County District Attorney's Office

As chief prosecutor for the Fourteenth District of Oklahoma, District Attorney Tim Harris and his staff of prosecutors literally serve as the people's attorneys. Elected by Tulsa County voters in 1998, Harris and his assistants are responsible for reviewing police and law enforcement investigations to determine whether the facts and the law warrant filing an information (or charge) to initiate a criminal prosecution against a named person.

There are 50 attorneys and a total staff of 105 public servants working under the District Attorney's direction. They prosecute criminals, work on behalf of victims, collect more than \$1 million in bogus check restitution for small businesses in Tulsa County, advocate for deprived and neglected children, and promote crime prevention and intervention. The District Attorney also represents Tulsa County and its Officials and Boards in all civil legal matters. These are a few of the many jobs Harris and his staff perform as ministers of justice.

The Tulsa County District Attorney's Office has aggressively prosecuted sex offenders and has a close working relationship with TPD's sexual assault units, SANE

and the forensic lab. The role of Tulsa County District Attorney Office in this project will be to assist in phase one in developing a plan of action for phase two. In phase two the DA's Office will assist in reviewing unsubmitted SAK cases during the screening process. They will review and file charges when applicable on cases re-opened (or new cases discovered) resulting from testing the unsubmitted SAK.

IMPACT/OUTCOMES AND EVALUATION

Objectives for Phase One

The primary objectives to accomplish the noted goals for phase one are:

- Perform an audit of all SAK and place in a database all SAK that were NOT submitted to a lab for testing.
- A case review score sheet will be developed to be utilized in phase two that will determine whether or not to submit the SAK for lab testing.
- OSU Health Science Center will work with other team members in creating a database designed to measure forensic results.
- The team will meet on a regular scheduled basis to formulate a plan of action for testing the SAK, follow-up investigations by detectives, prosecutor's assistance, and providing victim services through DVIS/Call Rape.
- In phase one each team member will determine what other measures may be obtain from the project (e.g., SANE's procedures for evidence collection; quality of DNA over time obtained from various evidence tested; percentage of stranger vs. nonstranger attacks, victim's response to cases being re-opened; number of cases re-opened; number of cases

prosecuted etc) that will be implanted in the research design for the project.

There are several very significant outcomes anticipated from this action research project. One that is most sought after is developing a process and technology that will help bridge the gap between the large volume of SAK generated daily across the country and laboratories capacity to analyze them. The ultimate goal would be an automatic process whereby a SAK could be analyzed shortly after the exam, thus providing timely information to investigators and prosecutors responding to sexual assault cases. Daily investigators have to explain to victims why it takes so long to get results from their SAK. The benefit to sexual assault victims would be to lessen the trauma they presently experience from having to deal with the slow criminal justice process.

New DNA Screening Technology

OSU Department of Forensic Science recently reported the development of a DNA quantitation assay (Q-TAT) that is inexpensive to perform, utilizes existing instrumentation present in a DNA typing laboratory, and provides a wealth of information about human DNA recovered from biological evidence (Allen and Fuller, 2006; Wilson et.al. 2010). The information provided by the assay includes the amount of total and male-specific DNA in a sample and whether or not PCR inhibitors exist in the sample. Recent research with the Q-TAT assay has also indicated that it provides valuable information regarding the degree of degradation exhibited by DNA recovered from a sample, information critical for tailoring the DNA analysis performed to obtain the most probative result (Byron Smith, Tulsa Police Laboratory, unpublished; Vandegrift 2010). We believe the Q-TAT assay when coupled with existing evidence

screening methods could be an effective DNA screening tool for backlogged casework, identifying the best 1-2 evidentiary samples in each backlogged case to move forward for STR-DNA typing.

The action research project can evaluate the effectiveness of this process in analyzing large numbers of SAK. Other projected outcomes from this project would be:

- Identify the primary reasons why the SAK were not submitted.
- Develop protocol that other agencies can use to process their unsubmitted SAK.
- Evaluate victim impact from cases re-opened.
- Improve the community response to sexual assault victims.

The project team consists of Tulsa's current Sexual Assault Response Team (SART). While this SART team already works effectively, this project will enhance the SART cohesiveness and ultimately improve our community's services to sexual assault victims.

Budget Detail Worksheet

Purpose: The Budget Detail Worksheet may be used as a guide to assist you in the preparation of the budget and budget narrative. You may submit the budget and budget narrative using this form or in the format of your choice (plain sheets, your own form, or a variation of this form). However, all required information (including the budget narrative) must be provided. Any category of expense not applicable to your budget may be deleted.

A. Personnel - List each position by title and name of employee, if available. Show the annual salary rate and the percentage of time to be devoted to the project. Compensation paid for employees engaged in grant activities must be consistent with that paid for similar work within the applicant organization.

Name/Position	Computation	Cost
Position 1, Tulsa Police Investigators	1456 hours X \$48 per hour	\$69,000.00
Position 2 Oklahoma State University graduate students	960 hours X \$18.75 per hour	\$18,000.00
Position 3 TPD Records Clerk	208 hours X \$35.15 per hour	\$7,311.00
Position 4		
Position 5		
Position 6		
		SUB-TOTAL \$94,311.00

B. Fringe Benefits - Fringe benefits should be based on actual known costs or an established formula. Fringe benefits are for the personnel listed in budget category (A) and only for the percentage of time devoted to the project. Fringe benefits on overtime hours are limited to FICA, Workman's Compensation, and Unemployment Compensation.

Name/Position	Computation	Cost
Fringe benefit 1, each benefit entry is limited to one line		
Fringe benefit 2		
Fringe benefit 3		
Fringe benefit 4		
Fringe benefit 5		
		SUB-TOTAL \$0.00
		Total Personnel & Fringe Benefits \$94,311.00

C. Travel - Itemize travel expenses of project personnel by purpose (e.g., staff to training, field interviews, advisory group meeting, etc.). Show the basis of computation (e.g., six people to 3-day training at \$X airfare, \$X lodging, \$X subsistence). In training projects, travel and meals for trainees should be listed separately. Show the number of trainees and the unit costs involved. Identify the location of travel, if known. Indicate source of Travel Policies applied, Applicant or Federal Travel Regulations.

Purpose of Travel	Location	Item	Computation	Cost
Travel entry 1, two lines per entry				
Travel entry 2				
Travel entry 3				
Travel entry 4				
Travel entry 5				
Travel entry 6				
Travel entry 7				

TOTAL \$0.00

D. Equipment - List non-expendable items that are to be purchased. Non-expendable equipment is tangible property having a useful life of more than two years and an acquisition cost of \$5,000 or more per unit. (Note: Organization's own capitalization policy may be used for items costing less than \$5,000). Expendable items should be included either in the "supplies" category or in the "Other" category. Applicants should analyze the cost benefits of purchasing versus leasing equipment, especially high cost items and those subject to rapid technical advances. Rented or leased equipment costs should be listed in the "Contractual" category. Explain how the equipment is necessary for the success of the project. Attach a narrative describing the procurement method to be used.

Item	Computation	Cost
Equipment entry 1, Microfilm Viewer and Scanner-to-PC	one e-ImageData ScanPro2000	\$13,685.00
equipment entry 2		
equipment entry 3		
equipment entry 4		
equipment entry 5		

TOTAL \$13,685.00

E. Supplies - List items by type (office supplies, postage, training materials, copying paper, and expendable equipment items costing less than \$5,000, such as books, hand held tape recorders) and show the basis for computation. (Note: Organization's own capitalization policy may be used for items costing less than \$5,000). Generally, supplies include any materials that are expendable or consumed during the course of the project.

Supply Items	Computation	Cost
Supply item 1, Scanner	one scanner for SAK reports	\$800.00
supply item 2		
supply item 3		
supply item 4		
supply item 5		
supply item 6		
supply item 7		
supply item 8		
supply item 9		
		TOTAL \$800.00

F. Construction - As a rule, construction costs are not allowable. In some cases, minor repairs or renovations may be allowable. Check with the program office before budgeting funds in this category.

Purpose	Description of Work	Cost
four lines per entry, use boxes below or an additional page for more space if required		
		TOTAL \$0.00

G. Consultants/Contracts - Indicate whether applicant's formal, written Procurement Policy or the Federal Acquisition Regulations are followed.

Consultant Fees: For each consultant enter the name, if known, service to be provided, hourly or daily fee (8-hour day), and estimated time on the project. Consultant fees in excess of \$450 per day require additional justification and prior approval from OJP.

Name of Consultant	Service Provided	Computation	Cost
Gary Stansill	Project Site Coordinator	780 hours X \$45 hour	\$35,100.00
Amy Yandell, SANE Data Analyst	Create Database for 6450 SANE reports, review and submit to Tulsa PD their SANE reports	600 hours X \$25 hour	\$15,000.00
Larry Mater, Data Analyst	Research through TPD databases for reports and enter data	780 hours X \$30 hour	\$23,400.00
Supply item 1, one line per entry			
			<i>Subtotal</i> \$73,500.00

Consultant Expenses: List all expenses to be paid from the grant to the individual consultants in addition to their fees (i.e., travel, meals, lodging, etc.)

Item	Location	Computation	Cost
	maximum of three lines		
	maximum of three lines		
Consultant expense entry 1, one line per	maximum of three lines		

Subtotal \$0.00

Contracts: Provide a description of the product or service to be procured by contract and an estimate of the cost. Applicants are encouraged to promote free and open competition in awarding contracts. A separate justification must be provided for sole source contracts in excess of \$100,000.

Item	Cost
maximum of four lines, additional information should be attached on a separate sheet(s)	
maximum of four lines	

Subtotal \$0.00

TOTAL \$73,500.00

59

TOTAL \$0.00

1

TOTAL \$0.00

Budget Summary- When you have completed the budget worksheet, transfer the totals for each category to the spaces below. Compute the total direct costs and the total project costs. Indicate the amount of Federal requested and the amount of non-Federal funds that will support the project.

Budget Category	Amount
A. Personnel	<u>\$94,311.00</u>
B. Fringe Benefits	<u>\$0.00</u>
C. Travel	<u>\$0.00</u>
D. Equipment	<u>\$13,685.00</u>
E. Supplies	<u>\$800.00</u>
F. Construction	<u>\$0.00</u>
G. Consultants/Contracts	<u>\$73,500.00</u>
H. Other	<u>\$0.00</u>
Total Direct Costs	<u>\$182,296.00</u>
I. Indirect Costs	<u>\$0.00</u>
TOTAL PROJECT COSTS	<u>\$182,296.00</u>

Federal Request _____

Non-Federal Amount _____

BUDGET NARRATIVE

A. Personnel

Position 1. Tulsa Police Investigators:

The Tulsa Police Department would utilize current sexual assault detectives to research and categorize cases, and to aid in determining whether or not a SAK was tested. There are currently fifteen detectives available for this work, which would occur after hours so as not to interfere with ongoing case work. Estimating 4500 cases that need to be reviewed, and allowing thirty minutes as an average amount of time spent for each case, we estimate 2,250 work hours necessary for these detectives. Dividing this number of hours by 26 weeks (6 months), it results in 86 work hours per week. This amount of work hours may be excessive for detectives considering their other duties, so an experienced police analyst (see section G, Consultants) would be hired to work 30 hours per week. This would result in 56 work hours per week for detectives. Experienced detectives are necessary for this assignment so that the data (from secure TPD databases) can be accurately reviewed and assessed. The average overtime pay rate for a Tulsa Police Detective would be \$48.00 per hour. 1, 456 man hours would result in a cost of \$69, 888.00.

Position 2. Oklahoma State University graduate students:

The Oklahoma State University Center for Health Sciences would provide graduate students to aid in the research. These students would be assigned to do research within the Tulsa Police Property room, assisting by manually data mining property receipts and physically checking SAK stored within the property room. The students would also be utilized for the same type of data mining within the Tulsa Police Forensics lab as needed. Finally, they would assist research personnel from OSU in the documentation of the project. It is estimated that they would require 960 hours during the life of the project to complete the required tasks. Their rate of pay would be \$18.75 per hour, totaling an \$18,000 expenditure.

Position 3. TPD Records clerk:

The police reports involved in the SAK research are maintained within the Tulsa Police Records Division, and a portion of the older reports have not been uploaded into the Department's computer records system. The Records Division is a secure facility and access of the records can only be made by records personnel. Therefore a records clerk would be necessary to aid in the research after hours and on an overtime basis. This clerk would also assist by scanning reports into the computer system so that they would be available for ready scrutiny in phase two. We estimate 208 man hours for this task at an average overtime rate of \$35.15 per hour, resulting in an expenditure of \$7,311.00.

B. Fringe Benefits

N/A

C. Travel

N/A

D. Equipment

As reported in the project narrative Tulsa Police reports dating earlier than 1993 are on microfilm and cannot be retrieved due to equipment failure. The equipment is beyond repair and has been discarded. Since Tulsa Police has SAK dating back to 1989 it will be necessary to access the corresponding police report for screening and data entry. The item reportedly needed is an e-ImageData ScranPro2000 and with the necessary attachments will cost an estimated \$13,685.00.

E. Supplies

Tulsa SANE has an estimated 6,450 SAK reports to be reviewed for Phase one. The documents needed for this project are not in electronic form and will need to be scanned to add to databases for future review and screening. The \$800 estimate for the scanner should be sufficient to cover the cost of the needed scanner.

F. Construction

N/A

G. Consultants/Contracts

Gary Stansill / Project Site Coordinator:

Although the agencies involved in this research already have a good working relationship, a project of this magnitude will require a great degree of direct supervision and liaison between the partners. In addition, the graduate student researchers will require supervision and direction. All of these tasks will require someone with investigative and supervisory experience within sexual assault investigations and a detailed knowledge of the problem. Retired Sex Crimes Sergeant Gary Stansill has 35 years of police experience, the majority of it in sexual assault investigation and supervision. Sgt. Stansill served as a consultant for ORCPI; his pay in that position averaged \$45.00 per hour. It is estimated that the Site Coordinator position would require approximately 780 work hours to complete, resulting in an expenditure of \$35,100.00 for the life of phase one.

SANE Data Analyst:

The SANE program has reports on every exam conducted since July 1991. However the vast majority of the reports are in paper files, and has not been digitized. These files will require data mining, primarily to determine whether or not the particular exam was completed within the Tulsa Police Department's jurisdiction and a SANE kit number. This individual will also take the opportunity to create a database of the SANE exams that will make an data mining required in phase two more efficient. This would also benefit the SANE program and TPD in the future. This position will require someone with experience with the SANE program, its forms, and the filing system. It is estimated that this function will require 600 work hours, and the individual would be paid \$25.00 per hour. The resulting expenditure would be \$15,000.00 for the life of phase one.

Larry Mater, Data Analyst:

The Tulsa Police Department will require someone with experience in analysis and database programs to organize the collected data and enter it into a comprehensive database

preparatory to phase two. This person should have knowledge of, and access to TPD records databases. Larry Mater is a retired Tulsa Police Officer and criminal analyst. It is estimated that his position will require approximately 780 hours during phase one. Paid at \$30.00 per hour (hourly rate for a TPD officer), this would result in an expenditure of \$23, 400.00 for the life of phase one.

H. Other

N/A

I. Indirect Costs

N/A



TIM HARRIS
TULSA COUNTY DISTRICT ATTORNEY

TULSA COUNTY COURTHOUSE
500 S. DENVER AVE., SUITE 900
TULSA, OKLAHOMA 74103-3832

(918) 596-4805
FAX: (918) 596-4830

December 28, 2010

Tulsa Police Department
SAK Research Project

To Whom It May Concern:

This correspondence is to serve as a Letter of Commitment to the Tulsa Police Department's SAK Research Project.

The Tulsa County District Attorney's Office has a history of vigorous prosecution of sexually based offenses and compassionate service to the victims of these heinous crimes. During prosecution, each victim is assigned an advocate by the District Attorney's to aid and support them through this difficult process.

The Tulsa County District Attorney's Office has a close, positive relationship with the Tulsa Police Department and its investigators in particular.

Our agency recognizes the value of researching and testing the untested Sexual Assault Kits in the possession of the Tulsa Police Department. We look forward to utilizing the results in the prosecution of any sex offenders identified as a result when charges are possible and appropriate.

The Tulsa County District Attorney's Office enthusiastically supports the project and commits to being an active team member should this NIJ grant be awarded.

Sincerely,

A handwritten signature in cursive script that reads "Tim Harris".

Tim Harris
Tulsa County District Attorney



OFFICE OF THE CHIEF OF POLICE
TULSA POLICE DEPARTMENT

December 21, 2010

National Institute of Justice
810 Seventh Street, NW
Washington, DC 20531

The Tulsa Police Department is applying for the grant (NIJ-2-11-2808) funding
“Strategic Approaches to Sexual Assault Kit Evidence: An Action Research Project”.

The Tulsa Police Department has obtained commitments from a research partner (Oklahoma State University Health Sciences), the Tulsa County District Attorney’s Office, and a non-profit victim advocacy agency (Domestic Violence Intervention Services of Tulsa). The Tulsa Police Department has an “in-house” forensics lab, and a nationally recognized SANE (Sexual Assault Nurse Examiners) program. Tulsa is an ideal location for this research. All of the agencies mentioned above, and required for the grant, are already part of a team set up in Tulsa for victim services. Tulsa PD, DVIS, SANE have protocols in place and work together on each sexual assault case. The Tulsa PD Forensics Lab, the Tulsa PD property room (where the untested kits are stored) and OSU Health Sciences are housed in the same building and have already worked on projects together. OSU is also equipped with a forensics lab, which would make the logistics of any outsourcing necessary quite efficient.

The Tulsa Police Department, which includes an independent Sex Crimes Unit and Child Crisis Unit in addition to the lab and property room, is very enthused about the research and all of the questions that can be answered as a result. We look forward to improving our services to victims of sexual assault. If awarded this most worthwhile grant, the Tulsa Police Department will vigorously fulfill all of the prerequisites and values of the research.

Thank you,

Chuck Jordan
Chief of Police
Tulsa Police Department

DVIS

Call RAPE

Domestic Violence Intervention Services, Inc.

Board of Directors

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Kari Taylor

Susan Thomas

Georgenia Van Tuyt

Andrew Warren

December 21, 2010

Sergeant Gary Stansill
c/o Tulsa Police Department
600 Civic Center
Tulsa, OK 74103

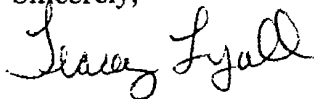
Dear Sergeant Stansill,

Domestic Violence Intervention Services, Inc. (DVIS/ Call Rape) is committed to supporting the City of Tulsa and the Tulsa Police Department in their application for the "Strategic Approaches to Sexual Assault Kit (SAK) Evidence: An Action Research Project".

We provide victims of sexual assault with comprehensive services including counseling, hospital advocacy and legal services. Our mission is "Rebuilding lives affected by domestic violence and sexual assault through advocacy, shelter, counseling, and education". Our vision is to promote a safer community by fostering social change, ending domestic and sexual violence, healing survivors, and saving lives.

We are fully committed to participating in this project and if funded will provide counseling as needed to victims whose cases have been reopened, as well as assist the Tulsa Police Department in notifying victims that their case has been reopened. We look forward to working with the city, the district attorney's office, OSU Tulsa, the Sexual Assault Nurse Examiner Program, and the Tulsa Police Department to address the backlog of sexual assault kits.

Sincerely,



Tracey Lyall, MSW, LSW
Executive Director

Advisory Board Members

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Mary Ellen Bridwell

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Vicki Vaniman

Donna Witt

rebuilding lives affected by domestic violence and sexual assault

Domestic Violence Intervention Services Inc. • 4300 S. Harvard Ave., Suite 100 • Tulsa, OK 74135-2608
918.585.3163 • FAX 918.584.1835 • 24-Hour Crisis Line 918.7HELPME (918.743.5763) • www.dvis.org





Graduate Programs

Department of Forensic Sciences
1111 West 17th Street
Tulsa, Oklahoma 74107-1898
(918) 561-1108
Fax (918) 561-5729

December 27, 2010

Chuck Jordan, Chief
Tulsa Police Department
600 Civic Center
Tulsa, Oklahoma 74103

Dear Chief Jordan:

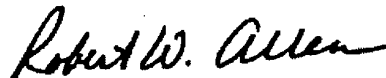
This letter will formalize the commitment of the Graduate Program in Forensic Science at the Center for Health Sciences, Oklahoma State University to participate with the Tulsa Police Department and the District Attorney's Office in the grant written in response to the solicitation entitled "Strategic Approaches to Sexual Assault Kit (SAK) Evidence: An Action Research Project" from the Office of Justice Programs, National Institutes of Justice.

In my opinion, our program can offer manpower and expertise that will contribute to the success of this project if funding is awarded by the National Institutes of Justice. Our graduate program consists of 30-40 graduate students, 10-15 of which are resident on the Center for Health Sciences (CHS) campus at any given time. These students are training to receive Master's degrees in forensic biology, forensic chemistry, and forensic pathology and can provide the manpower to review the case files associated with the unsubmitted SAK as well as contribute to recognizing trends or other features common to these cases that may be responsible for the failure to process them further in the forensic laboratory. Our students all receive training in research design and methods as well as integrity in research as part of their coursework requirements. In addition, students in our program are eligible for internships in the Tulsa Police Laboratory and therefore are familiar with the workings of the lab and the individuals employed there. In addition to manpower, students receive statistical training that will be needed for analysis of their own thesis research. Beyond what they receive in coursework and from mentoring faculty in the Department of Forensic Sciences, there is extensive statistical expertise available on the CHS campus from the Department of Behavioral Sciences, the Office of Research (which administers medical drug/procedure trials), and the Department of Educational Development (which assesses teaching methods). These resources will also be available for this project if needed.

Chuck Jordan, Chief
Page 2

In summary, the Department of Forensic Sciences is excited at the prospect of participating in this important research. The most rewarding research is that which benefits the greatest number of people in a timely fashion. This project therefore certainly qualifies as rewarding research and we look forward to working with Tulsa law enforcement in this important area.

Sincerely,

A handwritten signature in black ink that reads "Robert W. Allen". The signature is written in a cursive style with a large, stylized 'R' and 'A'.

Robert W. Allen, PhD
Chairman, Department of
Forensic Sciences

Item Type - Grant Requests, Apps _Awards

Project Title : STRATEGIC APPROACHES TO SEXUAL ASSAULT
EVIDENCE
Grantor : NATIONAL INSTITUTE OF JUSTICE
Funds Source : FEDERAL
Match Required : NO
Source Agency : DEPARTMENT OF JUSTICE
Date Grant Begins : 7/1/2011
Date Grant Ends : 12/31/2011
Amount : 182,296.00
Department Tracking Number :
Grant Number : V1 0-035
Date Mayor Approved : 1/12/2011
Department Name : POLICE
Date : 1/4/2011
Meeting Date Mayor Agenda : 1/10/2011
Status Mayor Agenda : SYNOPSIS
Section Mayor Agenda : 4
Dept Code Mayor Agenda : 19
Item Mayor Agenda : 4
Sub-Item Mayor Agenda : 0
Document Type : GRANTS
Scan Date : 1/13/2011
Scan Time : 11:18:00
Contract Number : 28,763
Amendment-Chg Order Number : 0
Grant Phase : APPLICATION
CFDA Number : 588