

U.S. Department of Justice
Office of Justice Programs
National Institute of Justice



NATIONAL INSTITUTE OF JUSTICE

Research Plan: 1991

129768

About the National Institute of Justice

The National Institute of Justice is the research and development agency of the U.S. Department of Justice. The Institute's mission is to conduct practical studies that Federal, State, and local agencies can use in preventing and reducing crime.

Specific mandates assigned by Congress in the Anti-Drug Abuse Act of 1988 (Public Law 100-690) direct the National Institute of Justice to:

- Sponsor research and development to improve and strengthen the criminal justice system;
- Evaluate the effectiveness of justice improvement programs, including innovative drug control projects funded by the Department of Justice, and identify programs that promise to be successful if continued or repeated;
- Test and demonstrate new and improved approaches to strengthen the justice system, and recommend actions that can be taken by Federal, State, and local governments, and private organizations and individuals to achieve this goal;
- Disseminate information from research, demonstrations, evaluations, and special programs to Federal, State, and local governments, and serve as an international clearinghouse of justice information; and
- Train criminal justice practitioners in research and evaluation findings, and assist practitioners and researchers through fellowships and special seminars.

The Director of the Institute is appointed by the President and confirmed by the Senate. The Director establishes the research and development objectives of the Institute, guided by the priorities of the Attorney General and the needs of the criminal justice field. The Institute actively solicits the views of police, courts, and corrections practitioners as well as the private sector to identify the most critical problems and to plan research that can help resolve them.

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May 1991

National Institute of Justice

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Foreword

The National Institute of Justice (NIJ) engages in research and development, documenting practical new approaches to controlling crime and drug abuse. The 1991 *NIJ Research Plan* gives a new direction to the Institute's mission. For the first time, the plan focuses on **specific research and analysis projects** that target the current priorities of the criminal justice system.

This plan responds to the critical needs of the field, including emerging new issues as well as lessons learned from previous research efforts. This new approach is reflected in both the content and the format of this document.

- The plan outlines a *balanced agenda* of specific issues for study.
- The research solicitations represent *different research models* based on the characteristics of the issues.

In selecting topics for study, NIJ has been guided by the priorities of the Attorney General and the Office of Justice Programs. Our plan also responds directly to the needs of the field as communicated to us in our National Assessment Program survey of State and local criminal justice officials. Our research agenda also reflects a careful review of past NIJ efforts to pinpoint gaps in our knowledge that new studies must fill. The topics may be classified along the following lines:

- *Continuing priorities.* Topic areas include such issues as community-

based policing, drug treatment, and violent crime on which there has been substantial research. NIJ intends to sum up and critique, for the first time, all that has been learned in critical policy areas so we can organize and disseminate definitive results for Federal, State, and local governments.

- *Emerging new issues.* This encompasses such needs as law enforcement initiatives in areas where little research has been conducted; for example, domestic terrorism, urban gangs, and securities fraud. Substantial study in these areas is needed to build a solid base of information that can help shape better policies and practices.

This NIJ plan is more focused than those of years past and offers clear direction and specific areas of inquiry. A similar plan will soon be issued on NIJ's evaluation program. In this way, we now have a common frame of reference for NIJ programs and projects in this fiscal year and beyond.

In 1991, NIJ has undertaken a structured and comprehensive criminal justice research and development program. Through this process we hope to form a more effective partnership with those working to protect the safety and security of our communities.

Charles B. DeWitt
Director
National Institute of Justice

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Introduction

The 1991 *National Institute of Justice Research Plan* is designed to review and analyze what is known in the field of criminal justice and to determine how that knowledge may be put to use by criminal justice professionals. Organized under the priority areas of the Office of Justice Programs (OJP),* the products resulting from this year's solicitations will form a foundation for research in years to come.

As the research and development arm of the U.S. Department of Justice, NIJ's task is to find out what works for the criminal justice professional and to disseminate that information across the broad spectrum of criminal justice endeavor. NIJ has done much diversified research in the more than two decades of its existence, but never has that research been as focused, as specific, as that which will be undertaken in the current year.

NIJ has over the years supported a wide range of research approaches, and that tradition continues. Under each topic area, provision is made for original research in which individuals and organizations can bring forward ideas for probing analysis.

Research Priorities

NIJ intends to build on the knowledge gained through past years and develop reports with immediate practical utility to

the criminal justice professional. The areas of concentration, reflecting OJP priorities, are:

- Intermediate sanctions.
- Gangs and violence.
- Evaluation.
- Multijurisdictional task forces.
- Community-based policing.
- Community-based programs.
- Drug testing.
- Victims of crime.

NIJ proposes a multifaceted research approach that includes the following:

- National assessments of programs and practices.
- Comprehensive analyses.
- Reviews and syntheses.
- Original research projects.

This NIJ plan shows how each approach may be best suited to individual topics, thereby enhancing the Institute's efforts to advance criminal justice policies. An essential part of this year's effort will be the development of a research agenda that identifies salient questions for future research—questions that will be of direct practical value to criminal justice professionals.

* See OJP Program Plan, *Federal Register* 56, 11 (January 16, 1991).



Elements of the Research Plan

National Assessments. This year's research plan includes National Assessments, which may involve (a) survey and analysis of the problem and issues, (b) identification and description of successful programs or practices for further evaluation, and (c) recommendations for future research. In this way, an NIJ project will report on the "state of the art" in criminal justice.

These assessments presume that comparatively little research has been conducted in the particular problem area and that these projects will provide NIJ with a baseline of information on a particular issue. To conduct a National Assessment, applicants are directed to include in their proposals a methodology and research design that will survey the appropriate agencies in the field regarding a particular problem and a plan for conducting site visits. Site visits will result in case studies that support study findings and recommendations.

The goal of National Assessments is to build a research agenda that will provide basic questions for future efforts. Accordingly, such a study should identify fundamental issues for inquiry and issues and questions that are of direct practical utility to criminal justice professionals.

Review and Synthesis of Research. An NIJ Review and Synthesis project is a critical examination of past and present research efforts. These projects include an original evaluation of the existing literature and a reexamination of existing data sets where appropriate. New analysis may be conducted and the study may include a research agenda and the formulation of model programs.

In the grant proposal, applicants are expected to provide literature reviews to demonstrate their understanding of the problem being addressed. In addition, however, NIJ has an interest in developing comprehensive literature reviews as discrete products. The proposal should incorporate an assessment of what types of new information are needed to improve the criminal justice system.

- **A critical review of research.** For all Review and Synthesis projects, applicants are directed to examine the criminal justice research literature that addresses a particular problem, literature from other disciplines that focus on some aspects of the problem, or a combination of criminal justice and multidisciplinary research. In addition, expert opinion may be included in these reviews.
- **A new perspective on practices.** For some solicitations, applicants are also asked to include identification and reanalysis of existing data sets that bear upon the problem being addressed. Applicants are asked to examine the fourth edition of the *Data Resources of the National Institute of Justice* for guidance in determining the appropriateness of the data sets for reanalysis. The plans for use of the data and their relationship to the problem at hand and other literature to be reviewed are to be described in the proposal.
- **A new research agenda.** The research agenda will build on past research and outline new directions for future research. It should identify (a) gaps in current knowledge, especially those that relate to operational issues of direct practical utility to criminal

justice professionals; (b) controversies in need of resolution, for example, conflicting theories and/or findings regarding a particular concept or practice; and (c) new research questions—both theoretical and practical—in a particular topic area. The agenda should also describe optimal research approaches for addressing new areas of need.

- **Program model development.** Some solicitations specifically request program model development, involving assessment and documentation of criminal justice practice. Cases will represent promising or unique approaches to crime control or the administration of justice. Information on the existing evaluation research, the current state of practice, and the issues of law and policy raised by the type of program under review would be included. In addition, such projects would typically be based on an assessment of site-specific material, onsite review, and interviews with those involved in program design and implementation. Projects should document “what works” and should identify the key issues and controversies associated with implementation.

Comprehensive Analysis. A Comprehensive Analysis includes both a National Assessment and a Review and Synthesis of research. It is appropriate when there is a substantial literature on a problem and extensive projects and practices to review. A Comprehensive Analysis also includes a new analysis of existing data sets where appropriate, development of a research agenda that builds on past research, the identification and description of promising approaches from existing practice, and where appropriate the development of model programs. A Comprehensive Analysis must also include site visits.

Original Research. Original research projects are a tradition at NIJ. They involve the development and testing of hypotheses through formal research designs. The applicant’s proposal should develop research questions and issues based on a critical review of the literature within the problem area. NIJ supports a wide range of research methodologies, including case studies, survey research, secondary analyses of existing data sets, and experimental and quasi-experimental designs. A number of solicitations call for original research projects. Applicants are directed to seek the advice of the Program Manager before beginning the task of writing a proposal.

NIJ Research Funding 1991

Program Areas (\$ in thousands)	Number of Anticipated Awards			
	National Assessment	Review and Synthesis	Comprehensive Analysis	Original Research
Intermediate Sanctions (500)	2			
Gangs and Violence (1,125)	4		2	1
Multijurisdictional Task Forces (500)	2			1
Community-Based Policing (900)	1		1	
Community-Based Programs (250)		1		
Drug Testing (550)				3
Victims (275)	1		1	
Special Programs for Criminal Justice Improvement:				
Criminal Behavior Program (500)		1		1
Prosecution and Adjudication Program (500)	3			
Drugs, Alcohol, and Crime Program (500)			2	
Forensic Science and Criminal Justice Technology (475)				2
Fellowship Programs (500)				3+
Total \$6,575,000	13	2	6	11+

"National Assessment" and "Review and Synthesis" proposals are due June 20, 1991.

"Comprehensive Analysis" and "Original Research" proposals are due June 27, 1991.

Application Procedures

Projects should have a national impact or have potential relevance to a number of jurisdictions. Because of the National Institute of Justice's (NIJ) broad national mandate, projects that address only the unique concerns of single jurisdictions will not receive consideration.

Projects that contemplate the provision of services in addition to research are eligible for support, but only for the resources necessary to conduct the research tasks outlined in the proposal.

How To Apply

The following procedures are required for all applications. Submissions must include:

Standard Form 424

A copy of Standard Form (SF) 424, Application for Federal Assistance (with instructions) appears in this announcement booklet. Please follow the instructions carefully and include all parts and pages.

Certifications

In addition to SF 424, recent requirements involve certification regarding (1) debarment, (2) drug-free workplace, and (3) lobbying. A certification form is attached to SF 424. Note that there are separate debarment sections for direct recipients and for subrecipients, and separate drug-free workplace sections for individuals and other applicants.

Budget Narrative

Budget narratives should list all planned expenditures and detail the salaries, materials, and cost assumptions used to estimate project costs. Narratives and cost estimates should be presented under the following standard budget categories: personnel, fringe benefits, travel, equipment, supplies, contracts, other, and indirect costs. The total amount requested must include the full amount of NIJ funding for this project.

One-Page Abstract

The abstract of the full proposal should highlight the project's purposes; methods; activities; and, when known, the location(s) of field research. Abstracts should not exceed one page.

Program Narrative

A program narrative is the technical portion of the proposal. It should consist of:

- A clear, concise statement of the problem, goals and objectives of the project, and related questions to be explored. A discussion of the relationship of the proposed work to the existing literature is expected.
- A statement of the project's anticipated contribution to criminal justice policy and practice. It is important that applicants briefly cite those particular issues and concerns of present-day criminal justice policy

that stimulate the proposed line of inquiry and suggest what their own investigation would contribute to current knowledge.

- A detailed statement of the proposed research/study design and analytical methodologies. Delineate carefully and completely the proposed data sources, data collection strategies, variables and issues to be examined, and procedures of analysis to be employed.
- The Institute supports a wide range of research designs and methodologies, including simple descriptive studies and secondary data analysis. When appropriate, experimental designs are encouraged because of their potential relevance to policymaking and the strength of the evidence they can produce.
- A thorough description of the expected research products (reports, journal articles, data sets, etc.).
- A description of the organizational capability of the potential grantee.
- The organization and management plan to conduct the study. Include a list of major milestones of events, activities, and products; and a timetable for completion, including the time commitments to individual project tasks. All grant activities, including writing the final report, should be completed within the duration of the fellowship.
- The author of the proposal should be clearly identified.

Copies of Curriculum Vitae

The applicant's curriculum vitae should summarize education, research experi-

ence, and bibliographic information related to the proposed work.

Coordination

Applicants are expected to identify all other Federal, local, or private sources of support, including other NIJ programs, to which this or a closely related proposal has been or will be submitted. This information permits NIJ to consider the joint funding potential and limits the possibility of inadvertent duplicate funding.

Deadlines

Proposal deadlines are indicated in the separate solicitations.

Page Limit

No page limits are enforced. However, authors of proposals are encouraged to keep program narratives to a reasonable length. Technical materials that support or supplement the description of the proposed research should be relegated to an appendix.

Legibility

Proposals that are miscollated, incomplete, or handwritten will be judged as submitted or, at NIJ's discretion, will be returned without a deadline extension. No additions to the original submission are allowed.

Peer Review

After all applications for a competition have been received, the Institute selects three or more criminal justice professionals and researchers to serve on the review panel for the program.

The panel members read each proposal and meet to assess the technical merits and the policy relevance of the research proposed. Their assessment of each submission is forwarded to the Director of the Institute.

The review normally takes 6 to 10 weeks, depending on the number of applications received. Each applicant receives written comments from the peer review panel concerning the strengths and weaknesses of the proposal. These comments may include suggestions for how a revised or subsequent application to NIJ might be improved.

Panel assessments of the proposals, together with the Institute Program Manager's assessments, are submitted for consideration by the Director, who has sole and final authority over approval and awards.

Review Criteria

The essential question asked of each applicant is, "If this line of research or study were successful, how would criminal justice policies or operations be improved?"

Five criteria are applied in the evaluation process: understanding of the problem, importance of the research or study,

technical merit, qualifications of the applicant, and project costs.

Applicants bear the responsibility of demonstrating to the panel that the research or study proposed is a contribution to current knowledge in a given field and that the body of research study findings could ultimately contribute to a practical application in law enforcement or criminal justice. Reviewers will assess the applicants' awareness of related research or studies and their ability to direct their research or studies toward answering questions of policy or improving the state of criminal justice operations.

Proposals are judged by their technical merit: is the research design adequate and reasonable? Reviewers take into account the logic and timing of the research or study plan, the validity and reliability of measures proposed, the appropriateness of statistical methods to be used, and the applicants' awareness of factors that might dilute the credibility of the findings.

Applicant qualifications are evaluated both in terms of the depth of experience and the relevance of that experience to the research or study proposed. Costs are evaluated in terms of the reasonableness of each item and in terms of the utility of the project to the Institute's program.

Program Announcements

Intermediate Sanctions

NIJ Funding Level: \$500,000

OJP Policy Statement. Correctional systems should include intermediate sanctions, which are less severe than jail or prison, but more restrictive than probation, for nondangerous offenders. Intermediate sanctions are designed to hold the drug user accountable and focus on the range of postadjudication sanctions that fill the gap between traditional probation and jail or prison sentences. The message is unmistakably clear: drug use will not be tolerated. These criminal sanctions address the problem of both juvenile and adult crime. Demonstration programs, as well as evaluation efforts, are being initiated to promote and test a continuum of sanctions such as the expanded use of fines, restitution, community service, home detention, intensive supervision, electronic monitoring, and boot camps. Intermediate sanctions recognize gradations in the seriousness of criminal behavior and are designed to respond accordingly with graduated levels of criminal punishment.

Gangs in Correctional Facilities: A National Assessment

Purpose. To collect information on the growth of prison gangs in State and local prisons and the means by which gang activity can be controlled in correctional facilities.

Background. Prison gangs have emerged during the 1970's and 1980's as a major disruptive force within a large number of correctional systems. In a national gang study, findings revealed that gangs were present in 32 State prison systems and the Federal prison system. In 1988, correctional agencies reported experiencing 9,174 assaults against inmates and 843 against staff, a significant proportion of which were assumed to be attributable to gang members. Although gang members account for a small percentage of all State and Federal inmates, prison administrators attribute about 50 percent of their problems with inmates to gangs.

Finding ways to control gangs and reduce the level of violence generated from them is a difficult task. Correctional administrators and policymakers would benefit from research that provides information on prison gang issues, strategies, and options, and reports from practitioners who have experience in controlling gang activities.

This solicitation is for a National Assessment, which will involve (a) a survey and analysis of the problems and issues, (b) identification and description, where appropriate, of model programs or practices for further evaluation, and (c) recommendations for future research. *(See Introduction for further discussion of what a National Assessment entails.)*

Goals

- To estimate the prevalence of gangs in State and local prisons and jails and document their impact on prison environments.

- To identify and examine promising current practices and strategies for controlling prison gang activity.
- To identify new strategies for controlling gang activity in prison.
- To produce a report for correctional policymakers and practitioners on the management of gangs in correctional facilities.

Objectives

- Conduct a survey of correctional facilities to determine prison policies and procedures regarding gangs.
- Identify and examine current practices and strategies for controlling the activities of prison gangs and describe promising innovations in detail.
- Formulate a research agenda that will provide basic questions for future research.
- Formulate recommendations and develop a report of policies, procedures, and practices for the management of gang activities.

Program Strategy

Conduct a survey of correctional facilities to determine prison policies and procedures regarding gangs.

To accomplish this objective, the grantee must complete a sample survey of State departments of corrections and county and local prisons and jails to obtain information regarding the number of gangs that exist in the selected systems, the number of gang members and their demographic attributes, and their proportion within the prison populations.

Of particular importance are data on the incidence of gang violence directed at prison staffs. These data could update the national study completed in 1985 by Camp and Camp which provided a descriptive analysis of prison gangs from historical, organizational, and behavioral perspectives.

The applicant should provide a detailed strategy for sample selection and data collection procedures (mail, telephone, inperson interviews, etc.), as well as a discussion of the types of information to be collected and how that information will be analyzed.

Identify and examine current policies and strategies for controlling prison gangs and describe in detail promising innovations.

In addition to completing the survey of policies and procedures associated with gang activities, the grantee shall select and examine those practices and strategies that appear most effective in preventing and controlling gang activity.

The grantee shall examine prison procedures for identifying and classifying gang members, determining housing and work assignments, and administering discipline, and make recommendations for improving intelligence links and information-sharing between prison and community corrections and local law enforcement agencies.

To accomplish this objective, the grantee will examine the data collected from the survey described above to identify promising gang management innovations. In consultation with NIJ, the grantee will select a subset of jurisdictions for onsite study. Within the grant proposal, the

applicant will suggest sites and provide a tentative research plan and methodology for such a study.

Products should include a report on current and innovative gang management practices.

Formulate a research agenda that will provide basic questions for future research.

The research agenda should identify: (a) fundamental issues for study and (b) issues and questions that will result in research projects of direct practical utility to criminal justice professionals.

Formulate recommendations and develop a comprehensive report of policies, procedures, and practices addressing the management of gang activities and gang members.

The grantee must produce a final report and an executive summary that can be disseminated to corrections officials, criminal justice practitioners, and researchers. These final products will include a discussion of the problem; a review of the theoretical and empirical research; a discussion of the research methodology employed; a detailed discussion of the findings of the innovations examined; and recommendations for the development of model policies, practices, and procedures.

Application Requirements. Applicants must submit a completed SF 424, Application for Federal Assistance, including a program narrative, a detailed budget, and a budget narrative. In addition to the requirements specified in the instructions for the preparation of SF 424, the following information should also be included:

- **Program goals.** The application should also contain a discussion of the problem and the potential contribution of this program to the field.
- **Program strategy.** Applicants should describe the proposed approach for achieving the goals and objectives of the program. Applicants should include a discussion of how each objective would be accomplished.
- **Program implementation plan.** Applicants should provide a plan which outlines the major activities involved in implementing the program, describes how they will allocate resources to implement the program, and explains how the program will be managed.
- **Products.** The applicants should concisely describe the interim and final products under each objective of the program, and address the purpose, audience, and usefulness of each product to the field.
- **Program budget.** The applicants should provide an appropriate budget with a detailed justification for all costs, including the basis on which these costs are computed

Products. At a minimum, final products of the research projects must include:

- A full technical report, including a discussion of the research question, a review of the literature, a description of project methodology, detailed review of project findings, and conclusions and policy recommendations.
- A summary of approximately 2,500 words highlighting the findings of the research and the policy issues those findings will inform, written to be

accessible to policy officials and practitioners and suitable for possible publication as an *NIJ Research in Brief*.

- Cleaned copies of any automated data sets developed during the research and full documentation prepared in accordance with the instructions in the *NIJ Data Resources Manual*.

As appropriate, additional interim and final products (e.g., articles, manuals, or training materials) may be specified in the proposal or negotiated at the time of the award.

Eligibility Requirements. NIJ awards grants to or enters into cooperative agreements with educational institutions, nonprofit organizations, public agencies, individuals, and profit-making organizations willing to waive their fees.

Monitoring. Each grant awarded under this solicitation will be monitored according to OJP Handbook 4500.2C (Revised Chapter 7, Monitoring). More specifically, prior to the grant award, the following areas will be defined:

- Statement of goals, objectives, tasks, program activities, and products.
- Program implementation plan and budget that schedules program expenditures.
- Monitoring plan.
- Schedule of monitoring activities.
- Delineation of monitoring products (i.e., progress reports, timeline and task updates, product and activity updates, and draft products).
- The process used by NIJ to review and respond to monitoring findings and recommendations.

- A summary of subsequent program activities in response to implementing the monitoring recommendations. These monitoring efforts will be determined by NIJ and the grantee.

Selection Criteria. All applications will be reviewed by a peer review panel of three to five persons from the research and practitioner communities, selected for their research experience and operational expertise as well as their knowledge in the substantive areas covered by this solicitation. Five criteria are applied in the evaluation process: technical merit of the proposal, understanding of the problem, importance of the research questions addressed, qualifications of the applicant, and project costs.

Award Period. NIJ limits its grants and cooperative agreements to a maximum period of 24 months.

Award Amount. NIJ encourages applicants to develop a reasonable budget which will adequately cover the costs of the proposed project. Funding of this topic has been tentatively set at \$100,000 to \$150,000. It is anticipated that this amount will support one award. Actual funding allocations are based on the quality of proposal received.

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

Gangs in Correctional Facilities
National Institute of Justice
633 Indiana Avenue NW.
Washington, DC 20531

Completed proposals must be received at the National Institute of Justice by the close of business on June 20, 1991. Extension of this deadline will not be permitted.

Contact. Applicants are strongly encouraged to contact the Institute to discuss topic viability, data availability, or proposal content before submitting proposals. To obtain further information, potential applicants may write to Voncile B. Gowdy, Program Manager, at the above address, or contact her at 202-307-2951.

Study of Sentencing Practices for Drug Offenders: A National Assessment

Purpose. The purposes of this solicitation are to describe current policies and practices for sentencing drug offenders and to identify selected sentencing policies for future study as to their effectiveness in deterring drug use and associated crime.

Background. Drug users have contributed greatly to record high prison populations as well as to increased community supervision caseloads. Among State and local jurisdictions there is great diversity in policies for sentencing drug offenders. Jurisdictions vary in the methods used to identify and define drug users and in the range and severity of sanctions imposed upon them. Some sentencing policies have been adopted for offenders convicted of drug offenses while others are directed at offenders who, regardless of their crime of conviction, are drug abusers. Sentencing options range from probation through intensive community supervision, mandatory treatment, split sentences, and boot camps to long-term incarceration. Documentation is needed regarding how State and local jurisdictions identify and define different types of drug offenders

and determine which sentencing option to impose on what type of offender.

This solicitation is for a National Assessment, which will involve (a) a survey and analysis of the problems and issues; (b) identification and description, where appropriate, of model programs or practices for further evaluation; and (c) recommendations for future research. *(See Introduction for further discussion of what a National Assessment entails.)*

Goals

- To document the policies, procedures, and practices employed in identifying and sentencing drug offenders.
- To examine critically and describe selected sentencing strategies that appear to have the greatest potential for deterring general and specific drug use.
- To disseminate information to policymakers regarding current sentencing policies for drug users.

Objectives

- Conduct an assessment of the policies, procedures, and practices used in sentencing of drug offenders from a representative sample of State and local jurisdictions.
- Critically examine nationwide sentencing policies and practices used and describe in detail those most promising for deterring drug use.
- Formulate a research agenda that will provide basic questions for future research.
- Prepare a report that includes the results of the survey, a critical

examination of selected specific policies, and recommendations for future research into the effectiveness of differing sentencing strategies and sanctions for drug offenders.

Program Strategy

Conduct an assessment of the policies, procedures, and practices used in the sentencing of drug offenders from a representative sample of State and local jurisdictions.

This objective shall be achieved through a sample survey of State and local courts. The applicant should provide a detailed strategy for sample selection and data collection procedures (mail, telephone, personal interviews, etc.) as well as a discussion of the types of information to be collected and how that information will be compiled and analyzed. Applicants must discuss in their proposals how they will collect information on court policies for imposing such intermediate sanctions as intensive community supervision, mandatory treatment, split sentences, and boot camps.

The grantee will also review current literature regarding sentencing policies, practices, and procedures for sanctioning drug offenders to identify where practitioner activities are congruent or contradictory with theory or research findings. This information will be useful in guiding future research and program evaluation efforts in sentencing drug offenders.

The product of this objective will be a report that documents the range of current and innovative sentencing strategies used by State and local courts for controlling drug use and drug-related crime.

Critically examine nationwide sentencing policies and practices used and describe in detail those most promising for deterring drug use.

To achieve this objective, the grantee will examine the data collected in the survey described above to identify particularly promising drug user/offender sentencing policies. In consultation with NIJ, the grantee will select a subset of policies and sanctions for onsite study.

The products of this objective will be a report on particularly promising sentencing strategies that merit future research and evaluation and identification of other sentencing issues requiring further research.

Formulate a research agenda that will provide basic questions for future research.

The research agenda should identify (a) fundamental issues for study and (b) issues and questions that will result in research projects of direct practical utility to criminal justice professionals.

Prepare a report that includes results of the survey, a critical examination of selected specific policies, and recommendations for future research into the effectiveness of differing sentencing strategies and sanctions for drug offenders.

To address this objective, the grantee must produce a final report and an executive summary that can be disseminated to practitioners and researchers. These final products will include a description of the review and assessment of current policies, procedures, and practices for sentencing drug offenders.

The policies should be critically reviewed and examined in terms of information available from prior research. Innovative practices should be described in detail.

Application Requirements. All applicants must submit a completed SF 424, Application for Federal Assistance, including a program narrative, a detailed budget, and a budget narrative. In addition to the requirements specified in the instructions for the preparation of SF 424, the following information should also be included:

- **Program goals.** The application should also contain a discussion of the problem and the potential contribution of this program to the field.
- **Program strategy.** Applicants should describe the proposed approach for achieving the goals and objectives of the program. Applicants should include a discussion of how each objective would be accomplished.
- **Program implementation plan.** Applicants should provide a plan that outlines the major activities involved in implementing the program, describes how they will allocate resources to implement the program, and explains how the program will be managed.
- **Products.** The applicants should concisely describe the interim and final products under each objective of the program, and address the purpose, audience, and usefulness of each product to the field.
- **Program budget.** The applicants should provide an appropriate budget with a detailed justification for all

costs, including the basis on which these costs are calculated.

Products. At a minimum, final products of the research projects must include:

- A full technical report, including a discussion of the research question, a review of the literature, a description of project methodology, detailed review of project findings, and conclusions and policy recommendations.
- A summary of approximately 2,500 words highlighting the findings of the research and the policy issues those findings will inform, written to be accessible to policy officials and practitioners and suitable for possible publication as an *NIJ Research in Brief*.
- Cleaned copies of all automated data sets developed during the research and full documentation prepared in accordance with the instructions in the *NIJ Data Resources Manual*.

As appropriate, additional interim and final products (e.g., articles, manuals, or training materials) may be specified in the proposal or negotiated at the time of the award.

Eligibility Requirements. NIJ awards grants to or enters into cooperative agreements with educational institutions, nonprofit organizations, public agencies, individuals, and profit-making organizations that are willing to waive their fees.

Monitoring. Each grant awarded under this solicitation will be monitored according to OJP Handbook 4500.2C (Revised Chapter 7, Monitoring). More

specifically, prior to the grant award, the following areas will be defined:

- Statement of goals, objectives, tasks, program activities, and products.
- Program implementation plan and budget that schedules program expenditures.
- Monitoring plan.
- Schedule of monitoring activities.
- Delineation of monitoring products (i.e., progress reports, timeline and task updates, product and activity updates, and draft products).
- The process used by NIJ to review and respond to monitoring findings and recommendations.
- A summary of subsequent program activities in response to implementing the monitoring recommendations. These monitoring efforts will be determined by NIJ and the grantee.

Selection Criteria. All applications will be reviewed by a peer review panel of three to five persons from the research and practitioner communities, selected for their research experience and operational expertise as well as their knowledge in the substantive areas covered by this solicitation. Five criteria are applied in the evaluation process: technical merit of the proposal, understanding of the problem, importance of the research questions addressed, qualifications of the applicant, and project costs.

Award Period. NIJ limits its grants and cooperative agreements to a maximum period of 24 months.

Award Amount. NIJ encourages applicants to develop a reasonable budget which will adequately cover the costs of the proposed project. Funding of this topic has been tentatively set at \$100,000 to \$150,000. It is anticipated that this amount will support one award. Actual funding allocations are based on the quality of proposal received.

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

Sentencing Practices for Drug
Offenders
National Institute of Justice
633 Indiana Avenue NW., Room 864
Washington, D.C. 20531

Completed proposals must be received at the National Institute of Justice by the close of business on June 20, 1991. Extension of this deadline will not be permitted.

Contact. Applicants are strongly encouraged to contact the Institute to discuss topic viability, data availability, or proposal content before submitting proposals. To obtain further information, potential applicants may write to Voncile B. Gowdy, Program Manager, at the above address, or contact her at 202-307-2951.

References

Bryne, James, and Linda Kelley, 1989. "Restructuring Probation as an Intermediate Sanction."

Petersilia, Joan, and Susan Turner, *Prison vs. Probation: Implications for Crime and Offender Recidivism*, RAND Corporation, 1986.

U.S. Department of Justice, Bureau of Justice Assistance, 1988. "FY 1988 Report on Drug Control." Washington, D.C., National Institute of Justice.

U.S. Department of Justice, Bureau of Justice Statistics, 1983. "Bulletin: Felony Sentences in State Courts." Washington, D.C., Bureau of Justice Statistics.

U. S. Department of Justice, Bureau of Justice Statistics, 1989. "Drugs and Crime Facts, 1989." Washington, D.C., Bureau of Justice Statistics.

U.S. Department of Justice, Bureau of Justice Statistics, 1987. "Special Report: Drug Use and Crime. State Prison Inmate Survey, 1986." Washington, D.C., Bureau of Justice Statistics.

U.S. Sentencing Commission, "Supplementary Report on the Initial Sentencing Guidelines and Policy Statements." Washington, D.C., 1987.

Intermediate Sanctions: Related Proposals

The National Institute of Justice is committed to a broad research program, involving both basic and applied approaches, that encompasses a large majority of the criminal justice research community. Moreover, NIJ supports a wide range of research methodologies including case studies, structured observational methods, longitudinal studies, experimental and quasi-experimental designs, surveys, and secondary analyses. Within OJP policy guidelines for this topic area, NIJ encourages innovative research proposals that would bring to bear thinking and research from a variety of disciplines to the study of crime and criminal behavior. NIJ

recognizes that researchers might wish to pose and structure their own research questions.

Applicants may, if they wish, propose research projects addressing the general goals and objectives of this program area but not included in the specific solicitations. If there is a question whether a given project idea falls within the program's scope, applicants are encouraged to seek the advice of the Program Manager.

Applicants are directed to follow the guidelines regarding application requirements, products, eligibility requirements, monitoring, selection criteria, and the award period described in previous sections of this solicitation.

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

Intermediate Sanctions: Related
Proposals
National Institute of Justice
633 Indiana Avenue NW.
Washington, D.C. 20531

Completed proposals must be received at the National Institute of Justice by the close of business on June 27, 1991. Extension of this deadline will not be permitted.

Contact. Applicants are strongly encouraged to contact the Institute to discuss topic viability, data availability, or proposal content before submitting proposals. To obtain further information, potential applicants may write to Voncile B. Gowdy, Program Manager, at the above address, or contact her at 202-307-2951.

Gangs and Violence

NIJ Funding Level: \$1,125,000

OJP Policy Statement. Federal, State, and local law enforcement must work together in a partnership with the community to combat gang violence and drug trafficking. Gang-related homicides and violent crime are tragically high and pose a problem of national concern. The Office of Justice Programs (OJP) will initiate a comprehensive agencywide program which will emphasize prevention, intervention, and suppression of illegal gang activity. A broad range of resources will be dedicated across the full spectrum of OJP agency functions, including policy research, evaluation, program development, demonstration, training and technical assistance, and information dissemination, to confront the gang problem.

Model Anti-Gang Enforcement Initiatives: A National Assessment

Purpose. The purpose of this solicitation is to provide a National Assessment of enforcement initiatives aimed at the suppression of gangs and gang-related criminal activity, to synthesize ongoing efforts, and to communicate the general situation to law enforcement agencies throughout the United States for their use in choosing and implementing similar initiatives.

Background. Gang violence is a growing problem across the Nation. A 1989 survey of law enforcement officials in 45 cities estimated the presence of 1,439 youth gangs and 120,636 gang members. Blacks and Hispanics together made up over 87 percent of the gang populations, far in excess of their representation in the general population. Many of these gangs were involved in serious crimes. The rate of violent offenses for gang members was three times as high as for nongang delinquents, with juvenile gang members

accounting for nearly 23 percent of index crimes in these jurisdictions.

The national survey also showed that some gangs have become involved in the sale as well as the use of illegal drugs, and that gang youths were particularly susceptible to being recruited into larger criminal organizations involved in drug trafficking. An example can be found in recent news accounts of Chinese youth gangs engaged in a resurgent heroin trade in New York City.

The gang problem involves not only juveniles, but also adults. The average age of the gang homicide offender in Los Angeles is 19 to 20 years. Similarly, gang homicide data from Chicago demonstrate that nearly 50 percent of offenders are over age 19, and a recent report on San Diego's gang problem indicates that half of all gang members are 19 or older.

The presence of adults in gangs further complicates the law enforcement response. In the past, emphasis was placed

on the juvenile gang member, but exploration of the nature and activities of gang members as adult offenders must also occur. Adults play leadership roles and engage in the worst violence—homicides, aggravated assaults, robberies—and drug trafficking. Their victims may include innocent bystanders, other gang members, and some professional community members such as police and teachers.

This solicitation is for a National Assessment, which will involve (a) a survey and analysis of the problems and issues, (b) identification and description, where appropriate, of model programs or practices for further evaluation, and (c) recommendations for future research. (See Introduction for further discussion of what a National Assessment entails.)

Goals

- To learn the extent of law enforcement efforts that address the Nation's gang and gang-related crime problem.
- To understand the nature and purpose of police involvement aimed at the suppression of gangs and gang-related activity.
- To disseminate the results of National Assessments of police gang-suppression initiatives to law enforcement agencies, criminal justice practitioners, and researchers.

Objectives

- Collect information that systematically describes the current state-of-the-art anti-gang law enforcement efforts in the United States.

- Describe suppression efforts included in this National Assessment in sufficient detail that other jurisdictions can evaluate their potential costs and benefits.
- Prepare a report of the National Assessment of law enforcement anti-gang initiatives for national distribution.
- Formulate a research agenda that will provide basic questions for future research efforts.

Program Strategy

Collect information that systematically describes the current state of the art in the United States of law enforcement anti-gang efforts.

To accomplish this objective, the grantee should survey a sample of police agencies to determine the nature and extent of anti-gang suppression activities across the country. Police departments may engage in different strategies depending on the magnitude of the gang problem, the size of the police organization, the size and characteristics of the community served, target problems or populations that are being addressed, degree of innovation of the project, the types of project activities, and community setting. A questionnaire to a representative sample of departments should provide an assessment of current practices.

Products shall include (1) a project sampling plan, (2) a project selection rationale, (3) a data collection plan, (4) a project classification scheme, and (5) data tapes. The sampling plan, selection rationale, and classification scheme shall be included in the proposal.

Describe suppression efforts included in this National Assessment in sufficient detail so that other jurisdictions can summarize evaluate their potential costs and benefits.

To accomplish this objective, the grantee should engage in case studies of police suppression activities. At a minimum, the cases should include the purpose of the project; its goals, objectives, and policies; the means by which goals and objectives are being addressed; the organizational arrangements, decisionmaking processes, roles, and functions of staff; the information systems used; the manpower and equipment needs; the funding sources; the personnel skills; the relationships with private and public agencies; the lessons learned; the problems; and the issues. Data shall also be collected to provide indications of project costs and successes.

Products shall include (1) data collection instruments, (2) data tapes, and (3) analysis of the data.

Prepare a report of the National Assessment of law enforcement anti-gang initiatives for national distribution.

To accomplish this objective, the grantee should prepare a report that includes (1) a review of the current literature on the subject of anti-gang enforcement strategies, (2) a classification and general discussion of enforcement strategies that were identified, and (3) detailed descriptions of sites investigated.

Products shall include (1) a preliminary table of contents, (2) the draft final report, and (3) the final report. The table of contents shall be delivered to the National Institute of Justice (NIJ) for

approval prior to the initiation of the draft report. The draft report shall be delivered 90 days prior to the end of the grant for review and comment by NIJ or its agents.

Formulate a research agenda that will provide basic questions for future research projects.

To accomplish this objective, the grantee should develop a research agenda that will (a) identify fundamental issues for study and (b) identify issues and questions that will result in research projects that are of direct practical utility to criminal justice professionals.

Application Requirements. All applicants must submit a completed SF 424, Application for Federal Assistance, including a program narrative, a detailed budget, and a budget narrative. In addition to the requirements specified in the instructions for the preparation of the SF 424, the following information should also be included:

- **Program goals.** The application should also contain a discussion of the problem and the potential contribution of this program to the field.
- **Program strategy.** Applicants must describe the proposed approach for achieving the goals and objectives of the program, and should include a discussion of how each objective would be accomplished.
- **Program implementation plan.** Applicants must provide a plan that outlines the major activities involved in implementing the program and describes how they will allocate resources to implement the program and how the program will be managed.

- **Products.** Applicants must concisely describe the interim and final products under each objective of the program and address the purpose, audience, and usefulness of each product to the field.
- **Program budget.** Applicants must provide an appropriate budget with a detailed justification for all costs including the basis on which the costs were computed.

Products. At a minimum, final products of the research projects must include, where appropriate:

- A full technical report, including a discussion of the research question, a review of the literature, a description of project methodology, a detailed review of project findings, and conclusions and policy recommendations.
- A summary of approximately 2,500 words highlighting the findings of the research and the policy issues those findings will inform, written to be accessible to policy officials and practitioners and suitable for possible publication as an *NIJ Research in Brief*.
- Cleaned copies of all automated data sets developed during the research and full documentation prepared in accordance with the instructions in the *NIJ Data Resources Manual*.

As appropriate, additional interim and final products (e.g., articles, manuals, or training materials) may be specified in the proposal or negotiated at the time of the award.

Eligibility Requirements. NIJ awards grants to, or enters into, cooperative agreements with educational institutions, nonprofit organizations, public agencies, individuals, and profit making organizations that are willing to waive their fees.

Monitoring. Each grant awarded under this solicitation will be monitored according to OJP Handbook 4500.2C (Revised Chapter 7, Monitoring). More specifically, prior to the grant award, the following areas will be defined:

- Statement of goals, objectives, tasks, program activities, and products.
- Program implementation plan and budget that schedules program expenditures.
- Monitoring plan.
- Schedule of monitoring activities.
- Delineation of monitoring products (i.e., progress reports, timeline and task updates, product and activity updates, and draft products).
- The process used by NIJ to review and respond to monitoring findings and recommendations.
- A summary of subsequent program activities in response to implementing the monitoring recommendations. These monitoring efforts will be determined by NIJ and the grantee.

Selection Criteria. All applications will be reviewed by a peer review panel of three to five persons from the research and practitioner communities, selected for their research experience and operational expertise as well as their knowledge in the substantive areas covered by

this solicitation. Five criteria are applied in the evaluation process: technical merit of the proposal, understanding of the problem, importance of the research questions addressed, qualifications of the applicant, and project costs.

Award period. NIJ limits its grants and cooperative agreements to a maximum period of 24 months.

Award Amount. NIJ encourages applicants to develop a reasonable budget that will adequately cover the costs of this project. Funding for this topic has been tentatively set at \$100,000 to \$150,000. It is anticipated that this amount will support one award. Actual funding allocations are based on the quality of proposal received.

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

Model Anti-Gang Enforcement
Initiatives
National Institute of Justice
633 Indiana Avenue NW.
Washington, DC 20531

Completed proposals must be received at the National Institute of Justice by the close of business on June 20, 1991. Extension of this deadline will not be permitted.

Contact. Applicants are strongly encouraged to contact the Institute to discuss topic viability, data availability, or proposal content before submitting proposals. To obtain further information, potential applicants may write to Dr. Craig D. Uchida, Program Manager, at the above address, or telephone him at 202-307-2959.

References

- Hagedorn, J.M. *People and Folks: Gangs, Crime and the Underclass in a Rustbelt City*. Chicago, Lake View Press, 1988.
- Huff, C.R., ed. *Gangs in America*. Newbury Park, California, Sage Publications, 1990.
- Klein, M.W., and C.L. Maxson. "Street Gang Violence" in *Violent Crime, Violent Criminals*, ed. N.A. Weiner and M.E. Wolfgang. Newbury Park, California, Sage Publications, 1989.
- Spergel, I.A. "Youth Gangs: Continuity and Change" in *Crime and Justice: An Annual Review of Research*, ed. N. Morris and M. Tonry, v. 12(1990). Chicago, University of Chicago Press.

Model Gang Prevention Initiatives: A National Assessment

Purpose. The purpose of this solicitation is to provide a National Assessment of prevention programs aimed at gang-related criminal activity, to synthesize ongoing efforts, and to communicate the general situation to communities, law enforcement agencies, and policymakers throughout the United States for their use in choosing and implementing similar initiatives.

Background. The problem of youth gangs in America has been documented in "Youth Gangs: Continuity and Change" (Spergel 1990). The article provides a comprehensive overview of research and programs that deal specifi-

cally with youth gangs. Overall, Spergel finds that traditional youth-work groups and programs are problematic, but he sees hope for more theory-driven, multiple-service, and community-based approaches like the House of UMOJA in Philadelphia.

In addition to the specific research on gangs, a considerable body of social science, education, and health literature on adolescent development, violent behavior, and the impact of child abuse may apply to the gang problem. This literature, together with the work of Spergel and others (e.g., Huff 1990, Hagedorn 1988, Klein and Maxson 1989), points to a complex set of social forces that make gang membership an attractive option for many youths and young adults. These forces include family and other disruptions related to immigration, profound poverty that permeates communities, and the combination of widespread lack of preventive health care and the failure of schools to engage and educate a sizable proportion of the youth population.

This solicitation is for a National Assessment, which will involve: (a) a survey and analysis of the problems and issues, (b) identification and description, where appropriate, of model programs or practices for further evaluation, and (c) recommendations for future research. (See Introduction for further discussion of what a National Assessment entails.)

Goals

- To determine the nature and extent of programs aimed at the prevention of gang-related criminal behavior.

- To assess model prevention efforts in terms of their purpose, operational characteristics, and effects.
- To disseminate the results of national overview and assessments of prevention initiatives to communities, police agencies, and policymakers.

Objectives

- Collect information that systematically describes the current state of the art in the United States of prevention of gang-related criminal behavior.
- Describe prevention programs included in this National Assessment in sufficient detail so that other jurisdictions can summarily evaluate their potential costs and benefits.
- Prepare a report of the National Assessment of prevention initiatives for national distribution.
- Formulate a research agenda that will provide basic questions for future research efforts.

Program Strategy

Collect information that systematically describes the current state of the art in the United States of prevention of gang-related criminal behavior.

To accomplish this objective, the grantee should build on existing research and identify a representative sample of prevention efforts from across the country. For example, prevention efforts may differ by type of gang (e.g., ethnic, behavioral), by the magnitude of the problem, by the complexity, size and characteristics of the community served,

by target problems or populations that are being addressed, by the degree of innovation of the project, by the nature of project activities, and by the community setting.

Products shall include (1) a project sampling plan, (2) a project selection rationale, (3) a data collection plan, (4) a project classification scheme, and (5) data tapes. The sampling plan, selection rationale, and classification scheme shall be included in the proposal.

Describe prevention programs included in this National Assessment in sufficient detail so that other jurisdictions can summarily evaluate their potential costs and benefits.

To accomplish this objective, the grantee should engage in case studies of prevention programs. At a minimum, the cases should include the purpose of the project; its goals, objectives, and policies; the means by which goals and objectives are being addressed; the organizational arrangements, decisionmaking processes, roles and functions of staff; the information systems used; the manpower and equipment needs; the funding sources; the personnel skills; the liaisons with private and public agencies; the lessons learned; the problems; and the issues. Data shall also be collected to provide indications of project costs and successes.

Prepare a report of the National Assessment of prevention initiatives for national distribution.

To accomplish this objective, the grantee should prepare a report that includes all data collected. The final report shall be in camera-ready form for printing.

Products shall include (1) a preliminary Table of Contents, (2) a draft final report, and (3) a final report. The Table of Contents shall be delivered to NIJ for approval prior to the initiation of the draft report. The draft report shall be delivered 90 days prior to the end of the grant for review and comment by NIJ or its agents. The grantee shall incorporate review comments to form the final report.

Formulate a research agenda that will provide basic questions for future research projects.

To accomplish this objective, the grantee should formulate a research agenda that will identify (a) fundamental issues for study and (b) issues and questions that will result in research projects of direct practical utility to criminal justice professionals.

Application Requirements. All applicants must submit a completed SF 424, Application for Federal Assistance, including a program narrative, a detailed budget, and a budget narrative. In addition to the requirements specified in the instructions for the preparation of SF 424, the following information should also be included:

- **Program goals.** The application should also contain a discussion of the problem and the potential contribution of this program to the field.
- **Program strategy.** Applicants must describe the proposed approach for achieving the goals and objectives of the program and should include a discussion of how each objective would be accomplished.

- **Program implementation plan.** Applicants must provide a plan that outlines the major activities involved in implementing the program and describes how they will allocate resources to implement the program and how the program will be managed.
- **Products.** Applicants must concisely describe the interim and final products under each objective of the program and address the purpose, audience, and usefulness of each product to the field.
- **Program budget.** Applicants must provide an appropriate budget with a detailed justification for all costs including the basis on which the costs were computed.

Products. At a minimum, final products of the research projects must include:

- A full technical report including a discussion of the research question, a review of the literature, a description of project methodology, detailed review of project findings, and conclusions and policy recommendations.
- A summary of approximately 2,500 words highlighting the findings of the research and the policy issues those findings will inform, written to be accessible to policy officials and practitioners, and suitable for possible publication as an *NIJ Research in Brief*.
- Cleaned copies of all automated data sets developed during the research and full documentation prepared in accordance with the instructions in the *NIJ Data Resources Manual*.

As appropriate, additional interim and final products (e.g., articles, manuals, or training materials) may be specified in the proposal or negotiated at the time of the award.

Eligibility Requirements. NIJ awards grants, to or enters into, cooperative agreements with educational institutions, nonprofit organizations, public agencies, individuals, and profit-making organizations that are willing to waive their fees.

Monitoring. Each grant awarded under this solicitation will be monitored according to OJP Handbook 4500.2C (Revised Chapter 7, Monitoring). More specifically, prior to the grant award, the following areas will be defined:

- Statement of goals, objectives, tasks, program activities, and products.
- Program implementation plan and budget that schedules program expenditures.
- Monitoring plan.
- Schedule of monitoring activities.
- Delineation of monitoring products (i.e., progress reports, timeline and task updates, product and activity updates, and draft products).
- The process used by NIJ to review and respond to monitoring findings and recommendations.
- A summary of subsequent program activities in response to implementing the monitoring recommendations. These monitoring efforts will be determined by NIJ and the grantee.

Selection Criteria. All applications will be reviewed by a peer review panel of

three to five persons from the research and practitioner communities, selected for their research experience and operational expertise as well as their knowledge in the substantive areas covered by this solicitation. Five criteria are applied in the evaluation process: technical merit of the proposal, understanding of the problem, importance of the research questions addressed, qualifications of the applicant, and project costs.

Award Period. NIJ limits its grants and cooperative agreements to a maximum period of 24 months.

Award Amount. NIJ encourages applicants to develop a reasonable budget that will adequately cover the costs of this project. Funding for this topic has been tentatively set at \$100,000 to \$150,000. It is anticipated that this amount will support one award. Actual funding allocations are based on the quality of proposal received.

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

Model Gang Prevention Initiatives
National Institute of Justice
633 Indiana Avenue NW., Room 869
Washington, DC 20531

Completed proposals must be received at the National Institute of Justice by the close of business on June 20, 1991. Extension of this deadline will not be permitted.

Contact. Applicants are strongly encouraged to contact the Institute to discuss topic viability, data availability, or proposal content before submitting proposals. To obtain further information, potential applicants may write to Dr. Craig D. Uchida, Program Manager, at the above address, or telephone him at 202-307-2959.

References

Hagedorn, J.M. *People and Folks: Gangs, Crime and the Underclass in a Rustbelt City*. Chicago, Lake View Press, 1988.

Huff, C.R., ed. *Gangs in America*. Newbury Park, California, Sage Publications, 1990.

Klein, M.W., and C.L. Maxson. "Street Gang Violence" in *Violent Crime, Violent Criminals*, ed. N.A. Weiner and M.E. Wolfgang. Newbury Park, California, Sage Publications, 1989.

Spergel, I.A. "Youth Gangs: Continuity and Change," in *Crime and Justice: An Annual Review of Research* ed. N. Morris and M. Tonry, v. 12(1990), Chicago, University of Chicago Press.

Gang Migration

Purpose. The purpose of this solicitation is to support original research into gang migration, to identify gangs that migrate, to determine the patterns of migration, and to examine strategies that are effective in the prevention and control of criminal activity associated with gang migration.

Background. Gang migration has become a major topic for policymakers, law enforcement, and researchers. The spread of gangs from city to city has caused serious problems for police, citizens, mayors, city councils, and others in the field. The most publicized youth gangs that migrate are the Los Angeles-based Crips and Bloods. From the Federal perspective, these gangs have migrated across State lines to other urban centers. Professor Jerome Skolnick

(1990) reports that by late 1988 "police departments all over the country, from Shreveport, [Louisiana], to Kansas City, [Missouri], to Seattle, [Washington], were reporting that California gang members were extending their operations." Smaller cities and towns are also wary and fearful of the incursion of gangs into their jurisdictions.

Reports of drug trafficking and violence by migratory gangs have emerged from various cities, yet we do not fully understand the nature of that migration.

This solicitation seeks proposals for original research projects that will develop and test hypotheses through formal research designs. Research questions and issues based on a critical review of the literature within the problem area should be developed within the applicant's proposal. NIJ supports a wide range of research methodologies including case studies, survey research, secondary analyses of existing datasets, and experimental and quasi-experimental designs. (Applicants are directed to seek the advice of the Program Manager before beginning the task of writing a proposal.)

Goals

- To understand the extent and nature of the problem of gang migration nationally.
- To learn what the effective strategies are to prevent and control criminal activity associated with gang migration, including a review of the current literature and practices across the country.
- To disseminate the results of the national study of the problem of gang

migration and effective strategies to combat the phenomenon.

Objectives

- Document and estimate the number of gangs involved in migration, characteristics of the gang members involved in migration, and the nature of the migration.
- Identify and examine current practices to prevent and control criminal activities associated with gang migration and to determine their consistency with existing literature and theory.
- Determine and analyze strategies to prevent and control criminal activity associated with gang migration.
- Formulate recommendations and develop a comprehensive report for improved policies, procedures, and practices addressing prevention, intervention, and suppression. This report will be disseminated to law enforcement agencies, public policymakers, and researchers.

Program Strategy

Document and estimate the number of gangs involved in migration, characteristics of the gang members involved in migration, and the nature of the migration.

To accomplish this objective, the grantee should identify appropriate methods for determining the nature and characteristics of gang migration. Based on a thorough review of theoretical and empirical research, the grantee is directed to define key terms, develop strategies that will provide valid and reliable estimates of the

number of gangs that migrate, and maximize access to data sources. The grantee must specify a sampling strategy, outline data collection instruments, and develop data analysis plans within the grant proposal. As with all NIJ projects of this nature, the grantee must specify plans to protect the confidentiality of the data. The grantee should determine the current extent and location of the migration activity and identify the types of gang members involved in illegal gang-related activities outside of their regular place of activity.

To determine the characteristics of gang members and the nature of the migration, the grantee must discuss appropriate research methodologies within the body of the proposal. This will include, at a minimum, definitions of the target population and site selection and an explanation of the organization and planning activities necessary to document the migration of gang members. A schedule of tasks and an implementation plan will be a part of this proposal.

The products resulting from this objective will include data collection instruments, a data tape, and a draft report that discusses preliminary findings of the estimate of the number of gangs that migrate and the nature and characteristics of the migration. The ultimate result is a final report that could be disseminated to policymakers, researchers, law enforcement officials, and criminal justice practitioners.

Identify and examine current practices to prevent and control criminal activities associated with gang migration and determine their consistency with existing literature and theory.

A major focus of this solicitation is to identify and examine current practices to prevent and control the criminal activities associated with gang migration. Based on a review of empirical research and an assessment of current law enforcement practices, the grantee is directed to design a study that will provide law enforcement agencies and criminal justice practitioners with information about effective strategies. The proposal will include an appropriate method to identify current law enforcement practices and possibly community-based programs that address this problem. In so doing, the grantee will specify the structure, goals, and operating policies, procedures, and practices of existing programs.

The products of this objective include a review of existing research and identification and description of existing programs.

Determine and analyze effective strategies to prevent and control criminal activities associated with gang migration.

The major focus of this solicitation is to study a particular strategy to address the gang migration problem. Based upon the research and in consultation with NIJ, the grantee will select a site for intensive examination. Within the grant proposal, the grantee must suggest sites and provide a research plan and methodology for the study.

At a minimum, the proposal should include the types of information that will be collected, the operating assumptions that guide program organization and operations, the historical development of the program, the number and type of gang members served, the program costs, the sources of funding, the relationships

to public and private agencies, staffing, organization, and management and administration.

The grantee should address the issue of individual systems' (i.e., courts, police, prosecutors, other community organizations) response to the problem of gang migration out of one community and into another. It should explain coordination networks and the interplay between the various community service agencies in response to this phenomenon.

The grantee must provide a description of the operational programs and the recommendations for model policies, procedures, and practices.

Formulate recommendations and develop a comprehensive report for improved policies, procedures, and practices addressing prevention, intervention, and suppression. This report will be disseminated to law enforcement practitioners, public policymakers, and researchers.

This report is expected to include a thorough discussion of the problem; a review of the theoretical and empirical research; a discussion of the research methodology employed; the findings of the intensive study; and the recommendations for the development of model policies, procedures, and practices.

Application Requirements. All applicants must submit a completed SF 424, Application for Federal Assistance, including a program narrative, a detailed budget, and a budget narrative. In addition to the requirements specified in the instructions for the preparation of the SF 424, the following information should also be included:

- **Program goals.** The application should also contain discussion of the problem and the potential contribution of this program to the field.
- **Program strategy.** Applicants must describe the proposed approach for achieving the goals and objectives of the program. Applicants must include a discussion of how each objective would be accomplished.
- **Program implementation plan.** Applicants must provide a plan that outlines the major activities involved in implementing the program, describes how they will allocate resources to implement the program, and explains how the program will be managed.
- **Products.** Applicants must concisely describe the interim and final products under each objective of the program and address the purpose, audience, and usefulness of each product to the field.
- **Program budget.** Applicants must provide an appropriate budget with a detailed justification for all costs, including the basis for computation of these costs.

Products. At a minimum, final products of the research projects must include:

- A full technical report, including a discussion of the research question, a review of the literature, a description of project methodology, a detailed review of project findings, and conclusions and policy recommendations.
- A summary of approximately 2,500 words highlighting the findings of the research and the policy issues which

those findings will inform, written to be accessible to policy officials and practitioners, and suitable for possible publication as an *NIJ Research in Brief*.

- Cleaned copies of all automated data sets developed during the research and full documentation prepared in accordance with the instructions in the *NIJ Data Resources Manual*.

As appropriate, additional interim and final products (e.g., articles, manuals, or training materials) may be specified in the proposal or negotiated at the time of the award.

Eligibility Requirements. NIJ awards grants to, or enters into, cooperative agreements with educational institutions, nonprofit organizations, public agencies, individuals, and profit making organizations that are willing to waive their fees.

Monitoring. Each grant awarded under this solicitation will be monitored according to OJP Handbook 4500.2C (Revised Chapter 7, Monitoring). More specifically, prior to the grant award, the following areas will be defined:

- Statement of goals, objectives, tasks, program activities, and products.
- Program implementation plan and budget that schedules program expenditures.
- Monitoring plan.
- Schedule of monitoring activities.
- Delineation of monitoring products (i.e., progress reports, timeline and task updates, product and activity updates, and draft products).

- The process used by NIJ to review and respond to monitoring findings and recommendations.
- A summary of subsequent program activities in response to implementing the monitoring recommendations. These monitoring efforts will be determined by NIJ and the grantee.

Selection Criteria. All applications will be reviewed by a peer review panel of three to five persons from the research and practitioner communities, selected for their research experience and operational expertise as well as their knowledge in the substantive areas covered by this solicitation. Five criteria are applied in the evaluation process: technical merit of the proposal, understanding of the problem, importance of the research questions addressed, qualifications of the applicant, and project costs.

Award Period. NIJ limits its grants and cooperative agreements to a maximum period of 24 months.

Award Amount. NIJ encourages applicants to develop a reasonable budget that will adequately cover the costs of this project. Funding for this topic has been tentatively set at \$150,000 to \$250,000. It is anticipated that this amount will support one award. Actual funding allocations are based on the quality of proposal received.

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

Gang Migration
National Institute of Justice
633 Indiana Avenue NW., Room 869
Washington, DC 20531

Completed proposals must be received at the National Institute of Justice by the close of business on June 27, 1991. Extension of this deadline will not be permitted.

Contact. Applicants are strongly encouraged to contact the Institute to discuss topic viability, data availability, or proposal content before submitting proposals. To obtain further information, potential applicants may write to Dr. Craig D. Uchida, Program Manager, at the above address, or telephone him at 202-307-2959.

References

Skolnick, Jerome. "Gang Organization and Migration." Unpublished manuscript, University of California-Berkeley, 1990.

Police Killings: A Comprehensive Analysis

Purpose. The purpose of this solicitation is to describe the circumstances surrounding police homicides in the United States and analyze their causes in the expectation that deeper understanding of this subject can help to prevent and reduce police homicides.

Background. The FBI reported a yearly average of 90 police officers feloniously killed in the United States from 1962 to 1989. Since the mid-1970's, the trend in the number of police homicides has been down from a high of 132 in 1974 to 66 in 1989. Although research has been conducted in specific areas—including domestic disturbances and drug-related incidents, the type of weapons used in police killings, and survivor and departmental responses to line-of-duty deaths—there has never been a comprehensive national review of police homicides. This

study calls for a review and synthesis of all that is known on this subject to date.

The National Institute of Justice is committed to reducing the risk faced by police officers in performing their duties, and an indepth assessment of police homicides is part of NIJ's effort to reduce further the loss of police officers' lives. The most dramatic example of this effort is the Institute's role in developing lightweight police body armor, which has been credited with saving the lives of more than a thousand police officers.

This solicitation is for a Comprehensive Analysis, which will include a critical literature review and synthesis; a new analysis of existing data, where appropriate; development of a research agenda that builds on past research; the identification and description of promising approaches from existing practice; and, where appropriate, the development of model programs. A Comprehensive Analysis includes site visits. (*See Introduction for additional information on what a Comprehensive Analysis entails.*)

Goals

- To help prevent and reduce police homicides through deepening understanding of the nature of and circumstances surrounding police homicides.
- To develop strategies that will help police departments prevent and reduce deaths in the line of duty.
- To understand in detail the prevention of felonious deaths of officers by wearing of soft body armor.
- To review strategies that prevent police homicides.

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- To disseminate results of this assessment of police homicides and an analysis of effective strategies to combat police homicides.

Objectives

- Document the nature of and circumstances surrounding police homicides by reviewing and synthesizing past and current research.
- Document in detail the prevention of felonious deaths of police officers by the wearing of soft body armor.
- Determine and analyze strategies to prevent police homicides.
- Formulate a research agenda that will provide basic questions for future research.
- Prepare a comprehensive report on felonious police killings, which will include an assessment of police homicides, an indepth study of circumstances relating to such killings, a research agenda for future research, and strategies to prevent police homicides. This report will be disseminated to law enforcement agencies, policymakers, and researchers.

Program Strategy

Document the nature of and circumstances surrounding police homicides by reviewing and synthesizing past and current research.

The grantee must determine the current nature and characteristics of police homicides by conducting a thorough review of the nature of and characteristics surrounding police homicides. This

assessment must be based on a thorough review of the data and literature. The proposal should specify a sampling strategy, outline data-collection instruments, present data-analysis plans, and contain a research management plan and schedule.

In addition, the applicant's proposal should include plans to reanalyze existing data sets if the applicant believes that such reanalyses will further the goals and objectives of this solicitation. The applicant is encouraged to consult the fourth edition of the *Data Resources of the National Institute of Justice* for a listing of appropriate data sets.

Products will include data-collection plans, data tapes, and a draft report that discusses preliminary findings of the assessment of police homicides. The ultimate result will be a final report suitable for dissemination to police department leaders and commanders, policymakers, researchers, and other law enforcement officials and criminal justice practitioners.

Document in detail the prevention of felonious deaths of police officers by the wearing of soft body armor.

A major focus of this solicitation is to identify and examine, in detail, incidents in which police officers survived because they were wearing soft body armor or were killed despite wearing such armor. The grantee will conduct case studies of these incidents to provide law enforcement agencies and criminal justice practitioners with information about effective strategies to prevent such deaths. The proposal will include an appropriate method to conduct the case studies.

The product will be a preliminary report that focuses on the case studies, the results of this analysis, and possible strategies to prevent such deaths.

Determine and analyze strategies to prevent police homicides.

Based upon the research, the grantee will propose strategies to prevent and control police homicide. These strategies will address the known circumstances surrounding police homicides, including those prevented by body armor.

The product of this objective will be a preliminary report that discusses strategies to prevent and control police homicide.

Formulate a research agenda that will provide basic questions for future research.

The research agenda should identify: (a) gaps in current knowledge, especially those that relate to operational issues; (b) controversies in need of resolution; and (c) new research questions in this area. The agenda should also describe optional research approaches for addressing new areas of need.

Prepare a comprehensive report on felonious police killings, which will include an assessment of police homicides, an indepth study of circumstances relating to such killings, a research agenda for future research, and strategies to prevent police homicides. This report will be disseminated to law enforcement agencies, policymakers, and researchers.

This report should include a thorough discussion of the problem, a review of the

theoretical and empirical research, a discussion of the research methodology employed, the findings of the intensive study of actual cases of police homicides, including cases of both lives saved and deaths in instances where officers wore soft body armor, a research agenda for future research, and recommendations for strategies to prevent police homicides.

Application Requirements. All applicants must submit a completed SF 424, Application for Federal Assistance, including a program narrative, a detailed budget, and a budget narrative. In addition to the requirements specified in the instructions for the preparation of the SF 424, the following information should also be included:

- **Program goals.** The application should also contain discussion of the problem and the potential contribution of this program to the field.
- **Program strategy.** Applicants must describe the proposed approach for achieving the goals and objectives of the program. Applicants must include a discussion of how each of the four objectives would be accomplished.
- **Program implementation plan.** Applicants must provide a plan that outlines the major activities involved in implementing the program, describes how they will allocate resources to implement the program, and explains how the program will be managed.
- **Products.** The applicants must concisely describe the interim and final products under each objective of the program and address the purpose, audience, and usefulness of each product to the field.

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- **Program budget.** The applicants must provide an appropriate budget with a detailed justification for all costs, including the basis on which these costs were computed.

Products. At a minimum, final products of the research projects must include:

- A full technical report including a discussion of the research question, a review of the literature, a description of project methodology, detailed review of project findings, and conclusions and policy recommendations.
- A summary of approximately 2,500 words highlighting the findings of the research and the policy issues which those findings will inform, written to be accessible to policy officials and practitioners, and suitable for possible publication as an *NIJ Research in Brief*.
- Cleaned copies of all automated data sets developed during the research and full documentation prepared in accordance with the instructions in the *NIJ Data Resources Manual*.

As appropriate, additional interim and final products (e.g., articles, manuals, or training materials) may be specified in the proposal or negotiated at the time of the award.

Eligibility Requirements. NIJ awards grants to or enters into cooperative agreements with educational institutions, nonprofit organizations, public agencies, individuals, and profit making organizations that are willing to waive their fees.

Monitoring. Each grant awarded under this solicitation will be monitored

according to OJP Handbook 4500.2C (Revised Chapter 7, Monitoring). More specifically, prior to the grant award, the following areas will be defined:

- Statement of goals, objectives, tasks, program activities, and products.
- Program implementation plan and budget that schedules program expenditures.
- Monitoring plan.
- Schedule of monitoring activities.
- Delineation of monitoring products (i.e., progress reports, timeline and task updates, product and activity updates, and draft products).
- The process used by NIJ to review and respond to monitoring findings and recommendations.
- A summary of subsequent program activities in response to implementing the monitoring recommendations. These monitoring efforts will be determined by NIJ and the grantee.

Selection Criteria. All applications will be reviewed by a peer review panel of three to five persons from the research and practitioner communities, selected for their research experience and operational expertise as well as their knowledge in the substantive areas covered by this solicitation. Five criteria are applied in the evaluation process: technical merit of the proposal, understanding of the problem, importance of the research questions addressed, qualifications of the applicant, and project costs.

Award Period. NIJ limits its grants and cooperative agreements to a maximum period of 24 months.

Award Amount. NIJ encourages applicants to develop a reasonable budget that will adequately cover the costs of this project. Funding for this topic has been tentatively set at \$150,000 to \$200,000. It is anticipated that this amount will support one award. Actual funding allocations are based on the quality of proposal received.

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

Police Killings
National Institute of Justice
633 Indiana Avenue NW., Room 917
Washington, DC 20531

Completed proposals must be received at the National Institute of Justice by the close of business on June 27, 1991. Extension of this deadline will not be permitted.

Contact. Applicants are strongly encouraged to contact the Institute to discuss topic viability, data availability, or proposal content before submitting proposals. To obtain further information, potential applicants may write to Ms. Winifred L. Reed, Program Manager, at the above address, or telephone her at 202-307-0650.

Domestic Terrorism: A National Assessment of State and Local Law Enforcement Preparedness

Purpose. The purpose of this solicitation is to support a study of terrorism in the United States threatened by both international and domestic groups. The study

will provide State and local law enforcement with information on the extent of the problem, planning issues, and an agenda for future research and development.

Background. The recent Desert Storm operation in the Middle East generated a great fear of terrorist activities throughout the world and particularly in the United States. In response, Federal, State and local security and law enforcement agencies in many jurisdictions initiated a series of security policies and procedures to counteract the threat and hence, safeguard the highly vulnerable targets.

Terrorism is defined by the FBI, whether by international or domestic terrorist groups, as "the unlawful use of force or violence against persons or property to intimidate or coerce a government, the civilian population, or any segment thereof, in furtherance of political or social objectives." NIJ has supported the development of a manual for law enforcement managers on counterterrorism to aid police administrators in developing plans to cope with terrorist-related threats and actions. NIJ, with the FBI, surveyed all aircraft hijacking in the United States. This study included extensive interviews and psychiatric testing of those hijackers still incarcerated and willing to cooperate and developed profiles of the hijackers as well as training materials and guidelines for law enforcement agencies responding to a hijacking. In addition, NIJ, through its technology programs, supported the development by the Bureau of Alcohol, Tobacco and Firearms of a method to identify the brand of smokeless powders used in bombing cases.

The past success of U.S. anti-terrorist activities at the Federal level does not reduce the need for further support for security activities or development of anti-terrorist strategies. This is a continuing war which requires updating knowledge, technology, training, and education to provide responsible agencies with the best intelligence weapons and procedures available. In general, much is being done by the FBI and large police departments for the most vulnerable targets. However, when the terrorist threat occurs in smaller jurisdictions, the local law enforcement agencies may not have had the benefit of training, planning, or experience. These agencies need information on the extent of the problem, how to prevent it, and how to cope with it when it happens, as well as how to get assistance when they need it.

This solicitation is for a National Assessment, which will involve (a) a survey and analysis of the problems and issues, (b) identification and description, where appropriate, of model programs or practices for further evaluation, and (c) recommendations for future research. (See Introduction for further discussion of what a National Assessment entails.)

Goals

- To prevent terrorist activities in State and local jurisdictions.
- To provide State and local law enforcement with information for prevention and control of terrorist activities in the United States.

Objectives

- Survey Federal, State, and local agencies, review the terrorist threat,

and identify promising approaches to prevent or to control the threat.

- Provide information to State and local law enforcement on planning issues and promising approaches for counterterrorist activities in the United States.
- Recommend research studies and technical developments to combat future terrorist threats.
- Formulate a research agenda that will provide basic questions for future research efforts.

Program Strategies

Survey Federal, State, and local agencies; review the terrorist threat; and identify promising approaches to prevent and to control the threat.

To accomplish this objective the grantee should survey a sample of State and local agencies and all relevant Federal agencies to estimate the extent of the terrorist threat (from both international and domestic groups), and to identify planning issues and promising approaches to prevent and control the threat. The grantee must analyze the results in order to develop an estimate of the potential threat.

The product of this objective is a review of past and present terrorist activity and the identification of the potential threat.

Provide information to State and local law enforcement on planning issues and promising approaches for counterterrorist activities in the United States.

In accomplishing this objective, the grantee must analyze the survey results

on planning issues and promising counterterrorist approaches. Case studies of specific counterterrorist activity will be included. The grantee must develop information on planning issues and promising approaches for counterterrorism for State and local law enforcement.

The product for this objective is a report on information on planning issues and promising approaches for counterterrorism for State and local law enforcement activity in the United States.

Recommend research studies and technology developments to combat future terrorist threats.

To accomplish this objective, the grantee must review and analyze all current research studies and technology developments pertaining to terrorism and recommend studies and technology developments to combat future terrorist threats.

The product of this objective is a research and development agenda for consideration by NIJ in future funding of this field.

Formulate a research agenda that will provide basic questions for future research projects.

To accomplish this objective, the grantee must formulate a research agenda that will identify (a) fundamental issues for study and (b) issues and questions that will result in research projects that are of direct practical utility to criminal justice professionals.

Application Requirements. All applicants must submit a completed SF 424,

Application for Federal Assistance, including a program narrative, a detailed budget, and a budget narrative. In addition to the requirements specified in the instructions for the preparation of the SF 424, the following information should also be included:

- **Program goals.** The application should also contain discussion of the problem and the potential contribution of this program to the field.
- **Program strategy.** Applicants must describe the proposed approach for achieving the goals and objectives of the program. Applicants must include a discussion of how each objective would be accomplished.
- **Program implementation plan.** Applicants must provide a plan which outlines the major activities involved in implementing the program and describe how they will allocate resources to implement the program and how the program will be managed.
- **Products.** The applicants must concisely describe the interim and final products under each objective of the program and address the purpose, audience, and usefulness of each product to the field.
- **Program budget.** The applicants must provide an appropriate budget with a detailed justification for all costs including the basis on which these costs were computed.

Products. At a minimum, final products of the research projects must include:

- A full technical report, including a discussion of the research question, a

review of the literature, a description of project methodology, a detailed review of project findings, and conclusions and policy recommendations.

- A summary of approximately 2,500 words highlighting the findings of the research and the policy issues those findings will inform, written to be accessible to policy officials and practitioners and suitable for possible publication as an *NIJ Research in Brief*.
- Cleaned copies of all automated data sets developed during the research and full documentation prepared in accordance with the instructions in the *NIJ Data Resources Manual*.

As appropriate, additional interim and final products (e.g., articles, manuals, or training materials) may be specified in the proposal or negotiated at the time of the award.

Eligibility Requirements. NIJ awards grants to, or enters into, cooperative agreements with educational institutions, nonprofit organizations, public agencies, individuals, and profitmaking organizations that are willing to waive their fees.

Monitoring. Each grant awarded under this solicitation will be monitored according to OJP Handbook 4500.2C (Revised Chapter 7, Monitoring). More specifically, prior to the grant award, the following areas will be defined:

- Statement of goals, objectives, tasks, program activities, and products.
- Program implementation plan and budget that schedules program expenditures.

- Monitoring plan.
- Schedule of monitoring activities.
- Delineation of monitoring products (i.e., progress reports, timeline and task updates, product and activity updates, and draft products).
- The process used by NIJ to review and respond to monitoring findings and recommendations.
- A summary of subsequent program activities in response to implementing the monitoring recommendations. These monitoring efforts will be determined by NIJ and the grantee.

Selection Criteria. All applications will be reviewed by a peer review panel of three to five persons from the research and practitioner communities, selected for their research experience and operational expertise as well as their knowledge in the substantive areas covered by this solicitation. Five criteria are applied in the evaluation process: technical merit of the proposal, understanding of the problem, importance of the research questions addressed, qualifications of the applicant, and project costs.

Award Period. NIJ limits its grants and cooperative agreements to a maximum period of 24 months.

Award Amount. NIJ encourages applicants to develop a reasonable budget that will adequately cover the costs of this project. Funding for this topic has been tentatively set at \$100,000 to \$150,000. It is anticipated that this amount will support one award. Actual funding allocations are based on the quality of proposal received.

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

Domestic Terrorism: A National
Assessment of State and Local
Law Enforcement Preparedness
National Institute of Justice
633 Indiana Avenue NW.
Washington, DC 20531

Completed proposals must be received at the National Institute of Justice by the close of business on June 20, 1991. Extension of this deadline will not be permitted.

Contact. Applicants are strongly encouraged to contact the Institute to discuss topic viability, data availability, or proposal content before submitting proposals. To obtain further information, potential applicants may write to Dr. Richard M. Rau, Program Manager, at the above address, or telephone him at 202-307-0645.

Multiple Murder: A Comprehensive Analysis

Purpose. The purpose of this solicitation is to support a Comprehensive Analysis of multiple murder in order to provide State and local law enforcement with information on the extent of these kinds of killings and on approaches for prevention and control of them.

Background. Violent crime has increased continuously over the past 5 years, following a 5-year decline, according to the FBI's *Uniform Crime Reports*. The current annual rate of violent crime is 637.2 per 100,000; this is nearly 20 percent higher than 5 years ago and nearly 10 percent higher than in

1980, the peak year. During the same period, homicide rates have shown similar patterns. Currently, the homicide rate is 8.7 per 100,000, 10 percent higher than 5 years ago. These statistics indicate that violent crimes, particularly homicide, are on the rise despite greater emphasis on severe punishment.

In response to the Attorney General's Task Force on Violent Crime in the early 1980's, the National Institute of Justice awarded funds to the FBI to develop a profiling process to identify individuals who have committed multiple murders with sexual aspects. The success of this effort led directly to the establishment of the FBI's National Center for the Analysis of Violent Crime (NCAVC) and the adoption of the Violent Criminal Apprehension Program (VICAP), also with NIJ support. VICAP focuses on serial murder with sexual aspects and serial rape. Using a sophisticated computer system, VICAP creates a classification system for each crime and a profiling system for offenders. VICAP collects and analyzes information on unsolved violent crimes from law enforcement agencies across the country, acts as an information clearinghouse on these crimes for State and local law enforcement, and assists in coordinating complex interagency investigations.

Serial murder with sexual aspects, as defined by NCAVC, is a series of killings by a single individual, committed over a period of time, with little trace of the suspect's identity. This includes the mass murderer (one who kills four or more victims at one location and in one event); the spree murderer (one who kills two or more at two or more locations); and the serial murderer (one who kills three or more victims at separate times with

cooling-off periods in between). Multiple murder can be committed by a stranger or a person known to the victims.

This solicitation emphasizes gathering information on these individuals that can be used to develop approaches to prevent future multiple killings. As in the VICAP model, it may be possible to construct a classification system for the different crimes and a profiling system for offenders that can be used to interdict offenders and prevent additional killings. A data base on multiple murderers and a clearinghouse to provide technical assistance would benefit State and local law enforcement.

This solicitation is for a Comprehensive Analysis, which will include a critical literature review and synthesis, a new analysis of existing data sets, the identification and description of promising approaches from existing practice, and where appropriate, the development of model programs. A Comprehensive Analysis will include site visits. (*See Introduction for additional information on what a Comprehensive Analysis entails.*)

Goals

- To prevent and control multiple murders in State and local jurisdictions.
- To determine the extent of killings by multiple murderers in the United States.

Objectives

- Survey Federal, State, and local agencies to estimate the extent of killings by multiple murderers and to

identify promising approaches for prevention or control.

- Develop a classification system for multiple murders as well as prediction models, profiling methods, or both, for suspects that can be used by Federal, State, and local law enforcement.
- Develop a data collection system and clearinghouse for information and technical assistance on multiple murders.
- Develop a review and synthesis that critically examines what is known about multiple murders and assesses what types of new information are needed to support State and local law enforcement operations and strategies.

Program Strategy

Survey Federal, State, and local agencies to estimate the extent of killings by multiple murderers and to identify promising approaches for prevention and control.

To accomplish this objective the applicant must review the literature on multiple murderers and develop and implement a detailed and comprehensive survey to collect information on multiple murderers from Federal, State, and local agencies and information on promising approaches for preventing and controlling these crimes. The applicant is expected to analyze the survey results and estimate the extent of killings by multiple murderers as well as to identify promising prevention and control strategies for multiple killings.

The products will be a report on the estimated extent of killings by multiple

murderers and the identification of promising approaches for prevention and control.

Develop a classification system for multiple murders as well as prediction models and/or profiling methods for suspects for use by Federal, State, and local law enforcement.

In accomplishing this objective, the applicant must analyze the detailed information from a survey of the crime scene, the victims, the weapons, and the offender(s) to develop a classification system for multiple murders, develop prediction models for these crimes, and develop a profiling method for the murderers.

The product for this objective will be a report on the classification of multiple murders, any prediction models developed, and a profiling system for the multiple murderer.

Develop a data collection system and clearinghouse for information and technical assistance on multiple murderers.

To accomplish this objective, the applicant must review and analyze similar data collection systems and clearinghouses and develop a model computerized data collection system along with a clearinghouse to provide information and technical assistance for Federal, State, and local law enforcement agencies on multiple murderers.

The product for this objective will be a report on the model computerized data collection system and guidelines for establishing and maintaining a clearing-

house for information and technical assistance on multiple murderers.

Develop a review and synthesis that critically examines what is known about multiple murders and assesses what types of new information are needed to support State and local law enforcement operations and strategies.

The products for this objective will include a comprehensive literature review that reflects an original approach to existing literature, a re-examination of existing data sets and new analysis if appropriate, the development of a research agenda building on past research, and the formulation of model programs.

Application Requirements

All applicants must submit a completed SF 424, Application for Federal Assistance, including a program narrative, a detailed budget, and a budget narrative. In addition to the requirements specified in the instructions for the preparation of SF 424, the following information should also be included:

- **Program goals.** The application should also contain discussion of the problem and the potential contribution of this program to the field.
- **Program strategy.** Applicants should describe the proposed approach for achieving the goals and objectives of the program. Applicants should include a discussion of how each objective would be accomplished.
- **Program implementation plan.** Applicants should provide a plan that outlines the major activities involved

in implementing the program, describes how they will allocate resources to implement the program, and explains how the program will be managed.

- **Products.** Applicants should concisely describe the interim and final products under each objective of the program, and address the purpose, audience, and usefulness of each product to the field.
- **Program budget.** Applicants should provide an appropriate budget with a detailed justification for all costs including the basis for computation of these costs.

Products. At a minimum, final products of the research projects must include:

- A full technical report including a discussion of the research question, a review of the literature, a description of project methodology, a detailed review of project findings, and conclusions and policy recommendations.
- A summary of approximately 2,500 words highlighting the findings of the research and the policy issues those findings will inform, written to be accessible to policy officials and practitioners, and suitable for possible publication as an *NIJ Research in Brief*.
- Cleaned copies of any automated data sets developed during the research and full documentation prepared in accordance with the instructions in the *NIJ Data Resources Manual*.

As appropriate, additional interim and final products (e.g., articles, manuals, or training materials) may be specified in

the proposal or negotiated at the time of the award.

Eligibility Requirements. NIJ awards grants to or enters into cooperative agreements with educational institutions, nonprofit organizations, public agencies, individuals, and profitmaking organizations willing to waive their fees.

Monitoring. Each grant awarded under this solicitation will be monitored according to OJP Handbook 4500.2C (Revised Chapter 7, Monitoring). More specifically, prior to the grant award, the following areas will be defined:

- Statement of goals, objectives, tasks, program activities, and products.
- Program implementation plan and budget that schedules program expenditures.
- Monitoring plan.
- Schedule of monitoring activities.
- Delineation of monitoring products (i.e., progress reports, timeline and task updates, product and activity updates, and draft products).
- The process used by NIJ to review and respond to monitoring findings/recommendations.
- A summary of subsequent program activities in response to implementing the monitoring recommendations. These monitoring efforts will be determined by NIJ and the grantee.

Selection Criteria. All applications will be reviewed by a peer review panel of three to five persons from the research and practitioner communities, selected for their research experience and operational expertise as well as their knowl-

edge in the substantive areas covered by this solicitation. Five criteria are applied in the evaluation process: technical merit of the proposal, understanding of the problem, importance of the research questions addressed, qualifications of the applicant, and project costs.

Award Period. NIJ limits its grants and cooperative agreements to a maximum period of 24 months.

Award Amount. NIJ encourages applicants to develop a reasonable budget which will adequately cover the costs of the proposed project. Funding of this topic has been tentatively set at \$100,000 to \$150,000. It is anticipated that this amount will support one award. Actual funding allocations are based on the quality of proposal received.

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

Multiple Murder: A Comprehensive
Analysis
National Institute of Justice
633 Indiana Avenue NW.
Washington, DC 20531

Completed proposals must be received at the National Institute of Justice by the close of business on June 27, 1991. Extension of this deadline will not be permitted.

Contact. Applicants are strongly encouraged to contact the Institute to discuss topic viability, data availability, or proposal content before submitting proposals. To obtain further information, potential applicants may write to Dr. Richard M. Rau, Program Manager, at the above address, or telephone him at 202-307-0645.

Occult Crime: A National Assessment

Purpose. The purpose of this solicitation is to conduct a National Assessment to review the prevalence and types of occult crime, the extent of the problem, and innovative approaches utilized by law enforcement in investigating and solving occult crime.

Background. Crimes involving the occult can be defined as any criminal activity which include secret knowledge, rituals, or both connected to supernatural beliefs or supernatural powers. This is in contrast to cultists who simply espouse a religious belief system that deviates from the traditional faiths accepted by American society. Occult activity includes a variety of types: neopaganism, witchcraft, cultural spiritualists, and satanism.

Although defining occult crime is difficult, there are generally agreed upon occult crimes, including: vandalism (cemetery and church desecrations), theft (from religious buildings, hospitals, morgues, medical schools, and funeral homes), graffiti (often by satanic groups), arson (churches and synagogues), animal sacrifice, and extortion. Other less frequent crimes are: kidnapping, murder, and human sacrifice, and ritualistic abuse (or ritualistic child abuse) involving physical or sexual abuse.

As the definition of occult crime suggests, there are many unresolved questions on this subject. Studies of victims of these crimes have not been very extensive. Law enforcement, in particular, has special problems when confronting occultists. Therefore, understanding the

occultists' belief systems and knowing when their activities are within legal bounds are important in investigating occult crime (California Office of Criminal Justice Planning 1989-90).

This solicitation is for a National Assessment that will involve (a) a survey and analysis of the problem and issues, (b) identification and description of model programs or practices for further evaluation, and (c) recommendations for future research. (*See Introduction for further discussion of what a National Assessment entails.*)

Goals

- To assess the nature and extent of occult crime in the United States.
- To identify innovative investigation techniques on the Federal, State, and local levels.
- To provide law enforcement with promising approaches and assistance in investigating occult crime situations.

Objectives

- Review the literature and criminal justice activity concerned with occult crime and estimate the prevalence of the problem.
- Survey promising investigative and training approaches for use by law enforcement for occult crime and develop information for dissemination about implementing the promising investigative approaches.
- Formulate a research agenda that will provide basic questions for future research efforts.

- Prepare a comprehensive report on occult crime.

Program Strategies

Review the literature and criminal justice activity concerned with occult crime and estimate the prevalence of the problem.

To accomplish this objective the grantee must review the literature and criminal justice activity concerned with occult crime. The grantee must identify all special problems related to occult crime and estimate the prevalence of the problems nationwide.

The product of this objective is a report on the current status of occult crime which will assist law enforcement in prevention and control.

Survey promising investigative and training approaches for use by law enforcement for occult crime and develop information for dissemination about implementing the promising approaches.

To accomplish this objective, the grantee must survey investigative and training approaches used by law enforcement in occult crime. The grantee must examine issues concerning legal and emotional problems faced by law enforcement in investigating occult crime. The grantee must address how to recognize an occult crime, how to interrogate witnesses and suspects, and how to distinguish between legal and illegal activities.

The product of this objective is a report on implementing promising investigative and training approaches for dealing with occult crime.

Formulate a research agenda that will provide basic questions for future research projects.

To accomplish this objective, the grantee is expected to develop a research agenda that will identify (a) fundamental issues for study and (b) issues and questions that will result in research projects that are of direct practical utility to criminal justice professionals.

Prepare a comprehensive report on occult crime.

This report should include a thorough discussion of the problem, a review of the theoretical and empirical research, a discussion of the survey and its findings, a research agenda for future research, and strategies to prevent occult crime. This report will be disseminated to law enforcement, policymakers, and researchers.

Application Requirements. All applicants must submit a completed SF 424, Application for Federal Assistance, including a program narrative, a detailed budget, and a budget narrative. In addition to the requirements specified in the instructions for the preparation of the SF 424, the following information should also be included:

- **Program goals.** The application should also contain discussion of the problem and the potential contribution of this program to the field.
- **Program strategy.** Applicants must describe the proposed approach for achieving the goals and objectives of the program. Applicants must include a discussion of how each objective would be accomplished.

- **Program implementation plan.** Applicants must provide a plan which outlines the major activities involved in implementing the program, describes how they will allocate resources to implement the program, and explains how the program will be managed.

- **Products.** The applicants must concisely describe the interim and final products under each objective of the program and address the purpose, audience, and usefulness of each product to the field.

- **Program budget.** The applicants must provide an appropriate budget with a detailed justification for all costs including the basis on which these costs are calculated.

Products. At a minimum, final products of the research projects must include:

- A full technical report, including a discussion of the research question, a review of the literature, a description of project methodology, detailed review of project findings, and conclusions and policy recommendations;
- A summary of approximately 2,500 words highlighting the findings of the research and the policy issues those findings will inform, written to be accessible to policy officials and practitioners and suitable for possible publication as an *NIJ Research in Brief*.
- Cleaned copies of all automated data sets developed during the research and full documentation prepared in accordance with the instructions in the *NIJ Data Resources Manual*.

As appropriate, additional interim and final products (e.g., articles, manuals, or training materials) may be specified in the proposal or negotiated at the time of the award.

Eligibility Requirements. NIJ awards grants to, or enters into, cooperative agreements with educational institutions, nonprofit organizations, public agencies, individuals, and profitmaking organizations that are willing to waive their fees.

Monitoring. Each grant awarded under this solicitation will be monitored according to OJP Handbook 4500.2C (Revised Chapter 7, Monitoring). More specifically, prior to the grant award, the following areas will be defined:

- Statement of goals, objectives, tasks, program activities, and products.
- Program implementation plan and budget that schedules program expenditures.
- Monitoring plan.
- Schedule of monitoring activities.
- Delineation of monitoring products (i.e., progress reports, timeline and task updates, product and activity updates, and draft products).
- The process used by NIJ to review and respond to monitoring findings and recommendations.
- A summary of subsequent program activities in response to implementing the monitoring recommendations. These monitoring efforts will be determined by NIJ and the grantee.

Selection Criteria. All applications will be reviewed by a peer review panel of three to five persons from the research

and practitioner communities, selected for their research experience and operational expertise as well as their knowledge in the substantive areas covered by this solicitation. Five criteria are applied in the evaluation process: technical merit of the proposal, understanding of the problem, importance of the research questions addressed, qualifications of the applicant, and project costs.

Award Period. NIJ limits its grants and cooperative agreements to a maximum period of 24 months.

Award Amount. NIJ encourages applicants to develop a reasonable budget that will adequately cover the costs of this project. Funding for this topic has been tentatively set at \$50,000. It is anticipated that this amount will support one award. Actual funding allocations are based on the quality of proposal received.

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

Occult Crime
Violence Prevention and Control
Program
National Institute of Justice
633 Indiana Avenue NW.
Washington, DC 20531

Completed proposals must be received at the National Institute of Justice by the close of business on June 20, 1991. Extension of this deadline will not be permitted.

Contact. Applicants are strongly encouraged to contact the Institute to discuss topic viability, data availability, or proposal content before submitting proposals. To obtain further information, potential applicants may write to Dr. Richard M. Rau, Program Manager, at

the above address, or telephone him at 202-307-0645.

Reference

"Occult Crime: A Law Enforcement Primer," California Office of Criminal Justice Planning, v. 1, n. 6, 1989-90.

Gangs and Violence: Related Proposals

The National Institute of Justice is committed to a broad research program, involving both basic and applied approaches, which encompasses a large majority of the criminal justice research community. Moreover, NIJ supports a wide range of research methodologies including case studies, structured observational methods, longitudinal studies, experimental and quasi-experimental designs, surveys, and secondary analyses. Within OJP policy guidelines for this topic area, NIJ encourages innovative research proposals that would bring to bear thinking and research from a variety of disciplines to the study of crime and criminal behavior. NIJ recognizes that researchers might wish to pose and structure their own research questions.

Applicants may, if they wish, propose research projects addressing the general goals and objectives of this program area but not specifically included in the

specific solicitations. If there is a question whether a given project idea falls within the program's scope, applicants are encouraged to seek the advice of the Program Manager.

Applicants are directed to follow the guidelines regarding application requirements, products, eligibility requirements, monitoring, selection criteria, and the award period described in previous sections of this solicitation.

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

Gangs and Violence
National Institute of Justice
633 Indiana Avenue NW., Room 864
Washington, DC 20531

Completed proposals must be received at the National Institute of Justice by the close of business on June 27, 1991. Extension of this deadline will not be permitted.

Contact. Applicants are strongly encouraged to contact the Institute to discuss topic viability, data availability, or proposal content before submitting proposals. To obtain further information, potential applicants may write to Dr. Craig D. Uchida, Program Manager, at the above address, or telephone him at 202-307-2959.

Evaluation

OJP Policy Statement. Evaluations should be a primary component of the Office of Justice Programs (OJP) discretionary grant programs. The Office promotes these evaluations so that programs that work can be identified, publicized, and replicated in other jurisdictions, while programs that have not proven to be effective can be discontinued. OJP will dedicate significant financial resources to encourage, enhance, and enforce quality design and program development. Evaluation activities consist of formal assessments of OJP programs through objective measurement and systematic analysis of the manner and extent to which programs achieve their objectives and produce significant results. The results are used to assist in the formulation of relevant policy and related program design and the subsequent development and dissemination of program policies, procedures, and practices to provide information and guidance at the Federal, State, and local levels.

NIJ Evaluation Plan

NIJ Funding Level: \$3,500,000

In addition to the research program outlined in this plan, the National Institute of Justice also administers a program of evaluation studies. The Anti-Drug Abuse Act of 1988 requires the Institute to evaluate the effectiveness of State and local programs supported at least in part with Federal funds. The purpose of these evaluations is to add to our understanding of what works and why in drug control efforts and to promote the adoption of proven programs.

In its first 2 years, the Institute's evaluation program has awarded more than 30 grants with total funding of \$7.5 million.

Topics under study span the entire range of criminal justice issues, from community crime prevention and police drug crackdowns to intermediate sanctions, from public housing to prison work release projects. The Institute also sponsored a national evaluation conference in 1990 to share results in progress with criminal justice researchers and practitioners. The success of that conference has encouraged the Institute to make the conference an annual event.

The Institute's fiscal year 1991 evaluation plan is scheduled for publication later this year. Applicants interested in evaluation research should also review funding opportunities offered in that publication.

Multijurisdictional Task Forces

NIJ Funding Level: \$500,000

OJP policy statement. Coordinating resources and programs among Federal, State, and local agencies is essential to controlling the use and trafficking of illegal drugs. The activities of the Office of Justice Programs (OJP) multijurisdictional task forces focus on promoting coordination and cooperation among law enforcement agencies at the Federal, State, and local levels in common geographic areas. These programs involve shared intelligence, technologies, expertise, tactics, and strategies; successful financial investigations; asset forfeiture; and money laundering and gang investigation units. OJP will continue providing a wide range of assistance to these task forces through demonstration, technical assistance, training, and information dissemination programs, as well as evaluation activities, to bring about comprehensive responses to drug-related crimes and gang violence.

Money Laundering: A National Assessment

Purpose. The purpose of this solicitation is to review money laundering patterns; assess current prevention and control strategies; and help develop more effective approaches to preventing, detecting, investigating, prosecuting, and punishing this offense.

Background. Huge illicit profits from drug trafficking, insider fraud, and other white collar and organized crimes lead to money laundering. Persons who obtain large sums of money illegally send those funds out of the country in bulk packages or electronically transfer them from U.S. banks to foreign accounts protected by strict bank secrecy laws. Stopping the flow of these illegal funds, both within the United States and through laundering collection centers such as New York City, Miami, and Los Angeles has become an increasingly difficult problem

for criminal justice officials and the Department of the Treasury and its Bureau of Customs. According to the Treasury Department, drug traffickers launder an estimated \$100 billion per year in the United States, with much of it funneled through financial institutions. Furthermore, because drug traffickers deal exclusively in cash, their ability to launder profits is essential to their operations, making it an important target in efforts to reduce the illegal drug trade in this country.

Complex, sophisticated money laundering poses special challenges for criminal justice and regulatory officials. First, money launderers have virtually unlimited financial resources to employ in evading or corrupting law enforcement. Second, money laundering offenses may require special operational planning and capabilities to detect, prevent, and control them. Bank secrecy and other privacy-protection statutes frequently impede

evidence collection. Finally, effective investigation and prosecution often require the coordinated efforts of a wide range of technical specialists and criminal justice and regulatory agency personnel.

This solicitation is for a National Assessment, which will involve (a) a survey and analysis of the problems and issues; (b) identification and description, where appropriate, of model programs or practices for further evaluation; and (c) recommendations for future research.

(See Introduction for a further discussion of the elements of a National Assessment.)

Goals

- To understand the nature and patterns of money laundering and the factors that aid these offenses.
- To assess prevention, detection, and control strategies that criminal justice and regulatory agencies use, including a review of existing literature and practices nationwide.
- To examine the international component of money laundering control, including existing cooperative enforcement efforts among countries.
- To disseminate the findings of this National Assessment study to agencies responsible for money laundering prevention and control.

Objectives

- Describe the nature and patterns of money laundering, the characteristics of offenders, and what facilitates the occurrence of the offenses.
- Assess how regulatory and criminal justice agencies ensure that financial

institutions comply with money laundering statutes and how these agencies prevent such offenses.

- Assess how Federal, State, and local law enforcement agencies detect, investigate, prosecute, and punish money laundering crimes.
- Assess how law enforcement officials in different nations cooperate in money laundering detection, investigation, prosecution, and sanctioning.
- Formulate a research agenda that will provide basic questions for future research.
- Assemble this information in a comprehensive report to be disseminated to law enforcement practitioners, policymakers, and researchers.

Program Strategies

Describe the nature and patterns of money laundering offenses, the characteristics of offenders, and what facilitates the occurrence of the offenses.

The applicant should describe methods for determining the characteristics of money laundering offenses, offenders, and situations. Based on a thorough review of research and operational literature, the applicant should define key terms, propose strategies that will enable the collection of valid and reliable data, and ensure access to necessary data resources. Where relevant, the proposal should also include a specification of the sampling strategy, a preliminary outline of the data collection instruments, and a design for data analysis. As required for all NIJ, the proposal should specify plans for protecting data confidentiality and, where appropriate, protecting human

subjects, where these apply. Finally, the applicant should specify how the data will result in a sound description of the nature and patterns of various money laundering activities, the characteristics and motivations of the offenders, and the conditions that facilitate the commission of these crimes or hamper efforts to prevent and control their occurrence.

The applicant should discuss the proposed research methodology in detail, including a specification of the target populations(s), archival data sources, site selection plans and rationale (if appropriate), and a management plan and schedule for data collection and analysis.

Products will include copies of the data collection instruments, data tapes and documentation, and a report assessing compliance and prevention programs and practices for implementing such programs.

Assess how regulatory and criminal justice agencies ensure that financial institutions comply with money-laundering statutes and how these agencies prevent the occurrence of such offenses.

Statutory compliance is of particular interest in this solicitation. Based on a literature review, assessment of legislation, and analysis of compliance and prevention practices, the applicant should design research activities that will provide law enforcement and regulatory agencies and financial institutions with information and guidelines for developing effective compliance strategies. The proposal should include a research plan with detailed specifications of methodologies to identify current compliance and prevention programs of various types, examine their goals and structures,

describe their manpower and other resource requirements, and document and assess their operational policies and practices. Possible methods might include surveys, interviews with responsible officials, onsite study of selected programs, and archival data collection and analysis.

Products will include copies of the data collection instruments, data tapes and documentation, and a report assessing current compliance/prevention programs and practices, and guidelines for implementing such programs.

Assess how Federal, State, and local law enforcement agencies detect, investigate, prosecute, and punish money laundering crimes.

The major focus of this solicitation is to examine and assess current law enforcement policies and strategies to detect, investigate, prosecute, and sanction money laundering crimes. Based on a literature review and input from knowledgeable officials, the applicant should identify potential sites for this research and present the site selection rationale. The proposal should specify the types of issues to be addressed, the types of data to be collected, and the methodologies to be employed at selected sites such as interviews with officials in criminal justice agencies responsible for money laundering control, onsite observation of programs, surveys of relevant law enforcement practitioners and policymakers, and archival data analysis. The proposal should propose draft data collection instruments and include assurances of data access and site cooperation. It should describe a design for data analysis, as well as a research schedule and management plan.

The proposed study should encompass all parts and levels of the criminal justice system involved in money laundering control and should pay special attention to how interagency, interjurisdictional task forces and cooperative efforts contribute to effective control policies and procedures.

This study should also address major constraints to effective law enforcement control of money laundering, such as insufficient resources and skills and inadequate or constraining legislation.

Products will include copies of data collection instruments, data tapes and documentation, and a report that summarizes the findings of the assessment of criminal justice strategies and constraints and presents guidelines to State and local law enforcement for implementing money laundering control policies and programs.

Assess how law enforcement officials in different nations cooperate in money laundering detection, investigation, prosecution, and sanctioning.

Money laundering activities often depend on bank secrecy statutes and other laws in foreign countries to protect the flow of cash to offshore financial institutions to hide its illegal origin. The proposal should address this international component of money laundering control clearly specifying the issues to be addressed and the methodologies to be employed.

The proposed study should assess how law enforcement officials in various nations engage in cooperative efforts to detect, investigate, prosecute, and sanction money launderers and should pay special attention to factors that may

constrain such cooperation such as differences in legislation and criminal justice system policies and practices.

Products will include copies of data collection and instruments, data tapes and documentation, and a report assessing international cooperative law enforcement efforts and constraints suggesting guidelines for improved coordination among nations.

Formulate a research agenda that will provide basic questions for future research.

The research agenda should identify: (a) fundamental issues for study and (b) issues and questions that will result in research projects that are of direct practical utility to criminal justice professionals.

Assemble this information in a comprehensive report that will be disseminated to law enforcement practitioners, policymakers, and researchers.

The comprehensive report should include a thorough discussion of the problem; a review of the existing research and operational literature; the findings of the three research tasks specified in the previous objectives; a research agenda for future research; and recommendations for the development and implementation of model compliance/prevention and control policies, practices, and procedures. Also to be produced is an executive summary suitable for publication as an NIJ *Research in Brief*, which will inform practitioners, policymakers, and researchers of the results of the research.

Application Requirements. All applicants must submit a completed SF 424,

Application for Federal Assistance, including a program narrative, a detailed budget, and a budget narrative. In addition to the requirements specified in the instructions for the preparation of the SF 424, the following information should also be included:

- **Program goals.** The application should also contain discussion of the problem and the potential contribution of this program to the field.
- **Program strategy.** Applicants should describe the proposed approach for achieving the goals and objectives of the program. Applicants should include a discussion of how each of these objectives would be accomplished.
- **Program implementation plan.** Applicants should provide a plan that outlines the major activities involved in implementing the programs, describes how they will allocate resources to implement the program, and explains how the program will be managed.
- **Products.** The applicants should concisely describe the interim and final products under each objective of the program, and address the purpose, audience, and usefulness of each product to the field.
- **Program budget.** The applicants should provide an appropriate budget with a detailed justification for all costs including the basis for computation of these costs.

Products. At a minimum, final products of the research projects must include:

- A full technical report including a discussion of the research question, a

review of the literature, a description of project methodology, a detailed review of project findings, and conclusions and policy recommendations.

- A summary of approximately 2,500 words highlighting the findings of the research and the policy issues those findings will inform, written to be accessible to policy officials and practitioners, and suitable for possible publication as an *NIJ Research in Brief*.
- Cleaned copies of all automated data sets developed during the research and full documentation prepared in accordance with the instructions in the *NIJ Data Resources Manual*.

As appropriate, additional interim and final products (e.g., articles, manuals, or training materials) may be specified in the proposal or negotiated at the time of the award.

Eligibility Requirements. NIJ awards grants to, or enters into, cooperative agreements with educational institutions, nonprofit organizations, public agencies, individuals, and profit-making organizations that are willing to waive their fees.

Monitoring. Each grant awarded under this solicitation will be monitored according to OJP Handbook 4500.2C (Revised Chapter 7, *Monitoring*). More specifically, prior to the grant award, the following areas will be defined:

- Statement of goals, objectives, tasks, program activities, and products.
- Program implementation plan and budget that schedules program expenditures.

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- Monitoring plan.
 - Schedule of monitoring activities.
 - Delineation of monitoring products (i.e., progress reports, timeline and task updates, product and activity updates, and draft products).
 - The process used by NIJ to review and respond to monitoring findings and recommendations.
 - A summary of subsequent program activities in response to implementing the monitoring recommendations. These monitoring efforts will be determined by NIJ and the grantee.

Selection Criteria. All applications will be reviewed by a peer review panel of three to five persons from the research and practitioner communities, selected for their research experience and operational expertise as well as their knowledge in the substantive areas covered by this solicitation. Five criteria are applied in the evaluation process: technical merit of the proposal, understanding of the problem, importance of the research questions addressed, qualifications of the applicant, and project costs.

Award Period. NIJ limits its grants and cooperative agreements to a maximum period of 24 months.

Award Amount. NIJ encourages applicants to develop a reasonable budget that will adequately cover the costs of the proposed project. Funding of this topic has been tentatively set at \$100,000 to \$150,000. It is anticipated that this amount will support one award. Actual funding allocations are based on the quality of proposal received.

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

Money Laundering: A National Assessment
National Institute of Justice
633 Indiana Avenue NW.
Washington, DC 20531

Completed proposals must be received at the National Institute of Justice by the close of business on June 20, 1991. Extension of this deadline will not be permitted.

Contact. Applicants are strongly encouraged to contact the Institute to discuss topic viability, data availability, or proposal content before submitting proposals. To obtain further information, potential applicants may write to Ms. Lois Mock, Program Manager, at the above address, or telephone her at 202-307-0693.

Securities Fraud: A National Assessment

Purpose. The purpose of this solicitation is to examine the nature and extent of stock market fraud and conduct a state-of-the-art review of Federal, State, and local law enforcement strategies to detect, investigate, and prosecute these violations. The project is intended to increase understanding of securities fraud and how law enforcement strategies may be expanded and improved.

Background. Electronic stock market trading, generating instantaneous worldwide transactions, has created opportunities and incentives for securities fraud on a much broader scale than ever before. The complexities and covert

nature of securities fraud pose special problems for law enforcement and require coordinated efforts of technical specialists and a range of criminal justice and regulatory agencies. A special need exists for understanding the types of cases being handled and the strategies employed at the State and local level.

This solicitation is for a National Assessment, which will involve (a) a survey and analysis of the problems and issues, (b) identification and description, where appropriate, of model programs or practices for further evaluation, and (c) recommendations for future research. (See *Introduction for further discussion of what a National Assessment entails.*)

Goals

- To understand the types and nature of securities fraud cases handled at the Federal, State, and local levels.
- To examine current strategies of detection, investigation, and prosecution to respond to securities fraud offenses.
- To disseminate the findings of this assessment to law enforcement agencies nationwide.

Objectives

- Describe the nature of securities fraud violations handled at the Federal, State, and local levels, including the frequency and characteristics of various types of cases and violators involved.
- Assess law enforcement and regulatory agency techniques for detecting, investigating, prosecuting, and sanctioning securities fraud viola-

tions, and to determine the resources required to implement those techniques.

- Examine special needs and problems of law enforcement and regulatory agencies in responding to securities fraud, and to identify issues requiring policy-relevant research.
- Formulate a research agenda that will provide basic questions for future research.
- Develop a comprehensive report and executive summary that describe the types of securities fraud activities handled by law enforcement and regulatory agencies; assess policies and practices for detecting, investigating, prosecuting, and sanctioning these crimes; and contain an agenda for policy-relevant research. This report will be disseminated to law enforcement and regulatory agency practitioners, policymakers, and researchers.

Program Strategy

Describe the nature of securities fraud offenses handled at the Federal, State, and local levels, including the frequency and characteristics of various types of cases and violators involved.

The applicant should outline methods for determining the nature of securities fraud violations and violators reported to law enforcement and regulatory agencies. After reviewing the research and policy literature, the proposal should define key terms, propose strategies for collecting valid and reliable data, and provide assurances of access to proposed archival and other data sources. If a national survey of agencies is proposed, the

applicant should describe target populations, sampling strategy, preliminary survey instruments, and a data analysis plan. If the applicant contemplates site visits, the proposal should explain the site-selection, describe data-collection methods and instruments, and identify issues to be addressed. In all cases, the applicant should specify how the data will result in a sound description of the nature of securities fraud violations and violators. As required for all NIJ projects, the proposal should specify plans for the protection of data confidentiality and, where appropriate, a protection of human subject review and approval. Finally, the applicant should provide a research management plan and schedule.

Regarding the nature and characteristics of securities fraud violations, the applicant should examine the types of crimes and civil violations reported to criminal justice and regulatory agencies, whether or not these violations are accepted for investigation and/or prosecution. Special attention should be paid to: the mechanisms through which cases are reported; the types of cases accepted for investigation or prosecution at Federal, State, and local levels, and those referred to other authorities or otherwise rejected; the characteristics of violators involved in various types of securities fraud; and the conditions that facilitate the commission of these violations.

The products of this objective should include copies of all data-collection instruments, data tapes and documentation, and reports and articles presenting preliminary findings on the nature and characteristics of securities fraud violations and violators.

Assess current law enforcement and regulatory agency techniques for detecting, investigating, prosecuting, and sanctioning securities fraud violations, and determine the resources required to implement those techniques.

The principal objective of this solicitation is to identify and assess policies and strategies that law enforcement and regulatory agencies use to combat securities fraud. The applicant should specify issues to be addressed and propose strategies for collecting valid and reliable data. Data-collection methods, such as a survey or onsite data collection, should be described in detail, and a research management plan and schedule should be provided.

The applicant should examine and assess current legislation and strategies for detecting, investigating, prosecuting, and sanctioning various types of securities cases. Special attention should be paid to cooperative efforts among criminal justice and regulatory agencies at each level of government. Where multi-agency, multijurisdictional task forces exist, these should be studied in particular detail. Strengths and weaknesses of various policies and strategies should be identified, as well as the resources required to implement them. If model programs are found, these should be thoroughly described, as well.

The products of this objective include copies of all data-collection instruments, data tapes and documentation, and reports and articles presenting preliminary findings on policies and strategies for detecting, investigating, prosecuting, and sanctioning securities fraud violations.

Examine special needs and problems of law enforcement and regulatory agencies in responding to securities fraud, and to identify issues requiring policy-relevant research.

The applicant should specify how research, based on a thorough literature review, will identify and examine the special needs of and problems confronting criminal justice and regulatory agencies in addressing securities fraud. Data collections methods, a research management plan, and schedule should be described.

Issues to be examined might include legislative remedies; insufficient resources, manpower, and/or special skills; difficulties of collecting evidence in the face of privacy restrictions of banks, securities markets, and other financial institutions; and the need for more interagency, interjurisdictional coordination. The applicant should analyze these issues with the aim of proposing remedies that could be feasibly and effectively implemented.

The products of this objective include copies of all data-collection instruments, data tapes and documentation, and reports and articles discussing project findings on the special needs and problems faced by law enforcement and regulatory agencies in dealing with securities fraud.

Formulate a research agenda that will provide basic questions for future research.

The research agenda should identify: (a) fundamental issues for study and (b) issues and questions that will result in

research projects that are of direct practical utility to criminal justice professionals.

Develop a comprehensive report and executive summary that describe the types of securities fraud activities handled by law enforcement and regulatory agencies; assess policies and practices for detecting, investigating, prosecuting, and sanctioning these crimes; and contain an agenda for policy relevant research. This report will be disseminated to law enforcement and regulatory agency practitioners, policymakers, and researchers.

The comprehensive report should include a thorough discussion of the problem; a review of the existing research and operational literature; a description of the data collection methodologies and findings of the research tasks specified in the previous objectives; a research agenda for future research; and recommendations for the development and implementation of model legislation and law enforcement policies and strategies for controlling securities fraud. Special emphasis should be placed on interagency and interjurisdictional cooperation and on issues suggested for future research. Also to be produced is an executive summary suitable for publication as an NIJ *Research in Brief*, which will inform practitioners, policymakers, and researchers of the results and implications of the study.

Application Requirements. All applicants must submit a completed SF 424, Application for Federal Assistance, including a program narrative, a detailed budget, and a budget narrative. In addition to the requirements specified in

the instructions for the preparation of the SF 424, the following information should also be included:

- **Program goals.** The application should also contain discussion of the problem and the potential contribution of this program to the field.
- **Program strategy.** Applicants should describe the proposed approach for achieving the goals and objectives of the program. Applicants should include a discussion of how each of these objectives would be accomplished.
- **Program implementation plan.** Applicants should provide a plan that outlines major activities involved in implementing the program, describes how they will allocate resources to implement the program, and explains how the program will be managed.
- **Products.** The applicants should concisely describe the interim and final products under each objective of the program, and address the purpose, audience, and usefulness of each product to the field.
- **Program budget.** The applicants should provide an appropriate budget with a detailed justification for all costs including the basis for computation of these costs.

Products. At a minimum, final products of the research projects must include:

- A full technical report; including a discussion of the research question, a review of the literature, a description of project methodology, a detailed

review of project findings, and conclusions and policy recommendations.

- A summary of approximately 2,500 words highlighting the findings of the research and the policy issues those findings will inform, written to be accessible to policy officials and practitioners, and suitable for possible publication as an *NIJ Research in Brief*.
- Cleaned copies of all automated data sets developed during the research and full documentation prepared in accordance with the instructions in the *NIJ Data Resources Manual*.

As appropriate, additional interim and final products (e.g., articles, manuals, or training materials) may be specified in the proposal or negotiated at the time of the award.

Eligibility Requirements. NIJ awards grants to, or enters into, cooperative agreements with educational institutions, nonprofit organizations, public agencies, individuals, and profit-making organizations that are willing to waive their fees.

Monitoring. Each grant awarded under this solicitation will be monitored according to OJP Handbook 4500.2C (Revised Chapter 7, Monitoring). More specifically, prior to the grant award, the following areas will be defined:

- Statement of goals, objectives, tasks, program activities, and products.
- Program implementation plan and budget that schedules program expenditures.
- Monitoring plan.

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- Schedule of monitoring activities.
 - Delineation of monitoring products (i.e., progress reports, timeline and task updates, product and activity updates, and draft products).
 - The process used by NIJ to review and respond to monitoring findings and recommendations.
 - A summary of subsequent program activities in response to implementing the monitoring recommendations. These monitoring efforts will be determined by NIJ and the grantee.

Selection Criteria. All applications will be reviewed by a peer review panel of three to five persons from the research and practitioner communities, selected for their research experience and operational expertise as well as their knowledge in the substantive areas covered by this solicitation. Five criteria are applied in the evaluation process: technical merit of the proposal, understanding of the problem, importance of the research questions addressed, qualifications of the applicant, and project costs.

Award Period. NIJ limits its grants and cooperative agreements to a maximum period of 24 months.

Award Amount. NIJ encourages applicants to develop a reasonable budget that will adequately cover the costs of the proposed project. Funding of this topic has been tentatively set at \$100,000 to \$150,000. It is anticipated that this amount will support one award. Actual funding allocations are based on the quality of proposal received.

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

Security Fraud: A National
Assessment
National Institute of Justice
633 Indiana Avenue NW.
Washington, DC 20531

Completed proposals must be received at the National Institute of Justice by the close of business on June 20, 1991. Extension of this deadline will not be permitted.

Contact. Applicants are strongly encouraged to contact the Institute to discuss topic viability, data availability, or proposal content before submitting proposals. To obtain further information, potential applicants may write to Ms. Lois Mock, Program Manager, at the above address, or telephone her at 202-307-0693.

Control of Organized Crime Drug Trafficking Groups

Purpose. The purpose of this solicitation is to examine the structure and operations of organized crime drug trafficking groups and to assess current law enforcement responses to them in order to develop more effective strategies of detection, intervention, and control.

Background. The size and pervasiveness of the drug trafficking industry and the huge profits associated with it have led to the emergence of violent street gangs and sophisticated criminal organizations whose principal activities are importing, distributing, and/or selling illegal drugs.

Such groups as Jamaican posses, Asian heroin trafficking gangs, Colombian drug cartels, motorcycle gangs, violent street gangs, and other drug trafficking organizations may differ widely from each other in size, ethnic makeup, degree of organization, and use of violence, but all constitute major threats to the safety and security of the Nation's communities. Moreover, drug trafficking groups pose special problems for the criminal justice system, as police, courts, and correctional institutions are severely strained by the volume and severity of narcotics enforcement cases.

The President's Commission on Organized Crime found narcotics trafficking to be "the most widespread and lucrative organized crime activity in the United States," producing annual revenues of at least \$100 billion, more than twice the amount spent for all criminal justice services at all levels of government. Because of the immense profitability of these violations, drug traffickers have virtually unlimited resources to use in evading or corrupting law enforcement efforts to detect, investigate, prosecute, and sanction their activities.

This solicitation seeks proposals for Original Research projects that will develop and test hypotheses through formal research designs. Research questions and issues based on a critical review of the literature within the problem area should be developed within the applicant's proposal. NIJ supports a wide range of research methodologies including case studies, survey research, secondary analyses of existing datasets, and experimental and quasi-experimental designs. (Applicants are directed to seek the advice of the Program Manager

before beginning the task of writing a proposal.)

Goals

- To understand the structure and operations of organized crime drug trafficking groups, and to identify effective law enforcement intervention strategies.
- To examine current criminal justice strategies for detecting, investigating, prosecuting, and sanctioning drug trafficking organizations, including a review of literature.
- To disseminate the findings of this assessment to criminal justice agencies responsible for drug trafficking control.

Objectives

- Describe the structure and operations of one or more organized crime drug trafficking groups, the characteristics of group members, and the conditions that facilitate and constrain their establishment and the growth of their enterprises.
- Assess a current Federal, State, and/or local strategy for detecting, investigating, and prosecuting drug trafficking groups, including multijurisdictional and multiagency task forces.
- Formulate a research agenda that will provide basic questions for future research.
- Prepare a comprehensive report and executive summary that describe drug trafficking groups and their enterprises, and that describe in detail

ongoing practices that work to curtail and prevent such activities. These products are to be disseminated to law enforcement practitioners, policymakers, and researchers.

Program Strategy

Describe the structure and operations of one or more organized crime drug trafficking groups, the characteristics of group members, and the conditions that facilitate and constrain their establishment and the growth of their enterprises.

The applicant should select (and justify the selection of) one or more organized crime drug trafficking groups, and specify sound and feasible methods for determining the structure, operations, and membership of these groups and conditions promoting their activities. Following a thorough literature review, the applicant should define key concepts to be researched, propose methodologies that will enable the collection of valid and reliable data, and provide assurances of access to data resources. The applicant should also specify how the data will result in a thorough description of the structure and activities of the selected drug trafficking groups, the size and characteristics of their membership, and the factors that facilitate and constrain their operations.

More specifically, the proposal should describe the research methodology in detail, including a specification of the target population and/or archival data sources to be studied, a description of sampling strategy, an outline of the data-collection instruments, and an appropriate data-analysis plan. As required for all NIJ grants, the applicant should also specify

plans for the protection of data confidentiality and protection of human subjects, where these apply. Finally, the proposal should include a research management plan and schedule to accomplish data collection and analysis.

The products of this objective should be described in the proposal and are expected to include data-collection instruments, a data tape and documentation, and an interim report that presents findings on the structure and operations of selected organized crime drug trafficking groups, the characteristics of members, and the conditions that promote or hinder their establishment and the growth of their drug trafficking enterprises.

Assess a current Federal, State, and/or local strategy for detecting, investigating, and prosecuting drug trafficking groups, including multijurisdictional and multi-agency task forces.

The most important objective of this solicitation is to assess a current law enforcement program, policy, and/or strategy to detect, investigate, and prosecute organized crime drug trafficking groups. Based on a discussion of the literature and information from knowledgeable officials, the applicant should describe the issues to be addressed and the types of data to be collected, with adequate assurances of access to these data sources. The proposal should describe the specific methodologies to be employed, such as the collection of archival data, interviews with practitioners, and onsite data-collection strategies. Target population(s) should be identified and, where relevant, sampling strategies should be specified. For case studies to be conducted onsite, the proposal should identify potential sites, with assurances of

site cooperation, and should provide the rationale for their selection. Data-collection instruments should be described, including interview schedules and survey questionnaires. A plan for data analysis should be specified, along with an explanation of how the analysis will answer the issues to be addressed in this objective. Finally, an appropriate management plan and schedule of activities should be included.

The proposal should study an investigative (police) and prosecutorial agency within a site, giving special attention to model programs and to multi-agency, multijurisdictional task forces and other cooperative interagency efforts targeting drug trafficking groups.

Products should include tested data-collection instruments, data tapes and documentation, and a report that describes the results of this examination and assessment of current law enforcement practices and contains guidelines for implementing effective drug trafficking control policies and programs.

Formulate a research agenda that will provide basic questions for future research.

The research agenda should identify (a) fundamental issues for study and (b) issues and questions that will result in research projects that are of direct practical utility to criminal justice professionals.

Prepare a comprehensive report and executive summary that describe drug trafficking groups and their enterprises and that describe, in detail, ongoing practices that work to curtail and prevent such activities. These products will be

disseminated to law enforcement practitioners, policymakers, and researchers.

The final research objective is to produce a comprehensive report and executive summary that describe organized crime drug trafficking groups and operations and that describe efforts to control and prevent such activities. The comprehensive report should include a thorough discussion of the problem; a review of existing research and operational literature; the findings of the three research tasks specified in the previous objectives; a research agenda for future research; and recommendations for developing and implementing effective legislative and law enforcement programs, policies, and procedures. The executive summary should be suitable for publication as an *NIJ Research in Brief*, which will inform practitioners, policymakers, and researchers of the results of the research.

Application Requirements. All applicants must submit a completed SF 424, Application for Federal Assistance, including a program narrative, a detailed budget, and a budget narrative. In addition to the requirements specified in the instructions for the preparation of the SF 424, the following information should also be included:

- **Program goals.** The application should also contain discussion of the problem and the potential contribution of this program to the field.
- **Program strategy.** Applicants should describe the proposed approach for achieving the goals and objectives of the program. Applicants should include a discussion of how each of these objectives would be accomplished.

- **Program implementation plan.** Applicants should provide a plan that outlines the major activities involved in implementing the program, describes how they will allocate resources to implement the program, and explains how the program will be managed.
- **Products.** The applicants should concisely describe the interim and final products under each objective of the program, and address the purpose, audience, and usefulness of each product to the field.
- **Program budget.** The applicants should provide an appropriate budget with a detailed justification for all costs, including the basis on which these costs are computed.

Products. At a minimum, final products of the research projects must include:

- A full technical report; including a discussion of the research question, a review of the literature, a description of project methodology, a detailed review of project findings, and conclusions and policy recommendations.
- A summary of approximately 2,500 words highlighting the findings of the research and the policy issues those findings will inform, written to be accessible to policy officials and practitioners, and suitable for possible publication as an *NIJ Research in Brief*.
- Cleaned copies of all automated data sets developed during the research and full documentation prepared in accordance with the instructions in the *NIJ Data Resources Manual*.

As appropriate, additional interim and final products (e.g., articles, manuals, or training materials) may be specified in the proposal or negotiated at the time of the award.

Eligibility Requirements. NIJ awards grants to, or enters into, cooperative agreements with educational institutions, nonprofit organizations, public agencies, individuals, and profit-making organizations that are willing to waive their fees.

Monitoring. Each grant awarded under this solicitation will be monitored according to OJP Handbook 4500.2C (Revised Chapter 7, Monitoring). More specifically, prior to the grant award, the following areas will be defined:

- Statement of goals, objectives, tasks, program activities, and products.
- Program implementation plan and budget that schedules program expenditures.
- Monitoring plan.
- Schedule of monitoring activities.
- Delineation of monitoring products (i.e., progress reports, timeline and task updates, product and activity updates, and draft products).
- The process used by NIJ to review and respond to monitoring findings and recommendations.
- A summary of subsequent program activities in response to implementing the monitoring recommendations. These monitoring efforts will be determined by NIJ and the grantee.

Selection Criteria. All applications will be reviewed by a peer review panel of

three to five persons from the research and practitioner communities, selected for their research experience and operational expertise as well as their knowledge in the substantive areas covered by this solicitation. Five criteria are applied in the evaluation process: technical merit of the proposal, understanding of the problem, importance of the research questions addressed, qualifications of the applicant, and project costs.

Award Period. NIJ limits its grants and cooperative agreements to a maximum period of 24 months.

Award Amount. NIJ encourages applicants to develop a reasonable budget that will adequately cover the costs of the proposed project. Funding of this topic has been tentatively set at \$150,000 to \$250,000. It is anticipated that this amount will support one award. Actual funding allocations are based on the quality of proposal received.

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

Control of Organized Crime Drug
Trafficking Groups
National Institute of Justice
633 Indiana Avenue NW,
Washington, DC 20531

Completed proposals must be received at the National Institute of Justice by the close of business on June 27, 1991. Extension of this deadline will not be permitted.

Contact. Applicants are strongly encouraged to contact the Institute to discuss topic viability, data availability, or proposal content before submitting proposals. To obtain further information,

potential applicants may write to Ms. Lois Mock, Program Manager, at the above address, or contact her at 202-307-0693.

Multijurisdictional Task Forces: Related Proposals

The National Institute of Justice is committed to a broad research program, involving both basic and applied approaches, that encompasses a large majority of the criminal justice research community. Moreover, NIJ supports a wide range of research methodologies including case studies, structured observational methods, longitudinal studies, experimental and quasi-experimental designs, surveys, and secondary analyses. Within OJP policy guidelines for this topic area, NIJ encourages innovative research proposals that would bring to bear thinking and research from a variety of disciplines to the study of crime and criminal behavior. NIJ recognizes that researchers might wish to pose and structure their own research questions.

Applicants may, if they wish, propose research projects addressing the general goals and objectives of this program area but not specifically included in the specific solicitations. If there is a question whether a given project idea falls within the program's scope, applicants are encouraged to seek the advice of the Program Manager.

Applicants are directed to follow the guidelines regarding application requirements, products, eligibility requirements, monitoring, selection criteria, and the award period described in previous sections of this solicitation.

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

Multijurisdictional Task Forces
National Institute of Justice
633 Indiana Avenue NW.
Washington, DC 20531

Completed proposals must be received at the National Institute of Justice by the close of business on June 27, 1991. Extension of this deadline will not be permitted.

Contact. Applicants are strongly encouraged to contact the Institute to discuss topic viability, data availability, or proposal content before submitting proposals. To obtain further information, potential applicants may write to Ms. Lois Mock, Program Manager, at the above address, or telephone her at 202-307-0693.

Community-based Policing

NIJ Funding Level: \$900,000

OJP Policy Statement. Alliances between community residents and the police are essential for making neighborhoods safe and drug free. Office of Justice Programs (OJP) Community-Based Policing activities emphasize the importance of the police and the communities working together in a relationship of trust, cooperation, and partnership to promote safety and security and to rid their neighborhoods of thugs and drug pushers. OJP will focus on demonstration projects which involve promising innovations such as mini-police stations, directed patrols, and police-neighborhood ombudsmen. This rapidly developing approach to better crime control addresses the need both to prevent crime and to respond effectively when crime occurs.

Community Policing Strategies: A Comprehensive Analysis

Purpose. The purpose of this solicitation is to provide a national overview, assessment, and indepth analysis of community policing strategies in the United States; to synthesize the data on current efforts; and to communicate the information to communities and police departments for their use in developing useful community policing programs.

Background. Violent crime reported nationwide in 1989 rose 5 percent over 1988 while property crime increased 2 percent. One household in four can expect to be victimized by crime each year. More than 1.5 million Americans were victims of violent attacks last year. The economic cost of crime is also substantial. In 1990, the United States spent an estimated \$30 billion at all levels for public law enforcement and about \$52 billion for private security protection.¹ These costs do not include the harm caused by fear.

Fear is influenced by crime and drug violence. NIJ's Drug Use Forecasting Program (DUF) reports that a high percentage of arrestees for serious crimes used illegal drugs.² The growth of juvenile gang activities has produced an increase in violent crimes related to drugs.³ Signs of physical and social disorder also lead to increased crime, fear, and neighborhood decline.⁴ These factors impact directly on the community's sense of security, the opportunities for economic growth, and revitalization of neighborhoods. Police need help to bring drugs and crime under control and are now more aware of the need for a community-oriented form of policing. Communities in turn also recognize that they must become actively involved in dealing with these problems.

Cooperative efforts involving police, community groups, and other public and private agencies allow a community to deal with drugs and crime more effectively and efficiently. The South Seattle Crime Prevention Council, for example, is a typical partnership aimed at halting

neighborhood decay and its associated crime and drug problems. Seattle's effort has been highly effective and has attracted overwhelming voter support for its continued funding. Similar partnerships exist in Houston, Texas; Madison, Wisconsin; Portland, Oregon; Norfolk, Virginia; Louisville, Kentucky; Tempe, Arizona; Hayward, California; and New York City.

Community policing programs and innovative neighborhood-oriented policing projects are becoming increasingly popular. These programs are designed to integrate police and other public and private resources in the identification and response to drug and crime problems. Police are being encouraged to coordinate their efforts with neighborhood organizations, schools, private security firms, and business groups. These community partnerships focus on preventive or proactive efforts to control crime and drug abuse and thus augment the traditional reactive responses of police to 911 calls for service.

This solicitation is for a Comprehensive Analysis, which will include a critical review and synthesis of literature; a new analysis of existing data, where appropriate; development of a research agenda that builds on past research; the identification and description of promising approaches from existing practice; and, where appropriate, the development of model programs. A Comprehensive Analysis includes site visits. (*See Introduction for additional information on what a Comprehensive Analysis entails.*)

Goals

- To determine the extent to which community policing strategies are

employed by police departments and communities in the United States.

- To understand the nature and purposes of typical community policing strategies and how they operate.
- To inform communities and police departments about the current state of the art of community policing.

Objectives

- Obtain information that will systematically describe the current level of effort in the United States aimed at employing the new strategies known as community policing.
- Review each of the innovative community policing strategies in sufficient detail so that communities and police can readily assess the potential costs and benefits of these strategies in their communities.
- Prepare a comprehensive user-oriented report of this national overview and assessment of community policing strategies for distribution to police departments, community groups, and policy-makers interested in these efforts.

Program Strategy

Obtain information that will systematically describe the current level of effort in the United States aimed at employing the new strategies known as community policing.

To accomplish this objective, the applicant should identify a representative sample of community policing strategies and describe them from a number of important perspectives. For example, strategies may differ in the degree of

formality of the police-community partnerships; the type of partnership involved (e.g., police-citizens, police-private security, police-businesses, police-schools, etc.); the degree of coordination between the police and their community partner; the nature of the activities; the complexity of the organizational structure; the comprehensiveness of activities and purposes; size and characteristics of the community served; target problems or populations being addressed; degree of innovation of the project; funding and manpower level; and community setting.

In addition, the applicant's proposal should include plans to reanalyze existing data sets, if the applicant believes that such reanalyses will further the goals and objectives of this solicitation. The applicant is encouraged to consult the fourth edition of the *Data Resources of the National Institute of Justice* for a listing of appropriate data sets.

The grantee should also conduct a critical review and synthesis of the literature relevant to community policing, which will be included in the final report. The summary should include a systematic assessment of the pros and cons of community policing.

Products should include (1) project sampling plan, (2) project selection rationale, (3) a data collection plan, (4) project classification scheme, and (5) data tapes. The sampling plan, selection rationale, and classification scheme should be included in the proposal.

Review each of the innovative community policing strategies in sufficient detail so that communities and police can readily

assess the potential costs and benefits of these strategies in their communities.

To accomplish this objective, the grantee must collect detailed descriptive data on each of the selected community policing strategies. These data should include the purpose of the strategy and the means by which specific goals and objectives are being addressed, the methods used to mobilize citizens and encourage their involvement, organizational arrangements and decisionmaking processes involved, roles and functions of personnel, information systems used, manpower and equipment needs, funding sources, interfaces with private and public agencies, lessons learned, problems encountered, and outstanding issues. Data shall also be collected to provide indications of project costs and benefits. The information collected shall be sufficient to assist police and communities in their decisionmaking regarding possible implementation of community policing strategies in their areas.

Products should include (1) a data collection plan, (2) data collection instruments, and (3) data tapes.

Prepare a comprehensive user-oriented report of this national overview and assessment of community policing strategies for distribution to police departments, community groups, and policymakers interested in these efforts.

To accomplish this objective, the grantee should prepare a report that includes (1) the critical review and synthesis of the current literature on the subject of community policing, (2) a classification and general discussion of all community policing strategies identified, and (3) detailed descriptions of each com-

munity policing strategy sampled. The classification of strategies should be consistent with the needs and practices of community organizations. The report should also address the key gaps in our understanding about community policing initiatives and the issues and research questions that merit priority attention.

Products shall include (1) a preliminary Table of Contents, (2) draft final report, and (3) final report. The preliminary Table of Contents should be delivered for approval by NIJ prior to the initiation of the draft final report. The draft final report should be delivered 90 days prior to the end of the grant for review and comment by NIJ and its peer review.

Application Requirements. All applicants must submit a completed SF 424, Application for Federal Assistance, including a program narrative, a detailed budget, and a budget narrative. In addition to the requirements specified in the instructions for the preparation of SF 424, the following information should also be included:

- **Program goals.** The application should also contain a discussion of each objective to be met and the potential contribution of the proposal to the field.
- **Program strategy.** Applicants should describe the proposed approach for achieving the goals and objectives of the program. Applicants should include a discussion of how each objective would be achieved.
- **Program implementation plan.** Applicants should provide a plan which outlines the major activities involved in implementing the program, describes how they will allocate resources to implement the

program, and explains how the program will be managed.

- **Products.** The applicants should concisely describe the interim and final products under each objective of the program and address the purpose, audience, and usefulness of each product to the field.
- **Program budget.** The applicants should provide an appropriate budget with a detailed justification for all costs, including the basis on which these costs were computed.

Additional Products. The following products are to be delivered in addition to those designated in the paragraph on program strategy:

- A summary of approximately 2,500 words highlighting the findings of the research and the policy issues those findings will inform, written to be accessible to policy officials and practitioners, and suitable for possible publication as an NIJ *Research in Brief*.
- Cleaned copies of all automated data sets developed during the research and full documentation prepared in accordance with the instructions in the *NIJ Data Resources Manual*.

As appropriate, additional interim and final products (e.g., articles, manuals, or training materials) may be specified in the proposal or negotiated at the time of the award.

Eligibility Requirements. NIJ awards grants to or enters into cooperative agreements with educational institutions, nonprofit organizations, public agencies, individuals, and profitmaking organizations that are willing to waive their fees.

Monitoring. Each grant awarded under this solicitation will be monitored according to OJP Handbook 4500.2C (Revised Chapter 7, Monitoring). More specifically, prior to the grant award, the following areas will be defined:

- Statement of goals, objectives, tasks, program activities, and products.
- Program implementation plan and budget that schedules program expenditures.
- Monitoring plan.
- Schedule of monitoring activities.
- Delineation of monitoring products (i.e., progress reports, timeline and task updates, product and activity updates, and draft products).
- The process used by NIJ to review and respond to monitoring findings and recommendations.
- A summary of subsequent program activities in response to implementing the monitoring recommendations. These monitoring efforts will be determined by NIJ and the grantee.

Selection Criteria. All applications will be reviewed by a peer review panel of three to five persons from the research and practitioner communities, selected for their research experience and operational expertise as well as their knowledge in the substantive areas covered by this solicitation. Five criteria are applied in the evaluation process: technical merit of the proposal, understanding of the problem, importance of the research questions addressed, qualifications of the applicant, and project costs.

Award Period. NIJ limits its grants and cooperative agreements to a maximum period of 24 months.

Award Amount. NIJ encourages applicants to develop a reasonable budget that will adequately cover the costs of this project. Funding for this topic has been tentatively set at \$150,000 to \$250,000. It is anticipated that this amount will support one award. Actual funding allocations are based on the quality of proposal received.

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

Community Policing, Public Safety,
and Security Program
National Institute of Justice
633 Indiana Avenue NW., Room 864
Washington, DC 20531

Completed proposals must be received at the National Institute of Justice by the close of business on June 27, 1991. Extension of this deadline will not be permitted.

Contact. Applicants are strongly encouraged to contact the Institute to discuss topic viability, data availability, or proposal content before submitting proposals. To obtain further information, potential applicants may write to Mr. George Shollenberger, Program Manager, at the above address, or telephone him at 202-307-2967.

References

1. William Cunningham et al. *Private Security Trends (1970-2000)*, Butterworth-Heinemann, 1990.
2. National Institute of Justice. *DUF Annual Report*. Washington, D.C., National Institute of Justice, March 1990.
3. The United States Attorneys and the Attorney General of the United

States. *Drug Trafficking: A Report to the President of the United States*, Washington, D.C. August 1989.

4. Wesley Skogan, *Disorder and Decline*. New York, Free Press, 1990.
5. Office of National Drug Control Policy. *National Drug Control Strategy*. Washington, D.C., Executive Office of the President, February 1991.

Community Anti-Drug Initiatives: A National Assessment

Purpose. The purpose of this solicitation is to provide a national overview and assessment of community initiatives directed at drugs and crime, to synthesize what is known about the nature and effectiveness of these ongoing efforts, and to provide this information to communities throughout the United States for their use in selecting and implementing similar initiatives.

Background. Recent polls indicate that drug use, drug trafficking, and drug-related crime are major concerns of citizens throughout the United States.¹ The crime and violence associated with drugs contribute to public fear. Signs of physical and social disorder can also lead to increased crime, fear, and neighborhood decline. In response to these problems, citizen groups have become actively involved in efforts to reclaim neighborhoods and to enhance the level of safety and security in their community.

Citizens have become more active in dealing with the problems of drugs and crime for several reasons. First is the recognition that police departments

cannot be expected to solve these problems alone. Citizen involvement is clearly necessary now if the fight against drugs and crime is to be successful. In addition, evaluations of community programs based on the active participation of citizens have demonstrated that such efforts can help reduce crime and the level of fear in the community.² Consequently, involvement of the community is a major priority of the Administration and its National Drug Control Strategy. This strategy seeks citizen assistance and support in the prevention and control of drug abuse and related crimes. The emphasis is on mobilizing communities to develop comprehensive crime control programs.³

A number of citizen groups have initiated efforts to deal with drugs and crime to win back their neighborhoods and restore a sense of safety and security. These program efforts include a variety of innovative drug and crime control strategies such as Neighborhood Watch and citizen patrols; use of civil and regulatory means to control drugs, crime, and social disorder; efforts to address physical and environmental factors related to crime and fear; and youth-oriented strategies to prevent crime and promote prosocial behavior.

The research proposed should be useful in identifying factors that influence the effectiveness of these citizen efforts and in providing guidance to other communities interested in developing successful programs. Special attention should be given to the lessons learned about mobilizing and maintaining citizen action and to solving problems that arise in organizing and implementing these programs. Dysfunctional aspects of citizen action also need to be identified to

prevent vigilantism and other citizen actions that may extend beyond the law. In addition, research should provide the basis for promoting the development of new or more effective forms of citizen action in the war against drugs and crime. Innovative programs and strategies can be encouraged through the systematic assessment of current experiences in various communities and by focusing on emerging new opportunities for citizen action.

This solicitation is for a National Assessment, which will involve (a) survey and analysis of the problems and issues; (b) identification and description, where appropriate, of model programs or practices for further evaluation; and (c) recommendations for future research. (See *Introduction for further discussion of what a National Assessment entails.*)

Goals

- To determine the nature and extent of citizen involvement efforts that address the Nation's drugs and crime problem.
- To assess citizen anti-drug initiatives in terms of their purpose, operational characteristics, and effects.
- To disseminate the results of a national overview and assessments of citizen initiatives to assist communities and to encourage replication of promising projects.

Objectives

- Obtain information that systematically describes the current state of the art of community anti-drug efforts in America.

- Review each community anti-drug project included in the national overview in sufficient detail so that other jurisdictions can also assess its purpose, operational characteristics, and potential costs and benefits.
- Prepare a comprehensive report on the results of the national assessment of community anti-drug initiatives for distribution to community groups, policymakers, and other concerned parties.

Program Strategy

Obtain information that systematically describes the current state of the art of community anti-drug efforts in America.

To accomplish this objective, the applicant should identify a representative sample of community anti-drug projects to describe them from a number of important perspectives. For example, the projects identified may reflect differences in organizational structure and complexity, size, and characteristics of the community served; target problems or populations addressed; degree of innovation of the project; nature of project activities; and community settings involved.

A critical review of the literature on citizen involvement efforts should provide the context for describing the projects, including their development and implementation.

Products shall include (1) project sampling plan, (2) project selection rationale, (3) data collection plan, (4) project classification scheme, and (5) data tapes. The sampling plan, selection rationale, and classification

scheme should be included in the proposal.

Review each community anti-drug project included in the national overview in sufficient detail so that other jurisdictions can also assess its purpose, operational characteristics, and potential costs and benefits.

To accomplish this objective, the grantee must collect descriptive data on key components of each project. These data should include the purpose of the project in terms of its goals and objectives and the means by which these are addressed; the methods used to mobilize citizens and to encourage them to become involved; the organizational arrangements and roles and functions of project staff; information systems used in the project and manpower and equipment needs; liaisons with public and private agencies; and a distillation of the project experiences in terms of lessons learned and problems and issues to be addressed in planning such efforts. Data should also be collected on project costs and benefits. In general, the information obtained on each project should be sufficient to guide the development and implementation of similar projects in other communities.

In addition, the applicant's proposal should include plans to reanalyze existing data sets, if the applicant believes that such reanalysis will further the goals and objectives of this solicitation. The applicant is encouraged to consult the fourth edition of the *Data Resources of the National Institute of Justice* for a listing of appropriate data sets.

Products should include (1) a data collection plan, (2) data collection instruments, and (3) data tapes. The

research approaches used here may include surveys, site visits, and selected case studies.

Prepare a comprehensive report on the results of the national assessment of community anti-drug initiatives for distribution to community groups, policymakers, and other concerned parties.

To accomplish this objective, the grantee must prepare a report that systematically describes the citizen anti-drug projects and includes an analysis and synthesis of the data to provide useful guidance to community groups. The report should also address the key gaps in our understanding about community involvement initiatives and the issues and research questions that merit priority attention. The presentation of information should be consistent with the needs and practices of community groups and should be pretested in draft form to ensure a user-oriented focus.

Products shall include (1) a preliminary Table of Contents, (2) draft final report, and (3) final report. The Table of Contents should be delivered to NIJ for approval prior to the initiation of the draft report. The draft report should be delivered 90 days prior to the end of the grant for review and comment by NIJ or its agents.

Application Requirements. All applicants must submit a completed SF 424, Application for Federal Assistance, including a program narrative, a detailed budget, and a budget narrative. In addition to the requirements specified in the instructions for the preparation of SF 424, the following information should also be included:

■ **Program goals.** The application should also contain a discussion of each objective to be met and the potential contribution of the proposal to the field.

■ **Program strategy.** Applicants should describe the proposed approach for achieving the goals and objectives of the program. Applicants should include a discussion of how each objective would be achieved.

■ **Program implementation plan.** Applicants should provide a plan that outlines the major activities involved in implementing the program, describes how they will allocate resources to implement the program, and explains how the program will be managed.

■ **Products.** The applicants should concisely describe the interim and final products under each objective and address the purpose, audience, and usefulness of each product to the field.

■ **Program budget.** The applicants should provide an appropriate budget with a detailed justification for all costs, including the basis for computation of these costs.

Additional Products. The following products are to be delivered in addition to those designated in the paragraph on program strategy:

■ A summary of approximately 2,500 words highlighting the findings of the research and the policy issues those findings will inform, written to be accessible to policy officials and practitioners, and suitable for possible publication as an *NIJ Research in Brief*.

■ Cleaned copies of all automated data sets developed during the research and full documentation prepared in accordance with the instructions in the *NIJ Data Resources Manual*.

As appropriate, additional interim and final products (e.g., articles, manuals, or training materials) may be specified in the proposal or negotiated at the time of the award.

Eligibility Requirements. NIJ awards grants to or enters into cooperative agreements with educational institutions, nonprofit organizations, public agencies, individuals, and profitmaking organizations that are willing to waive their fees.

Monitoring. Each grant awarded under this solicitation will be monitored according to OJP Handbook 4500.2C (Revised Chapter 7, Monitoring). More specifically, prior to the grant award, the following areas will be defined:

■ Statement of goals, objectives, tasks, program activities, and products.

■ Program implementation plan and budget that schedules program expenditures.

■ Monitoring plan.

■ Schedule of monitoring activities.

■ Delineation of monitoring products (i.e., progress reports, timeline and task updates, product and activity updates, and draft products).

■ The process used by NIJ to review and respond to monitoring findings and recommendations.

■ A summary of subsequent program activities in response to implementing

the monitoring recommendations. These monitoring efforts will be determined by NIJ and the grantee.

Selection Criteria. All applications will be reviewed by a peer review panel of three to five persons from the research and practitioner communities, selected for their research experience and operational expertise as well as their knowledge in the substantive areas covered by this solicitation. Five criteria are applied in the evaluation process: technical merit of the proposal, understanding of the problem, importance of the research questions addressed, qualifications of the applicant, and project costs.

Award Period. NIJ limits its grants and cooperative agreements to a maximum period of 24 months.

Award Amount. NIJ encourages applicants to develop a reasonable budget that will adequately cover the costs of this project. Funding for this topic has been tentatively set at \$100,000 to \$150,000. It is anticipated that this amount will support one award. Actual funding allocations are based on the quality of proposal received.

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

Community Policing, Public Safety,
and Security Program
National Institute of Justice
633 Indiana Avenue, NW., Room 864
Washington, DC 20531

Completed proposals must be received at the National Institute of Justice by the close of business on June 20, 1991. Extension of this deadline will not be permitted.

Contact. Applicants are strongly encouraged to contact the Institute to discuss topic viability, data availability, or proposal content before submitting proposals. To obtain further information, potential applicants may write to Mr. George Shollenberger, Program Manager, at the above address, or telephone him at 202-307-2967.

References

1. National Institute of Justice. *Searching for Answers: Research and Evaluation on Drugs and Crime*. Washington, D.C., July 1990.
2. Rosenbaum, Dennis P., ed. *Community Crime Prevention: Does It Work?* Beverly Hills, Sage Publications, 1986: 294-308.
3. Office of National Drug Control Policy. *National Drug Control Strategy*. Washington, D.C., Executive Office of the President, February 1991.

Study on Police Use of Excessive Force

NIJ Funding Level: \$400,000

As stated in the Attorney General's press release of March 14, 1991, the National Institute of Justice (NIJ) plans to conduct a study "to determine the correlation, if any, between the incidence of police brutality and the presence or absence of department training programs . . ."

NIJ, in coordination with the Assistant Attorney General, Office of Justice Programs (OJP), is considering collecting data from police departments and other municipal agencies in a systematic manner so that the data will be valid and reliable.

NIJ is considering including the following issues in its call for proposals:

- Examining the number, types, and characteristics of incidents involving the use of force and excessive force on a national basis.
- Analyzing how training and internal controls may deter violence by police.

Decisions have yet to be made, and NIJ is receiving recommendations on the scope of the study. NIJ's study could include the following research questions in the call for proposals:

- Under what specific circumstances are excessive use of force incidents most common?
- What is the content and quality of police training with regard to achieving and maintaining control of a situation and the proper use of force?
- How do police departments screen recruits? Are there criteria for tracking violent behavior against or by individual officers? How do police departments address this issue?
- What is the relationship between department supervision and the use of excessive force?

NIJ is developing a full research solicitation supported by \$400,000 from 1991 funds. The request for proposals will be ready for distribution in May. A draft will be reviewed by appropriate components within the Department of Justice.

Community-Based Policing: Related Proposals

The National Institute of Justice is committed to a broad research program, involving both basic and applied approaches, that encompasses a large majority of the criminal justice research community. Moreover, NIJ supports a wide range of research methodologies, including case studies, structured observational methods, longitudinal studies, experimental and quasi-experimental designs, surveys, and secondary analyses. Within OJP policy guidelines for this topic area, NIJ encourages innovative research proposals that would bring to bear thinking and research from a variety of disciplines to the study of crime and criminal behavior. NIJ recognizes that researchers might wish to pose and structure their own research questions.

Applicants may propose research projects addressing the general goals and objectives of this program area but not expressly included in the specific solicitations. If there is a question whether a given project idea falls within the program's scope, applicants are encouraged to seek the advice of the Program Manager.

Applicants are directed to follow the guidelines regarding application requirements, products, eligibility requirements, monitoring, selection criteria, and the award period described in previous sections of this solicitation.

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

Community-Based Policing:
Related Proposals
National Institute of Justice
633 Indiana Avenue NW., Room 864
Washington, DC 20531

Completed proposals must be received at the National Institute of Justice by the close of business on June 27, 1991. Extension of this deadline will not be permitted.

Contact. Applicants are strongly encouraged to contact the Institute to discuss topic viability, data availability, or proposal content before submitting proposals. To obtain further information, potential applicants may write to George Shollenberger, Program Manager, at the above address, or contact him at 202-307-2967.

Community-Based Programs

NIJ Funding Level: \$250,000

OJP Policy Statement. The criminal justice system should assume a primary role in mobilizing communities to develop comprehensive strategies for combating illegal drugs. Office of Justice Programs (OJP) Community-Based Programs will emphasize programs at the grassroots level that focus on mobilizing law-abiding citizens to get involved in high-crime neighborhoods where there is a prevalence of drug trafficking, serious crime, gang violence, and child sexual exploitation. Through comprehensive and coordinated activities, community leaders—including school officials and church, business, and civic leaders—can work together to “take back the streets” from criminals. Prevention and intervention efforts will be concentrated in public housing complexes, drug-free school zones, recreational parks, and community centers threatened by drug-related crime and illegal gang activity. The involvement of residents, neighborhood organizations, and institutions is an essential component of these programs. Demonstration and dissemination programs are the primary approaches for informing and directing communities on the most effective programs and how these programs can be implemented in their neighborhoods.

Planning and Designing Crime-Free Environments: Review and Synthesis

Purpose. The purpose of the solicitation is to identify successful examples in the application of the principles of Crime Prevention Through Environmental Design (CPTED) in the United States today and to show how this success can be built upon and extended.

Background. Since the 1970's, NIJ has supported research to enhance community security through the proper design and use of safe environments. The CPTED principles developed by NIJ research have been included nationwide in coursework and training for police and

crime prevention practitioners, as well as for consultants in security and loss prevention. CPTED principles have also appeared in materials aimed at those in charge of public policy and practice in the areas of planning, zoning, building codes, and fire safety. Architects, urban planners, and those in engineering, landscape design, and interior design specialties are familiar with these ideas through the professional press, books, and lectures. Building developers, owners, and managers and military security officers and others in the corporate and private sector have also become familiar with the CPTED concept.

In some cities and counties, police officers trained in the principles of CPTED conduct design reviews of the

building plans of developers and agencies of local government. CPTED principles are also used in some police community drug-control and problem-oriented policing efforts. Some of these principles have been incorporated in local building codes and into the design review process by officials and committees in both the public and the private sectors. While the application of these principles is now believed to be widespread, this has not been documented. NIJ seeks to search for and examine the use of CPTED to learn what factors are responsible for its use; whether it is being properly used; how successfully it has helped reduce crime and fear in the cases where it was properly used; and what legislative, training, or program changes would increase the successful use of CPTED principles by all those associated with the design and management of buildings.

This solicitation is for a Review and Synthesis, which will include a critical examination of past and current research efforts. Such an examination includes an original approach to the existing written literature, a reexamination of existing data sets and new analysis, the development of a research agenda building on past research, and the formulation of model programs. (*See Introduction for additional information on Review and Synthesis projects*).

Goals

- To enhance crime prevention efforts through environmental design wherever appropriate.
- To expand the successful use of CPTED.

Objectives

- Identify and document successful uses of CPTED by developing a Review and Synthesis on the subject.
- Identify the factors that promote or constrain the successful use of CPTED.
- Formulate a research agenda that will provide basic questions for future research.
- Show how CPTED can be used more widely and successfully in the future.

Program Strategy

Identify and document successful uses of CPTED by developing a Review and Synthesis on the subject.

In the grant proposal, the applicant should provide a literature review to demonstrate an understanding of the problem being addressed. In addition, however, NIJ has an interest in developing comprehensive literature reviews as discrete products. These reviews would provide a synthesis of what is known about CPTED and an assessment of what types of new information are needed to support criminal justice systems operations and strategies. These reviews would be critical and theory driven.

The proposal should, therefore, describe how the grantee will review and synthesize the literature. It should also describe how the grantee will establish contacts with key persons in the field, coordinate with key national organizations (representing architects, urban planners, security consultants, law enforcement, elected officials, administrators, building owners and managers, corporate security

directors, military security officers, etc.), and other courses of action as appropriate to conduct a national search for a comprehensive listing of successful examples of the use of CPTED principles.

In addition, the grantee's proposal should include plans to reanalyze existing data sets, if the applicant believes that such reanalyses will further the goals and objectives of this solicitation. The applicant is encouraged to consult the fourth edition of the *Data Resources of the National Institute of Justice* for a listing of appropriate data sets.

Products will be a comprehensive literature review and synthesis and detailed listing of all aspects of the search procedure, key terms in locating CPTED examples and determining its successful use, and the examples identified, by category (legislative, regulatory, administrative, etc.).

Identify the factors that promote or constrain the successful use of CPTED.

The proposal should show how the grantee will identify the factors that relate to the successful adoption and use of CPTED in each instance that is being analyzed. Factors to be examined will include: the training of practitioners and the incorporation of security design issues in their courses in professional seminars and conferences, etc.; the certification of practitioners, licensure, professional registration, promotion, etc.; other forms of exposure, including professional journals and currently available commercial and government books, documents, and audiovisual materials, etc.; professional practice, whereby formal, institutionalized

procedures are incorporated in the planning, design, and approval processes during which security design issues are raised and appropriate security professionals are involved. The proposal should show how the applicant intends to pose and answer questions such as: What specific events, factors, and influences led to the security emphasis being enacted in legislation or incorporated into regulation or practice? What impediments or obstacles had to be overcome, and what arguments or strategies were used to overcome them?

Products will be a detailed analysis of each case that was examined and analyzed, with a description of the actions that were taken and of the forces that caused these actions to be taken, as well as a discussion of the resistance encountered and how that resistance was overcome.

Formulate a research agenda that will provide basic questions for future research.

The research agenda should identify (a) fundamental issues for study and (b) issues and questions that will result in research projects of direct practical utility to criminal justice professionals.

Show how CPTED can be used more widely and successfully in the future.

The proposal should show how, based on the analysis of examples of successful use of CPTED, a program of legislation, regulation, promotion, education and training, media efforts, or other activities can be developed that will lead to the wider use of CPTED in situations where it would be appropriate and advantageous, but is not currently in use.

Products will be a detailed plan of action that public officials, legislators, law enforcement officials, and other policymakers at all levels of government, as well as corporate executives and others in the private sector, can adopt to increase the proper use of CPTED principles in their localities.

Application Requirements. Applicants must submit a completed SF 424, Application for Federal Assistance, including a program narrative, a detailed budget, and a budget narrative. In addition to the requirements specified in the instructions for the preparation of SF 424, the following information should also be included:

- *Program goals.* The application should also contain a discussion of the problem and the potential contribution of this program to the field.
- *Program strategy.* Applicants should describe the proposed approach for achieving the goals and objectives of the program. Applicants should include a discussion of how each objective would be accomplished.
- *Program implementation plan.* Applicants should provide a plan which outlines the major activities involved in implementing the program and describe how they will allocate resources to implement the program and how the program will be managed.
- *Products.* The applicants should concisely describe the interim and final products under each objective of the program and address the purpose, audience, and usefulness of each product to the field.

- *Program budget.* The applicants should provide an appropriate budget with a detailed justification for all costs, including the basis on which these costs are computed.

Products. At a minimum, final products of the research projects must include:

- A full technical report, including a discussion of the research question, a review of the literature, a description of project methodology, detailed review of project findings, and conclusions and policy recommendations.
- A summary of approximately 2,500 words highlighting the findings of the research and the policy issues those findings will inform, written to be accessible to policy officials and practitioners, and suitable for possible publication as an *NIJ Research in Brief*.
- Cleaned copies of all automated data sets developed during the research and full documentation prepared in accordance with the instructions in the *NIJ Data Resources Manual*.

As appropriate, additional interim and final products (e.g., articles, manuals, or training materials) may be specified in the proposal or negotiated at the time of the award.

Eligibility Requirements. NIJ awards grants to or enters into cooperative agreements with educational institutions, nonprofit organizations, public agencies, individuals, and profit-making organizations that are willing to waive their fees.

Monitoring. Each grant awarded under this solicitation will be monitored according to OJP Handbook 4500.2C (Revised Chapter 7, Monitoring). More specifically, prior to the grant award, the following areas will be defined:

- Statement of goals, objectives, tasks, program activities, and products.
- Program implementation plan and budget that schedules program expenditures.
- Monitoring plan.
- Schedule of monitoring activities.
- Delineation of monitoring products (i.e., progress reports, timeline and task updates, product and activity updates, and draft products).
- The process used by NIJ to review and respond to monitoring findings and recommendations.
- A summary of subsequent program activities in response to implementing the monitoring recommendations. These monitoring efforts will be determined by NIJ and the grantee.

Selection Criteria. All applications will be reviewed by a peer review panel of three to five persons from the research and practitioner communities, selected for their research experience and operational expertise as well as their knowledge in the substantive areas covered by this solicitation. Five criteria are applied in the evaluation process: technical merit of the proposal, understanding of the problem, importance of the research questions addressed, qualifications of the applicant, and project costs.

Award Period. NIJ limits its grants and cooperative agreements to a maximum period of 24 months.

Award Amount. NIJ encourages applicants to develop a reasonable budget that will adequately cover the costs of the proposed project. Funding of this topic has been tentatively set at \$100,000 to \$200,000. It is anticipated that this amount will support one award. Actual funding allocations are based on the quality of proposal received.

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

Planning and Designing Crime-Free
Environments
National Institute of Justice
633 Indiana Avenue NW.
Washington, DC 20531

Completed proposals must be received at the National Institute of Justice by the close of business on June 20, 1991. Extension of this deadline will not be permitted.

Contact. Applicants are strongly encouraged to contact the Institute to discuss topic viability or proposal content before submitting proposals. To obtain further information, potential applicants may write to Richard M. Titus, Ph.D., Program Manager, at the above address, or contact him at 202-307-0695.

Community-Based Programs: Related Proposals

The National Institute of Justice is committed to a broad research program, involving both basic and applied

approaches, that encompasses a large majority of the criminal justice research community. Moreover, NIJ supports a wide range of research methodologies, including case studies, structured observational methods, longitudinal studies, experimental and quasi-experimental designs, surveys, and secondary analyses. Within OJP policy guidelines for this topic area, NIJ encourages innovative research proposals that would bring to bear thinking and research from a variety of disciplines to the study of crime and criminal behavior. NIJ recognizes that researchers might wish to pose and structure their own research questions.

Applicants may, if they wish, propose research projects addressing the general goals and objectives of this program area but not specifically included in the specific solicitations. If there is a question whether a given project idea falls within the program's scope, applicants are encouraged to seek the advice of the Program Manager.

Applicants are directed to follow the guidelines regarding application require-

ments, products, eligibility requirements, monitoring, selection criteria, and the award period described in previous sections of this solicitation.

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

Community-Based Programs
National Institute of Justice
633 Indiana Avenue NW.
Washington, DC 20531

Completed proposals must be received at the National Institute of Justice by the close of business on June 27, 1991. Extension of this deadline will not be permitted.

Contact. Applicants are strongly encouraged to contact the Institute to discuss topic viability, data availability, or proposal content before submitting proposals. To obtain further information, potential applicants may write to Richard M. Titus, Ph.D., Program Manager, at the above address, or contact him at 202-307-0695.

Drug Testing

NIJ Funding Level: \$550,000

OJP Policy Statement. Drug testing should be a part of each component of the criminal justice system. Drug testing is a critical deterrent in the Nation's drug war. Research has shown that those who use drugs are most likely to end up being involved in criminal activity. The Office of Justice Programs drug testing activities focus on pre- and postadjudicatory screening to assist criminal justice officials in making decisions regarding confinement, disposition, and referral decisions. Through the drug testing programs, OJP plans to provide policymakers at the State and local levels with information to enable and encourage them to incorporate testing in all aspects of the criminal and juvenile justice systems.

Demonstrating the Use of DUF Findings in Local Policies and Programs

Purpose. The purpose of this solicitation is to demonstrate the use of NIJ's Drug Use Forecasting (DUF) findings to plan the allocation of law enforcement, treatment, and prevention resources; to enhance the delivery of ongoing law enforcement, treatment, or prevention efforts; and/or to influence other policy or program decisions and to assess the results of those efforts.

Background. Throughout the past decade the links between illegal drug use and crime have been well documented. In 1984, NIJ sponsored two separate studies, in New York City and Washington, D.C., which involved voluntary drug testing of booked arrestees. While prior estimates of arrestee drug use had ranged from 30 to 35 percent, urinalysis results in both sites indicated that well over half of all arrestees tested had recently used one or more illegal drugs. Arrestee drug use information collected in these two programs raised the question of whether

this condition was an anomaly of two large East Coast cities or whether arrestee drug use in other places was also significantly higher than previously estimated. Earlier research in Washington, D.C., had shown that the increase in heroin use among arrestees was a significant leading indicator of the heroin epidemic in the larger community in the mid-1970's. NIJ began to explore potential ways to sample and measure arrestee drug use in other cities that would (a) improve understanding of the levels and types of drug use among urban arrestees, (b) provide trend data that might serve as a leading indicator or forecast potential drug problems in the community, and (c) provide participating cities with information they could use in planning and allocating treatment and law enforcement resources. The DUF program was begun in 1987 and now operates in 24 cities.

At each site, voluntary and anonymous interviews and urine specimens are obtained each quarter from a convenience sample of booked male arrestees being processed at that site's booking facility. Twenty-two sites also interview and test

all female arrestees booked during the collection period (approximately 100 per quarter), and 11 sites interview and test juvenile arrestees/detainees (50 to 100 per quarter) brought in during the collection period. Urine specimens are analyzed for the presence of 10 drugs, and the urinalysis results are merged with official record information on charge and self-report data from the interviews. These data include: general demographics (age, race, education, marital status, employment); age of onset of drug use, current drug use and dependency, treatment history and needs; and injection patterns and needle-sharing behavior, including the effect of AIDS on needle sharing.

While NIJ conducts a range of analyses of DUF data for national reporting purposes, the Institute recognizes (1) that individual jurisdictions may need a different level of detail, specificity, or focus to use DUF findings most effectively, and (2) that the local officials or agencies for whom DUF results are relevant may each be interested in different aspects, analyses, or sub-sets of the information generated by the DUF program. Thus, analyses of interest to law enforcement agencies may well differ from those most useful to treatment providers or to public health officials. Further, different units within the same organization—for example, the narcotics unit and DARE unit of a law enforcement agency—may need different elements of DUF information.

Extensive databases now exist for many of the DUF sites, providing a wealth of information for analysis. Given the importance of the problems of drug abuse and drug-related crime, and given the expense of primary data collection for

research purposes, NIJ is making DUF data sets publicly available and is encouraging their use to address questions which can inform local policy or practice.

Goals

- To demonstrate the uses of DUF information in formulating local policy and/or implementing or enhancing local programs or practice.
- To learn what the effective strategies are for incorporating DUF information into policy formulation and for introducing and institutionalizing its use among local organizations, including law enforcement, drug treatment, and prevention agencies.
- To disseminate the results of the demonstration projects so that effective strategies can be applied in other jurisdictions.

Objectives

- Determine the local officials, offices, and/or agencies within the demonstration jurisdiction that can use DUF information and the types of information and analyses desired by each; implement mechanisms to establish and maintain networks and feedback.
- Conduct special analyses, convey results to appropriate officials, and obtain feedback to enhance the usefulness of subsequent analyses.
- Examine the uses made of DUF data, the factors that facilitate or inhibit its use, strategies for overcoming barriers to application, and the potential utility of these approaches for other jurisdictions.

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- Formulate recommendations and develop a detailed report on introducing and institutionalizing the use of DUF findings in local policy development and programming and the implications of project findings for the use of comparable drug testing information in other communities.

Program Strategy

Determine the local officials, offices, and/or agencies within the demonstration jurisdiction that can use DUF information and the types of information and analyses desired by each; implement mechanisms to establish and maintain networks and feedback.

To accomplish this objective, the grantee will identify the specific individuals and/or organizations who can use DUF data; consult with them on the types of information and analyses most relevant for their purposes; and design and implement ongoing information-sharing, networking, and feedback strategies tailored to the needs within the demonstration jurisdiction.

Within the proposal, the applicant will (1) identify the DUF site in which the demonstration will be conducted; (2) provide documentation of willingness to participate from appropriate local officials and organizations, and (3) describe any current applications of DUF findings in that jurisdiction. Based on a review of both the DUF data available for that site and the relevant programs and information needs of that jurisdiction, the applicant should discuss preliminary target audiences and the relevance of DUF information to their operations within the body of the proposal. The proposal should also

include a detailed analysis regarding the DUF sampling strategy, including (1) the population from which the DUF sample is drawn, (2) the catchment area from which arrestees are brought to the booking facility, (3) classes of arrestees potentially omitted by the DUF sampling strategy, and (4) the generalizability of DUF findings for local applications. The proposal should also include an appropriate method for delineating the target audiences and their information needs, and based on a review of the relevant literature, address how information networks and feedback mechanisms will be designed and implemented. A schedule of tasks and an implementation plan will be part of the proposal.

The products resulting from this objective should be a list of the specific officials, offices, and agencies (including the relevant contact person within each) that can use DUF information; detailed specification of the types of information and analyses desired by each; and documentation of the design and implementation of networking and feedback mechanisms.

Conduct special analyses, convey results to appropriate officials, and obtain feedback to enhance the usefulness of subsequent analyses.

To accomplish this objective, the grantee will prepare the various special analyses, present the results in ways designed to promote and facilitate their use, provide assistance in interpreting the data, and obtain and incorporate the feedback received in order to improve and enhance the utility of subsequent efforts. The applicant is expected to provide a plan for this iterative process within the body of the proposal, including a discussion of

potential analyses and presentation formats, the types of assistance or interpretation that will be provided, and techniques for obtaining and incorporating feedback. The applicant should specify a data collection strategy, including the types of information that will be collected and an outline of data collection instruments, and develop data analysis plans within the grant proposal. The time and task plan submitted with the proposal should indicate the number and timing of sequential analyses.

The products of this objective should be the special analyses developed to meet the needs of target agencies/organizations and interim progress reports on their presentation, interpretation, and subsequent refinement. As requested by NIJ, interim descriptive summaries may be developed for publication in *DUF Research in Action* reports.

Examine the uses made of DUF data, the factors that facilitate or inhibit its use, strategies for overcoming barriers to application, and the potential utility of these approaches for other jurisdictions.

The major focus of this solicitation is to determine (1) to what extent and how the wide range of information generated by the DUF program can be used to inform or improve local drug-related policies and/or practice and (2) what strategies are useful or effective in encouraging such use. To accomplish this objective of the solicitation, the grantee will document and analyze the local applications of DUF data. Based on the results of the analysis, the grantee also will assess the relevance and utility of the strategies and experiences of the demonstration site for other jurisdictions.

The grantee must provide a description of the extent to which and how DUF information was used by the various target agencies/organizations, an analysis of facilitating and inhibiting factors, an assessment of the applicability of the approaches for other jurisdictions, and recommendations for improving the project's operations at the demonstration site or in adaptations in other communities.

Formulate recommendations and develop a detailed report on introducing and institutionalizing the use of DUF findings in local policy development and programming and the implications of project findings for the use of comparable drug testing information in other communities.

This report is expected to detail the process of applying DUF data to local policy development and programming, including accomplishments, experiences, and problems of the demonstration project, set in the context of the literature on introducing and institutionalizing the use of new information in criminal justice agencies. The report should also include a detailed description of the methodology employed, the results of the applications of DUF findings, the strategies developed to institutionalize the use of DUF findings, and recommendations for improving the project's operations at the demonstration site or in adaptations in other communities. Another expected product is an executive summary suitable for publication as a special *DUF Research in Action* to inform practitioners, public policymakers, and researchers of the results.

Application Requirements. All applicants must submit a completed SF 424, Application for Federal Assistance,

including a program narrative, a detailed budget, and a budget narrative. In addition to the requirements specified in the instructions for the preparation of SF 424, the following information should also be included:

- **Program goals.** The application should also contain a discussion of the problem and the potential contribution of this program to the field.
- **Program strategy.** Applicants should describe the proposed approach for achieving the goals and objectives of the program. Applicants should include a discussion of how each objective would be accomplished.
- **Program implementation plan.** Applicants should provide a plan that outlines the major activities involved in implementing the program, describes how they will allocate resources to implement the program, and explains how the program will be managed.
- **Products.** The applicants should concisely describe the interim and final products under each objective of the program and address the purpose, audience, and usefulness of each product to the field.
- **Program budget.** The applicants should provide an appropriate budget with a detailed justification for all costs, including the basis on which these costs are computed.

Products. At a minimum, final products of the research projects must include:

- A full technical report, including a discussion of the research question, a

review of the literature, a description of project methodology, detailed review of project findings, and conclusions and policy recommendations.

- A summary of approximately 2,500 words highlighting the findings of the research and the policy issues those findings will inform, written to be accessible to policy officials and practitioners, and suitable for possible publication as an *NIJ Research in Brief*.
- Cleaned copies of all automated data sets developed during the research and full documentation prepared in accordance with the instructions in the *NIJ Data Resources Manual*.

As appropriate, additional interim and final products (e.g., articles, manuals, or training materials) may be specified in the proposal or negotiated at the time of the award.

Eligibility Requirements. NIJ awards grants to or enters into cooperative agreements with educational institutions, nonprofit organizations, public agencies, individuals, and profitmaking organizations that are willing to waive their fees.

Monitoring. Each grant awarded under this solicitation will be monitored according to OJP Handbook 4500.2C (Revised Chapter 7, Monitoring). More specifically, prior to the grant award, the following areas will be defined:

- Statement of goals, objectives, tasks, program activities, and products.
- Program implementation plan and budget that schedules program expenditures.

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- Monitoring plan.
 - Schedule of monitoring activities.
 - Delineation of monitoring products (i.e., progress reports, timeline and task updates, product and activity updates, and draft products).
 - The process used by NIJ to review and respond to monitoring findings and recommendations.
 - A summary of subsequent program activities in response to implementing the monitoring recommendations. These monitoring efforts will be determined by NIJ and the applicant.

Selection Criteria. All applications will be reviewed by a peer review panel of three to five persons from the research and practitioner communities, selected for their research experience and operational expertise as well as their knowledge in the substantive areas covered by this solicitation. Five criteria are applied in the evaluation process: technical merit of the proposal, understanding of the problem, importance of the research questions addressed, qualifications of the applicant, and project costs.

Award Period. NIJ limits its grants and cooperative agreements to a maximum period of 24 months.

Award Amount. Funding of this topic has been tentatively set at \$150,000 to \$200,000. It is anticipated this amount will support one award. Actual funding allocations are based on the quality of proposal received.

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

Drug Use Forecasting Demonstration
National Institute of Justice
633 Indiana Avenue NW., Room 864
Washington, DC 20531

Completed proposals must be received at the National Institute of Justice by the close of business on June 27, 1991. Extension of this deadline will not be permitted.

Contact. Applicants are strongly encouraged to contact the Institute to discuss topic viability, data availability, or proposal content before submitting proposals. To obtain further information, potential applicants may write to Ms. Joyce O'Neil, DUF Program Manager, at the above address, or telephone her at 202-514-5981.

Expanding the Applications of DUF Data

Purpose. The purpose of this solicitation is to support projects to examine the relationship of local DUF trend data to other available local indicators of drug use, crime, and related community problems and determine how these data can be accurately combined, analyzed, and presented, so that they can be used in local policymaking and planning.

Background. Throughout the past decade the links between illegal drug use and crime have been well documented. In 1984, NIJ sponsored two separate studies, in New York City and Washington, D.C., that involved voluntary drug testing of booked arrestees. While prior estimates of arrestee drug use had ranged from 30 to 35 percent, urinalysis results in both

sites indicated that well over half of all arrestees tested had recently used one or more illegal drugs. The information on arrestee drug use collected in these two programs raised the question of whether this condition was an anomaly of two large East Coast cities or whether arrestee drug use in other places was also significantly higher than previously estimated. Earlier research in Washington, D.C., had shown that the increase in heroin use among arrestees was a significant leading indicator of the heroin epidemic in the larger community in the mid-1970's. NIJ began to explore potential ways to sample and measure arrestee drug use in other cities that would (a) improve understanding of the levels and types of drug use among urban arrestees, (b) provide trend data that might serve as a leading indicator or "forecast" potential drug problems in the community, and (c) provide participating cities with information they could use in planning and allocating treatment and law enforcement resources. The DUF program was begun in 1987 and now operates in 24 cities.

At each site, voluntary and anonymous interviews and urine specimens are obtained each quarter from a sample of male arrestees being processed at that site's booking facility. Twenty-two sites also interview and test all female arrestees booked during the collection period (approximately 100 per quarter), and 11 sites interview and test juvenile arrestees/detainees (50 to 100 per quarter) brought in during the collection period. Urine specimens are analyzed for the presence of 10 drugs, and the urinalysis results are merged with official record information on charge and self-report data from the interviews. These data include: general demographics (age, race,

education, marital status, employment), age of onset of drug use, current drug use and dependency, treatment history and needs, and injection patterns and needle-sharing behavior, including the effect of AIDS on needle sharing. Extensive databases now exist for many of the DUF sites, providing a wealth of information for analysis. Given the importance of the problems of drug abuse and drug-related crime, and given the expense of primary data collection for research purposes, NIJ is making DUF data sets publicly available and is encouraging their use to address questions which can inform local policy or practice.

NIJ conducts a range of analyses of DUF data for national reporting purposes. It also supports additional independent projects to expand and enhance the understanding and use of the information collected under the DUF program. The findings of one recent project in Washington, D.C., suggest that estimates of arrestee drug use, such as those produced by DUF, may prove useful in anticipating trends in drug-related problems in the community at large. Work currently ongoing is exploring the relationships between trends in arrestee drug use and other community problems such as reported child abuse.

Under this solicitation, the Institute is interested in research projects that will examine the relationship of local DUF trend data to other local indicators of drug use, crime, or related community problems and determine how that information can be analyzed and presented in ways most useful for policy and planning purposes. Depending on the particular site; other available indicators may include emergency room episodes; drug overdose deaths; treat-

ment admissions; local drug surveys; crime statistics; or other social service, mental health, or public health records.

This solicitation is being issued in conjunction with the complementary solicitation "Demonstrating the Use of DUF Findings in Local Policies and Programs." Applicants may respond to one or both of these solicitations.

Goals

- To develop complete information on drug use patterns and trends among booked arrestees in selected jurisdictions.
- To devise practical methods of effectively combining DUF data with other local indicators of drug use and community problems.
- To produce a comprehensive report detailing drug use trends and other findings in selected jurisdictions, and how these findings can be used to shape local policy.

Objectives

- Document and analyze the DUF findings from specific jurisdiction(s).
- Document and analyze the findings from other drug, crime, and/or community problem indicators in specific jurisdiction(s).
- Determine and document (1) the relationships between the various indicators, (2) how they can best be used to assess the nature and extent of drug use in a jurisdiction, and (3) whether changes in one or more of these indicator systems anticipate changes or signal implications for other systems.

- Formulate recommendations, based on the information gathered and analyses performed, and develop a comprehensive report detailing how the combined indicators can be used to improve planning and policy in the jurisdiction(s) studied and assessing the generalizability of this model to other jurisdictions.

Program Strategy

Document and analyze the DUF findings from specific jurisdiction(s).

To accomplish this objective, the grantee will perform a number of analyses of DUF data for selected jurisdictions. These analyses will include thorough discussions of issues regarding the relationship of drug use, overall and by type of drug, to other relevant variables, such as age, gender, race, ethnicity, and charge at arrest.

Within the proposal, the applicant should (1) identify the DUF site(s) whose data will be the subject of study and analysis and (2) provide information concerning the availability of those DUF data sets, the time periods covered, and sample sizes available for analysis. Applicants proposing to use DUF data not yet archived for public use must demonstrate, within the proposals, that arrangements have been made and agreement obtained from the DUF Project Director at the specific DUF site(s) involved.

The proposal should also include a discussion demonstrating the applicant's understanding of the DUF sampling strategy and the DUF sample for the specific site(s), including (1) the population from which the DUF sample is drawn, (2) the catchment area from

which arrestees are brought to the booking facility, (3) classes of arrestees potentially omitted by the DUF sampling strategy, and (4) the generalizability of DUF findings for local applications.

The product of this objective should be a detailed report describing the DUF sampling strategy, the DUF sample for the site(s) involved, and a description of the extent to which the sample is representative of all arrestees, or specific categories of arrestees, from the jurisdiction. The report should also include findings from the data analyses noted above.

Document and analyze the findings from other drug, crime, and/or community problems indicators in specific jurisdiction(s).

To accomplish this objective, the grantee will analyze local indicators of drug use, crime, and other community problems; detail the population included in these indicators; and explore the generalizability of the sample to local populations. They will also examine and assess the overlap and omission of populations within varying data sets.

Within the proposal, the applicant should identify the local indicators of drug use, crime, and/or community problems being proposed for study and the rationale for their selection. The applicant also should describe each indicator, including the availability of the data set, the time periods covered by the data set, the population covered/represented in the data set, and the *n*'s or sample sizes represented in the data.

The product of this objective should be an analysis of the local indicators of drug

use, crime, and/or community problems selected for study, including the findings which capture the population of the jurisdiction, the representativeness of the sample, and how these indicators relate to each other in terms of measurement of drug use and populations measured.

Determine and document (1) the relationships between the various indicators, (2) how they can best be used to assess the nature and extent of drug use in a jurisdiction, and (3) whether changes in one or more of these indicator systems anticipate changes or signal implications for other systems.

The major focus of this solicitation is to determine how DUF data can be used in conjunction with other locally available indicators of drug use, crime, and/or other community problems to develop more accurate estimates of the extent and nature of drug use within selected jurisdiction(s), and to study whether changes in one indicator system can appropriately be used to anticipate changes in other systems for local policy/planning purposes. This objective will be accomplished by analyzing the relationship between the local indicator systems, combining complementary data sets that measure drug use among various segments of the population to obtain a comprehensive estimate of drug use in the jurisdiction, and examining the correlations between changes in the various indicator systems (or subsets of those systems). Based on the results of the analyses, the grantee also will assess the relevance and utility of the approach and its utility for other jurisdictions.

Within the proposal, the applicant should present a detailed research design, including techniques to be used to

determine and accommodate for overlap in the populations covered by the different indicators, and the methodology proposed for combining the multiple drug indicators. The applicant should also, within the proposal, specify the analytic plan to determine relationships between the various indicator systems (or subsets of those systems) and whether changes in one system have implications for others.

The products of this objective will be the analyses of findings from multiple local indicators, a comprehensive assessment of the nature and extent of drug use among various segments of the population in the jurisdiction(s) studied, and findings on whether changes in one indicator (or sub-sets of an indicator) can appropriately be used to anticipate changes in other areas. These findings will also serve as a potential model of integration of data sets for other jurisdictions.

Formulate recommendations, based on the information gathered and analyses performed, and develop a comprehensive report detailing how the combined indicators can be used to improve planning and policy in the jurisdiction(s) studied and assessing the generalizability of this model to other jurisdictions.

This report must detail the processes and methodologies used in examining the relationship of local DUF trend data to other available local indicators of drug use, crime, and other community problems. The report must include a complete methodological discussion and description of specifically how these data can be accurately combined, analyzed, and presented in ways useful for local policy purposes, together with an assessment of the utility of the approach for other jurisdictions.

The report should also include recommendations, based on the information gathered, the analyses performed, and the findings generated, on how the combined indicators can be used to improve planning and policy and on whether specific indicators should be tracked not only for their own estimates but for their implications for other areas of the community. Another expected product is an executive summary suitable for publication as a special DUF *Research in Action* publication, which can inform practitioners, public policymakers, and researchers of the results.

Application Requirements. Applicants must submit a completed SF 424, Application for Federal Assistance, including a program narrative, a detailed budget, and a budget narrative. In addition to the requirements specified in the instructions for the preparation of SF 424, the following information should also be included:

- **Program goals.** The application should also contain a discussion of the problem and the potential contribution of this program to the field.
- **Program strategy.** Applicants should describe the proposed approach for achieving the goals and objectives of the program. Applicants should include a discussion of how each objective would be accomplished.
- **Program implementation plan.** Applicants should provide a plan which outlines the major activities involved in implementing the program, describes how they will allocate resources to implement the program, and explains how the program will be managed.

- **Products.** The applicants should concisely describe the interim and final products under each objective of the program, and address the purpose, audience, and usefulness of each product to the field.
- **Program budget.** The applicants should provide an appropriate budget with a detailed justification for all costs, including the basis on which these costs are computed.

Products. At a minimum, final products of the research projects must include:

- A full technical report, including a discussion of the research question, a review of the literature, a description of project methodology, detailed review of project findings, and conclusions and policy recommendations.
- A summary of approximately 2,500 words highlighting the findings of the research and the policy issues those findings will inform, written to be accessible to policy officials and practitioners, and suitable for possible publication as an *NIJ Research in Brief*.
- Cleaned copies of all automated data sets developed during the research and full documentation prepared in accordance with the instructions in the *NIJ Data Resources Manual*.

As appropriate, additional interim and final products (e.g., articles, manuals, or training materials) may be specified in the proposal or negotiated at the time of the award.

Eligibility Requirements. NIJ awards grants to or enters into cooperative

agreements with educational institutions, nonprofit organizations, public agencies, individuals, and profit-making organizations that are willing to waive their fees.

Monitoring. Each grant awarded under this solicitation will be monitored according to OJP Handbook 4500.2C (Revised Chapter 7, Monitoring). More specifically, prior to the grant award, the following areas will be defined:

- Statement of goals, objectives, tasks, program activities, and products.
- Program implementation plan and budget that schedules program expenditures.
- Monitoring plan.
- Schedule of monitoring activities.
- Delineation of monitoring products (i.e., progress reports, timeline and task updates, product and activity updates, and draft products).
- The process used by NIJ to review and respond to monitoring findings and recommendations.
- A summary of subsequent program activities in response to implementing the monitoring recommendations. These monitoring efforts will be determined by NIJ and the applicant.

Selection Criteria. All applications will be reviewed by a peer review panel of three to five persons from the research and practitioner communities, selected for their research experience and operational expertise as well as their knowledge in the substantive areas covered by this solicitation. Five criteria are applied in the evaluation process: technical merit of the proposal, understanding of the problem, importance of the research

questions addressed, qualifications of the applicant, and project costs.

Award Period. NIJ limits its grants and cooperative agreements to a maximum period of 24 months.

Award Amount. Funding of this topic has been tentatively set at \$150,000 to \$200,000. It is anticipated this amount will support one award. Actual funding allocations are based on the quality of proposal received.

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

Drug Use Forecasting Research
National Institute of Justice
633 Indiana Avenue NW., Room 864
Washington, DC 20531

Completed proposals must be received at the National Institute of Justice by the close of business on June 27, 1991. Extension of this deadline will not be permitted.

Contact. Applicants are strongly encouraged to contact the Institute to discuss topic viability, data availability, or proposal content before submitting proposals. To obtain further information, potential applicants may write to Ms. Joyce O'Neil, Program Director, at the above address, or contact her at 202-514-5981.

Reference

Harrell, Adele. "Validation of the Drug Use Forecasting System." Draft report, February 1990.

Drug Testing in Community Corrections

Purpose. The purpose of this program is to document and disseminate information to agencies on the effectiveness of periodic drug testing of convicted offenders during community supervision.

Background. This program of applied research builds on previous work that demonstrated that drug testing improved the performance of defendants on pretrial release. In the past, NIJ has funded feasibility ("pipeline") studies in seven jurisdictions in anticipation that one to three, to be competitively selected, will be suitable sites to conduct controlled experiments examining the effectiveness of combining drug testing with sanctions in supervising sentenced offenders in the community.

This research is a cooperative project between NIJ and BJA. The number of sites participating in the evaluation is severely limited by the cost of the urine testing and sanctions. For this reason a portion of the funds for the research will be transferred directly to the agencies to alleviate some of the operational costs of this research. This should enable the agencies to develop an innovative program of drug testing and sanctions.

Goals

- To implement drug testing in community corrections programs on an experimental basis.
- To determine the effects of drug testing, treatment programs, and punitive sanctions on drug use among persons under pretrial release or in community supervision.

Objectives

- Develop an experimental program involving random assignment of offenders among drug testing, drug treatment, and intermediate sanctions.
- Implement the experimental program in selected jurisdictions.
- Evaluate the effects of alternative combinations of drug testing, drug treatment, and intermediate sanctions.

Program Strategy

Feasibility studies have been conducted at seven sites to determine if there were sufficient numbers of eligible offenders who could be randomly assigned to drug testing, drug treatment, and intermediate sanctions. **Eligibility is not limited to sites where feasibility tests have been conducted.**

Applicants are invited by NIJ to submit applications for implementing an experiment based on pipeline studies. Applications must include evidence of sufficient numbers of offenders eligible for random assignment. This will require cooperation among participating agencies. One or two sites may be supported. Funds will support the development and implementation of the research design as well as program costs such as urine testing, treatment, or other intermediate sanctions that are directly related to implementation of the research design.

Stage I—Assessment

Seven applicants performed pipeline studies to determine if there were a sufficient number of eligible offenders in their respective jurisdictions to

implement an experimental program. The products that were completed are:

- A design for conducting individual pipeline studies.
- Five reports of the results of these studies, including an assessment of suitability for the controlled experiment.

Stage II—Program Development

The controlled experiment will be designed based on the pipeline studies. The products to be completed are:

- A program design that specifies the target population and the interventions.
- An evaluation design that details the conceptual framework, objectives, definition, and measurement of key concepts, plans for data collection, and data analysis plan.

Stage III—Program Implementation

- A plan for implementing the program.
- Data collection.
- A report on the evaluation results.
- A dissemination strategy to inform the field of the products and results of the program.

Application Requirements. Applicants must submit a completed SF 424, Application for Federal Assistance, including a program narrative, a detailed budget, and a budget narrative. In addition to the requirements specified in the instructions for the preparation of SF

424, the following information should also be included:

- **Program goals.** The application should also contain a discussion of the problem and the potential contribution of this program to the field.
- **Program strategy.** Applicants should describe the proposed approach for achieving the goals and objectives of the program. Applicants should include a discussion of how each objective will be accomplished.
- **Program implementation plan.** Applicants should provide a plan that outlines the major activities involved in implementing the program, describes how they will allocate resources to implement the program, and explains how the program will be managed.
- **Products.** The applicants should concisely describe the interim and final products under each objective of the program, and address the purpose, audience, and usefulness of each product to the field.
- **Program budget.** The applicants should provide an appropriate budget with a detailed justification for all costs, including the basis on which these costs are computed.

Products. At a minimum, final products of the research projects must include:

- A full technical report, including a discussion of the research question, a review of the literature, a description of project methodology, detailed review of project findings,

and conclusions and policy recommendations.

- A summary of approximately 2,500 words highlighting the findings of the research and the policy issues those findings will inform, written to be accessible to policy officials and practitioners and suitable for possible publication as an *NIJ Research in Brief*.
- Cleaned copies of all automated data sets developed during the research and full documentation prepared in accordance with the instructions in the *NIJ Data Resources Manual*.

As appropriate, additional interim and final products (e.g., articles, manuals, or training materials) may be specified in the proposal or negotiated at the time of the award.

Eligibility Requirements. NIJ awards grants to or enters into cooperative agreements with educational institutions, nonprofit organizations, public agencies, individuals, and profit-making organizations that are willing to waive their fees.

Monitoring. Each grant awarded under this solicitation will be monitored according to OJP Handbook 4500.2C (Revised Chapter 7, Monitoring). More specifically, prior to the grant award, the following areas will be defined:

- Statement of goals, objectives, tasks, program activities, and products.
- Program implementation plan and budget that schedules program expenditures.
- Monitoring plan.

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- Schedule of monitoring activities.
 - Delineation of monitoring products (i.e., progress reports, timeline and task updates, product and activity updates, and draft products).
 - The process used by NIJ to review and respond to monitoring findings and recommendations.
 - A summary of subsequent program activities in response to implementing the monitoring recommendations. These monitoring efforts will be determined by NIJ and the applicant.

Selection Criteria. All applications will be reviewed by a peer review panel of three to five persons from the research and practitioner communities, selected for their research experience and operational expertise as well as their knowledge in the substantive areas covered by this solicitation. Five criteria are applied in the evaluation process: technical merit of the proposal, understanding of the problem, importance of the research questions addressed, qualifications of the applicant, and project costs.

Award Period. NIJ limits its grants and cooperative agreements to a maximum period of 24 months.

Award Amount. From \$250,000 to \$500,000 is tentatively budgeted to support awards under this solicitation. It is anticipated that this amount will support two to three awards. Actual funding allocations are based on the quality of proposals received.

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

Drug Testing in Community
Corrections
National Institute of Justice
633 Indiana Avenue NW., Room 864
Washington, DC 20531

Completed proposals must be received at the National Institute of Justice by the close of business on June 27, 1991. Extension of this deadline will not be permitted.

Contact. Applicants are strongly encouraged to contact the Institute to discuss topic viability, data availability, or proposal content before submitting proposals. To obtain further information, potential applicants may write to Dr. Doris L. MacKenzie, Program Manager, at the above address, or contact her at 202-307-0500.

Victims

NIJ Funding Level: \$275,000

OJP Policy Statement. The criminal justice system should implement policies and programs to improve services to crime victims. Much progress has been made in recent years to assist, compensate, and protect innocent victims of crime. However, much more needs to be done. OJP is committed to helping crime victims and improving the responsiveness of juvenile justice, criminal justice, and victim service systems. This year's *Research Plan* focuses on victims of Federal crimes, particularly on Indian reservations, and child victims of pornography, prostitution, and sexual exploitation as well as other aspects of victimization. Resources will be committed to training law enforcement officers, prosecutors, and other criminal justice personnel on working with innocent victims of crime.

Anticipating and Combatting Community Decay and Crime: A Comprehensive Analysis

Purpose. The purpose of the solicitation is to identify and examine tools used by public officials to prevent or arrest the process of urban decay. This study will describe appropriate actions that may be taken to prevent the onset of a downward neighborhood spiral because of drugs, gangs, and crime.

Background. All too often, crime is thought to affect only an identifiable victim or victims. In reality, however, the web of victimization and its effects are much broader. The ultimate victim of crime, gangs, drugs, and disorder is *the community*: its reputation worsens, confidence ebbs, individuals and businesses leave, residents lack employment and shopping opportunities, residents are afraid for the safety of themselves and their loved ones, and property values

plummet. If not arrested, the attack of urban decay, drugs, and crime continues until all that remains is the shell of what was once a healthy neighborhood. Almost all American cities—as well as many towns and suburbs—have at least one such problem area.

Research shows that this cycle of community despair and decline often has already advanced beyond a “point of no return” by the time that crime, gangs, drugs, and disorder reach the crisis levels that trigger a political and criminal justice system response. At this stage, additional funds put into policing and other public services may not halt the process of decline. Many public officials know this from experience. Action taken in the early stages of neighborhood decay and crime will accomplish what no amount of resources will accomplish in the later stages. Some cities have thus been caught in a never-ending cycle of failure.

Public officials need better tools to help them identify communities threatened by

urban decay, drugs, gangs, disorder, and crime in the earlier stages of the process of community decline. Proper tools and methods for diagnosing problems and developing strategies and responses to these problems need to be provided. The problem has been addressed through past NIJ research and demonstrations including problem-oriented policing, "hot spots," crime prevention through environmental design, fear reduction demonstration projects in Newark and Houston, and drug market analysis.

The emphasis in this solicitation is more anticipatory, in that we wish to intervene earlier in the process of urban decay, when the costs of response are lower and the odds of success are higher.

This solicitation is for a Comprehensive Analysis, which will include a critical literature review and synthesis; a new analysis of existing data, where appropriate; development of a research agenda that builds on past research; the identification and description of promising approaches from existing practice; and, where appropriate, the development of model programs. A Comprehensive Analysis includes site visits. (*See Introduction for additional information on what a Comprehensive Analysis entails.*)

Goals

- To identify tools and techniques that public officials can use to identify neighborhoods in the early stages of attack by urban decay, by gangs, drugs, and crime.
- To describe methods for determining the most appropriate actions to take in responding to the causes of a neighborhood's decay.

- To enable public officials to show that the cost of a delayed response to urban decay and crime is far greater than the cost of a timely response.

Objectives

- Identify and describe the quantitative and qualitative indicators of the early stages of the process of neighborhood deterioration in a form for use by public officials.
- Describe methods and procedures that public officials can use to identify the sources of the problems of decaying neighborhoods.
- Identify strategies that have proven to be effective in responding to the needs of the community.
- Develop an agenda for future research priorities on this topic.

Program Strategy

Identify and describe the quantitative and qualitative indicators of the early stages of the process of neighborhood deterioration in a form for use by public officials.

To accomplish this objective the grantee will, based on a thorough review of relevant theoretical and empirical research and a structured survey, develop key descriptors and measures, data sources, and strategies that will produce accurate means of identifying threatened communities.

The products of this objective will be a description of measures and techniques for utilizing commonly available or readily obtainable data to identify threatened communities.

Describe methods and procedures that public officials can use to identify the sources of the problems of decaying neighborhoods.

To accomplish this objective the grantee will show how, employing commonly available or readily obtainable data, practitioners can pinpoint the key problems that are causing threatened communities to enter the cycle of decline.

In addition, the applicant's proposal should include plans to re-analyze existing data sets, if the applicant believes that such re-analyses will further the goals and objectives of this solicitation. The applicant is encouraged to consult the fourth edition of the *Data Resources of the National Institute of Justice* for a listing of appropriate data sets.

The product of this objective will be a description of data sources (including original data, e.g., from surveys, etc.), measures, and strategies of analysis to identify the causes of each threatened community's problems.

Identify strategies that have proven to be effective in responding to the needs of the community.

To accomplish this objective the grantee will (1) seek out successful examples of programs that combat neighborhood decay and crime, (2) indicate the solutions to particular problems, and (3) conduct an intensive case study of a particular program that has demonstrated success.

The product of this objective will be a detailed and careful analysis of approaches to the solution to particular

problems, a justification of the selection of the agency or organization that is considered to be most appropriate to make a response, a description of what actions that agency or group should take, and a discussion of what steps are needed to obtain its cooperation and involvement in taking those actions.

Develop an agenda for future research priorities on this topic.

The research agenda should identify: (a) fundamental issues for study and (b) issues and questions that will result in research projects that are of direct practical utility to criminal justice professionals.

The product of this objective will be a listing of research topics by priority, justification of this listing, and a description of research strategies and methods most appropriate to each topic.

Application Requirements. All applicants must submit a completed SF 424, Application for Federal Assistance, including a program narrative, a detailed budget, and a budget narrative. In addition to the requirements specified in the instructions for the preparation of SF 424, the following information should also be included:

- **Program goals.** The application should also contain discussion of the problem and the potential contribution of this program to the field.
- **Program strategy.** Applicants should describe the proposed approach for achieving the goals and objectives of the program. Applicants should include a discussion of how each of the objectives would be accomplished.

- **Program implementation plan.** Applicants should provide a plan that outlines the major activities involved in implementing the program, describes how they will allocate resources to implement the program, and explains how the program will be managed.
- **Products.** The applicants should concisely describe the interim and final products under each objective of the program, and address the purpose, audience, and usefulness of each product to the field.
- **Program budget.** The applicants should provide an appropriate budget with a detailed justification for all costs including the basis for computation of these costs.

Products. At a minimum, final products of the research projects must include:

- A full technical report, including a discussion of the research question, a review of the literature, a description of project methodology, detailed review of project findings, and conclusions and policy recommendations.
- A summary of approximately 2,500 words highlighting the findings of the research and the policy issues those findings will inform, written to be accessible to policy officials and practitioners, and suitable for possible publication as an *NIJ Research in Brief*.
- Cleaned copies of all automated data sets developed during the research and full documentation prepared in accordance with the instructions in the *NIJ Data Resources Manual*.

As appropriate, additional interim and final products (e.g., articles, manuals, or training materials) may be specified in the proposal or negotiated at the time of the award.

Eligibility Requirements. NIJ awards grants to or enters into cooperative agreements with educational institutions, nonprofit organizations, public agencies, individuals, and profit-making organizations that are willing to waive their fees.

Monitoring. Each grant awarded under this solicitation will be monitored according to OJP Handbook 4500.2C (Revised Chapter 7, Monitoring). More specifically, prior to the grant award, the following areas will be defined:

- Statement of goals, objectives, tasks, program activities, and products.
- Program implementation plan and budget that schedules program expenditures.
- Monitoring plan.
- Schedule of monitoring activities.
- Delineation of monitoring products (i.e., progress reports, timeline and task updates, product and activity updates, and draft products).
- The process used by NIJ to review and respond to monitoring findings and recommendations.
- A summary of subsequent program activities in response to implementing the monitoring recommendations. These monitoring efforts will be determined by NIJ and the grantee.

Selection Criteria. All applications will be reviewed by a peer review panel of

three to five persons from the research and practitioner communities, selected for their research experience and operational expertise as well as their knowledge in the substantive areas covered by this solicitation. Five criteria are applied in the evaluation process: technical merit of the proposal, understanding of the problem, importance of the research questions addressed, qualifications of the applicant, and project costs.

Award Period. NIJ limits its grants and cooperative agreements to a maximum period of 24 months.

Award Amount. NIJ encourages applicants to develop a reasonable budget which will adequately cover the costs of the proposed project. Funding of this topic has been tentatively set at \$150,000 - \$200,000. It is anticipated this amount will support one award. Actual funding allocations are based on the quality of proposal received.

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

Community As Victim
National Institute of Justice
633 Indiana Avenue NW., Room 864
Washington, DC 20531

Completed proposals must be received at the National Institute of Justice by the close of business on June 27, 1991. Extension of this deadline will not be permitted.

Contact. Applicants are strongly encouraged to contact the Institute to discuss topic viability, data availability, or proposal content before submitting proposals. To obtain further information, potential applicants may write to Richard

M. Titus, Ph.D., Program Manager, at the above address, or telephone him at 202-307-0695.

References

R.P. Taub et al., *Paths of Neighborhood Change*, University of Chicago Press, 1984.

L. Schuerman and S. Kobrin, "Community Careers in Crime," *Crime and Justice* v. 8 (1986): 67-100. University of Chicago Press.

W.G. Skogan, *Disorder and Decline: Crime and the Spiral of Decay in American Neighborhoods*, Free Press, 1990.

J.Q. Wilson and G.L. Kelling, "Broken Windows," *Atlantic Monthly* 249(1982): 29-38.

Sexual Assault Evidence: A National Assessment and Guidebook

Purpose. The purpose of this solicitation is to study the gathering and processing of evidence in sexual assault cases starting with the crime scene and including any cases involving sexual assault and to develop guidelines for investigative procedures and suspect identification.

Background. Advances in the forensic sciences have resulted in increased convictions and other improvements in the criminal justice system response to sexual assault cases. Such physical items as fibers, hair, body fluids, voiceprints, and DNA are now playing an increasingly important role in suspect identification and prosecution. These types of

evidence have also become important in clearing innocent suspects. Law enforcement and prosecution personnel and even medical examiners have not been fully aware, however, of emerging technologies, nor do they know how to detect, collect, and preserve potentially valuable evidence for forensic science laboratories.

In 1990, the FBI reported a nationwide 10 percent increase over 1989 in sexual assault cases and even greater increases in selected jurisdictions. For example, a 66 percent increase was reported in the District of Columbia. Yet serious problems with the collection of physical evidence persist. For example, because of its potential use in DNA typing for suspect identification, the most important evidence in sexual assault cases is the sample of semen taken during a victim's medical examination or found at the scene of the crime. Law enforcement, forensic scientists, and medical personnel do not always take the special care needed properly to collect, preserve, and transport this evidence to crime laboratories. Moreover, other suspect identification evidence, such as bodily fluids, hair, bite marks, or bruises, as well as fingerprints, may be found on the victim or at the crime scene. Those responsible for the criminal investigation need to know what they are looking for, how to preserve it, and how to transport it to the crime laboratory.

Equally important for law enforcement, forensic scientists, and medical personnel is an understanding of the victim's emotional condition and the need for a calm and compassionate response whether at the crime scene or at a medical examination. Victims may

initially resist being examined, may have inadvertently destroyed some of the evidence before reporting the assault, or may want a friend or relative to be present during the examination. Important evidence can be lost if victims are not approached with care and sympathetic persistence. Evidence-collection and preservation procedures should include state-of-the-art information regarding victim care.

This solicitation is for a National Assessment that will involve (a) a survey and analysis of the problems and issues; (b) identification and description, where appropriate, of model programs and practices for further evaluation; (c) recommendations for future research; and (d) a guidebook for prosecutors and criminal investigators. (*See Introduction for further discussion of what a National Assessment entails.*)

Goals

- To increase the capacity of law enforcement personnel to identify and successfully prosecute sexual assault suspects.
- To enable crime scene investigators, medical personnel, and other appropriate persons to detect, gather, preserve, and transport sexual assault evidence to crime laboratories more effectively and efficiently.

Objectives

- Survey and identify the most effective and efficient methods and technologies utilized by law enforcement, medical personnel, and forensic

scientists to detect sexual assault evidence starting at the crime scene and including any cases involving sexual assaults and to gather, preserve, and transport it to crime laboratories.

- Develop a guidebook, for publication by NIJ and dissemination to law enforcement, medical personnel, and forensic scientists, on how to detect, gather, preserve, and transport sexual assault evidence starting at the crime scene and including any cases involving sexual assault to the crime laboratory.

Program Strategy

Survey and identify the most effective and efficient methods and technologies utilized by law enforcement, medical personnel, and forensic scientists to detect sexual assault evidence starting with the crime scene and including any cases involving sexual assaults and to gather, preserve, and transport it to crime laboratories.

The proposal should describe how the grantee would survey the methods and technologies currently used by law enforcement and forensic scientists to detect sexual assault evidence at the crime scene, and particularly on the victim, for any cases involving sexual assault. This survey should include methods and techniques used in the examination of the victim by medical personnel at the scene, doctor's office, or hospital. The methods and technologies include observations of the scene during initial walkthrough and subsequent detailed inspections by law enforcement personnel, the forensic scientist, and the medical examiner. The technologies include videotaping of the scene, other

photographs, and fingerprint techniques. Other methods include detailed inspections of such items as trace evidence, documents, blood splattering, and other markings as well as weapons, bullets, and any unusual aspects of the scene. The grantee is expected to survey and assess the effectiveness and efficiency of these methods and technologies to detect, gather, preserve, and transport sexual assault evidence to crime laboratories for processing.

The product will be a report documenting state-of-the-art methods and technologies for detecting, collecting, preserving, and transporting physical evidence in sexual assault cases.

Develop a guidebook, for publication by NIJ and dissemination to law enforcement, medical personnel, and forensic scientists, on how to detect, gather, preserve, and transport sexual assault evidence starting at the crime scene and including any cases involving sexual assault to the crime laboratory.

The grantee should analyze the above methods and technologies and subsequent approaches to detect evidence for suspect identification and to develop the guidelines for implementing them. The guidelines should be directed to law enforcement officers as well as other specialists, such as forensic scientists and medical personnel. The guidelines should emphasize both direct evidence (such as semen, bite marks, and fingerprints) and corroborating evidence (such as trace evidence and documents).

The product will be an NIJ guidebook on detecting, collecting, preserving, and transporting physical evidence in sexual assault cases, targeted to an audience of law enforcement investigators, emer-

gency room medical personnel, and forensic scientists.

Application Requirements. All applicants must submit a completed SF 424, Application for Federal Assistance, including a program narrative, a detailed budget, and a budget narrative. In addition to the requirements specified in the instructions for the preparation of SF 424, the following information should also be included:

- **Program goals.** The application should also contain discussion of the problem and the potential contribution of this program to the field.
- **Program strategy.** Applicants should describe the proposed approach for achieving the goals and objectives of the program. Applicants should include a discussion of how each of these objectives would be accomplished.
- **Program implementation plan.** Applicants should provide a plan that outlines the major activities involved in implementing the program, describes how they will allocate resources to implement the program, and explains how the program will be managed.
- **Products.** The applicants should concisely describe the interim and final products under each objective of the program, and address the purpose, audience, and usefulness of each product to the field.
- **Program budget.** The applicants should provide an appropriate budget with a detailed justification for all costs, including the basis on which these costs are computed.

Products. At a minimum, final products of the research projects must include:

- A full technical report including a discussion of the research question, a review of the literature, a description of project methodology, detailed review of project findings, and conclusions and policy recommendations.
- A summary of approximately 2,500 words highlighting the findings of the research and the policy issues those findings will inform, written to be accessible to policy officials and practitioners, and suitable for possible publication as an *NIJ Research in Brief*.
- Cleaned copies of all automated data sets developed during the research and full documentation prepared in accordance with the instructions in the *NIJ Data Resources Manual*.

As appropriate, additional interim and final products (e.g., articles, manuals, or training materials) may be specified in the proposal or negotiated at the time of the award.

Eligibility Requirements. NIJ awards grants to or enters into cooperative agreements with educational institutions, nonprofit organizations, public agencies, individuals, and profit-making organizations that are willing to waive their fees.

Monitoring. Each grant awarded under this solicitation will be monitored according to OJP Handbook 4500.2C (Revised Chapter 7, Monitoring). More specifically, prior to the grant award, the following areas will be defined:

- Statement of goals, objectives, tasks, program activities, and products.

-
- Program implementation plan and budget that schedules program expenditures.
 - Monitoring plan.
 - Schedule of monitoring activities.
 - Delineation of monitoring products (i.e., progress reports, timeline and task updates, product and activity updates, and draft products).
 - The process used by NIJ to review and respond to monitoring findings and recommendations.
 - A summary of subsequent program activities in response to implementing the monitoring recommendations. These monitoring efforts will be determined by NIJ and the grantee.

Selection Criteria. All applications will be reviewed by a peer review panel of three to five persons from the research and practitioner communities, selected for their research experience and operational expertise as well as their knowledge in the substantive areas covered by this solicitation. Five criteria are applied in the evaluation process: technical merit of the proposal, understanding of the problem, importance of the research questions addressed, qualifications of the applicant, and project costs.

Award Period. NIJ limits its grants and cooperative agreements to a maximum period of 24 months.

Award Amount. NIJ encourages applicants to develop a reasonable budget which will adequately cover the costs of the proposed project. Funding of this project has been tentatively set at \$75,000. It is anticipated that this amount will support one award. Actual funding

allocations are based on the quality of proposal received.

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

Sexual Assault Evidence: A National Assessment and Guidebook
National Institute of Justice
633 Indiana Avenue NW.
Washington, DC 20531

Completed proposals must be received at the National Institute of Justice by the close of business on June 20, 1991. Extension of this deadline will not be permitted.

Contact. Applicants are strongly encouraged to contact the Institute to discuss topic viability, data availability, or proposal content before submitting proposals. To obtain further information, potential applicants may write to Dr. Richard M. Rau, Program Manager, at the above address, or telephone him at 202-307-0645.

References

"National Evidence Collection Protocol for Victims of Sexual Assault," Office of Victims of Crime, 1991.

Victims: Related Proposals

The National Institute of Justice is committed to a broad research program, involving both basic and applied approaches, that encompasses a large majority of the criminal justice research community. Moreover, NIJ supports a wide range of research methodologies including case studies, structured

observational methods, longitudinal studies, experimental and quasi-experimental designs, surveys, and secondary analyses. Within OJP policy guidelines for this topic area, NIJ encourages innovative research proposals that would bring to bear thinking and research from a variety of disciplines to the study of crime and criminal behavior. NIJ recognizes that researchers might wish to pose and structure their own research questions.

Applicants may, if they wish, propose research projects addressing the general goals and objectives of this program area but not specifically included in the specific solicitations. If there is a question whether a given project idea falls within the program's scope, applicants are encouraged to seek the advice of the Program Manager.

Applicants are directed to follow the guidelines regarding application requirements, products, eligibility requirements, monitoring, selection criteria, and the

award period described in previous sections of this solicitation.

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

Victims
National Institute of Justice
633 Indiana Avenue NW., Room 864
Washington, DC 20531

Completed proposals must be received at the National Institute of Justice by the close of business on June 27, 1991. Extension of this deadline will not be permitted.

Contact. Applicants are strongly encouraged to contact the Institute to discuss topic viability, data availability, or proposal content before submitting proposals. To obtain further information, potential applicants may write to Dr. Richard M. Titus, Program Manager, at the above address, or telephone him at 202-307-0695.

Special Programs for Criminal Justice Improvement

OJP Policy Statement. Other programs to be funded in fiscal year 1991 by the Office of Justice Programs (OJP) focus on activities that support the priority programs, but do not fall squarely within OJP priorities. The emphasis is on system enhancement in the areas of prevention, intervention, adjudication, and supervision. All agency functions are represented: research, development, demonstration, and dissemination.

Criminal Behavior Program

NIJ Funding Level: \$500,000

The focus of this program is on issues critical to the criminal justice system in preventing and controlling crime. These issues include violence, drugs, classification of offenders, the effects of official sanctions on criminal careers, and ethnographies of active offenders. Multiple awards may be made.

The Effects of the Media on Violent Behavior: Review and Synthesis

Purpose. The purpose of this solicitation is to develop a Review and Synthesis of research on the effects of media violence in encouraging criminal violence.

Background. Concerns are often expressed regarding the causal relationship between portrayals of violence in the media and violent and aggressive criminal behavior. In 1982 NIJ supported the Workshop on Television and Violent Behavior at the National Academy of Sciences. Empirical research, focusing on exposure to television violence and antisocial and aggressive behavior,

showed a positive association. This earlier assessment is supported in the preliminary findings of a paper commissioned by the NIJ-supported National Research Council Panel on Violence. This synthesis of research concludes that the previously reported pattern of a positive association between exposure to television violence and antisocial and aggressive behavior holds up strongly when data from the past 13 years are added to the analysis.

This recent synthesis of research focuses on the effects of television violence on aggressive behavior. In a separate analysis, it reports the influence of television violence on criminal violence or other illegal activities, but does not

report on research on the effects of portrayals of violence by other forms of media.

This solicitation is for a Review and Synthesis of past and current research efforts into the causal relationship between portrayals of violence in the media and violent, aggressive criminal behavior. This solicitation will include an original approach to existing literature, a reexamination of existing data sets if appropriate, and the development of a research agenda.

Goals

- To synthesize research on the effects of portrayals of violence in the media on criminal violence.
- To assess the need for additional research on the relationship between media violence and violent behavior.
- To the extent supported by past research, review policy implications of established findings.
- To disseminate the results of the synthesis of research on portrayals of violence in the media on criminal violence and the needs assessment for additional research in this area.

Objectives

- Document and synthesize the literature on the relationship between portrayals of violence in the media and criminal violence.
- Develop a research agenda that will build on past research and outline new directions for future research.
- Develop a report that synthesizes the literature and assesses the need for

additional research on the relationship between portrayals of violence in the media and violent behavior. This report will be disseminated to public agencies, public policymakers, and researchers.

Program Strategy

Document and synthesize the literature on the relationship between portrayals of violence in the media and criminal violence.

Conduct a thorough review of empirical research on the effects of portrayals of violence in the media on criminal violence. For the purposes of this solicitation, media are defined broadly to include television, movies, music videos, radio, magazines, newspapers, etc. Criminal violence is defined to include murder and nonnegligent manslaughter, forcible rape, robbery, and aggravated assault. This synthesis should build on previous reviews and include an indepth analysis of a sample of studies focusing specifically on the relationship between media violence and criminal violence. This review should also highlight possible policy recommendations resulting from these studies. A schedule of tasks and an implementation plan should be a part of this proposal.

In addition, the applicant's proposal should include plans to reanalyze existing data sets, if the applicant believes that such reanalyses will further the goals and objectives of this solicitation. The applicant is encouraged to consult the fourth edition of the *Data Resources of the National Institute of Justice* for a listing of appropriate data sets.

The product resulting from this objective should be a draft report discussing the preliminary results of the review of research on the effects of portrayals of violence in the media on criminal violence. This draft report will be the basis for part of the final report that could be disseminated to policymakers, researchers, law enforcement officials, and criminal justice practitioners. This draft report should also assess the need for conducting additional research on the relationships between portrayals of violence in the media and violent behavior. This assessment should be based on the review of empirical research conducted as part of this solicitation. The proposal should include an appropriate method for conducting this assessment.

Develop a research agenda that will build on past research and outline new directions for future research.

To accomplish this objective the grantee is expected to develop a research agenda that will identify (a) gaps or holes in the knowledge base, especially those that relate to operational issues of direct practical utility to criminal justice professionals; (b) controversies in need of resolution (for example, conflicting theories, findings, or both regarding a particular concept or practice); (c) new research questions both theoretical and practical in the topic area. The agenda should also describe optional research approaches for addressing new areas of need.

Develop a report that synthesizes the literature and assesses the need for additional research on the relationship between portrayals of violence in the media and violent behavior. This report will be disseminated to public agencies, public policymakers, and researchers.

This report is expected to include a thorough discussion of the problem, a review of the empirical research, and a discussion of the need for additional research, including the development of a research agenda on areas where further research would have the most constructive impact on policy. Another expected product is an executive summary suitable for publication as an *NIJ Research in Brief* to inform practitioners, public policymakers, and researchers of the results.

Application Requirements. All applicants must submit a completed SF 424, Application for Federal Assistance, including a program narrative, a detailed budget, and a budget narrative. In addition to requirements specified in SF 424, the following information should also be included:

- **Program goals.** The application should also contain discussion of the problem and the potential contribution of this program to the field.
- **Program strategy.** Applicants should describe the proposed approach for achieving the goals and objectives of the program. Applicants should include a discussion of how each objective would be accomplished.
- **Program implementation plan.** Applicants should provide a plan that outlines the major activities involved in program implementation, resource allocation, and program management.
- **Products.** Applicants should concisely describe the interim and final products of the program and address the purpose, audience, and usefulness of each product to the field.
- **Program budget.** Applicants should provide an appropriate budget with a

detailed justification for all costs, including the basis on which these costs are computed.

Products. At a minimum, final products of the research projects must include:

- A full technical report, including a discussion of the research question, a review of literature, a description of project methodology, detailed review of project findings, and conclusions and policy recommendations.
- A summary of approximately 2,500 words highlighting the research findings and the policy issues those findings will address, written to be accessible to policy officials and practitioners and suitable for possible publication as an *NIJ Research in Brief*.
- Cleaned copies of all automated data sets developed during the research and full documentation prepared in accordance with the instructions in the *NIJ Data Resources Manual*.

As appropriate, additional interim and final products (e.g., articles, manuals, or training materials) may be specified in the proposal or negotiated at the time of the award.

Eligibility Requirements. NIJ awards grants to or enters into cooperative agreements with educational institutions, nonprofit organizations, public agencies, individuals, and profitmaking organizations that are willing to waive their fees.

Monitoring. Each grant awarded under this solicitation will be monitored according to OJP Handbook 4500.2C (Revised Chapter 7, Monitoring). Prior to

the grant award, the following areas will be defined:

- Statement of goals, objectives, tasks, program activities, and products.
- Program implementation plan and budget that schedules program expenditures.
- Monitoring plan.
- Schedule of monitoring activities.
- Delineation of monitoring products (i.e., progress reports, timeline and task updates, product and activity updates, and draft products).
- The process used by NIJ to review and respond to monitoring findings/recommendations.
- A summary of subsequent program activities in response to implementing the monitoring recommendations. These monitoring efforts will be determined by NIJ and the grantee.

Selection Criteria. All applications will be reviewed by a peer review panel of three to five persons from the research and practitioner communities, selected for their research experience and operational expertise as well as their knowledge in the substantive areas covered by this solicitation. Five criteria are applied in the evaluation process: technical merit of the proposal, understanding of the problem, importance of the research questions addressed, qualifications of the applicant, and costs of the project.

Award Period. NIJ limits its grants and cooperative agreements to a maximum period of 24 months.

Award Amount. NIJ encourages applicants to develop a reasonable budget that will adequately cover the costs of this project. Funding for this topic has been tentatively set at \$50,000. It is anticipated that this amount will support one award. Actual funding allocations are based on the quality of proposal received.

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

The Effects of the Media on
Violent Behavior
National Institute of Justice
633 Indiana Avenue NW.
Washington, DC 20531

Completed proposals must be received at the National Institute of Justice by the close of business on June 20, 1991. Extension of this deadline will not be permitted.

Contact. Applicants are strongly encouraged to contact the Institute to discuss topic viability, data availability, or proposal content before submitting proposals. To obtain further information, potential applicants may write to Winifred L. Reed, Program Manager, at the above address, or telephone her at 202-307-0649.

Criminal Behavior of Gang Members

Purpose. The purpose of this solicitation is to assess the criminal behavior of gang members, identify both the gang-related and nongang criminal behavior of gang members, determining the patterns of criminal behavior of gang members, and gain a better understanding of the motivations of gang members engaging in criminal behavior. The ultimate

purpose of this project is to enhance the capabilities of law enforcement and criminal justice practitioners in preventing and controlling the criminal behavior of gang members.

Background. The criminal behavior of gang members is a major concern for policymakers, law enforcement, and researchers. The increased involvement of gang members in criminal activities, including violence, has caused many problems for police, citizens, mayors, city councils, and others. Today gangs are reported in areas, including many large and middle-sized cities, where they did not exist previously. There are also suggestions that gang membership persists longer into adulthood. In addition, researchers report a wide variation in gang types, structure, activities, and roles in the illegal economy.

The above statements reflect the recent empirical information available on modern gangs. Additional empirical research is necessary to draw a more complete picture. For example, we do not fully understand the extent or nature of the criminal activity engaged in by gang members, nor do we know what portion of crime committed by gang members is related to gang affiliation. This situation is exacerbated by the varying definitions of gang-relatedness used by law enforcement in different jurisdictions. For example, some jurisdictions rely on definitions of gang membership to identify a crime as gang-related; others define a gang-related crime as having a specific gang motivation. Additional field-based research on the criminal behavior of gang members will aid law enforcement in the prevention and control of the criminal behavior of gang members.

This solicitation is for original research involving the development and testing of hypotheses through formal research designs. Research questions and issues based on a critical review of the literature within the problem area should be developed within the applicant's proposal. NIJ supports a wide range of research methodologies, including case studies, survey research, secondary analyses of existing data sets, and experimental and quasi-experimental designs. Applicants are directed to seek the advice of the Program Manager before beginning the task of writing a proposal.

Goals

- To understand the extent, nature, and motivations for the criminal behavior of gang members.
- To study indepth the roles and activities of gang members in the illegal economy and to determine how this activity is related to gang membership.
- To disseminate results of empirical research on criminal behavior of gang members and the possible techniques for assessing the criminal activities of gang members.

Objectives

- Document and estimate the criminal behavior of gang members. Identify the patterns of criminal behavior of gang members and the motivations for engaging in criminal behavior.
- Document and estimate the roles and activities of gang members in the illegal economy. Identify how these roles are related to gang membership.

- Develop an indepth report on the criminal behavior of gang members. Develop a second report addressing the roles and activities of gang members in the illegal economy. These reports will be disseminated to law enforcement agencies, public policymakers, and researchers.

Program Strategy

Document and estimate the criminal behavior of gang members. Identify the patterns of criminal behavior of gang members and the motivations for engaging in criminal behavior.

To accomplish this objective, the applicant is expected to identify appropriate methods for determining the nature and characteristics of the criminal behavior of gang members, including motivations for engaging in this behavior. Based on a thorough review of theoretical and empirical research, the applicant is directed to define key terms, develop strategies that will provide valid and reliable estimates of the criminal behavior of gang members, and maximize access to data sources. The grantee is encouraged to develop estimates of the criminal behavior of gang members based on direct contact with gang members, relatives of gang members, and others. Official data are recommended for use in validating information obtained from gang members and others close to them. The applicant is expected to specify a sampling strategy, outline data collection guides and instruments, and develop data analysis plans within the grant proposal.

As with all NIJ projects of this nature, the grantee is required to specify plans for the protection of the confidentiality of

data. The grantee is expected to determine the current extent of the criminal behavior of gang members and to identify the types of gang members involved in illegal gang-related and nongang activities. The grantee should also obtain information regarding gang members' contacts with the criminal justice system.

To determine the nature of the criminal behaviors of gang members and their motivations for engaging in this behavior, the applicant should discuss appropriate research methodologies within the body of the proposal. This would include, at a minimum, definitions of the target population, site selection, and an explanation of the organization and planning activities necessary to document the criminal behavior of gang members. A schedule of tasks and an implementation plan should be a part of this proposal.

The products resulting from this objective will include data collection instruments or guides; a data tape; and a draft report discussing preliminary findings about the criminal behavior of gang members, including the nature and characteristics of this behavior, and motivations for engaging in criminal activities. The ultimate result is a final report that could be disseminated to policymakers, researchers, law enforcement officials, and criminal justice practitioners.

Document and estimate the roles and activities of gang members in the illegal economy. Identify how these roles are related to gang membership.

A second focus of this solicitation is to document and estimate the roles and activities of gang members in the illegal economy. The grantee is also expected to analyze how these roles and activities are

related to gang membership. Speculation abounds regarding the earning power of individuals participating in the illegal economy; however, there is little empirical documentation about the exact dimensions of this activity. The proposal should include an appropriate method to elicit this information from gang members and their associates.

The products of this objective include detailed estimates and analyses of the roles and activities of gang members in the illegal economy. It should also identify how these roles are related to gang membership.

Develop an indepth report on the criminal behavior of gang members. Develop a second report addressing the roles and activities of gang members in the illegal economy. These reports will be disseminated to law enforcement agencies, public policy makers, and researchers.

These reports are expected to include a thorough discussion of the problem; a review of the theoretical and empirical research; a discussion of the research methodology employed; the findings of the intensive study; and recommendations for the development of model policies, procedures, and practices. Other expected products are two executive summaries, each suitable for publication as an NIJ *Research in Brief* which informs practitioners, public policymakers, and researchers of the results. These reports are intended to aid in the prevention and control of the criminal behavior of gang members.

Application Requirements. All applicants must submit a completed SF 424, Application for Federal Assistance,

including a program narrative, a detailed budget, and a budget narrative. In addition to the requirements specified in the instructions for the preparation of SF 424, the following information should also be included:

- **Program goals.** The application should contain a discussion of the problem and the potential contribution of this program to the field.
- **Program strategy.** Applicants should describe the proposed approach for achieving the goals and objectives of the program. Applicants should include a discussion of how each of the three objectives would be accomplished.
- **Program implementation plan.** Applicants should provide a plan that outlines the major activities involved in program implementation, resource allocation, and program management.
- **Products.** The applicants should concisely describe the interim and final products under each objective of the program and address the purpose, audience, and usefulness of each product to the field.
- **Program budget.** The applicants should provide an appropriate budget with a detailed justification for all costs, including the basis on which these costs are computed.

Products. At a minimum, final products of the research projects must include:

- A full technical report, including a discussion of the research question, a review of the literature, a description of project methodology, detailed review of project findings, and conclusions and policy recommendations.

- A summary of approximately 2,500 words highlighting the research findings and the policy issues those findings will address, written to be accessible to policy officials and practitioners, and suitable for possible publication as an *NIJ Research in Brief*.
- Cleaned copies of all automated data sets developed during the research and full documentation prepared in accordance with the instructions in the *NIJ Data Resources Manual*.

As appropriate, additional interim and final products (e.g., articles, manuals, or training materials) may be specified in the proposal or negotiated at the time of the award.

Eligibility Requirements. NIJ awards grants to or enters into cooperative agreements with educational institutions, nonprofit organizations, public agencies, individuals, and profitmaking organizations that are willing to waive their fees.

Monitoring. Each grant awarded under this solicitation will be monitored according to OJP Handbook 4500.2C (Revised Chapter 7, Monitoring). Prior to the grant award, the following areas will be defined:

- Statement of goals, objectives, tasks, program activities, and products.
- Program implementation plan and budget that schedules program expenditures.
- Monitoring plan.
- Schedule of monitoring activities.
- Delineation of monitoring products (i.e., progress reports, timeline and task updates, product and activity updates, and draft products).

-
- The process used by NIJ to review and respond to monitoring findings/recommendations.
 - A summary of subsequent program activities in response to implementing the monitoring recommendations. These monitoring efforts will be determined by NIJ and the grantee.

Selection Criteria. All applications will be reviewed by a peer review panel of three to five persons from the research and practitioner communities, selected for their research experience and operational expertise as well as their knowledge in the substantive areas covered by this solicitation. Five criteria are applied in the evaluation process: technical merit of the proposal, understanding of the problem, importance of the research questions addressed, qualifications of the applicant, and project costs.

Award Period. NIJ limits its grants and cooperative agreements to a maximum period of 24 months.

Award Amount. NIJ encourages applicants to develop a reasonable budget that will adequately cover the costs of this project. Funding for this topic has been tentatively set at \$150,000 to \$250,000. It is anticipated that this amount will support one award. Actual funding allocations are based on the quality of proposal received.

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

Criminal Behavior of
Gang Members
National Institute of Justice
633 Indiana Avenue NW.
Washington, DC 20531

Completed proposals must be received at the National Institute of Justice by the close of business on June 27, 1991. Extension of this deadline will not be permitted.

Contact. Applicants are strongly encouraged to contact the Institute to discuss topic viability, data availability, or proposal content before submitting proposals. To obtain further information, potential applicants may write to Winifred L. Reed, Program Manager, at the above address, or telephone her at 202-307-0650.

References

C. Ronald Huff, ed., *Gangs in America*, Newbury Park, California, Sage Publications, 1990.

Irving A. Spergel, "Youth Gangs: Continuity and Change," in *Crime and Justice: A Review of Research*, ed. M. Tonry and N. Morris, v. 12, 171-275, Chicago: University of Chicago Press, 1990.

Criminal Behavior: Related Proposals

The National Institute of Justice is committed to a broad research program, involving both basic and applied approaches, encompassing a large majority of the criminal justice research community. NIJ supports a wide range of research methodologies, including case studies, structured observational methods, longitudinal studies, experimental and quasi-experimental designs, surveys, and secondary analyses. Within OJP policy guidelines for this topic area, NIJ encourages innovative research proposals that would bring to bear thinking and

research from a variety of disciplines to the study of crime and criminal behavior. NIJ recognizes that researchers might wish to pose and structure their own research questions.

Applicants may propose research projects addressing the general goals and objectives of this program area not included in the specific solicitations. If there is a question whether a given project idea falls within the program's scope, applicants are encouraged to seek the advice of the Program Manager.

Applicants are directed to follow the guidelines regarding application requirements, products, eligibility requirements, monitoring, selection criteria, and the award period described in previous sections of this solicitation.

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

Criminal Behavior Program
National Institute of Justice
633 Indiana Avenue NW.
Washington, DC 20531

Completed proposals must be received at the National Institute of Justice by the close of business on June 27, 1991. Extension of this deadline will not be permitted.

Contact. Applicants are strongly encouraged to contact the Institute to discuss topic viability, data availability, or proposal content before submitting proposals. To obtain further information, potential applicants may write to Winifred L. Reed, Program Manager, at the above address, or contact her at 202-307-0649.

Prosecution and Adjudication Program

NIJ Funding Level: \$500,000

This program focuses on the problems of prosecutors and the courts in processing criminal cases.

Prosecuting Gang Crime: A National Assessment

Purpose. The purpose of this solicitation is to provide a National Assessment of the prosecution of gang-related crime, to examine legislative strategies on gang-related crime that may enhance prosecu-

tions, and to identify innovative methods for the prosecution of criminal activities of gang members.

Background. As noted in a recent article, "No region of the United States is without youth gangs. Gangs exist in many large and middle-size cities and are spreading to suburban and smaller

communities" (Spergel 1990). Gang members involved in drug sales and other criminal activities are relocating. "What began as a Los Angeles problem has now spread to a national one," stated the Director of the Bureau of Alcohol, Tobacco and Firearms. The Crips and the Bloods, two gangs with origins in Los Angeles, have now been identified in 32 States and 69 cities outside of California (*Washington Post*, June 16, 1990).

The crime, fear, and intimidation resulting from violent street gangs has prompted legislators to propose and enact laws on street terrorism. Federal legislation, the Outlaw Street and Motorcycle Gang Control Act of 1991, has also been recently introduced. The bill would establish a national tracking system and telephone hotline and would provide technical assistance to law enforcement.

Included in the array of societal responses to the serious criminal gang problem are the efforts of prosecutors throughout the Nation. How they effectively target gang-related crime through specialized laws, agency policies and practices, and coordination with other efforts is the subject of this request for proposals.

This solicitation is for a National Assessment, which will involve (a) a survey and analysis of the problems and issues, (b) identification and description, where appropriate, of model programs or practices for further evaluation, and (c) recommendations for future research. (See *Introduction for further discussion of what a National Assessment entails.*)

Goals

- To determine the range of prosecution strategies regarding criminal activity

associated with gangs, including a review of the relevant literature and practices across the country.

- To gain an understanding of legislative efforts on criminal street gangs and gang-related crime.
- To produce a report on the results of the national study on the prosecution of gang-related crime.

Objectives

- Identify and examine current prosecution policies and practices regarding criminal activities associated with gangs.
- Compile, review, and compare current and proposed State legislation on gangs and gang-related crime, and assess the utility of such legislation for enhancing prosecution.
- Formulate a research agenda that will provide basic questions for future research efforts.
- Formulate recommendations and develop a comprehensive report of useful policies, procedures, and practices addressing the prosecution of gang-related crime. This report will be disseminated to prosecutors, law enforcement agencies, public policymakers, and researchers.

Program Strategy

Identify and examine current prosecution policies and practices regarding criminal activities associated with gangs.

To address this objective, a sample survey of prosecutors throughout the Nation is envisioned. The applicant should provide details on the structure of the survey and a justification of the

approach used (mail, telephone, inperson interview, etc.). A key concern under this objective is the extent to which gang membership is a significant factor in prosecution and how this factor may compare to other priorities, such as weapons use, drugs, and repeat offenses.

The proposal should include the types of information that will be collected, the operating assumptions that guide policies, program organization and operations, the historical development of the program, program resources, sources of funding, relationships to other criminal justice agencies, staffing, organization, and management and administration.

The product resulting from this objective will include a report which presents a compilation and an analysis of prosecution policies and practices regarding criminal gangs. It is anticipated that an assessment of the cumulative information on the policies, practices, and insights of prosecutors with varying gang-related crime problems will provide the basis for useful recommendations.

Compile, review, and compare current statutes and proposed legislation on gangs and gang-related crime, and assess the utility of such legislation for enhancing prosecution.

To accomplish this objective, the grantee must identify, compile, and analyze gang-related statutes and proposed legislation on the Federal, State, and local levels. Based on a thorough review of the literature, the grantee must define key terms in a way that, for example, distinguishes this research from that on traditional organized crime or RICO legislation; and develop strategies that will provide a status report on gang-

related legislation. The applicant must specify a strategy for collecting the legislative information, outline data collection instruments and methods, and develop data analysis plans within the grant proposal.

The products resulting from this objective will include data collection instruments and a report which includes a compilation and analysis of legislation on gangs and an assessment on the uses and applications of this legislation from the prosecutors' perspective. The ultimate product is a final report that could be disseminated to prosecutors, policymakers, law enforcement officials, and researchers.

Formulate a research agenda that will provide basic questions for future research.

The research agenda should identify (a) fundamental issues for study and (b) issues and questions that will result in research projects that are of direct practical utility to criminal justice professionals.

Formulate recommendations and develop a comprehensive report of useful policies, procedures, and practices addressing the prosecution of gang-related crime. This report will be disseminated to prosecutors, law enforcement agencies, public policymakers and researchers.

This report should include a thorough discussion of the problem; a review of the theoretical and empirical research; a discussion of the research methodology employed; the findings of the entire study; a research agenda for future research; and recommendations for the development of policies, procedures, and practices. Another expected product is an

Executive Summary suitable for publication as an *NIJ Research in Brief* which informs practitioners, public policymakers, and researchers of the results.

In summary, based on a review of the research and an assessment of current legislation and prosecution practices, the applicant should design a study that will provide prosecutorial agencies and criminal justice practitioners with information about effective strategies for addressing gang-related crime. A schedule of tasks and an implementation plan will be a part of this proposal.

Application Requirements. All applicants must submit a completed SF 424, Application for Federal Assistance, including a program narrative, a detailed budget, and a budget narrative. In addition to the requirements specified in the instructions for the preparation of SF 424, the following information should also be included:

- **Program goals.** The application should also contain discussion of the problem and the potential contribution of this program to the field.
- **Program strategy.** Applicants should describe the proposed approach for achieving the goals and objectives of the program. Applicants should include a discussion of how each of the objectives would be accomplished.
- **Program implementation plan.** Applicants should provide a plan that outlines the major activities involved in implementing the program, describes how they will allocate resources to implement the program, and explains how the program will be managed.

- **Products.** The applicants should concisely describe the interim and final products under each objective of the program, and address the purpose, audience, and usefulness of each product to the field.

- **Program budget.** The applicants should provide an appropriate budget with a detailed justification for all costs including the basis for computation of these costs.

Products. At a minimum, final products of the research projects must include:

- A full technical report, including a discussion of the research question, a review of the literature, a description of project methodology, detailed review of project findings, and conclusions and policy recommendations.
- A summary of approximately 2,500 words highlighting the findings of the research and the policy issues those findings will inform, written to be accessible to policy officials and practitioners, and suitable for possible publication as an *NIJ Research in Brief*.
- Cleaned copies of any automated data sets developed during the research and full documentation prepared in accordance with the instructions in the *NIJ Data Resources Manual*.

As appropriate, additional interim and final products (e.g., articles, manuals, or training materials) may be specified in the proposal or negotiated at the time of the award.

Eligibility Requirements. NIJ awards grants to or enters into cooperative agreements with educational institutions,

nonprofit organizations, public agencies, individuals, and profitmaking organizations willing to waive their fees.

Monitoring. Each grant awarded under this solicitation will be monitored according to OJP Handbook 4500.2C (Revised Chapter 7, Monitoring). More specifically, prior to the grant award, the following areas will be defined:

- Statement of goals, objectives, tasks, program activities, and products.
- Program implementation plan and budget that schedules program expenditures.
- Monitoring plan.
- Schedule of monitoring activities.
- Delineation of monitoring products (i.e., progress reports, timeline and task updates, product and activity updates, and draft products).
- The process used by NIJ to review and respond to monitoring findings and recommendations.
- A summary of subsequent program activities in response to implementing the monitoring recommendations. These monitoring efforts will be determined by NIJ and the grantee.

Selection Criteria. All applications will be reviewed by a peer review panel of three to five persons from the research and practitioner communities, selected for their research experience and operational expertise as well as their knowledge in the substantive areas covered by this solicitation. Five criteria are applied in the evaluation process: technical merit of the proposal, understanding of the problem, importance of the research questions addressed, qualifications of the applicant, and project costs.

Award Period. NIJ limits its grants and cooperative agreements to a maximum period of 24 months.

Award Amount. NIJ encourages applicants to develop a reasonable budget which will adequately cover the costs of the proposed project. Funding of this topic has been tentatively set at \$100,000 to \$150,000. It is anticipated this amount will support one award. Actual funding allocations are based on the quality of proposal received.

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

Prosecuting Gang Crime
National Institute of Justice
633 Indiana Avenue NW., Room 867
Washington, DC 20531

Completed proposals must be received at the National Institute of Justice by the close of business on June 20, 1991.

Extension of this deadline will not be permitted.

Contact. Applicants are strongly encouraged to contact the Institute to discuss topic viability, data availability, or proposal content before submitting proposals. To obtain further information, potential applicants may write to Bernard Auchter, Program Manager, at the above address, or telephone him at 202-307-0154.

Prosecution of Drug Cases: A National Assessment

Purpose. The purpose of this solicitation is to provide for a review and National Assessment of the variation among drug prosecution programs involving coordinated efforts with other jurisdictions,

agencies within the same jurisdiction, and other levels of government.

Background. In a recent NIJ survey of prosecutors, nearly 90 percent of the respondents indicated that a factor in the increasing caseloads was the increase in drug cases. Along with this, prosecutors also noted an increase in the number of multiple-defendant cases, suppression motion hearings in drug cases, and inadequacy of diversion programs (NIJ National Assessment Program 1990).

To address this burgeoning drug problem, investigation and prosecution efforts have included a variety of coordination strategies. NIJ has supported research that studied reducing felony case attrition through police-prosecutor coordination. This suggested that, given the diverse nature of police and prosecutor organizational structures and objectives, changes in cooperative relations and in felony case attrition should not be expected within a short timespan. Rather, a period of 5 years or more, a program of planned change, and realistic expectations are all critical elements to significant organizational change (Research Management Associates 1987).

NIJ research of case studies of police-prosecutor teams concluded that "the removal of barriers to close working relationships has made possible a blend of police and prosecution skills in the pursuit of the same goals—making strong cases and convicting criminals" (Buchanan 1989).

This solicitation is for a National Assessment of ways and means of improving prosecutorial efforts in drug cases, which will involve (a) a survey and analysis of the problems and issues; (b) identification

and description, where appropriate, of model programs or practices for further evaluation; and (c) recommendations for future research. (*See Introduction for further discussion of what a National Assessment entails.*)

Goals

- To understand the nature of and variations among the mechanisms that support the prosecution of drug cases.
- To develop a general assessment of the roadblocks to more effective prosecution efforts and the need for new mechanisms to enhance drug prosecutions and diversion of drug cases.
- To present the results of the assessment of effective drug prosecution strategies and needs in a document for use by Federal, State, and local officials.

Objectives

- Conduct a review and assessment of a representative sample of various mechanisms directed toward the prosecution of drug trafficking cases.
- Identify and analyze current practices, policies, and traditions that may impede the effective prosecution of drug trafficking cases.
- Determine the need for new strategies, practices, and programs to enhance drug trafficking prosecution efforts.
- Prepare a comprehensive report that presents the review of selected programs and policies, the analysis of factors that impede effective prosecution, and recommendations for

strategies to enhance the prosecution of drug trafficking cases.

- Formulate a research agenda that will provide a basis for future research efforts.

Program Strategy

Conduct a review and assessment of a representative sample of mechanisms directed toward the prosecution of drug trafficking cases.

While most drug task forces and cooperative interagency efforts develop through local level initiative and resources, Federal programs including these under the 1988 Anti-Drug Abuse Act are providing additional impetus. One emphasis of these programs is to assist State and local governments to support "multijurisdictional task force programs that integrate Federal, State and local drug law enforcement agencies and prosecutors for the purpose of enhancing interagency coordination, intelligence, and facilitating multijurisdictional investigations."

To address this objective, the grantee must develop a method for determining various types of mechanisms that are aimed at enhancing the prosecution of drug trafficking cases. In identifying, compiling, and assessing this sample, a variety of programmatic characteristics should be obtained. The proposal should specify the types of information that will be collected, the operating assumptions that guide program organization and operations, and the relevant historical developments. The data collection methods and the elements to be collected should be specified in the proposal along with the anticipated response rate and the

significance of this rate in light of the goal of a representative sample.

Identify and analyze current practices, policies, and traditions that may impede the effective prosecution of drug trafficking cases.

Along with a review of the relevant literature, the sample survey that is conducted should identify factors that may impede effective prosecutions by jurisdictions. The product of this objective will be an extension of the state-of-the-art review to include an analysis of factors that discourage or impede effective prosecution of drug cases. Applicants are encouraged to take a broad and creative approach in their consideration of these factors. A discussion of factors that could be investigated under this objective should be presented in the proposal.

Determine the need for new strategies, practices, and programs to enhance drug trafficking prosecution efforts.

The survey will also determine the need for and identify new strategies, practices, and programs aimed at enhancing coordinated drug prosecution efforts. The product of this objective will be a review of the needs and recommended directions for addressing these needs.

Prepare a comprehensive report that presents the review of selected programs and policies, the analysis of factors impeding effective prosecutions, and recommendations for strategies to enhance the effectiveness of drug trafficking prosecutions.

To address this objective, the grantee must produce a final report and an

executive summary that can be disseminated to practitioners and researchers. These final products will include the data collection plan and instruments, any applicable data tapes, and the review and analysis of the prosecution of drug cases and recommendations for improved strategies. Another expected product is an article-length summary suitable for publication as an *NIJ Research in Brief* which informs practitioners, public policymakers, and researchers of the results.

Formulate a research agenda that will provide basic questions for future research.

To accomplish this objective the grantee must formulate a research agenda that will identify (a) fundamental issues for study and b) issues and questions that will result in research projects that are of direct practical utility to criminal justice professionals.

Application Requirements. All applicants must submit a completed SF 424, Application for Federal Assistance, including a program narrative, a detailed budget, and a budget narrative. In addition to the requirements specified in the instructions for the preparation of SF 424, the following information should also be included:

- **Program goals.** The application should also contain discussion of the problem and the potential contribution of this program to the field.
- **Program strategy.** Applicants should describe the proposed approach for achieving the goals and objectives of the program. Applicants should include a discussion of how

each of the objectives would be accomplished.

- **Program implementation plan.** Applicants should provide a plan that outlines the major activities involved in implementing the program, describes how they will allocate resources to implement the program, and explains how the program will be managed.
- **Products.** The applicants should concisely describe the interim and final products under each objective of the program, and address the purpose, audience, and usefulness of each product to the field.
- **Program budget.** The applicants should provide an appropriate budget with a detailed justification for all costs, including the basis on which these costs are computed.

Products. At a minimum, final products of the research projects must include:

- A full technical report, including a discussion of the research question, a review of the literature, a description of project methodology, detailed review of project findings, and conclusions and policy recommendations.
- A summary of approximately 2,500 words highlighting the findings of the research and the policy issues those findings will inform, written to be accessible to policy officials and practitioners, and suitable for possible publication as an *NIJ Research in Brief*.
- Cleaned copies of all automated data sets developed during the research and full documentation prepared in accordance with the instructions in the *NIJ Data Resources Manual*.

As appropriate, additional interim and final products (e.g., articles, manuals, or training materials) may be specified in the proposal or negotiated at the time of the award.

Eligibility Requirements. NIJ awards grants to or enters into cooperative agreements with educational institutions, nonprofit organizations, public agencies, individuals, and profitmaking organizations that are willing to waive their fees.

Monitoring. Each grant awarded under this solicitation will be monitored according to OJP Handbook 4500.2C (Revised Chapter 7, Monitoring). More specifically, prior to the grant award, the following areas will be defined:

- Statement of goals, objectives, tasks, program activities, and products.
- Program implementation plan and budget that schedules program expenditures.
- Monitoring plan.
- Schedule of monitoring activities.
- Delineation of monitoring products (i.e., progress reports, timeline and task updates, product and activity updates, and draft products).
- The process used by NIJ to review and respond to monitoring findings and recommendations.
- A summary of subsequent program activities in response to implementing the monitoring recommendations. These monitoring efforts will be determined by NIJ and the grantee.

Selection Criteria. All applications will be reviewed by a peer review panel of three to five persons from the research

and practitioner communities, selected for their research experience and operational expertise as well as their knowledge in the substantive areas covered by this solicitation. Five criteria are applied in the evaluation process: technical merit of the proposal, understanding of the problem, importance of the research questions addressed, qualifications of the applicant, and project costs.

Award Period. NIJ limits its grants and cooperative agreements to a maximum period of 24 months.

Award Amount. NIJ encourages applicants to develop a reasonable budget which will adequately cover the costs of the proposed project. Funding of this topic has been tentatively set at \$100,000 to \$150,000. It is anticipated this amount will support one award. Actual funding allocations are based on the quality of proposal received.

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

Prosecution of Drug Cases
National Institute of Justice
633 Indiana Avenue NW.
Room 867
Washington, DC 20531

Completed proposals must be received at the National Institute of Justice by the close of business on June 20, 1991. Extension of this deadline will not be permitted.

Contact. Applicants are strongly encouraged to contact the Institute to discuss topic viability, data availability, or proposal content before submitting proposals. To obtain further information, potential applicants may write to Bernard

Auchter, Program Manager, at the above address, or telephone him at 202-307-0154.

The Management of Probation Caseloads for Drug Offenders: A National Assessment

Purpose. The purpose of this solicitation is to conduct a National Assessment to determine how probation agencies are managing increased caseloads composed of higher risk offenders, particularly drug users.

Background: Probation remains the sanction most frequently imposed by the courts, and it is perhaps is the most controversial. The number of offenders sentenced to probation reached record levels in the past decade, increasing at a faster rate than prison and jail populations. At the end of 1989, more than 2.5 million offenders were under probation supervision.¹

Yet professionals in the field are concerned that the composition of probation caseloads has changed along with these increases in numbers, as courts have imposed probation for larger numbers of offenders convicted of serious offenses and offenders who are drug users. These types of offenders not only pose a greater risk to the public, but also consume greater probation agency resources because they require more stringent supervision. Policymakers and practitioners need to know how probation agencies are meeting the greater demands placed on them, particularly in jurisdictions where staff and funding resources have not increased commensurate with need.

This solicitation is for a National Assessment, which will involve (a) a survey and analysis of the problems and issues; (b) identification and description, where appropriate, of model programs or practices for further evaluation; and (c) recommendations for future research. *(See Introduction for further discussion of what a National Assessment entails.)*

Goals

- To learn how probation administrators are managing agencies burdened with increased numbers of offenders, particularly drug users.
- To identify innovative strategies of supervising probation caseloads that include large numbers of high-risk offenders and drug users.
- To identify agency management strategies and offender-supervision practices that merit further research and evaluation.
- To disseminate the results of this research to policymakers and practitioners nationwide.

Objectives

- Document how probation administrators are allocating resources and implementing policies for supervising probation caseloads composed in large part of high-risk offenders and drug users.
- Identify current offender supervision practices and policies that have potential to improve probation effectiveness, and to assess the congruence of such practices and policies with current theory and

research knowledge regarding supervision of drug users.

- Formulate a research agenda that will provide basic questions for future research efforts.
- Produce a report on current management and supervision practices and policies that will be of immediate assistance to policymakers and practitioners.

Program Strategy

Document how probation administrators are allocating resources and implementing policies for supervising probation caseloads composed in large part of high-risk offenders and drug users.

This objective must be achieved through a sample survey of State and county probation agencies. The proposal should provide a detailed strategy for sample-selection and data-collection procedures (mail, telephone, inperson interviews, etc.) as well as a discussion of the types of information to be collected and how that information will be compiled and analyzed.

Of particular interest are agency policies for distributing staff workloads, contracting for specialized services such as drug treatment and urine testing, and especially agency policies regarding technical violations of probation conditions.

The product will be a report on current probation agency resource management practices and offender supervision policies.

Identify current offender supervision practices and policies that have potential to improve probation effectiveness, and

to assess the congruence of such practices and policies with current theory and research knowledge regarding supervision of drug users.

Based on the survey described above, the grantee will identify particularly promising offender supervision strategies. The proposal should describe how such identification will be made. Model programs that could be replicated in other jurisdictions should be identified. In consultation with NIJ, the grantee will select a subset of practices for further onsite assessment and evaluation.

Of particular interest are supervision practices regarding initial assessment and periodic reassessment of risk and supervision levels for offenders, levels of surveillance, use of collateral contacts, use of telephone or other communication means in place of face-to-face contacts, and provision of support services such as drug treatment or employment assistance.

The proposal should also include a plan for a review of the current literature regarding community supervision of offenders. The review should identify areas in which practitioner activities and theory and/or knowledge are congruent or contradictory. This information will be of particular use in guiding future research and program evaluation efforts in probation supervision.

The product will be a report on current and innovative probation practices for supervising high-risk and drug-user offenders, an identification of a subset of particularly promising programs for future research and evaluation, and an identification of probation supervision issues requiring further research.

Formulate a research agenda that will provide basic questions for future research efforts.

The research agenda should identify (a) fundamental issues for study and (b) issues and questions that will result in research projects that are of direct practical utility to criminal justice professionals.

Produce a report of current management and supervision practices and policies that will be of immediate assistance to policymakers and practitioners.

This report will include (1) a discussion of the dimensions of the management and offender supervision problems that probation agencies face; (2) descriptions of the innovative ways in which probation administrators are allocating staff and money; (3) a description of innovative offender supervision practices for providing the more stringent control necessitated by caseloads with large proportions of higher risk and drug-user offenders; (4) identification of a select number of particularly promising programs for future study and evaluation; and (5) a research agenda with discussion of where research knowledge and practice are consistent or contradictory for the purpose of guiding future research.

Application Requirements. All applicants must submit a completed SF 424, Application for Federal Assistance, including a program narrative, a detailed budget, and a budget narrative. In addition to the requirements specified in the instructions for the preparation of SF 424, the following information should also be included:

- **Program goals.** The application should also contain discussion of the

problem and the potential contribution of this program to the field.

- **Program strategy.** Applicants should describe the proposed approach for achieving the goals and objectives of the program. Applicants should include a discussion of how each of these objectives would be accomplished.
- **Program implementation plan.** Applicants should provide a plan that outlines the major activities involved in implementing the program, describes how they will allocate resources to implement the program, and explains how the program will be managed.
- **Products.** The applicants should concisely describe the interim and final products under each objective of the program, and address the purpose, audience, and usefulness of each product to the field.
- **Program budget.** The applicants should provide an appropriate budget with a detailed justification for all costs including the basis for computation of these costs.

Products. At a minimum, final products of the research projects must include:

- A full technical report, including a discussion of the research question, a review of the literature, a description of project methodology, detailed review of project findings, and conclusions and policy recommendations.
- A summary of approximately 2,500 words highlighting the findings of the research and the policy issues those findings will inform, written to be accessible to policy officials and practitioners, and suitable for possible publication as an *NIJ Research in Brief*.

-
- Cleaned copies of all automated data sets developed during the research and full documentation prepared in accordance with the instructions in the *NIJ Data Resources Manual*.

As appropriate, additional interim and final products (e.g., articles, manuals, or training materials) may be specified in the proposal or negotiated at the time of the award.

Eligibility Requirements. NIJ awards grants to or enters into cooperative agreements with educational institutions, nonprofit organizations, public agencies, individuals, and profitmaking organizations that are willing to waive their fees.

Monitoring. Each grant awarded under this solicitation will be monitored according to OJP Handbook 4500.2C (Revised Chapter 7, Monitoring). More specifically, prior to the grant award, the following areas will be defined:

- Statement of goals, objectives, tasks, program activities, and products.
- Program implementation plan and budget that schedule program expenditures.
- Monitoring plan.
- Schedule of monitoring activities.
- Delineation of monitoring products (i.e., progress reports, timeline and task updates, product and activity updates, and draft products).
- The process used by NIJ to review and respond to monitoring findings and recommendations.
- A summary of subsequent program activities in response to implementing the monitoring recommendations.

These monitoring efforts will be determined by NIJ and the grantee.

Selection Criteria. All applications will be reviewed by a peer review panel of three to five persons from the research and practitioner communities, selected for their research experience and operational expertise as well as their knowledge in the substantive areas covered by this solicitation. Five criteria are applied in the evaluation process: technical merit of the proposal, understanding of the problem, importance of the research questions addressed, qualifications of the applicant, and project costs.

Award Period. NIJ limits its grants and cooperative agreements to a maximum period of 24 months.

Award Amount. NIJ encourages applicants to develop a reasonable budget which will adequately cover the costs of the proposed project. Funding of this topic has been tentatively set at \$100,000 to \$150,000. It is anticipated this amount will support one award. Actual funding allocations are based on the quality of proposal received.

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

The Management of Probation
Caseloads for Drug Offenders
National Institute of Justice
633 Indiana Avenue NW.
Room 864
Washington, DC 20531

Completed proposals must be received at the National Institute of Justice by the close of business on June 20, 1991. Extension of this deadline will not be permitted.

Contact. Applicants are strongly encouraged to contact the Institute to discuss topic viability, data availability, or proposal content before submitting proposals. To obtain further information, potential applicants may write to Voncile B. Gowdy, Program Manager, at the above address, or telephone her at 202-307-2951.

Reference

Bureau of Justice Statistics, "Probation and Parole 1989," November 1990.

Prosecution and Adjudication: Related Proposals

The National Institute of Justice is committed to a broad research program, involving both basic and applied approaches, that encompasses a large majority of the criminal justice research community. Moreover, NIJ supports a wide range of research methodologies including case studies, structured observational methods, longitudinal studies, experimental and quasi-experimental designs, surveys, and secondary analyses. Within OJP policy guidelines for this topic area, NIJ encourages innovative research proposals that would bring to bear thinking and research from a variety of disciplines to the study of crime and criminal behavior. NIJ recognizes that researchers might wish to pose and structure their own research questions.

Applicants may, if they wish, propose research projects addressing the general

goals and objectives of this program area but not included in the specific solicitations. If there is a question whether a given project idea falls within the program's scope, applicants are encouraged to seek the advice of the Program Manager.

Applicants are directed to follow the guidelines regarding application requirements, products, eligibility requirements, monitoring, selection criteria, and the award period described in previous sections of this solicitation.

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

Prosecution and
Adjudication Program
National Institute of Justice
633 Indiana Avenue NW.
Washington, DC 20531

Completed proposals must be received at the National Institute of Justice by the close of business on June 27, 1991. Extension of this deadline will not be permitted.

Contact. Applicants are strongly encouraged to contact the Institute to discuss topic viability, data availability, or proposal content before submitting proposals. To obtain further information, potential applicants may write to Bernard Auchter, Program Manager, at the above address, or telephone him at 202-307-0154.

Drugs, Alcohol, and Crime Program

NIJ Funding Level: \$500,000

This program addresses drug-related problems, including the use of drugs in criminal careers and drug testing issues. This program also includes an initiative to control the diversion of precursor and essential chemicals used to produce illicit drugs. Multiple awards may be made.

Drug Treatment Within the Criminal Justice System: A Comprehensive Analysis

Purpose. The purpose of this solicitation is to conduct a Comprehensive Analysis of the methods and practices of drug treatment for offenders within the criminal justice system, to identify the factors contributing to their success, and to provide this information to policymakers and criminal justice and treatment agencies to support their efforts to control drug abuse and drug-related crime.

Background. Drug abuse is both a cause and an intensifier of criminal behavior. The President's National Drug Control Strategy has identified drug treatment as an area of high priority interest and calls for developing a comprehensive approach to drug treatment within the criminal justice system that encompasses identification of drug users, referral to treatment, aftercare, and monitoring.

While treatment programs for some types of drugs, such as narcotics, have relatively long histories, developing effective treatments for others is still problematic. Offenders with problems involving crack cocaine and complicating factors such as codependencies with other drugs may not

be as successfully treated by the established methods. In addition, other concurrent problems frequently found in offender populations, such as psychopathologies, may limit the use of some group counseling methods such as those involving confrontational techniques.

The potential benefits of innovative drug treatments for offenders with problems involving crack cocaine, polydrug dependencies, and other factors may depend upon a broad range of factors. These factors are related not only to the treatment modality, but also to other program contingencies and services and to appropriate matching with the specific needs and characteristics of the individual offenders.

Development and dissemination of systematic information on the benefits of innovative treatment approaches within the criminal justice system can inform State and local policymakers, assist in planning for criminal justice resource needs, and enhance efforts to control drug-related crime through appropriately matched treatment within criminal justice and community-based settings.

This solicitation is for a Comprehensive Analysis which will include a critical literature review and synthesis, a new

analysis of existing data sets, developing a research agenda that builds on past research, the identification and description of promising approaches from existing practice, and developing model programs. A Comprehensive Analysis will include site visits. (*See the Introduction for details about what a Comprehensive Analysis entails.*)

Goals

- To determine the scope of drug treatments for offenders abusing cocaine and other drugs within the criminal justice system.
- To inform the efforts of policymakers and law enforcement and treatment practitioners to control the problems of drug abuse and drug-related crime.

Objectives

- Identify and assess innovative drug treatment approaches and associated program factors for criminal offenders at the preadjudication stage, at sentencing, and in correctional settings.
- Formulate a research agenda that will provide basic questions for future research.
- Provide a comprehensive report on drug treatment within the criminal justice system, specifically aimed at preadjudication, sentencing, and correctional settings.

Project Strategy

Identify and assess innovative drug treatment approaches and associated program factors for criminal offenders at the preadjudication stage, at sentencing, and in correctional settings.

The applicant's proposal shall identify appropriate information resources and methodologies for identifying and assessing current drug treatment programs and services within Federal, State, and local criminal justice systems. Based on a thorough review of theoretical and empirical research, the grantee shall identify major current development efforts and innovative approaches to drug treatment, paying particular attention to the preadjudication stage, at sentencing, and in correctional settings.

The proposal's review shall discuss and assess related treatment strategies, including both pharmacological and nonpharmacological approaches. Residential and outpatient programs, detection, referral, and monitoring programs, as well as related program characteristics and contingencies shall be addressed. Available data toward estimating cost-benefits of typical program services and potential alternative combinations shall be provided.

The proposal shall address all major developments in the areas of treatment within the preadjudication area, in sentencing, and in correctional settings.

Based on these initial reviews, the applicant's proposal shall include plans for site visits to identify the range of treatment programs available in the three designated areas within the criminal justice system. The development of case studies may be appropriate within this objective.

In addition, the applicant's proposal should include plans to reanalyze existing data sets, if the applicant believes that such reanalyses will further the goals and objectives of this solicitation. The

applicant is encouraged to consult the fourth edition of the *Data Resources of the National Institute of Justice* for a listing of appropriate data sets.

Formulate a research agenda that will provide basic questions for future research.

The research agenda should identify (a) fundamental issues for study, and (b) issues and questions that will result in research projects that are of direct practical utility to criminal justice professionals.

Provide a comprehensive report on drug treatment within the criminal justice system, specifically aimed at preadjudication, sentencing, and correctional settings.

This report should include a thorough discussion of the problem, a review of the theoretical and empirical research, a discussion of the research methodology employed, the findings from the site visits, and a research agenda for future research.

Application Requirements. Applicants must submit a completed SF 424, Application for Federal Assistance, including a program narrative, a detailed budget, and a budget narrative. In addition to the requirements specified in the instructions for the preparation of SF 424, the following information should also be included:

- **Program goals.** The application should also contain a discussion of the problem and the potential contribution of this program to the field.

- **Program strategy.** Applicants should describe the proposed approach for achieving the goals and objectives of the program. Applicants should include a discussion of how each objective would be accomplished.

- **Program implementation plan.** Applicants should provide a plan that outlines the major activities involved in implementing the program and describe how they will allocate resources to implement the program and how the program will be managed.

- **Products.** The applicants should concisely describe the interim and final products under each objective of the program and address the purpose, audience, and usefulness of each product to the field.

- **Program budget.** The applicants should provide an appropriate budget with a detailed justification for all costs, including the basis by which these costs were computed.

Products. At a minimum, final products of the research projects must include:

- A full technical report, including a discussion of the research question, a review of the literature, a description of project methodology, detailed review of project findings, and conclusions and policy recommendations.
- A summary of approximately 2,500 words highlighting the findings of the research and the policy issues those findings will inform, written to be accessible to policy officials and practitioners, and suitable for possible publication as an *NIJ Research in Brief*.

-
- Cleaned copies of all automated data sets developed during the research and full documentation prepared in accordance with the instructions in the *NIJ Data Resources Manual*.

As appropriate, additional interim and final products (e.g., articles, manuals, or training materials) may be specified in the proposal or negotiated at the time of the award.

Eligibility Requirements. NIJ awards grants to or enters into cooperative agreements with educational institutions, nonprofit organizations, public agencies, individuals, and profitmaking organizations that are willing to waive their fees.

Monitoring. Each grant awarded under this solicitation will be monitored according to OJP Handbook 4500.2C (Revised Chapter 7, Monitoring). More specifically, prior to the grant award, the following areas will be defined:

- Statement of goals, objectives, tasks, program activities, and products.
- Program implementation plan and budget that schedules program expenditures.
- Monitoring plan.
- Schedule of monitoring activities.
- Delineation of monitoring products (i.e., progress reports, timeline and task updates, product and activity updates, and draft products).
- The process used by NIJ to review and respond to monitoring findings and recommendations.
- A summary of subsequent program activities in response to implementing the monitoring recommendations.

These monitoring efforts will be determined by NIJ and the grantee.

Selection Criteria. All applications will be reviewed by a peer review panel of three to five persons from the research and practitioner communities, selected for their research experience and operational expertise as well as their knowledge in the substantive areas covered by this solicitation. Five criteria are applied in the evaluation process: technical merit of the proposal, understanding of the problem, importance of the research questions addressed, qualifications of the applicant, and project costs.

Award Period. NIJ limits its grants and cooperative agreements to a maximum period of 24 months.

Award Amount. NIJ encourages applicants to develop a reasonable budget that will adequately cover the costs of the proposed project. Funding of this topic has been tentatively set at \$150,000 to \$250,000. It is anticipated that this amount will support one award. Actual funding allocations are based on the quality of proposal received.

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

Drugs and Crime Research Program
National Institute of Justice
633 Indiana Avenue NW.
Washington, DC 20531

Completed proposals must be received at the National Institute of Justice by the close of business on June 27, 1991. Extension of this deadline will not be permitted.

Contact. Applicants are strongly encouraged to contact the Institute to discuss topic viability, data availability, or proposal content before submitting proposals. To obtain further information, potential applicants may write to Dr. Bernard A. Gropper, Program Manager, at the above address, or telephone him at 202-307-0645.

Criminal Justice Responses to Alcohol Abuse: A Comprehensive Analysis

Purpose. The purpose of this solicitation is to support a Comprehensive Analysis of alcohol abuse programs in the criminal justice system in order to provide Federal, State, and local agencies with information on the extent of this social problem and on ways to develop efforts to control drug and alcohol abuse and related crime.

Background. Alcohol-related crime occurs with more frequency than drug offenses and affects all levels of the criminal justice system. In a 1986 survey of State prison inmates, alcohol outweighed all other substances used by the majority (54 percent) who were under the influence of drugs or alcohol (or both) at the time of their current offense. Similarly, nearly twice as many victims of violent crime, such as rape, reported their attackers to be under the influence of alcohol compared to other drugs (23 percent versus 13 percent); in aggravated assault cases, offenders were reported to be under the influence of alcohol more than three times as frequently as other drugs (25 percent versus 7 percent). Alcohol has also been identified as the substance most frequently involved in domestic violence assaults.

Between 1970 and 1986 arrests for driving under the influence of alcohol or other drugs increased more than five times the rate of increase in licensed drivers (223 percent versus 42 percent). In addition, alcohol-related auto accidents have become the leading cause of death for teenagers and are the direct cause of 80,000 to 100,000 deaths annually. The estimated cost to the criminal justice system of alcohol-related problems was over \$3.7 billion in 1985. Moreover, although illicit drugs impose greater costs for enforcement, adjudication, and State and Federal corrections, at the local corrections level alcohol abuse costs nearly three times as much as other drug problems (\$1.238 billion versus \$0.46 billion).

The development and dissemination of useful information on the effectiveness of innovative sanctions and local law enforcement strategies can help inform the efforts of State and local officials.

This solicitation is for a Comprehensive Analysis, which will include a critical literature review and synthesis; a new analysis of existing data, where appropriate; development of a research agenda that builds on past research; the identification and description of promising approaches from existing practice; and, where appropriate, the development of model programs. A Comprehensive Analysis includes site visits. (*See the Introduction for additional information on what a Comprehensive Analysis entails.*)

Goals

- To assess the nature and extent of alcohol-related problems faced by the criminal justice system and successful

strategies and programs for addressing them.

- To provide a comprehensive analysis of the factors contributing to the success of these programs that will support local efforts to control the problems of alcohol abuse and related crime.

Objectives

- Critically review prior research and previously examined model programs in the criminal justice system that deal with problems of alcohol abuse; in particular, the role of alcohol abuse in crimes such as child abuse and spouse abuse should be addressed.
- Identify successful local strategies and practices within the criminal justice system that deal with alcohol abuse and analyze the roles that Federal, State, and local agencies play in achieving that success.
- Formulate model recommendations and provide a comprehensive report on alcohol abuse and the criminal justice system and support the development of integrated programs aimed at controlling alcohol abuse and related crime.
- Develop a review and synthesis that critically examines prior research on anti-alcohol abuse programs in the criminal justice system and assesses what types of new information are needed to aid State and local law enforcement operations and strategies.

Program Strategy

Critically review prior research and previously examined model programs in the criminal justice system that deal with

problems of alcohol abuse; in particular, the role of alcohol abuse in crimes such as child abuse and spouse abuse should be addressed.

The applicant's proposal should identify appropriate information, resources, and methodologies for identifying and assessing current programs, policies, and statutes at Federal, State, and local levels that affect efforts to control alcohol abuse. Based on a thorough review of theoretical and empirical research, the applicant should identify major current law enforcement practices and policies and their impact and effectiveness.

The proposal's review should assess and discuss related public policies and laws directed toward alcohol abuse, including those aimed at the deterrence, detection, sanctioning, and treatment of the problem. Emphasis should be placed on the interaction between State and local agencies and various community groups. The impact of local statutes and regulations such as restrictions on hours and places of sale, license suspension or revocation for traffic offenses, and special population factors affecting patterns of alcohol consumption should be identified and evaluated for their effect. Available empirical evidence on the effects of alternative approaches on crime also should be examined.

The applicant's proposal should address all major developments in detecting and treating the problem of alcohol abuse within the criminal justice system. It should also assess the interaction between criminal justice agencies and other agencies such as legal sale outlets in controlling alcohol abuse.

Identify successful local strategies and practices within the criminal justice

system that deal with alcohol abuse and analyze Federal, State, and local contributions to that success.

Based on the initial reviews, the proposal should identify and describe current local law enforcement efforts aimed at alcohol abuse problems and assess their impact in reducing and controlling alcohol abuse and related criminality. The proposal should provide plans and sequenced timelines for identification of features and programs incorporating them. The proposal also should address strategies utilizing innovative and graduated sanctions and should offer evidence of the feasibility of the proposed special case studies.

Formulate model recommendations and provide a comprehensive report on alcohol abuse and the criminal justice system and support the development of integrated programs aimed at controlling alcohol abuse and related crime.

To meet this objective the grantee must produce a final report that provides a complete review and summary of the study's methods and findings on current strategies toward maximizing the ability and effectiveness of the criminal justice system to deal with problems of alcohol abuse. The report should assess the factors affecting their relative appropriateness and effectiveness and should discuss the costs and benefits in terms of resources and problem reduction related to local community characteristics. Recommendations toward the development of model sanctions and law enforcement practices and policies should be developed.

Develop a review and synthesis that critically examines prior research on anti-alcohol abuse programs in the

criminal justice system and assesses what types of new information are needed to aid State and local law enforcement operations and strategies.

The products for this objective include a comprehensive literature review that reflects an original approach to existing literature, a reexamination of existing data sets and new analysis if appropriate, the development of a research agenda building on past research, and the formulation of model programs.

Application Requirements. Applicants must submit a completed SF 424, Application for Federal Assistance, including a program narrative, a detailed budget, and a budget narrative. In addition to the requirements specified in the instructions for the preparation of SF 424, the following information should also be included:

- **Program goals.** The application should also contain a discussion of the problem and the potential contribution of this program to the field.
- **Program strategy.** Applicants should describe the proposed approach for achieving the goals and objectives of the program. Applicants should include a discussion of how each objective would be accomplished.
- **Program implementation plan.** Applicants should provide a plan that outlines the major activities involved in implementing the program, describes how they will allocate resources to implement the program, and explains how the program will be managed.
- **Products.** The applicants should concisely describe the interim and final products under each objective of

the program and address the purpose, audience, and usefulness of each product to the field.

- **Program budget.** The applicants should provide an appropriate budget with a detailed justification for all costs, including the basis on which these costs were computed.

Products. At a minimum, final products of the research projects must include:

- A full technical report, including a discussion of the research question, a review of the literature, a description of project methodology, detailed review of project findings, and conclusions and policy recommendations.
- A summary of approximately 2,500 words highlighting the findings of the research and the policy issues those findings will inform, written to be accessible to policy officials and practitioners, and suitable for possible publication as an *NIJ Research in Brief*.
- Cleaned copies of all automated data sets developed during the research and full documentation prepared in accordance with the instructions in the *NIJ Data Resources Manual*.

As appropriate, additional interim and final products (e.g., articles, manuals, or training materials) may be specified in the proposal or negotiated at the time of the award.

Eligibility Requirements. NIJ awards grants to or enters into cooperative agreements with educational institutions, nonprofit organizations, public agencies, individuals, and profitmaking organizations that are willing to waive their fees.

Monitoring. Each grant awarded under this solicitation will be monitored

according to OJP Handbook 4500.2C (Revised Chapter 7, Monitoring). More specifically, prior to the grant award, the following areas will be defined:

- Statement of goals, objectives, tasks, program activities, and products.
- Program implementation plan and budget that schedules program expenditures.
- Monitoring plan.
- Schedule of monitoring activities.
- Delineation of monitoring products (i.e., progress reports, timeline and task updates, product and activity updates, and draft products).
- The process used by NIJ to review and respond to monitoring findings and recommendations.
- A summary of subsequent program activities in response to implementing the monitoring recommendations. These monitoring efforts will be determined by NIJ and the grantee.

Selection Criteria. All applications will be reviewed by a peer review panel of three to five persons from the research and practitioner communities, selected for their research experience and operational expertise as well as their knowledge in the substantive areas covered by this solicitation. Five criteria are applied in the evaluation process: technical merit of the proposal, understanding of the problem, importance of the research questions addressed, qualifications of the applicant, and project costs.

Award Period. NIJ limits its grants and cooperative agreements to a maximum period of 24 months.

Award Amount. NIJ encourages applicants to develop a reasonable budget

which will adequately cover the costs of the proposed project. Funding of this topic has been tentatively set at \$150,000 to \$250,000. It is anticipated that this amount will support one award. Actual funding allocations are based on the quality of proposal received.

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

Drugs, Alcohol, and Crime Program
National Institute of Justice
633 Indiana Avenue NW.
Washington, DC 20531

Completed proposals must be received at the National Institute of Justice by the close of business on June 27, 1991. Extension of this deadline will not be permitted.

Contact. Applicants are strongly encouraged to contact the Institute to discuss topic viability, data availability, or proposal content before submitting proposals. To obtain further information, potential applicants may write to Dr. Bernard A. Gropper, Program Manager, at the above address, or telephone him at 202-307-0645.

Drugs, Alcohol, and Crime: Related Proposals

The National Institute of Justice is committed to a broad research program, involving both basic and applied approaches, that encompasses a large majority of the criminal justice research community. Moreover, NIJ supports a wide range of research methodologies including case studies, structured observational methods, longitudinal studies, experimental and quasi-experimental designs, surveys, and secondary analyses. Within OJP policy guidelines for this topic area, NIJ encourages innovative research proposals

that would bring to bear thinking and research from a variety of disciplines to the study of crime and criminal behavior. NIJ recognizes that researchers might wish to pose and structure their own research questions.

Applicants may, if they wish, propose research projects addressing the general goals and objectives of this program area but not specifically included in the specific solicitations. If there is a question whether a given project idea falls within the program's scope, applicants are encouraged to seek the advice of the Program Manager.

Applicants are directed to follow the guidelines regarding application requirements, products, eligibility requirements, monitoring, selection criteria, and the award period described in previous sections of this solicitation.

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

Drugs, Alcohol, and Crime Program
National Institute of Justice
633 Indiana Avenue NW.
Room 864
Washington, DC 20531

Completed proposals must be received at the National Institute of Justice by the close of business on June 27, 1991. Extension of this deadline will not be permitted.

Contact. Applicants are strongly encouraged to contact the Institute to discuss topic viability, data availability, or proposal content before submitting proposals. To obtain further information, potential applicants may write to Dr. Bernard A. Gropper, Program Manager, at the above address, or telephone him at 202-307-0645.

Forensic Sciences and Criminal Justice Technology

NIJ Funding Level: \$475,000

The Forensic Sciences and Criminal Justice Technology program supports research and development of new methods, techniques, systems, and technologies in the physical and biological sciences and their technologies for improving criminal investigation.

Video Technologies for Criminal Investigations

Purpose. The purpose of this solicitation is to support research and development in the physical sciences and technologies that will enhance and restore video imagery and aid in crime prevention, crime detection, investigation, and adjudication.

Background. Forensic science has developed innovative scientific technologies to provide, enhance, or restore physical evidence that has led to increases in convictions as well as categorically clearing many innocent suspects, and to improvements in many operations and procedures in the various segments of the system. Modern technology also plays an important role in criminal investigations. Advances in computers in applying existing technology and developing new ones have improved a wide variety of agency operations—automated and laser system fingerprint detection, monitoring police patrol patterns, electronic monitoring of offenders, and software to restore and enhance photographic image evidence.

The restoration and enhancement of photographic images to identify suspects has progressed rapidly with the advent of computer-linked photographic technol-

ogy. The same cannot be said for images produced by video cameras. Current video surveillance equipment records suspect information on video tape in such establishments as banks and other security locations. In many cases video cameras yield low-resolution single-frame pictures that cannot be used as evidence. The technology used to enhance or restore photographs is not directly applicable to video images. Video tape presents significant difficulties because of how the video cameras produce the images and how the tape itself changes during the taping process.

Goals

- To develop technologies that significantly enhance or restore video imagery evidence to improve criminal investigations.
- To develop technologies that significantly enhance or restore video imagery to improve the criminal justice system.

Objectives

- Analyze methods or technologies from the forensic sciences or related fields that can be adapted to enhance or restore video imagery.

- Develop innovative methods to enhance and restore video imagery for identifying suspects in criminal cases.
- Assess and produce a report on the effects of enhancement and restoration of video imagery methods or technologies on suspect identification.

Program Strategy

Analyze methods or technologies from the forensic sciences or related fields that can be adapted to enhance or restore video imagery.

Accomplishing this objective requires reviewing any method or technology in the forensic sciences or in related fields to determine its adaptability to this objective. The grantee should investigate photographic enhancement and restoration methods and technology as these may provide leads or actual programs or equipment that might be useful in enhancing or restoring higher quality video imagery.

The products of this objective include a review of methods and technologies from related fields that are relevant for enhancing or restoring video imagery and adaptation of those methods or techniques for enhancing or restoring video imagery.

Develop innovative methods for enhancing and restoring video imagery for identifying suspects in criminal cases.

To accomplish this objective, the grantee must identify appropriate methods for enhancing and restoring imagery developed from video cameras. Based on a

thorough review of theoretical and scientific research, the grantee will analyze the structure and composition of the medium used for developing video images, how the camera produces the pictures, and how the tape containing the image is transformed during taping. The grantee will develop methods which use computer models and procedures to enhance or restore the resolution of the video images.

The products of this objective include a review of existing theoretical and scientific research and development of methods or techniques for enhancing and restoring video imagery.

Assess and produce a report on the effects of enhanced or restored video imagery methods of technologies on suspect identification.

Those methods and technologies that are developed or adapted to enhance or restore video imagery will be applied to forensic science evidence in criminal cases. The grantee will work with law enforcement and forensic science agencies to test these methods and technologies to identify suspects.

The products of this objective include a report on the usefulness of these methods and technologies based on their application in operational cases, a description on the research that was performed, and computer programs with technical manuals for any methods produced.

Application Requirements. Applicants must submit a completed SF 424, Application for Federal Assistance, including a program narrative, a detailed budget, and a budget narrative. In addition to the requirements specified in

the instructions for the preparation of SF 424, the following information should also be included:

- **Program goals.** The application should also contain discussion of the problem and the potential contribution of this program to the field.
- **Program strategy.** Applicants should describe the proposed approach for achieving the goals and objectives of the program. Applicants should include a discussion of how each of these objectives would be accomplished.
- **Program implementation plan.** Applicants should provide a plan that outlines the major activities involved in implementing the program, describes how they will allocate resources to implement the program, and explains how the program will be managed.
- **Products.** The applicants should concisely describe the interim and final products under each objective of the program and address the purpose, audience, and usefulness of each product to the field.
- **Program budget.** The applicants should provide an appropriate budget with a detailed justification for all costs, including the basis on which these costs are calculated.

Products. At a minimum, final products of the research projects must include:

- A full technical report including a discussion of the research question, a review of the literature, a description of project methodology, detailed review of project findings, and conclusions and policy recommendations.

- A summary of approximately 2,500 words highlighting the findings of the research and the policy issues those findings will inform, written to be accessible to policy officials and practitioners, and suitable for possible publication as an *NIJ Research in Brief*.
- Cleaned copies of all automated data sets developed during the research and full documentation prepared in accordance with the instructions in the *NIJ Data Resources Manual*.

As appropriate, additional interim and final products (e.g., articles, manuals, or training materials) may be specified in the proposal or negotiated at the time of the award.

Eligibility Requirements. NIJ awards grants to or enters into cooperative agreements with educational institutions, nonprofit organizations, public agencies, individuals, and profitmaking organizations that are willing to waive their fees.

Monitoring. Each grant awarded under this solicitation will be monitored according to OJP Handbook 4500.2C (Revised Chapter 7, Monitoring). More specifically, prior to the grant award, the following areas will be defined:

- Statement of goals, objectives, tasks, program activities, and products.
- Program implementation plan and budget that schedules program expenditures.
- Monitoring plan.
- Schedule of monitoring activities.
- Delineation of monitoring products (i.e., progress reports, timeline and task updates, product and activity updates, and draft products).

- The process used by NIJ to review and respond to monitoring findings and recommendations.
- A summary of subsequent program activities in response to implementing the monitoring recommendations. These monitoring efforts will be determined by NIJ and the grantee.

Selection Criteria. All applications will be reviewed by a peer review panel of three to five persons from the research and practitioner communities, selected for their research experience and operational expertise as well as their knowledge in the substantive areas covered by this solicitation. Five criteria are applied in the evaluation process: technical merit of the proposal, understanding of the problem, importance of the research questions addressed, qualifications of the applicant, and project costs.

Award Period. NIJ limits its grants and cooperative agreements to a maximum period of 24 months.

Award Amount. NIJ encourages applicants to develop a reasonable budget which will adequately cover the costs of the proposed project. Funding of this project has been tentatively set at \$150,000 to 200,000. It is anticipated that this amount will support one award. Actual funding allocations are based on the quality of proposal received.

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

Video Technologies for Criminal
Investigations
Forensic Sciences and Criminal
Justice Technology Program
National Institute of Justice
633 Indiana Avenue NW.
Washington, DC 20531

Completed proposals must be received at the National Institute of Justice by the close of business on June 27, 1991. Extension of this deadline will not be permitted.

Contact. Applicants are strongly encouraged to contact the Institute to discuss topic viability, data availability, or proposal content before submitting proposals. To obtain further information, potential applicants may write to Dr. Richard M. Rau, Program Manager, at the above address, or telephone him at 202-307-0645.

Identification of Suspects: Computer Sourcebooks

Purpose: The purpose of this solicitation is to perform an overview of the different types of physical evidence used for identification of suspects in criminal cases and to develop computer sourcebooks on fingerprinting and on serology, including DNA, to provide assistance to the forensic scientist's investigations.

Background. Forensic science has developed innovative scientific evidence that has led to increases in convictions as well as categorically clearing many innocent suspects and to improvements in many operations and procedures in the various segments of the system. As a result, more use has been made of the forensic scientist at major crime scene investigations inasmuch as the more rapidly a suspect can be identified, the greater the chances that the suspect will be apprehended.

Since the early 1980's, DNA typing has enhanced the importance of physical

evidence in conclusively identifying a suspect in a case. However, DNA typing is not the most frequently used evidence in criminal cases. The fingerprint is still the most sought after evidence in most cases, followed by trace evidence like pieces of cloth, plastic, metal, etc. While DNA has nearly replaced other serological evidence, blood typing, semen typing, and hair typing still are used widely. In the Enrique Camarena case, trace evidence from a rug in the house used to detain the victims and hair from the suspects found at the house were the evidence that linked the suspects to the killings.

Other types of physical evidence that are actively sought include bite marks in sexual assault cases. It was the work of an odontologist with a bite mark on the victim's breast that convicted Ted Bundy and linked him to other serial killings. Odontologists are used to identify victims by the teeth found in skeletal remains. Other examples of physical evidence include video and photographic evidence, questioned documents, or tire marks that link a suspect to the crime.

Some evidence needs more corroboration to support it than others obtain a conviction. Certainly, fingerprint evidence and DNA evidence are more conclusive in a case than suspect blood type or handwriting evidence. But all of these are important if they can be found and properly analyzed and effectively presented in court. An overview of all of the types of physical evidence that takes into account quality and quantity concerns in assessing their effectiveness in identifying suspects would be useful for law enforcement and prosecutor investigators as well as forensic scientists.

The National Institute of Justice published in the early 1980's a *Sourcebook of Forensic Serology, Immunology, and Biochemistry* that provided the forensic scientist with an available source for information on the tests used to develop evidence in these areas. It has been widely used and frequently referenced in court hearings. More recently, NIJ has supported the development of a computer sourcebook of firearms evidence information, using a hypertext format. This format is of particular importance with the advent of the microcomputer and its use in crime laboratories. The production of a computer sourcebook on serology at this time must include information on DNA. Considering that fingerprints are probably the most widely used evidence, a computer sourcebook on them in the hypertext format would be another significant addition to the forensic science crime laboratory.

Goals

- To enhance identification of suspects by forensic science investigators.
- To provide the forensic scientist rapid access to information on physical evidence and testing procedures.

Objectives

- Develop a comprehensive overview of all physical evidence and assess its effectiveness in identifying suspects.
- Develop a computer sourcebook of serology, immunology, and biochemistry, including DNA testing using the hypertext format.
- Develop a computer sourcebook of fingerprint information using the hypertext format.

Program Strategy

Develop a comprehensive overview of all physical evidence and assess its effectiveness in identifying suspects.

To accomplish this objective, the grantee should review the field of physical evidence used to identify suspects in criminal cases, assess the impact on effectiveness in court of the quality and quantity of the evidence found, and develop an overview that can be used by law enforcement and prosecutors as well as the forensic scientist.

The product will be an overview report on physical evidence and an assessment of its effectiveness in court hearings.

Develop a computer sourcebook of serology, immunology, and biochemistry, including DNA testing, using the hypertext format.

To accomplish this objective, the grantee should review and analyze the literature and work in the fields of serology, immunology, and biochemistry, including DNA testing. The grantee will develop a computer sourcebook of information on standards and procedures for analyzing body fluids using the hypertext format, which would supersede the current NIJ publication.

The product of this objective will be a computer sourcebook in hypertext format of serology, immunology, and biochemistry/DNA information.

Develop a computer sourcebook of fingerprint information using the hypertext format.

To accomplish this objective, the grantee must review and analyze the literature

and work in the field of fingerprinting including the new technologies like laser and superglue approaches. The assessment should incorporate discussions on the effectiveness of single- versus multiple-print evidence and on effectiveness and advantages of different techniques and technologies for detecting, lifting, measuring, and matching prints, particularly Automatic Fingerprint Identification Systems. The grantee will develop a computer sourcebook of information on fingerprinting using the hypertext format. The sourcebook development would utilize publication sources like the British Home Office's compendium of fingerprint technology.

The product of this objective will be a computer sourcebook in hypertext format of fingerprint information.

Application Requirements. Applicants must submit a completed SF 424, Application for Federal Assistance, including a program narrative, a detailed budget, and a budget narrative. In addition to the requirements specified in the instructions for the preparation of SF 424, the following information should also be included:

- **Program goals.** The application should also contain discussion of the problem and the potential contribution of this program to the field.
- **Program strategy.** Applicants should describe the proposed approach for achieving the goals and objectives of the program. Applicants should include a discussion of how each of the objectives would be accomplished.
- **Program implementation plan.** Applicants should provide a plan that outlines the major activities involved

in implementing the program, describe how they will allocate resources to implement the program, and explains how the program will be managed.

- **Products.** The applicants should concisely describe the interim and final products under each objective of the program, and address the purpose, audience, and usefulness of each product to the field.
- **Program budget.** The applicants should provide an appropriate budget with a detailed justification for all costs, including the basis on which these costs are computed.

Products. At a minimum, final products of the research projects must include:

- A full technical report including a discussion of the research question, a review of the literature, a description of project methodology, detailed review of project findings, and conclusions and policy recommendations.
- A summary of approximately 2,500 words highlighting the findings of the research and the policy issues those findings will inform, written to be accessible to policy officials and practitioners, and suitable for possible publication as an *NIJ Research in Brief*.
- Cleaned copies of all automated data sets developed during the research and full documentation prepared in accordance with the instructions in the *NIJ Data Resources Manual*.

As appropriate, additional interim and final products (e.g., articles, manuals, or training materials) may be specified in

the proposal or negotiated at the time of the award.

Eligibility Requirements. NIJ awards grants to or enters into cooperative agreements with educational institutions, nonprofit organizations, public agencies, individuals, and profitmaking organizations that are willing to waive their fees.

Monitoring. Each grant awarded under this solicitation will be monitored according to OJP Handbook 4500.2C (Revised Chapter 7, Monitoring). More specifically, prior to the grant award, the following areas will be defined:

- Statement of goals, objectives, tasks, program activities, and products.
- Program implementation plan and budget that schedules program expenditures.
- Monitoring plan.
- Schedule of monitoring activities.
- Delineation of monitoring products (i.e., progress reports, timeline and task updates, product and activity updates, and draft products).
- The process used by NIJ to review and respond to monitoring findings and recommendations.
- A summary of subsequent program activities in response to implementing the monitoring recommendations. These monitoring efforts will be determined by NIJ and the grantee.

Selection Criteria. All applications will be reviewed by a peer review panel of three to five persons from the research and practitioner communities, selected for their research experience and opera-

tional expertise as well as their knowledge in the substantive areas covered by this solicitation. Five criteria are applied in the evaluation process: technical merit of the proposal, understanding of the problem, importance of the research questions addressed, qualifications of the applicant, and project costs.

Award Period. NIJ limits its grants and cooperative agreements to a maximum period of 24 months.

Award Amount. NIJ encourages applicants to develop a reasonable budget which will adequately cover the costs of the proposed project. Funding of this project has been tentatively set at \$150,000 to \$200,000. It is anticipated that this amount will support one award. Actual funding allocations are based on the quality of proposal received.

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

Identification of Suspects:
Computer Sourcebooks
Forensic Sciences and Criminal
Justice Technology Program
National Institute of Justice
633 Indiana Avenue NW.
Room 911
Washington, DC 20531

Completed proposals must be received at the National Institute of Justice by the close of business on June 20, 1991. Extension of this deadline will not be permitted.

Contact. Applicants are strongly encouraged to contact the Institute to discuss topic viability, data availability, or proposal content before submitting proposals. To obtain further information,

potential applicants may write to Dr. Richard M. Rau, Program Manager, at the above address, or telephone him at 202-307-0645.

Forensic Sciences and Criminal Justice Technology: Related Proposals

The National Institute of Justice is committed to a broad research program, involving both basic and applied approaches, that encompasses a large majority of the criminal justice research community. Moreover, NIJ supports a wide range of research methodologies including case studies, structured observational methods, longitudinal studies, experimental and quasi-experimental designs, surveys, and secondary analyses. NIJ encourages innovative research proposals that would bring to bear thinking and research from a variety of disciplines to the study of crime and criminal behavior. NIJ recognizes that researchers might wish to pose and structure their own research questions.

Applicants may propose research projects addressing the general goals and objectives of this program area not included in the specific solicitations. If there is a question whether a given project idea falls within the program's scope, applicants are encouraged to seek the advice of the Program Manager.

Applicants are directed to follow the guidelines regarding application requirements, products, eligibility requirements, monitoring, selection criteria, and the award period described in previous sections of this solicitation.

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

Forensic Sciences and Criminal
Justice Technology Program
National Institute of Justice
633 Indiana Avenue NW., Room 911
Washington, DC 20531

Completed proposals must be received at the National Institute of Justice by the close of business on June 27, 1991.

Extension of this deadline will not be permitted.

Contact. Applicants are strongly encouraged to contact the Institute to discuss topic viability, data availability, or proposal content before submitting proposals. To obtain further information, potential applicants may write to Dr. Richard M. Rau, Program Manager, at the above address, or telephone him at 202-307-0645.

Fellowship Programs

NIJ Funding Level: \$500,000

Purpose. The purpose of these programs is to support research on topics of high priority to the Attorney General and OJP that enhance the capabilities of law enforcement and criminal justice in combating crime and drug abuse.

Background. The fellowship programs offer criminal justice professionals and researchers an opportunity to undertake independent research on policy-relevant criminal justice issues. The programs provide a path for investigating new approaches for resolving operational problems and for becoming involved in a national program of criminal justice research directed at meeting the needs of Federal, State, and local agencies.

Goals

- To conduct research on criminal justice issues of immediate practical utility.

- To encourage the use of National Institute of Justice (NIJ) resources for direct assistance to State and local justice officials.

Objectives

- Assist criminal justice professionals by enhancing criminal justice system capabilities.
- Provide technical assistance to State and local law enforcement and criminal justice agencies.
- Encourage scholars to conduct criminal justice research.
- Encourage criminal justice professionals to perform practical studies on criminal justice issues.

Program Strategy. NIJ supports two fellowship programs: the Visiting Fellowship Program and the Graduate Research Fellowship Program.

NIJ will consider fellowship applications that focus on the following eight criminal justice areas:

- Intermediate sanctions and corrections.
- Victims.
- Gangs and violence.
- Drug testing.
- Innovations in policing.
- Prevention and education.
- Community-based programs.
- Emerging crime issues.

Visiting Fellowship Program

Visiting fellows study in residence at NIJ for 6 to 18 months. Fellows at the Institute participate in developing plans for criminal justice research programs of national scope, interact with Institute staff and other fellows, and present seminars on their work. NIJ provides full financial and logistical support and access to the abundant criminal justice resources of the Nation's Capital.

The Visiting Fellowship Program solicits proposals from three groups of criminal justice specialists, emphasizing the nexus between research and practice. Based on their backgrounds and credentials (each candidate must have at least a bachelor's degree), candidates are classified as:

Criminal justice professionals. Middle- and upper-level criminal justice personnel, usually employees of State or local government. The candidates should have an active knowledge of how local communities function, of policy development and

command structures of the justice system, and of innovations occurring at the local level. They include representatives from police, courts, corrections, probation agencies, and victims services and show a potential for future leadership. They usually propose studies on policy-relevant issues that may require some technical assistance from NIJ in the design and analysis parts of the study.

Postdoctoral researchers. Recent doctoral graduates with an interest in criminal justice research. Candidates are drawn from universities and should propose research closely following that suggested for the senior researchers.

Senior researchers. Persons with broad, extensive criminal justice research experience. Candidates are usually drawn from colleges and universities and usually propose research findings that can yield either the assumptions on which criminal justice operations are based or actual field operations.

All fellows may be asked by NIJ to provide technical assistance to other Government-funded projects and to assist in developing training materials for new or current projects.

Eligibility Requirements. NIJ awards grants to, or enters into cooperative agreements with, educational institutions, nonprofit organizations, public agencies, individuals, and profitmaking organizations that are willing to waive their fees. Please call or write the respective Program Manager for detailed information on the eligibility requirements for the Visiting Fellowship Program and the Graduate Research Fellowship Program.

Selection Criteria. For the Visiting Fellowship Program, the review criteria are based on the background and experience of the individual candidate as well as the quality and viability of the proposed project. Submissions to the Visiting Fellowship Program will, in most instances, be reviewed by panels of NIJ professional staff. Each review will be based on the applicant's status as either a criminal justice professional, postdoctoral researcher, or senior researcher.

Products. At a minimum, final products for the Visiting Fellowship Program will include:

- A full technical report, including a discussion of the research question, a review of the literature, a description of project methodology, detailed project findings, and conclusions and policy recommendations.
- An approximately 2,500-word executive summary highlighting the research findings and the policy issues that those findings will inform, accessible to policy officials and practitioners and suitable for possible publication as an NIJ *Research in Brief*.
- Cleaned copies of all automated data sets developed during the research and full documentation prepared in accordance with the instructions in the *NIJ Data Resources Manual*.

As appropriate, additional interim and final products (e.g., articles, manuals, or training materials) may be specified in the proposal or negotiated at time of award.

Award Period. Visiting Fellowships last from 6 to 18 months.

Award Amount. Up to \$500,000 for two or three visiting fellows.

Due Dates. Deadlines for receipt of Visiting Fellowship proposals at NIJ are June 15, 1991; September 15, 1991; December 15, 1991; and March 15, 1992.

Visiting Fellowship Program
National Institute of Justice
633 Indiana Avenue NW.
Washington, DC 20531

Contacts. Applicants are strongly encouraged to contact the Institute to discuss topic viability and proposal content before submitting proposals. To obtain further information about the Visiting Fellowship Program, potential applicants may contact Dr. Richard S. Laymon at 202-307-0645.

Selected Past Fellows and Study Topics

Kenneth R. Freeman, Judge, Municipal Court Bench for Los Angeles, "A Study to Find More Effective Ways to Investigate and Prosecute Child Sexual Abuse Cases."

Lt. John Buchanan II, Phoenix Police Department, "Assessing the Current Status of Police-Prosecutor Team Efforts."

Dr. Ernesto Ugo Savona, Professor of Criminology, University of Trento, Trento, Italy, "Changes in the Structure and Activities of Traditional Organized Crime and the Impact of Legislation and Law Enforcement Policies."

Dr. Wesley G. Skogan, Professor, Northwestern University, "Crime and the Survival of Small Business."

Graduate Research Fellowship Program

The Graduate Research Fellowship Program provides a limited number of fellowships that NIJ will award to doctoral candidates through sponsoring universities. The awards support students engaged in the research and writing of doctoral dissertations. Prior to the grant award, applicants must have completed all degree requirements except for the

internship (where required) and the research, writing, and defense of the dissertation.

The Graduate Research Fellowship Program is currently under review by NIJ. Areas of study, grant amounts, and requirements of award recipients will be announced at a future date in the *Federal Register* and be sent to academic institutions.

Ongoing Programs

The National Institute of Justice (NIJ) may award multiyear grants and approve interagency agreements to address particular criminal justice issues. In order to present a comprehensive overview of NIJ's 1991 activities, the following section provides descriptions of these ongoing programs, which are not open to public competition at this time.

Intermediate Sanctions/ User Accountability

Boot Camps for Juvenile Offenders: Implementation Evaluation

This collaborative program among NIJ, the Office of Juvenile Justice and Delinquency Prevention (OJJDP), and the Bureau of Justice Assistance (BJA) will test prototypical juvenile boot camps as intermediate sanctions. The program will focus on adjudicated, nonviolent, juvenile offenders who are under 18 years of age; it will emphasize discipline, treatment, and work. Applicants to the program have been asked to develop a prototype boot camp emphasizing constructive intervention and early support, prepare training and technical assistance material, and test the prototype using an experimental research design.

NIJ has solicited applications for the evaluation of the prototype juvenile boot camps funded through OJJDP. The first phase will be an implementation and process evaluation of the prototypes. The researchers will be asked to design a field experiment to study the effectiveness of boot camp programs. Phase two of the

evaluation will be the completion of a field experiment examining the effectiveness of boot camps for juveniles.

The Institute anticipates that the implementation evaluation will begin in the summer of 1991, in the first year of Phase One of the project. A final report is expected in 1993. For more information about this program, write to Dr. Doris L. MacKenzie, Program Manager, or contact her at 202-307-0500.

Prevention and Education

AIDS/HIV Education in Lockups

(Interagency Agreement)

The AIDS/HIV Education in Lockups and Booking Facilities Project is an interagency collaborative effort between NIJ and the National Institute on Drug Abuse. The purpose of this project is to design, test, and evaluate the effectiveness of strategies for HIV/AIDS education and referral to drug treatment on arrestees held less than 48 hours in jail booking facilities and lockups. The sites chosen for this project are Portland, Oregon, and Washington, D.C. This is a

continuation of a current project, and applications will not be solicited in fiscal year 1991.

For more information about this program, write to Cheryl Crawford, Program Manager, or contact her at 202-514-6210.

Computer Crime Prevention (*Interagency Agreement*)

This is a collaborative effort between NIJ and the Department of Education. The goal of this interagency agreement is to develop and disseminate strategies to school boards, school administrators, and teachers that will help them construct policies and curriculums that address technology ethics. An advisory panel of law enforcement, education, and private sector experts will help shape these strategies.

NIJ has completed several computer-related crime projects in the past 2 years. Law enforcement experts agree that computer crime will continue to increase rapidly through the 1990's and that law enforcement has not developed adequate response capabilities. There is a great need to educate children about not only how to use computer technology, but also how to use it *responsibly*.

For more information about this program, write to Jonathan Budd, Program Manager, or contact him at 202-307-2953.

Human Development and Criminal Behavior (*Previously Awarded*)

With its initiation in February 1988, the program on Human Development and

Criminal Behavior has focused on the lifecycle development of violent crime and other forms of serious antisocial behavior. This program was established because of the widely shared belief that significant empirical and theoretical progress in understanding the causes, treatment, and prevention of crime requires improved knowledge about the relationship between early childhood development and the subsequent development of delinquency and antisocial behavior.

The program is jointly sponsored by NIJ and the John D. and Catherine T. MacArthur Foundation with grants to the Harvard School of Public Health.

Currently, the project is in the final design stage. Under examination are specific measures that would be pertinent both to the physical and psychological development of the individual subject over the age range to be covered as well as to the subject's social environment. These measures are being selected on the basis of their demonstrated reliability and their known relationship to problem behavior linked ultimately to delinquency and crime.

The current phase of this program is in the second year of a 3-year schedule. This phase is scheduled for completion in the spring of 1993. A final report is expected at that time. Multiple technical reports and final reports of specific projects will be produced over the course of the next 2 years.

For more information about this program, write to Dr. Richard L. Linstler, Program Manager, or contact him at 202-307-2966.

**School Crime Survey:
Special Supplement to
National Crime Survey**
(Interagency Agreement)

The Bureau of the Census administered a special supplement to the National Crime Survey (NCS) during January through June 1989. The supplement was administered to all eligible households in the NCS sample during those months. The supplement, developed jointly by the Bureau of Justice Statistics (BJS) and the National Institute of Justice, asks children of ages 12 to 18 in junior high and high school about their experiences with school crime. The supplement replicates the primary victimization questions of the survey; however, it keys the students to events occurring in school or en route to and from school. It also captures information about the child's perception of drug and crime activity within the school environment.

The Institute and BJS are sponsoring research to analyze this special supplement. Three grants are being processed for award; no further activity in this program area is contemplated, and no additional proposals are being accepted.

For more information, write to Dr. Richard Titus, Program Manager, or contact him at 202-307-0695.

**SMART—School Management
and Resource Teams**
(Interagency Agreement)

The SMART program demonstration provides assistance to local school districts in establishing safe, drug-free schools. SMART receives funding from

the U.S. Department of Education's Drug-Free Schools and Communities Program. Since 1983, the program has been field tested in more than 100 schools and 7 districts. The program provides technical assistance and support, training, and evaluation; it consists of the following program elements: examining school districts' policy, procedure, and practice; providing guidelines for clearly differentiating between criminal and non-criminal incidents; collecting and analyzing data on both types of incidents; mobilizing "school resource teams" to solve specific problems; developing and evaluating data-based intervention strategies; and coordinating school board policies with law enforcement and community service agencies.

The program has enabled school districts to develop a unified approach to address discipline, drug abuse, and crime in schools; improve policy; and intervene with at-risk populations. The program is being implemented and evaluated in Washington, D.C., and Norfolk, Virginia.

For further information about the SMART program, write to Thomas Albrecht, Program Manager, at NIJ, or contact him at 202-514-6236.

**Multijurisdictional
Task Forces**

Drug Market Analysis Program
(Previously Awarded)

The Drug Market Analysis Program is a demonstration project developed by NIJ to assist police departments in their efforts to eradicate street-level drug trafficking.

Through this program the police will quickly identify street-level drug markets, implement drug enforcement strategies, and then readily and accurately determine where the markets move. Drug market analysis will allow law enforcement to track these markets and intervene in the marketplace to disrupt and eventually eradicate street-level drug trafficking.

Five police departments were funded in fiscal year 1990 to establish computer mapping systems that integrate at least four existing databases into one. The police will be able to map all drug trafficking locations throughout a metropolitan area. Once this is accomplished, systematic target selection of both sellers and users can occur.

This is the second year of a 4-year project. Interim reports are anticipated every 6 months beginning in the summer of 1991. Final reports are expected in 1993.

For more information, write to Dr. Craig Uchida, Program Manager, or contact him at 202-307-2959.

Drug Testing

Drug Use Forecasting

(Interagency Agreement)

The NIJ Drug Use Forecasting (DUF) program is both a research and demonstration project designed to measure the levels and types of drug abuse in booked arrestees throughout the country. DUF data can track changes in drug use patterns and monitor trends in drug use over time. DUF is now being conducted in 24 sites.

The program involves collection of voluntary, anonymous interview data and

urine samples from male and female booked arrestees. At some sites, data from juvenile arrestees/detainees are also obtained. Data is collected quarterly at each site. The resulting information is provided directly to participating jurisdictions and other Federal, State, and local officials.

For further information about the Drug Use Forecasting program, write to Joyce O'Neil, Program Manager, or contact her at 202-514-6236.

Victims

Increasing the Utilization of Victim Services by Minority and Low-Income Victims: Supplement to the National Crime Survey

(Interagency Agreement)

Grantees and subgrantees submit data to the Office for Victims of Crime, Office of Justice Programs, on their expenditures under the Victims of Crime Act for compensation and assistance to crime victims. These data suggest a pattern of underutilization of Victim Compensation and Victim Assistance Programs in poor and minority communities. This program seeks to examine the participation of minority group and poor victims in these programs, to understand the causes for any underutilization that may exist, and to develop strategies to meet the needs that have been identified.

The Institute expects to address these research objectives through an interagency agreement with the Bureau of Justice Statistics to develop a Supplement to the National Crime Survey dealing with utilization of victim services by minority and poor crime victims. The

goals of the proposed supplement are to: determine the utilization of victim services by minority and low-income crime victims, to investigate reasons behind any underutilization that is found, to identify the special needs of these victims, and to describe methods to better meet the needs of these crime victims.

For more information about this program, write to Dr. Richard Titus, Program Manager, or contact him at 202-307-0695.

Information Systems, Support and Statistics

Data Resources Program *(Previously Awarded)*

The purpose of the Data Resources Program is to facilitate production of fully documented, machine-readable NIJ-supported criminal justice research data sets. These data sets are made available for subsequent analysis through a public data archive. This program obtains machine-readable data, codebooks, and other documentation as they are delivered to NIJ and reviews these items for accuracy, completeness, and clarity. In addition, the Data Resources Program promotes access to and use of these data.

Since 1984, the program has reviewed and made available more than 150 data sets on priority issues such as gangs, drugs and crime, policing, intermediate sanctions, and violence. Under review are an additional 50 data sets, most of which are expected to be released in 1991. These data are available through the public archives at the Inter-University Consortium for Political and Social Research at the University of Michigan. The fourth edition of the *Data Resources*

of the National Institute of Justice provides a description of data sets available as of February 1990.

The Data Resources Program was competed as a contract in fiscal year 1989. Recompetition for this program is anticipated in fiscal year 1992.

For further information about this program, write to Dr. Pamela K. Lattimore, Manager, Data Resources Program, or contact her at 202-307-2961.

National Assessment Program *(Previously Awarded)*

The National Assessment Program (NAP) supports a triennial national survey of criminal justice policymakers and practitioners to ensure that their needs and priorities are included in the Institute's research agenda. The NAP survey was conducted in 1990, and initial analysis of the results has been completed. Fiscal year 1991 activities will include a more detailed review of selected issues, including a trend analysis of results from prior surveys.

The NAP survey is a primary means of identifying key needs and problems in State and local criminal justice systems. The program helps ensure that present NIJ programs are responsive to the needs of the criminal justice field, provides a means to identify emerging issues of importance so that new programs can be developed quickly, and helps inform those in criminal justice about issues of concern and importance to their colleagues nationwide.

The most recent triennial survey was conducted in 1990. Two reports on survey results will be released later this

year. There will be no competition for a new contract during fiscal year 1991.

For more information about this program, write to Jonathan Budd, Program Manager, or contact him at 202-514-2953.

National Criminal Justice Reference Service *(Previously Awarded)*

NIJ founded the National Criminal Justice Reference Service (NCJRS) in 1972 to fulfill the Institute's statutory mandate to maintain a national and international clearinghouse of criminal justice information. NCJRS is designed to benefit practitioners and researchers in all aspects of Federal, State, and local criminal justice operations.

NCJRS has one of the world's most significant criminal justice libraries with approximately 100,000 documents. Information about these documents can be obtained by calling NIJ's toll-free clearinghouse number, 800-851-3420. The document data base can be searched and information retrieved through an automated reference system at NCJRS or through the commercial data base vendor DIALOG.

NCJRS also operates an electronic bulletin board and specialized information services for other Office of Justice Programs agencies—the Juvenile Justice Clearinghouse for the Office of Juvenile Justice and Delinquency Prevention, the National Victims Resource Center for the Office for Victims of Crime, the Justice Statistics Clearinghouse for the Bureau of Justice Statistics, and the Bureau of Justice Assistance Clearinghouse for BJA. NIJ sponsors two other specialized

clearinghouses—on international criminology and AIDS in criminal justice.

More than 85,000 subscribers receive the bimonthly *National Institute of Justice Journal* and other special mailings free of charge. In addition, many NIJ publications are available without charge; others are produced for a modest price to recover production and shipping costs.

NCJRS is operating in the second year of a 4-year contract. Monthly reports on project activities are submitted to NIJ throughout the term of the contract.

Call NCJRS toll free at 800-851-3420 for technical assistance, search services, or information on how to become a subscriber. In Maryland and Metropolitan Washington, D.C., call 301-251-5500.

For further information about NCJRS and its Electronic Bulletin Board, call G. Martin Lively, Program Manager, at 202-514-6211, or dial the Bulletin Board at 301-738-8895.

Professional Conference Series

The Professional Conference Series (PCS) promotes face-to-face information exchange among justice officials and researchers by supporting NIJ conferences, workshops, and seminars.

Topics for development are based on the needs of the field and the findings of the National Assessment Program; the findings of NIJ research; consultation with major professional organizations; and key priorities of the Administration, the Department of Justice, and the Office of Justice Programs.

Examples of planned activities include: the Second National Conference on State and Local Drug Policy, in conjunction with the Office of National Drug Control Policy; a conference on Asian Organized Crime, in conjunction with the Criminal Division of the Department of Justice; and a conference on Money Laundering, in conjunction with the Federal Bureau of Investigation.

PCS is operating in the first year of a 3-year contract. Monthly reports on project activities are submitted to NIJ throughout the term of the contract.

For more information about the Professional Conference Series, write to John Thomas, Program Manager, or contact him at 202-514-6206.

Research Applications Program (Previously Awarded)

The Research Applications Program supports applied research projects to help policymakers and criminal justice professionals assess whether emerging policies and programs would be useful and appropriate for their own jurisdictions and to examine emerging problems or practices where little or no research or experience exists.

Topics cover all aspects of the criminal justice system, and researchers and practitioners from a wide variety of disciplines are involved in project development as advisers, reviewers, and investigators.

During fiscal year 1991, the program will develop a series of case studies on innovative Federal, State, and local crime control efforts. In addition, NIJ will develop a number of reports for the

Issues and Practices in Criminal Justice series. For example:

- **Gangs and Violence** will review the literature and survey expert opinion on youth street gangs and prison gangs to develop new information for the design of research and for demonstration programs to be implemented at the State and local level.
- **Rape: The Criminal Justice Response** will examine the most recent literature on the nature of rape, its impact on victims, and the impact of rape reform laws on case outcomes. It will also explore and describe the state of the art in rape victim services in four to six jurisdictions.

Research in Action articles will include:

- **Skills of Victim Services Providers.** NIJ will develop an article from its current data on staff training needs of victim services providers as reflected in the 1990 National Assessment Program Survey.

The Research Applications Program is operating in the second year of a 3-year contract. Monthly progress reports are submitted throughout the term of the contract.

For further information write to Carol Petrie, Program Manager, or contact her at 202-514-6212.

Technical Assistance Program (Previously Awarded)

The Technical Assistance Program provides technical assistance and peer review essential to social science research. Operated under contract, the

program maintains a pool of consultants recruited from universities and colleges and from operational agencies in the criminal justice system, conducts peer review of the almost 320 proposals received by NIJ annually and prepares written reviews of each proposal for use in grant award decisions, provides travel and logistical arrangements for each peer review panel meeting in Washington, D.C., and provides planning and design assistance for research projects.

The Technical Assistance Program is operating in the last year of a 3-year contract. Monthly reports on program activities are submitted throughout the term of the contract.

For information about how to become a Technical Assistance Program consultant or obtain more information about the program, write Jonathan Budd, Program Manager, or call him at 202-307-2953.

Other Programs for Criminal Justice Improvements

Annual Reviews of Research

Since 1979, the National Institute of Justice has produced a volume of original research and review articles on criminal justice. *Crime and Justice* was designed to bridge gaps among the various legal and scientific disciplines concerned with criminal justice policy issues and to summarize key research advances for policymakers, practitioners, and researchers.

In the past, volumes of essays written by leading scholars in the United States and abroad were produced on numerous

contemporary controversies facing the American criminal justice community, such as prison crowding and violent crime. A research monograph will be published by NIJ for fiscal year 1991, and the method of procurement and publication are under review.

For more information about this program, write to Mary Graham, Project Manager, or contact her at 202-514-6207.

Construction Information Exchange

(Previously Awarded)

In the past decade, the number of inmates confined in correctional facilities has nearly doubled, creating a serious shortage in prison and jail capacity. Since 1986, the Construction Information Exchange (CIE) has provided assistance to State and local authorities seeking to expand correctional capacity. CIE has helped to save both time and money by providing access to the latest concepts and techniques for planning, financing, and constructing new prisons and jails. State and local authorities can benefit from a range of readily available information resources, including:

- ***The Construction Information Exchange Data Base***—an up-to-date information resource on more than 260 jails and prisons built since 1978. The data base offers detailed information on each facility, from construction costs and financing methods to staffing levels and operational costs.
- ***The National Directory of Corrections Construction***—a resource document providing the information available through the data base in hardbound form. The directory

includes floorplans for typical housing units for facilities and lists the administrators, sheriffs, architects, and other professionals who played a key role in a recently completed prison or jail project.

- **Construction Bulletins**—case studies of critical corrections issues and selected construction projects demonstrating new building techniques that report time and cost savings.

The Construction Information Exchange also has coordinated the resources and assistance available through other Federal agencies, including the Bureau of Prisons, the National Institute of Corrections, and the Bureau of Justice Assistance.

The program is operating in the second year of a 4-year contract. Monthly reports on program activities are submitted throughout the term of the contract.

For further information about the Construction Information Exchange, write to Thomas Albrecht, Program Manager, at NIJ, or contact him at 202-514-6236.

Electronic Benefits Transfer Project

(Interagency Agreement)

This project is an interagency collaborative effort between NIJ and the Financial Management Service of the U.S. Department of the Treasury. A pilot program has been developed and implemented in Houston, Texas, to test the viability of issuing bank-debit cards (for use in automatic teller machines and point-of-sale terminals) to "unbanked" Federal benefit recipients as a means of providing recipients Federal benefits on a monthly basis. Based on data collected prior to,

during, and after the operational phase of the pilot, several cost and crime analyses will be performed.

For more information about this program, write to Geoff Laredo, Project Manager, or contact him at 202-514-6202.

Intramural Research

(No grants awarded)

The primary focus of NIJ's program is extramural research, for which the Institute funds universities, local agencies, and private firms to conduct studies administered by NIJ staff. However, Institute staff members also conduct research in areas particularly relevant to public policy and based on staff expertise. The intramural research undertaken has often been on a policy problem to which the Institute could respond promptly.

Internal research topics have included Effects of Narcotics Enforcement Tactics, Predicting the Recidivism of Serious Juvenile Offenders, and Modelling Pretrial Failure.

For more information about the Intramural Research program, write to Dr. Craig Uchida, Program Manager, or contact him at 202-307-2959.

Less-Than-Lethal Weapons

(Interagency Agreement)

This project, based on an Attorney General's Task Force report and congressional directive, supports research for a field prototype of less-than-lethal weapons.

For further information, write to Lester Shubin, Program Manager, or contact him at 202-514-6208.

Technology Assessment Program

(Previously Awarded)

Almost 20 years ago, the National Institute of Justice developed the Technology Assessment Program (TAP) to help criminal justice agencies make informed decisions in selecting and purchasing equipment. Through an interagency agreement with the National Institute for Standards and Technology, U.S. Department of Commerce, minimum performance standards are developed for a wide range of products used in criminal justice—batteries, body armor, weapons, handcuffs, and state-of-the-art communications equipment. This program also coordinates the testing of commercially available products against these voluntary standards. Fiscal constraints and increasingly sophisticated technology underscore the need for objective, reliable information to guide purchasing decisions. A law enforcement agency gains a measure of confidence knowing that equipment being considered for purchase meets a minimum standard established by the Technology Assessment Program.

The TAP Information Center (TAPIC) coordinates TAP activities and disseminates technology assessment information in a variety of ways. Results of product testing conducted by independent laboratories are published and distributed throughout the criminal justice community in Equipment Performance Reports. Consumer Product Lists, published periodically, provide a quick reference of current and previously tested products that have complied with NIJ standards. User Guides provide a nontechnical discussion of essential performance characteristics and components of the subject equipment.

To obtain these and other publications and information about law enforcement equipment, call toll free at 800-24-TAPIC; in the Maryland and Washington, D.C., area, call 301-251-5060.

The activities of the National Institute for Standards and Technology are being conducted under an extension of an existing interagency agreement. The Technology Assessment Program Information Center is operating in the first year of a 4-year contract. Monthly reports on program activities are submitted throughout the term of the contract.

For further information, write Lester D. Shubin, Program Manager, at NIJ, or contact him at 202-514-6208.

Hair Analysis for Drugs of Abuse

(Previously Awarded)

NIJ has undertaken a program of research and development on hair analysis as a potential complement to other drug testing technologies for criminal justice. The current phase of this multi-year program is cosponsored by NIJ and the National Institute on Drug Abuse (NIDA).

Current studies are being conducted under an interagency agreement with the National Institute of Standards and Technology (NIST) and a grant with the University of California. Previously awarded studies have explored the comparative effectiveness of self-reports, urine tests and hair tests for detection of drug usage in criminal justice field settings.

For further information about this program, write to Dr. Bernard Gropper, Program Manager, or contact him at 202-307-0645.

Requirements for Award Recipients

Suggested Products

Each project is expected to generate tangible products of benefit to criminal justice professionals, researchers, and policymakers.

Final products of the research projects may include:

- A full technical report, including a discussion of the research question, a review of the literature, a description of project methodology, detailed review of project findings, and conclusions and policy recommendations.
- A summary of approximately 2,500 words highlighting the findings of the research and the policy issues those findings will inform, written to be accessible to policy officials and practitioners, and suitable for possible publication as a National Institute of Justice (NIJ) *Research in Brief*.
- Case studies providing examples of how problems arise, how they are handled, and the consequences of specific decisions made at various levels in the criminal justice system. Case studies may also describe some of the side effects—or unintended consequences—of particular programs.
- Cleaned copies of all automated data sets developed during the research and full documentation prepared in

accordance with the instructions in the *NIJ Data Resources Manual*.

As appropriate, additional interim and final products (e.g., articles, manuals, or training materials) may be specified in the proposal or negotiated at the time of the award.

Successful proposals will clearly identify the nature of the grant products that can reasonably be expected should the project be funded. In addition, schedules delineating delivery dates of products should be included.

Standards of Performance by Recipients

NIJ expects individuals and institutions receiving its support to work diligently and professionally toward completing a high-quality research or study product. Besides this general expectation, the Institute must impose some specific requirements to ensure that proper financial and administrative controls are applied to the project. Financial and general reporting requirements are detailed in an Office of Justice Programs document, "Financial and Administrative Guide for Grants." This guideline manual is sent to recipient institutions with the award documents. Project directors and recipient financial administrators should pay particular attention to the regulations in this document.

Program Monitoring

Award recipients and program managers assume a number of responsibilities as part of their participation in Government-sponsored research.

Each program manager and grantee is responsible for developing a monitoring plan for each project. Elements of this plan include:

- A statement of goals, objectives, tasks, program activities, and products.
- A program implementation plan and budget that schedules program expenditures.
- A schedule of monitoring activities.
- A list of products.
- A summary of subsequent program activities in response to implementing the monitoring recommendations (e.g., the grantee provided the draft report, and the hold was removed from grant funds).

Communications

Project monitors should be kept informed of research progress. Written progress reports are required on a quarterly basis. All awards use standard quarterly reporting periods—January 1 through March 31, April 1 through June 30, etc.—regardless of the project's start date. Progress reports need not be lengthy, but they should tell the monitor which tasks have been completed and whether significant delays or departures from the original workplan are expected.

Timeliness

Grantees are expected to complete award products within the timeframes that have been agreed upon by NIJ and the grantee. The Institute recognizes that there are legitimate reasons for project extensions. However, NIJ does not consider the assumption of additional research projects that impinge upon previous time commitments as legitimate reasons for delay. Projects with unreasonable delays can be terminated administratively. In this situation, any funds remaining are withdrawn. Future applications from either the project director or the recipient institution are subject to strict scrutiny and may be denied support based on past failure to meet minimum standards.

Publications

The Institute encourages grantees to disseminate their findings through a variety of media, such as professional journals, books, and conferences. Copies of such publications should be sent to the project monitor as they become available, even if they appear well after a project's expiration. NIJ imposes no restriction on such dissemination other than the following acknowledgment and disclaimer:

This research was supported by grant number _____ from the National Institute of Justice. Points of view are those of the author(s) and do not necessarily represent the position of the U.S. Department of Justice.

Research agencies occasionally find it worthwhile to relate important research findings through the media. In such

instances, NIH requires that copies of press releases about NIH research be sent to the Institute at least 20 days in advance of the actual release. This policy alerts the Department of Justice public information office to possible press inquiries and enables the Institute to coordinate media coverage of Institute-sponsored research findings.

Human Subjects Protection

Research with human subjects plays a vital part in expanding our knowledge about how to combat criminal behavior. It is essential, however, that research be performed without needless risk of distress and with the willing and informed cooperation of research subjects.

Research or statistical information identifiable to a participant in NIH-sponsored research is protected by statute from being used in legal proceedings.

[S]uch information and copies thereof shall be immune from legal

process, and shall not, without the consent of the person furnishing such information, be admitted as evidence or used for any purpose in any action, suit, or other judicial, legislative, or administrative proceedings. (42 United States Code 3789g)

In addition, the Institute has adopted the U.S. Department of Health and Human Services Model Policy on Human Research Subjects. This policy requires that each institution engaged in NIH research provide written assurances that it will comply with these regulations as codified at 45 Code of Federal Regulations 46. Pursuant to that policy, each research project falling within the guidelines established by the Department of Health and Human Services must be approved by the recipient's Institutional Review Board (IRB) prior to the initiation of the project. Approval by the IRB need not precede the submission of a proposal to NIH, but it must be obtained by NIH prior to the beginning of any research activity.

Application Forms

INSTRUCTIONS FOR THE SF 424

This is a standard form used by applicants as a required facesheet for preapplications and applications submitted for Federal assistance. It will be used by Federal agencies to obtain applicant certification that States which have established a review and comment procedure in response to Executive Order 12372 and have selected the program to be included in their process, have been given an opportunity to review the applicant's submission.

- | Item: | Entry: | Item: | Entry: |
|-------|--|-------|--|
| 1. | Self-explanatory. | 12. | List only the largest political entities affected (e.g., State, counties, cities). |
| 2. | Date application submitted to Federal agency (or State if applicable) & applicant's control number (if applicable). | 13. | Self-explanatory. |
| 3. | State use only (if applicable). | 14. | List the applicant's Congressional District and any District(s) affected by the program or project. |
| 4. | If this application is to continue or revise an existing award, enter present Federal identifier number. If for a new project, leave blank. | 15. | Amount requested or to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions should be included on appropriate lines as applicable. If the action will result in a dollar change to an existing award, indicate <i>only</i> the amount of the change. For decreases, enclose the amounts in parentheses. If both basic and supplemental amounts are included, show breakdown on an attached sheet. For multiple program funding, use totals and show breakdown using same categories as item 15. |
| 5. | Legal name of applicant, name of primary organizational unit which will undertake the assistance activity, complete address of the applicant, and name and telephone number of the person to contact on matters related to this application. | 16. | Applicants should contact the State Single Point of Contact (SPOC) for Federal Executive Order 12372 to determine whether the application is subject to the State intergovernmental review process. |
| 6. | Enter Employer Identification Number (EIN) as assigned by the Internal Revenue Service. | 17. | This question applies to the applicant organization, not the person who signs as the authorized representative. Categories of debt include delinquent audit disallowances, loans and taxes. |
| 7. | Enter the appropriate letter in the space provided. | 18. | To be signed by the authorized representative of the applicant. A copy of the governing body's authorization for you to sign this application as official representative must be on file in the applicant's office. (Certain Federal agencies may require that this authorization be submitted as part of the application.) |
| 8. | Check appropriate box and enter appropriate letter(s) in the space(s) provided:
— "New" means a new assistance award.
— "Continuation" means an extension for an additional funding/budget period for a project with a projected completion date.
— "Revision" means any change in the Federal Government's financial obligation or contingent liability from an existing obligation. | | |
| 9. | Name of Federal agency from which assistance is being requested with this application. | | |
| 10. | Use the Catalog of Federal Domestic Assistance number and title of the program under which assistance is requested. | | |
| 11. | Enter a brief descriptive title of the project. If more than one program is involved, you should append an explanation on a separate sheet. If appropriate (e.g., construction or real property projects), attach a map showing project location. For preapplications, use a separate sheet to provide a summary description of this project. | | |

BUDGET INFORMATION — Non-Construction Programs

OMB Approval No. 0348-0044

SECTION A — BUDGET SUMMARY

Grant Program Function or Activity (a)	Catalog of Federal Domestic Assistance Number (b)	Estimated Unobligated Funds		New or Revised Budget		
		Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)	Total (g)
1.		\$	\$	\$	\$	\$
2.						
3.						
4.						
5. TOTALS		\$	\$	\$	\$	\$

SECTION B — BUDGET CATEGORIES

6 Object Class Categories	GRANT PROGRAM, FUNCTION OR ACTIVITY				Total (5)
	(1)	(2)	(3)	(4)	
a. Personnel	\$	\$	\$	\$	\$
b. Fringe Benefits					
c. Travel					
d. Equipment					
e. Supplies					
f. Contractual					
g. Construction					
h. Other					
i. Total Direct Charges (sum of 6a - 6h)					
j. Indirect Charges					
k. TOTALS (sum of 6i and 6j)	\$	\$	\$	\$	\$
7. Program Income	\$	\$	\$	\$	\$

SECTION C - NON-FEDERAL RESOURCES

(a) Grant Program	(b) Applicant	(c) State	(d) Other Sources	(e) TOTALS
8.	\$	\$	\$	\$
9.				
10.				
11.				
12. TOTALS (sum of lines 8 and 11)	\$	\$	\$	\$

SECTION D - FORECASTED CASH NEEDS

13. Federal	Total for 1st Year	1st Quarter	2nd Quarter	3rd Quarter	4th Quarter
	\$	\$	\$	\$	\$
14. NonFederal					
15. TOTAL (sum of lines 13 and 14)	\$	\$	\$	\$	\$

SECTION E - BUDGET ESTIMATES OF FEDERAL FUNDS NEEDED FOR BALANCE OF THE PROJECT

(a) Grant Program	FUTURE FUNDING PERIODS (Years)			
	(b) First	(c) Second	(d) Third	(e) Fourth
16.	\$	\$	\$	\$
17.				
18.				
19.				
20. TOTALS (sum of lines 16-19)	\$	\$	\$	\$

SECTION F - OTHER BUDGET INFORMATION

(Attach additional Sheets if Necessary)

21. Direct Charges:	22. Indirect Charges:
23. Remarks	

INSTRUCTIONS FOR THE SF-424A

General Instructions

This form is designed so that application can be made for funds from one or more grant programs. In preparing the budget, adhere to any existing Federal grantor agency guidelines which prescribe how and whether budgeted amounts should be separately shown for different functions or activities within the program. For some programs, grantor agencies may require budgets to be separately shown by function or activity. For other programs, grantor agencies may require a breakdown by function or activity. Sections A, B, C, and D should include budget estimates for the whole project except when applying for assistance which requires Federal authorization in annual or other funding period increments. In the latter case, Sections A, B, C, and D should provide the budget for the first budget period (usually a year) and Section E should present the need for Federal assistance in the subsequent budget periods. All applications should contain a breakdown by the object class categories shown in Lines a-k of Section B.

Section A. Budget Summary Lines 1-4, Columns (a) and (b)

For applications pertaining to a *single* Federal grant program (Federal Domestic Assistance Catalog number) and *not requiring* a functional or activity breakdown, enter on Line 1 under Column (a) the catalog program title and the catalog number in Column (b).

For applications pertaining to a *single* program *requiring* budget amounts by multiple functions or activities, enter the name of each activity or function on each line in Column (a), and enter the catalog number in Column (b). For applications pertaining to multiple programs where none of the programs require a breakdown by function or activity, enter the catalog program title on each line in Column (a) and the respective catalog number on each line in Column (b).

For applications pertaining to *multiple* programs where one or more programs *require* a breakdown by function or activity, prepare a separate sheet for each program requiring the breakdown. Additional sheets should be used when one ~~form~~ does not provide adequate space for all breakdown of data required. However, when more than one sheet is used, the first page should provide the summary totals by programs.

Lines 1-4, Columns (c) through (g.)

For *new applications*, leave Columns (c) and (d) blank. For each line entry in Columns (a) and (b), enter in Columns (e), (f), and (g) the appropriate amounts of funds needed to support the project for the first funding period (usually a year).

Lines 1-4, Columns (c) through (g.) (continued)

For *continuing grant program applications*, submit these forms before the end of each funding period as required by the grantor agency. Enter in Columns (c) and (d) the estimated amounts of funds which will remain unobligated at the end of the grant funding period only if the Federal grantor agency instructions provide for this. Otherwise, leave these columns blank. Enter in columns (e) and (f) the amounts of funds needed for the upcoming period. The amount(s) in Column (g) should be the sum of amounts in Columns (e) and (f).

For *supplemental grants and changes* to existing grants, do not use Columns (c) and (d). Enter in Column (e) the amount of the increase or decrease of Federal funds and enter in Column (f) the amount of the increase or decrease of non-Federal funds. In Column (g) enter the new total budgeted amount (Federal and non-Federal) which includes the total previous authorized budgeted amounts plus or minus, as appropriate, the amounts shown in Columns (e) and (f). The amount(s) in Column (g) should not equal the sum of amounts in Columns (e) and (f).

Line 5 — Show the totals for all columns used.

Section B Budget Categories

In the column headings (1) through (4), enter the titles of the same programs, functions, and activities shown on Lines 1-4, Column (a), Section A. When additional sheets are prepared for Section A, provide similar column headings on each sheet. For each program, function or activity, fill in the total requirements for funds (both Federal and non-Federal) by object class categories.

Lines 6a-i — Show the totals of Lines 6a to 6h in each column.

Line 6j — Show the amount of indirect cost.

Line 6k — Enter the total of amounts on Lines 6i and 6j. For all applications for new grants and continuation grants the total amount in column (5), Line 6k, should be the same as the total amount shown in Section A, Column (g), Line 5. For supplemental grants and changes to grants, the total amount of the increase or decrease as shown in Columns (1)-(4), Line 6k should be the same as the sum of the amounts in Section A, Columns (e) and (f) on Line 5.

INSTRUCTIONS FOR THE SF-424A (continued)

Line 7 - Enter the estimated amount of income, if any, expected to be generated from this project. Do not add or subtract this amount from the total project amount. Show under the program narrative statement the nature and source of income. The estimated amount of program income may be considered by the federal grantor agency in determining the total amount of the grant.

Section C. Non-Federal-Resources

Lines 8-11 - Enter amounts of non-Federal resources that will be used on the grant. If in-kind contributions are included, provide a brief explanation on a separate sheet.

Column (a) - Enter the program titles identical to Column (a), Section A. A breakdown by function or activity is not necessary.

Column (b) - Enter the contribution to be made by the applicant.

Column (c) - Enter the amount of the State's cash and in-kind contribution if the applicant is not a State or State agency. Applicants which are a State or State agencies should leave this column blank.

Column (d) - Enter the amount of cash and in-kind contributions to be made from all other sources.

Column (e) - Enter totals of Columns (b), (c), and (d).

Line 12 - Enter the total for each of Columns (b)-(e). The amount in Column (e) should be equal to the amount on Line 5, Column (f), Section A.

Section D. Forecasted Cash Needs

Line 13 - Enter the amount of cash needed by quarter from the grantor agency during the first year.

Line 14 - Enter the amount of cash from all other sources needed by quarter during the first year.

Line 15 - Enter the totals of amounts on Lines 13 and 14.

Section E. Budget Estimates of Federal Funds Needed for Balance of the Project

Lines 16 - 19 - Enter in Column (a) the same grant program titles shown in Column (a), Section A. A breakdown by function or activity is not necessary. For new applications and continuation grant applications, enter in the proper columns amounts of Federal funds which will be needed to complete the program or project over the succeeding funding periods (usually in years). This section need not be completed for revisions (amendments, changes, or supplements) to funds for the current year of existing grants.

If more than four lines are needed to list the program titles, submit additional schedules as necessary.

Line 20 - Enter the total for each of the Columns (b)-(e). When additional schedules are prepared for this Section, annotate accordingly and show the overall totals on this line.

Section F. Other Budget Information

Line 21 - Use this space to explain amounts for individual direct object-class cost categories that may appear to be out of the ordinary or to explain the details as required by the Federal grantor agency.

Line 22 - Enter the type of indirect rate (provisional, predetermined, final or fixed) that will be in effect during the funding period, the estimated amount of the base to which the rate is applied, and the total indirect expense.

Line 23 - Provide any other explanations or comments deemed necessary.

SPECIAL INSTRUCTIONS

Applicants must provide on a separate sheet a budget narrative which will detail by budget category, the Federal and non-Federal (in-kind and cash) share. The grantee cash contribution should be identified as to its source, i.e., funds appropriated by a State or local government or donation from a private source. The narrative should relate the items budgeted to project activities and should provide a justification and explanation for the budgeted items including the criteria and data used to arrive at the estimates for each budget category.

INSTRUCTIONS

PROGRAM NARRATIVE

Prepare the program narrative statement in accordance with the following instructions for all new grant programs. Requests for continuation or refunding and changes on an approved project should respond to item 5b only. Requests for supplemental assistance should respond to question 5c only.

1. OBJECTIVES AND NEED FOR THIS ASSISTANCE.

Pinpoint any relevant physical, economic, social, financial, institutional, or other problems requiring a solution. Demonstrate the need for assistance and state the principal and subordinate objectives of the project. Supporting documentation or other testimonies from concerned interests other than the applicant may be used. Any relevant data based on planning studies should be included or footnoted.

2. RESULTS OR BENEFITS EXPECTED.

Identify results and benefits to be derived. For example, when applying for a grant to establish a neighborhood health center provide a description of who will occupy the facility, how the facility will be used, and how the facility will benefit the general public.

3. APPROACH.

- a. Outline a plan of action pertaining to the scope and detail of how the proposed work will be accomplished for each grant program, function or activity, provided in the budget. Cite factors which might accelerate or decelerate the work and your reason for taking this approach as opposed to others. Describe any unusual features of the project such as design or technological innovations, reductions in cost or time, or extraordinary social and community involvement.
- b. Provide for each grant program, function or activity, quantitative monthly or quarterly projections of the accomplishments to be achieved in such terms as the number of jobs created; the number of people served; and the number of patients treated. When accomplishments cannot be quantified by activity or function, list them in chronological order to show the schedule of accomplishments and their target dates.

- c. Identify the kinds of data to be collected and maintained and discuss the criteria to be used to evaluate the results and successes of the project. Explain the methodology that will be used to determine if the needs identified and discussed are being met and if the results and benefits identified in item 2 are being achieved.
- d. List organizations, cooperators, consultants, or other key individuals who will work on the project along with a short description of the nature of their effort or contribution.

4. GEOGRAPHIC LOCATION.

Give a precise location of the project or area to be served by the proposed project. Maps or other graphic aids may be attached.

5. IF APPLICABLE, PROVIDE THE FOLLOWING INFORMATION:

- a. For research or demonstration assistance requests, present a biographical sketch of the program director with the following information; name, address, phone number, background, and other qualifying experience for the project. Also, list the name, training and background for other key personnel engaged in the project.
- b. Discuss accomplishments to date and list in chronological order a schedule of accomplishments, progress or milestones anticipated with the new funding request. If there have been significant changes in the project objectives, location approach, or time delays, explain and justify. For other requests for changes or amendments, explain the reason for the change(s). If the scope or objectives have changed or an extension of time is necessary, explain the circumstances and justify. If the total budget items have changed more than the prescribed limits contained in Attachment K to OMB Circular A-102 (or Attachment J to OMB Circular A-110, as applicable), explain and justify the change and its effect on the project.
- c. For supplemental assistance requests, explain the reason for the request and justify the need for additional funding.

ASSURANCES

The Applicant hereby assures and certifies compliance with all Federal statutes, regulations, policies, guidelines and requirements, including OMB Circulars No. A-21, A-102, A-110, A-122, A-128, and A-87, and E.O. 12372, that govern the application, acceptance and use of Federal funds for this federally-assisted project. Also the Applicant assures and certifies that:

1. It possesses legal authority to apply for the grant; that a resolution, motion or similar action has been duly adopted or passed as an official act of the applicant's governing body, authorizing the filing of the application, including all understandings and assurances contained therein, and directing and authorizing the person identified as the official representative of the applicant to act in connection with the application and to provide such additional information as may be required.
2. It will comply with requirements of the provisions of the Uniform Relocation Assistance and Real Property Acquisitions Act of 1970 (P.L. 91-646) which provides for fair and equitable treatment of persons displaced as a result of Federal and federally assisted programs.
3. It will comply with provisions of Federal law which limit certain political activities of employees of a State or local unit of government whose principal employment is in connection with an activity financed in whole or in part by Federal grants. (5 U.S.C. 1501, et seq.)
4. It will comply with the minimum wage and maximum hours provisions of the Federal Fair Labor Standards Act if applicable.
5. It will establish safeguards to prohibit employees from using their positions for a purpose that is or gives the appearance of being motivated by a desire for private gain for themselves or others, particularly those with whom they have family, business, or other ties.
6. It will give the sponsoring agency or the Comptroller General, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the grant.
7. It will comply with all requirements imposed by the Federal sponsoring agency concerning special requirements of law, program requirements, and other administrative requirements.
8. It will insure that the facilities under its ownership, lease or supervision which shall be utilized in the accomplishment of the project are not listed on the Environmental Protection Agency's (EPA) list of Violating Facilities and that it will notify the Federal grantor agency of the receipt of any communication from the Director of the EPA Office of Federal Activities indicating that a facility to be used in the project is under consideration for listing by the EPA.
9. It will comply with the flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973, Public Law 93-234, 87 Stat. 975, approved December 31, 1976. Section 102(a) requires, on and after March 2, 1975, the purchase of flood insurance in communities where such insurance is available as a condition for the receipt of any Federal financial assistance for construction or acquisition purposes for use in any area that has been identified by the Secretary of the Department of Housing and Urban Development as an area having special flood hazards. The phrase "Federal financial assistance" includes any form of loan, grant, guaranty, insurance payment, rebate, subsidy, disaster assistance loan or grant, or any other form of direct or indirect Federal assistance.
10. It will assist the Federal grantor agency in its compliance with Section 106 of the National Historic Preservation Act of 1966 as amended (16 USC 470), Executive Order 11593, and the Archeological and Historical Preservation Act of 1966 (16 USC 569a-1 et seq.) by (a) consulting with the State Historic Preservation Officer on the conduct of investigations, as necessary, to identify properties listed in or eligible for inclusion in the National Register of Historic Places that are subject to adverse effects (see 36 CFR Part 800.8) by the activity, and notifying the Federal grantor agency of the existence of any such properties, and by (b) complying with all requirements established by the Federal grantor agency to avoid or mitigate adverse effects upon such properties.
11. It will comply, and assure the compliance of all its subgrantees and contractors, with the applicable provisions of Title I of the Omnibus Crime Control and Safe Streets Act of 1968, as amended, the Juvenile Justice and Delinquency Prevention Act, or the Victims of Crime Act, as appropriate; the provisions of the current edition of the Office of Justice Programs Financial and Administrative Guide for Grants, M7100.1; and all other applicable Federal laws, orders, circulars, or regulations.
12. It will comply with the provisions of 28 CFR applicable to grants and cooperative agreements including Part 18, Administrative Review Procedure; Part 20, Criminal Justice Information Systems; Part 22, Confidentiality of Identifiable Research and Statistical Information; Part 23, Criminal Intelligence Systems Operating Policies; Part 30, Intergovernmental Review of Department of Justice Programs and Activities; Part 42, Nondiscrimination/Equal Employment Opportunity Policies and Procedures; Part 61, Procedures for Implementing the National Environmental Policy Act; Part 63, Floodplain Management and Wetland Protection Procedures; and Federal laws or regulations applicable to Federal Assistance Programs.
13. It will comply, and all its contractors will comply, with the non-discrimination requirements of the Justice Assistance Act or Victims of Crime Act (as appropriate); Title VI of the Civil Rights Act of 1964; Section 504 of the Rehabilitation Act of 1973 as amended; Title IX of the Education Amendments of 1972; the Age Discrimination Act of 1975; and the Department of Justice Non-Discrimination Regulations 28 CFR Part 42, Subparts C, D, E, and G.
14. In the event a Federal or State court or Federal or State administrative agency makes a finding of discrimination after a due process hearing on the grounds of race, color, religion, national origin or sex against a recipient of funds, the recipient will forward a copy of the finding to the Office of Civil Rights Compliance (OCRC) of the Office of Justice Programs.
15. It will provide an Equal Employment Opportunity Program if required to maintain one, where the application is for \$500,000 or more.



U.S. DEPARTMENT OF JUSTICE
OFFICE OF JUSTICE PROGRAMS
OFFICE OF THE COMPTROLLER

CERTIFICATIONS REGARDING LOBBYING; DEBARMENT, SUSPENSION AND OTHER RESPONSIBILITY MATTERS; AND DRUG-FREE WORKPLACE REQUIREMENTS

Applicants should refer to the regulations cited below to determine the certification to which they are required to attest. Applicants should also review the instructions for certification included in the regulations before completing this form. Signature of this form provides for compliance with certification requirements under 28 CFR Part 69, "New Restrictions on Lobbying" and 28 CFR Part 67, "Government-wide Debarment and Suspension (Nonprocurement) and Government-wide Requirements for Drug-Free Workplace (Grants)." The certifications shall be treated as a material representation of fact upon which reliance will be placed when the Department of Justice determines to award the covered transaction, grant, or cooperative agreement.

1. LOBBYING

As required by Section 1352, Title 31 of the U.S. Code, and implemented at 28 CFR Part 69, for persons entering into a grant or cooperative agreement over \$100,000, as defined at 28 CFR Part 69, the applicant certifies that:

- (a) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the making of any Federal grant, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal grant or cooperative agreement;
- (b) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal grant or cooperative agreement, the undersigned shall complete and submit Standard Form - LLL, "Disclosure of Lobbying Activities," in accordance with its instructions;
- (c) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subgrants, contracts under grants and cooperative agreements, and subcontracts) and that all sub-recipients shall certify and disclose accordingly.

2. DEBARMENT, SUSPENSION, AND OTHER RESPONSIBILITY MATTERS (DIRECT RECIPIENT)

As required by Executive Order 12549, Debarment and Suspension, and implemented at 28 CFR Part 67, for prospective participants in primary covered transactions, as defined at 28 CFR Part 67, Section 67.510—

- A. The applicant certifies that it and its principals:
 - (a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, sentenced to a denial of Federal benefits by a State or Federal court, or voluntarily excluded from covered transactions by any Federal department or agency;
 - (b) Have not within a three-year period preceding this application been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a

public (Federal, State, or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;

- (c) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State, or local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and
- (d) Have not within a three-year period preceding this application had one or more public transactions (Federal, State, or local) terminated for cause or default; and

B. Where the applicant is unable to certify to any of the statements in this certification, he or she shall attach an explanation to this application.

3. DRUG-FREE WORKPLACE (GRANTEES OTHER THAN INDIVIDUALS)

As required by the Drug-Free Workplace Act of 1988, and implemented at 28 CFR Part 67, Subpart F, for grantees, as defined at 28 CFR Part 67 Sections 67.615 and 67.620—

- A. The applicant certifies that it will or will continue to provide a drug-free workplace by:
 - (a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;
 - (b) Establishing an on-going drug-free awareness program to inform employees about—
 - (1) The dangers of drug abuse in the workplace;
 - (2) The grantee's policy of maintaining a drug-free workplace;
 - (3) Any available drug counseling, rehabilitation, and employee assistance programs; and
 - (4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;
 - (c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);
 - (d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will—

(1) Abide by the terms of the statement; and

(2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;

(e) Notifying the agency, in writing, within 10 calendar days after receiving notice under subparagraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to: Department of Justice, Office of Justice Programs, ATTN: Control Desk, 633 Indiana Avenue, N.W., Washington, D.C. 20531. Notice shall include the identification number(s) of each affected grant;

(f) Taking one of the following actions, within 30 calendar days of receiving notice under subparagraph (d)(2), with respect to any employee who is so convicted—

(1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or

(2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;

(g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e), and (f).

B. The grantee may insert in the space provided below the site(s) for the performance of work done in connection with the specific grant:

Place of Performance (Street address, city, county, state, zip code)

Check if there are workplaces on file that are not identified here.

Section 67, 630 of the regulations provides that a grantee that is a State may elect to make one certification in each Federal fiscal year. A copy of which should be included with each application for Department of Justice funding. States and State agencies may elect to use OJP Form 4061/7.

Check if the State has elected to complete OJP Form 4061/7.

**DRUG-FREE WORKPLACE
(GRANTEES WHO ARE INDIVIDUALS)**

As required by the Drug-Free Workplace Act of 1988, and implemented at 28 CFR Part 67, Subpart F, for grantees, as defined at 28 CFR Part 67; Sections 67.615 and 67.620—

A. As a condition of the grant, I certify that I will not engage in the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance in conducting any activity with the grant; and

B. If convicted of a criminal drug offense resulting from a violation occurring during the conduct of any grant activity, I will report the conviction, in writing, within 10 calendar days of the conviction, to: Department of Justice, Office of Justice Programs, ATTN: Control Desk, 633 Indiana Avenue, N.W., Washington, D.C. 20531.

As the duly authorized representative of the applicant, I hereby certify that the applicant will comply with the above certifications.

1. Grantee Name and Address:

2. Application Number and/or Project Name

3. Grantee IRS/Vendor Number

4. Typed Name and Title of Authorized Representative

5. Signature

6. Date