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**U.S. Department of Justice
National Institute of Justice**

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National Institute of Justice

ACQUISITIONS

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

Jeremy Travis, Director

May 1995

Dear Colleague:

On behalf of the National Institute of Justice, I am pleased to present this Solicitation for Policing Research and Evaluation.

The policing profession stands on the threshold of an important new era. Spurred by public demand to respond to the conditions of crime and disorder, guided by the principles of a new approach called community policing, and supported by significant Federal funding, the policing profession is called upon to meet new challenges in a time of rapid change.

At NIJ, we hope that research and evaluation will play a particularly significant role in this new era of policing. With this solicitation, we seek to evaluate the new Federal initiative, examine the issues involved in implementing community policing, understand the effectiveness of various approaches to the problems of crime and disorder, and deepen our understanding of the role of the police in our Nation. In all respects, we hope to develop knowledge that will assist the police and the broader community in providing for the safety of the public.

We are indebted to many practitioners, researchers, and particularly to our colleagues in the Community Oriented Policing Services (COPS) Office for their contributions to this solicitation. We look forward to fruitful collaborations in the months and years to come.

Jeremy Travis
Director
National Institute of Justice

NIJ Invites Proposals for Policing Research and Evaluation

I. Introduction

The Violent Crime Control and Law Enforcement Act of 1994 (the Crime Act), Pub.L. 103-322 (Sept. 13, 1994), presents the Nation with an unprecedented opportunity to build and improve the police function, thus making our communities safer. Title I of the Crime Act, the Public Safety Partnership and Community Policing Act of 1994, will substantially increase the number of law enforcement officers deployed by departments that range in size from a few officers to many thousands; it will support their efforts to adopt community policing and problem-solving approaches within their public safety mission; and it will finance strategic, organizational, tactical, and technological innovations in support of these efforts.

The Congress, in framing Title I of the Crime Act, recognized the dual challenges of ensuring accountability and learning from doing. To that end, it wrote specific accountability requirements into the legislation requiring "monitoring," "evaluation," and "periodic review and reports." 42 U.S.C. § 3796dd-4. Under "evaluation," the statute provides that

[s]elected grant recipients shall be evaluated on the local level or as part of a national evaluation, pursuant to guidelines established by

the Attorney General. Such evaluations may include assessments of individual program implementations. In selected jurisdictions that are able to support outcome evaluations, the effectiveness of funded programs, projects, and activities may be required. Outcome measures may include crime and victimization indicators, quality of life measures, community perceptions, and police perceptions of their own work. 42 U.S.C. § 3796dd-4(b).

Under "periodic review and reports," the statute provides that "[t]he Attorney General may require a grant recipient to submit to the Attorney General the results of the monitoring and evaluations required" under the monitoring and evaluation provisions. 42 U.S.C. § 3796dd-4(c). Of funds available under the policing title, "up to 3 percent may be used for technical assistance . . . or for evaluations or studies carried out or commissioned by the Attorney General in furtherance of the purposes of [Title I]." 42 U.S.C. § 3793(c)(11)(B).

The National Institute of Justice (NIJ) hereby solicits proposals for evaluations and research studies that respond to these needs, that document and assess activity stimulated by the Crime Act, and that are useful to police departments and the Department of Justice (DOJ) Office of

Community Oriented Policing Services (COPS) in its implementation of the Act. The activities supported by this effort will meet the Congressional and public demand for accountability and learning while doing. The evaluations and research studies called for in this solicitation reflect both the breadth and specificity of the Act. The statute intends to: (1) "substantially increase the number of law enforcement officers interacting directly with members of the community"; (2) "enhance their problem solving, service, and other skills needed in interacting with members of the community"; (3) "encourage the development and implementation of innovative programs to permit members of the community to assist . . . law enforcement agencies in the prevention of crime"; and (4) "encourage the development of new technologies to assist . . . law enforcement agencies in re-orienting the emphasis of their activities from reacting to crime to preventing crime." 42 U.S.C. § 3796dd note (1994). All research proposals under this solicitation must be directly related to these purposes.

The COPS Office is making thousands of grants under §§ 1701 (b)(1) and (b)(2) of Title I of the Crime Act to support the rehiring and hiring of law enforcement officers for deployment in community-oriented policing and the procurement of technology and support systems that increase the number of officers so deployed. These grants are generating activity in departments of all sizes, in all regions, and at all stages of adopting community policing and

NIJ is trying to streamline its process to accommodate the volume of proposals anticipated under this and other Crime Act solicitations. **Researchers can help in a significant way by sending NIJ a nonbinding letter of intent by June 15.** The Institute will use these letters to forecast the numbers of peer panels it needs and to identify conflicts of interest among potential reviewers. There are three ways to send these "letters." You can fill out the mailer on the last page of this solicitation. You can reach NIJ by Internet by sending e-mail to "tellnij@ncjrs.aspsys.com" and identifying the solicitation and section(s) that you expect to apply for. You can write a letter with the same information to NIJ Solicitation for Policing Research and Evaluation, 633 Indiana Avenue N.W., Washington, DC 20531. Help us help you.

problem solving. In the near future, the COPS Office will be making grants under § 1701(d) to support programs, projects, and other activities such as specialized training in problem solving, mediation, and conflict resolution; multidisciplinary early intervention teams; innovative police/community crime prevention initiatives; innovations that free officer time from routine duties for redeployment in community-oriented policing; and the establishment of new administrative and managerial systems to facilitate adoption of community-oriented policing throughout a police agency. NIJ will develop, in consultation with the COPS Office, a research and evaluation solicitation to assess the impact of these efforts and to develop knowledge about them.

The COPS Office is also responsible for conducting training and technical assistance to support the implementation of Title I of the Crime Act. When implemented, NIJ will solicit proposals for an assessment of these activities.

Background

NIJ's response to this mandate was to convene conferences and focus groups to begin to shape the Federal evaluation and research agenda under the Crime Act. Police leaders and officers, while articulating and often embracing the emerging community policing philosophy and problem-solving approaches, have called for research addressing a broad range of topics with a variety of methodologies. This should include evaluations of strategies, tactics, and administrative arrangements suited to the new paradigms. Also desired are research studies that produce operationally useful information on the enduring basic functions of police work; research on the attitudes and behavior of police personnel at all ranks and including all types of assignments; the variety of administrative and management arrangements found in the field today, the nature of commonly encountered problems of crime and disorder, and the effects of tactics commonly mounted against those problems. NIJ's evaluation and research efforts will be responsive to the perceived needs of law enforcement within the context of the Crime Act.

This Federal support comes at a time when many departments have launched or are ready to launch efforts to transform their objectives, their management and supervisory structures, and their patrol and other operations to support community-oriented policing and problem-solving. To greatly varying degrees, departments are organizing management and operations around neighborhoods

and locations; adopting an analytic approach to problem identification and problem-solving as core methodologies of policing; mounting patrol and other police operations to address the sometimes quite different crime conditions and disorder problems that various neighborhoods within a jurisdiction nominate for priority attention; collaborating with community, business, and other governmental agencies to address those problems; emphasizing prevention along with enforcement; and assessing police services by the effects they have on those problems and on the subjective and objective safety of members of the community.

The influx of Federal funds to support these activities, and to mount studies and support evaluations of this Federal initiative even as it gets under way, should greatly increase the Nation's store of practical knowledge about policing. NIJ invites applicants' participation in this effort by submitting proposals for research and evaluation in the areas discussed in sections II through VII of this solicitation. NIJ intends to fund both small grants and larger efforts. NIJ also welcomes proposals for research on related topics and evaluations of police programs, tactics, and strategies that further the purposes of, but are not directly funded by, the 1994 Crime Act.

II. Evaluations

The Crime Act anticipates the need for studies and evaluations of all elements of the policing initiative, as well as monitoring by the COPS Office of all activities supported by its grants. Under § 1705(b), NIJ solicits proposals for evaluation of individual departments' implementation of programmatic and hiring initiatives supported by funds provided under Title I of the Crime Act, for syntheses of the results of such evaluations, and for evaluations of particular community policing and problem-solving programs mounted with or made possible by Crime Act funds provided under § 1701(b). This research and evaluation activity will be closely coordinated with and draw upon the monitoring and reporting programs of the COPS Office.

The studies and evaluations to be undertaken in this section (and sections III to VI below), in this and in subsequent years of the 6-year initiative, are intended to help individual departments learn from each other's experience even as the initiative unfolds, to inform the grant-making of the COPS Office, to provide the Attorney General with the basis for her § 1701(k) obligation to report to Congress

concerning the experience with and the effects of the grants made, to provide Congress and the Nation with a deeper understanding of the ways that Federal initiatives of this kind affect policing and police departments, and to provide the Nation's future police officers and leaders with a substantially richer store of operationally useful information about how to make communities safe.

The topics listed are illustrative of the types of evaluations and studies that NIJ will fund under this section. In FY 1995, NIJ plans to support evaluations in each general category indicated by these illustrations.

● **A national evaluation of progress made and problems encountered in implementing Title I of the 1994 Crime Act.** The Crime Act provides Federal incentives to deepen and accelerate the commitment of police agencies of all sizes to community policing and problem-solving. It is important to trace the Federal influences on departments and on the field of policing in general, including the effects on various types of departments of sudden increases in personnel levels, the impact of Federal incentives on the philosophy and operations of departments receiving funds, the effects of training and technical assistance programs mounted locally and nationally, the influence of Federal interventions on local program development and innovation, and the impact, if any, of the increase in police resources on other components of the criminal justice system. In short, to inform future Federal initiatives in this field, there is a need to document and analyze how the implementation of Title I of the 1994 Crime Act does or does not effect the intended changes in policing and improvements in public safety. NIJ anticipates that the national evaluation will have a sequential nature, reflecting the implementation over time of Title I of the 1994 Crime Act.

The COPS Office, as part of its monitoring and reporting responsibilities, is collecting formal reports on the deployment and activity of officers hired under § 1701 of Title I. These reports will provide a new and important baseline of data about policing in America. They will also provide a starting point for evaluating the impact of the Act on policing at selected local sites. NIJ will coordinate closely with the COPS Office on the national evaluation. The national evaluation will utilize the COPS Office monitoring and reporting information as a starting point for more detailed local evaluations in samples of departments stratified by

size, region, type and other factors. Applicants are also encouraged to include as control groups departments that have not received Title I funds.

● **Scanning for innovations.** Operationally useful knowledge about implementing community-oriented policing and problem-solving approaches to particular problems arises in large measure at the beat level—in communities as much as in police departments. Most police departments have not developed reliable systems for surfacing innovative efforts by individual officers and decentralized units in sufficient detail to permit others—even within the same department—to learn from the successes and failures of these line-level efforts. This is a problem for the implementation of community policing in its own right, but it is also a constraint on research that tries to identify promising new practices and programs and subject them to evaluations of various degrees of rigor. NIJ expects to fund more than one approach to the task of efficiently surfacing promising community policing and problem-solving initiatives (at the beat and unit level, in departments of all sizes, in all regions of the country) and documenting them and assessing their basic value and limitations.

● **Evaluations of different strategies for moving departments toward community policing.** Comparisons are needed of the marginal utility of the various strategies adopted by agencies receiving Crime Act funds in the transformation of their philosophy and operations, stratified by size of department, region, and other factors. Evaluations should include information on department goals, community policing plans, the implementation of those plans, and the role played by Crime Act funds and resources. Initially, these projects will document implementation and suggest hypotheses for more rigorous evaluation. In subsequent years, NIJ expects to expand a number of these assessments to major process evaluations and long-term impact evaluations. These studies will describe the investment and implementation process over a longer period, analyze how the department and its operations have changed, and assess the effects on crime and fear, citizen satisfaction, quality of life, and other goals. See also sections IV and V below.

Under this section of the solicitation, grants will be made at a variety of funding levels, for varying periods of time, and will include evaluations incorporating multiple methodologies, longitudinal studies of selected locations, case studies, State-by-State or regional impact analyses, and

evaluations of programs, projects, and other activities supported by the Public Safety Partnership and Community Policing Act of 1994. In addition, grants are available to evaluate programs similar to, but not supported by, the Act for the purpose of supporting the implementation of COPS programs.

NIJ anticipates supporting up to 20 awards totaling up to \$5.5 million under this section.

III. Organizational and Management Issues in Community Policing

The Crime Act encourages a transformation of the philosophy, the methods, and the management and administrative arrangements of police agencies to support community-oriented policing and problem solving. This section of the solicitation encourages proposals for research on the organizational and management issues arising in departments that have decided to move in the direction of community policing and problem-solving methods. Projects could include case studies of agencies and/or particular police leaders attempting to implement such changes, studies illuminating a particular issue or set of topics through multidepartmental research, and other approaches. Applicants are encouraged to draw on concepts and models from organizational behavior and job enrichment theory in conducting this research. Important, sometimes overlapping topics include but are not limited to:

- The role and leadership techniques of chief executives.
- Roles of middle management in flatter police organizational structures.
- Roles of supervisors when problem-solving authority is at the beat level.
- The role of a problem-solving, community policing officer in various communities.
- Span of control.
- Decentralization and accountability.
- Recruitment issues for community policing departments.
- Training issues at all levels of the organization.
- Specialization vs. generalization, and conflict between specialists and generalists.

- Management of relationships with other organizations and interests.
- The role of police unions in organizational change.
- Performance measurement, officer and supervisor evaluation, and career paths.
- Features of community policing posing risks of misconduct and corruption, and aids to its suppression and control.
- Facilitation of technological innovation in community policing and problem solving.

NIJ seeks proposals for research studies to inform law enforcement about the organizational, management, and administrative strategies that will aid the transformation to community-oriented policing; how the line officers, supervisors, and leaders of police agencies are accommodating and resisting them; and what expressions of philosophy, choice of methods, and management and administrative changes work best under what circumstances.

NIJ anticipates supporting up to 20 awards totaling up to \$3 million under this section.

IV. The Police and the Community

The police field is rich with studies about its basic functions, goals, and institutional arrangements. For executives and beat officers, this body of research has had direct and indirect influence on their understanding of enduring core issues about the organization, administration, culture and leadership of police departments, the various styles of police officers, supervisors and departments, and the troubled interface between police discretion and the law. Much of this research is dated, however, and does not encompass the changes policing has seen over the past decade or the variety of police organizations. Too little of it draws on and informs the experience of small and rural departments, particularly in light of the Crime Act's allocation of 50 percent of Title I funds to departments serving areas with populations less than 150,000. 42 U.S.C. § 3793(c)(11)(B). Similarly, little of this research draws on the experience of sheriffs, State agencies, Indian law enforcement, private security, and specialized law enforcement agencies such as housing, transit, school, and park police departments.

Police departments have long believed that they cannot ensure community safety on their own. Rather, law enforcement and communities are seen as coproducers of safety and public order. It is thought that more effective problem solving in community-oriented policing occurs when police departments engage communities to nominate problems to be addressed and make suggestions for strategies and tactics to be implemented. Research on such topics as capacities of communities to organize themselves to work with law enforcement to promote safety—and how this changes or doesn't change when police departments are actively seeking engagement with communities—will provide officers and departments with a clearer notion of how to engage and mobilize communities.

NIJ will support long-term, multimethod, single or multi-department studies (or groups of studies) addressing topics such as:

- Police organizational culture.
- Discretion and the law.
- Styles of policing.
- Styles of supervising and leading.
- Interaction with citizens.
- Interaction with political, economic, cultural, media, and security agencies.
- Correlates and control of officer misconduct, particularly in community policing.

NIJ encourages applicants to study these issues in a variety of jurisdictions and policing departments including those in Indian Country and rural areas as well as those in metropolitan areas. NIJ anticipates supporting up to six awards totaling up to \$1.5 million under this section.

V. Strategies, Tactics, and Programs Addressing Crime and Disorderly Conditions

Under this section of the solicitation, in furtherance of the legislative objective "to expand and improve cooperative efforts between law enforcement agencies and members of the community to address crime and disorder problems," 42 U.S.C. § 3796dd, NIJ will fund evaluations of strategies, tactics, and programs commonly mounted by police officers and agencies against recurrent crime and disorderly conditions, and research designed to produce

operationally useful information about the crime and disorder problems that police commonly encounter. While program evaluations under this section can be expected to produce some general knowledge about the crime and disorder problem addressed, it is particularly important in a community policing and problem-solving context that research generate knowledge about the variety of discrete problems encompassed within a category such as "robbery" or "burglary"—or even "ATM robbery" or "house burglary." Practical information of this kind is required by officers planning responses to the full range of problems arising in particular settings.

Evaluations of problem-solving initiatives taken in a community policing context are especially encouraged, as are interdisciplinary and multisite approaches to research on commonly encountered crime and disorder problems. Experimental designs for evaluations of multisite demonstrations are also encouraged, where there already exists sufficient evaluative research to warrant such an investment.

Crime conditions. This list of commonly encountered crime conditions is intended to be illustrative of the range of NIJ evaluation and research interests under this section of the solicitation:

- Auto theft.
- ATM robberies.
- Crime in special environments (e.g., schools, multiple dwellings, mass transit facilities, public housing, highways, malls).
- Drug markets.
- Family violence.
- Gangs.
- Gun violence.
- Prostitution.

Disorder and fear of crime. Those issues often felt to be most important to communities must compete for police attention. For example, communities often put a higher priority on disorderly conditions and on "low" level crimes such as prostitution, vandalism, and traffic violations than on Part I crimes. There are hints that disorder in a community is related in complex ways to its crime level and that fear of crime in a community is related in

equally complex ways to both disorder and crime. It appears that high levels of fear can under certain circumstances exacerbate a community's crime problems. But little is known about the specific dynamics of these conditions (i.e., "fear" and "disorder") and even less about the complex relationships between and among disorder, crime, and fear.

NIJ seeks research on the specific dynamics involved in these complex relationships and evaluations of particular police strategies, tactics, and programs that address them as well as the role of citizen involvement and measures of its effectiveness.

NIJ anticipates supporting up to 20 awards totaling up to \$2.5 million under this section.

VI. Locally Initiated Research

Implicit throughout this solicitation is the need for collaboration between police professionals of all ranks and researchers with a wide variety of skills and experience. NIJ views it as likely that some of the many departments moving in the direction of community policing will prove to be attractive sites for research and evaluation programs under more than one section contained in this solicitation. The likelihood—and the increasing need of police executives for research to help define problems, design solutions, and assess their effects—leads NIJ to offer grant support for close, ongoing collaborations between departments and researchers. Such partnerships should help to create an environment for opportunistic, locally initiated research that will help capture and assess innovative efforts in community policing.

Funding under this section of the solicitation is intended to make possible the locally initiated portion of the research agenda jointly adopted by the applying departments and researcher/research institution. NIJ expects applications to be made by applicants for support under one or more sections of this solicitation.

NIJ encourages creativity in type of proposed arrangement and relationship between department and researcher(s). For example, a police department might seek funds to help employ a qualified researcher, or it might propose a formal department linkage with researchers at local or regional universities or other academic or research units. Whatever the proposed ongoing relationship between

department and researcher, applicants should identify the topics that were nominated for attention at the beginning of the partnership and describe how the products of this research are expected to be used and by whom. A police department, a research institute, or a university would be acceptable as the grantee organization, but applications under this section must themselves be collaborations.

Initial funding of these partnerships will be as feasibility or planning grants, sometimes allowing an initial period for research designs to be developed after funding. Continuation applications will be required after 18 months. Projects supported under this section must reflect the purposes of Title I of the 1994 Crime Act as referenced elsewhere in this solicitation.

NIJ is interested in fostering a variety of partnerships and believes that the collaborations themselves are important topics for research. As part of its grant, therefore, NIJ expects the partnership to participate in the documentation of how these partnerships are formed, how they operate, and what contributions they make. A separate project will be awarded to begin to conduct cross-site research on these collaborations.

During FY 1995 NIJ expects to fund 25–100 partnership projects, stratified by department size (to ensure big city, medium city, and small city/rural involvement) and region of the country. Up to \$2.5 million may be awarded for partnership projects.

VII. Other Crime Act Topics

This section requests proposals in two areas specifically mentioned in the 1994 Crime Act as NIJ-mandated research areas. Research in these areas will be supported with NIJ funds. The areas are:

• **Law Enforcement Family Support.** Section 210201 of the Crime Act, "Law Enforcement Family Support," 42 U.S.C. § 3796jj, *et seq.*, will assist Federal, State, and local law enforcement agencies to develop and implement policies and programs to reduce stress and promote family well-being through programs of research, training, technical assistance, and financial support. Funding for this section is authorized beginning in fiscal year 1996. Given the importance of the topic, however, NIJ is initiating the research program with this solicitation.

The pervasive nature of job-related stress in law enforcement was highlighted in 1986 when a nationwide assessment of law enforcement training needs found that State and local officers in all types and sizes of agencies ranked the need for training in personal stress management as the highest priority. Reported negative consequences included high rates of alcohol abuse, marital difficulties, family violence, stress-related health problems, disability retirements, and ultimately suicide. An increasing number of departments, particularly in larger jurisdictions, now operate various forms of stress reduction and employee assistance programs, in some cases also making program services available to officers' families. It should be noted that an important aspect of the Law Enforcement Family Support legislation is the emphasis it places on family well-being and the provision of stress reduction and support services, not only to individual law enforcement officers, but also to members of their families.

Rigorous studies are needed about the extent and nature of the problem, the relative effectiveness of different program elements, particularly cost-effective approaches, the optimal organizational arrangements to promote officers' acceptance and use of services, those services most needed and/or desired by officers and their families, feasible programs for small or rural agencies, or organizational contributors to stress. NIJ invites research proposals on these and related topics.

• **Police Use of Force.** Section 210402 of the Crime Act, "Data on Use of Excessive Force," 42 U.S.C. § 14142, directs that "[t]he Attorney General shall, through appropriate means, acquire data about the use of excessive force by law enforcement officers." It further requires that "[d]ata acquired under this section shall be used only for research or statistical purposes and may not contain any information that may reveal the identity of the victim or any law enforcement officer," and that "[t]he Attorney General shall publish an annual summary of the data acquired under this section."

The Attorney General has designated the National Institute of Justice and the Bureau of Justice Statistics as the lead agencies in fulfilling the provisions of this section through the conduct of research (NIJ) and the collection of statistics (BJS) on police use of force.

The problem of police use of excessive force has received increasing public attention in recent years due to a number of highly publicized cases. Despite the fact that research findings indicate a very low incidence of excessive force in departments generally, the seriousness of some events and the difficulty of collecting comprehensive and detailed data on this problem point to the need for further study.

NIJ has funded a number of recent studies, including a national survey and case studies of individual departments in police use and misuse of force. These have highlighted a number of important limitations that future research will have to confront. First, there is no commonly agreed upon definition of "excessive" force; the legal definition is "that amount of physical force that is more than reasonably necessary to effect a legal police function," and this is ambiguous. Second, the various data sources on these incidents all have weaknesses when used as measures of excessive force. For example, the use of court cases has the problem that few incidents actually reach the court and may be unrepresentative of overall incidence. The same is true for Federal sources such as the FBI and DOJ Civil Rights Division. Although complaints filed against officers with individual police departments or civilian review boards are more comprehensive, they are often affected by the degree of receptivity of a department to the receipt and recording of such civilian complaints. In addition, departments vary widely in their requirements for reporting the use of various types of force. Except for shootings, many departments do not require that records be kept on use of other means of force.

Despite these difficulties, however, NIJ is convinced that valuable research can be conducted that will contribute to our understanding of police use and misuse of force and that will suggest strategies to prevent and control the incidence of unnecessary force by law enforcement. Research proposals are invited using a range of appropriate research methodologies, including syntheses/analyses of existing data, surveys, observational studies, case studies of particular departments that differ in their approaches to this control/accountability problem, and evaluations of various policies and strategies that departments have adopted to address use-of-force issues.

NIJ anticipates supporting up to five awards totaling up to \$500,000 in these two areas.

VIII. Dissemination of Research and Evaluation Findings

NIJ is interested in rapid, innovative methods to disseminate the results of studies and evaluations as well as those that are more traditional. NIJ will be actively pursuing strategies with the COPS Office to facilitate the dissemination of findings produced through activities supported by this solicitation.

IX. Application Information

NIJ wants to encourage new grantees (small departments; new researchers) to apply to the various sections of this solicitation. Crime Act materials and related NIJ publications and current projects are available upon request from the U.S. Department of Justice Response Center at 800-421-6770 or 202-307-1480.

In this section applicants will find recommendations to grant writers, requirements for grant recipients, general application information, and application deadlines.

Please see the information below for general application and eligibility requirements and selection criteria. Proposals not conforming to these application procedures will not be considered.

Award Period. In general, NIJ funds grants and cooperative agreements for up to 24 months. However, longer budget periods may be considered.

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

Solicitation for Policing Research and Evaluation
National Institute of Justice
633 Indiana Avenue N.W.
Washington, DC 20531

Completed proposals **must be received** at the National Institute of Justice by the close of business on **July 14, 1995**. Extensions of this deadline will not be permitted.

Contact. Applicants are encouraged to contact NIJ Program Managers for this solicitation: Winifred Reed, Lois Mock, and Dr. Robert Langworthy, at 202-307-0499.

Recommendations to Grant Writers

Over the past 4 years, Institute staff have reviewed approximately 1,500 grant applications. On the basis of

those reviews and inquiries from applicants, the Institute offers the following recommendations to help potential applicants present workable, understandable proposals. Many of these recommendations were adopted from materials provided to NIJ by the State Justice Institute, especially for applicants new to NIJ. Others reflect standard NIJ requirements.

The author(s) of the proposal should be clearly identified. Proposals that are incorrectly collated, incomplete, or handwritten will be judged as submitted or, at NIJ's discretion, will be returned without a deadline extension. No additions to the original submission are allowed. The Institute suggests that applicants make certain that they address the questions and issues set forth below when preparing an application.

1. What is the subject or problem you wish to address? Describe the subject or problem and how it affects law enforcement and the public. Discuss how your approach will improve the situation or advance the state of the art of knowledge, and explain why it is the most appropriate approach to take. The source of statistics or research findings cited to support a statement or position should be included in a reference list.

2. What do you want to do? Explain the goal(s) of the project in simple, straightforward terms. The goals should describe the intended consequences or expected overall effect of the proposed project, rather than the tasks or activities to be conducted. To the greatest extent possible, applicants should avoid a specialized vocabulary that is not readily understood by the general public. Technical jargon does not enhance an application.

3. How will you do it? Describe the methodology carefully so that what you propose to do and how you would do it is clear. All proposed tasks should be set forth so that a reviewer can see a logical progression of tasks and relate those tasks directly to the accomplishment of the project's goal(s). When in doubt about whether to provide a more detailed explanation or to assume a particular level of knowledge or expertise on the part of the reviewers, err on the side of caution and provide the additional information. A description of project tasks will also help identify necessary budget items. All staff positions and project costs

should relate directly to the tasks described. The Institute encourages applicants to attach letters of cooperation and support from agencies that will be involved in or directly affected by the proposed project.

4. What should you include in a grant application for a program evaluation? An evaluation should determine whether the proposed program, training, procedure, service, or technology accomplished the objectives it was designed to meet. Applicants seeking support for a proposed evaluation should describe the criteria that will be used to evaluate the project's effectiveness and identify program elements that will require further modification. The description in the application should include how the evaluation will be conducted, when it will occur during the project period, who will conduct it, and what specific measures will be used. In most instances, the evaluation should be conducted by persons not connected with the implementation of the procedure, training, service, or technique, or the administration of the project.

5. How will others learn about your findings? Include a plan to disseminate the results of the research or evaluation beyond the jurisdictions and individuals directly affected by the project. The plan should identify the specific methods that will be used to inform the field about the project such as the publication of journal articles or the distribution of key materials. Expectations regarding products are discussed more fully in the following section, "Requirements for Award Recipients." A statement that a report or research findings "will be made available to" the field is not sufficient. The specific means of distribution or dissemination as well as the types of recipients should be identified. Reproduction and dissemination costs are allowable budget items. Applicants must concisely describe the interim and final products and address each product's purpose, audience, and usefulness to the field. This discussion should identify the principal criminal justice constituency or type of agency for which each product is intended and describe how the constituent group or agency would be expected to use the product or report. Successful proposals will clearly identify the nature of the grant products that can reasonably be expected if the project is funded. In addition, a schedule of delivery dates of all products should be delineated.

6. What are the specific costs involved? The budget application should be presented clearly. Major budget categories such as personnel, benefits, travel, supplies, equipment, and indirect costs should be identified separately. The components of "Other" or "Miscellaneous" items should be specified in the application budget narrative and should not include set-asides for undefined contingencies.

7. How much detail should be included in the budget narrative? The budget narrative should list all planned expenditures and detail the salaries, materials, and cost assumptions used to estimate project costs. The narrative and cost estimates should be presented under the following standard budget categories: personnel, fringe benefits, travel, equipment, supplies, contracts, other, and indirect costs. For multiyear projects, applicants must include the full amount of NIJ funding for the entire life of the project. This amount should be reflected in item 15g on Form 424 and line 6k on 424A. When appropriate, grant applications should include justification of consultants and a full explanation of daily rates for any consultants proposed. To avoid common shortcomings of application budget narratives, include the following information:

- Personnel estimates that accurately provide the amount of time to be spent by personnel involved with the project and the total associated costs, including current salaries for the designated personnel (e.g., Project Director, 50 percent of 1 year's annual salary of \$50,000 = \$25,000). If salary costs are computed using an hourly or daily rate, the annual salary and number of hours or days in a work-year should be shown.
- Estimates for supplies and expenses supported by a complete description of the supplies to be used, nature and extent of printing to be done, anticipated telephone charges and other common expenditures, with the basis for computing the estimates included (e.g., 100 reports x 75 pages each x \$0.05/page = \$375.00). Supply and expense estimates offered simply as "based on experience" are not sufficient.

8. What travel regulations apply to the budget estimates? Transportation costs and per diem rates must comply with the policies of the applicant organization, and a copy of the applicant's travel policy should be submitted as an appendix to the application. If the applicant does not have a travel policy established in writing, then

travel rates must be consistent with those established by the Federal Government. The budget narrative should state which regulations are in force for the project and should include the estimated fare, the number of persons traveling, the number of trips to be taken, and the length of stay. The estimated costs of travel, lodging, ground transportation, and other subsistence should be listed separately. When combined, the subtotals for these categories should equal the estimate listed on the budget form.

9. Which forms should be used? A copy of Standard Form SF 424, Application for Federal Assistance, plus instructions, appears in the back of this solicitation. Please follow the instructions carefully and include all parts and pages. In addition to SF 424, recent requirements involve certification regarding (1) lobbying; (2) debarment, suspension, and other responsibility matters; and (3) drug-free workplace requirements. The certification form that is attached to SF 424 should be signed by the appropriate official and included in the grant application.

10. What technical materials should be included in the application?

- A one-page abstract of the full proposal, highlighting the project's purpose, methods, activities, and when known, the location(s) of field research.
- A program narrative, which is the technical portion of the proposal. It should include a clear, concise statement of the problem, goals, and objectives of the project, and related questions to be explored. A discussion of the relationship of the proposed work to the existing literature is expected.
- A statement of the project's anticipated contribution to criminal justice policy and practice. It is important that applicants briefly cite those particular issues and concerns of present-day criminal justice policy that stimulate the proposed line of inquiry and suggest what their own investigation would contribute to current knowledge.
- A detailed statement of the proposed research or study design and analytical methodologies. The proposed data sources, data collection strategies, variables and issues to be examined, and procedures of analysis to be employed should be delineated carefully and completely. When appropriate, experimental designs are encouraged

because of their potential relevance to policymaking and the strength of the evidence they can produce.

- The organization and management plan to conduct the study. A list of major milestones of events, activities, and products and a timetable for completion that indicates the time commitments to individual project tasks should be included. All grant activities, including writing of the final report, should be completed within the duration of the award period.

- The applicant's curriculum vitae should summarize education, research experience, and bibliographic information related to the proposed work.

11. Use of grant funds. Grant funds may be used to purchase or lease equipment essential to accomplishing the objectives of the project. The budget narrative must list such equipment and explain why the equipment is necessary. Funds may not be used for operating programs, writing texts or handbooks, training, etc.

12. To what extent may indirect costs be included in the budget estimates? It is the policy of the Institute that all costs should be budgeted directly; however, if an applicant has an indirect cost rate that has been approved by a Federal agency within the past 2 years, an indirect cost recovery estimate may be included in the budget. A copy of the approved rate agreement should be submitted as an appendix to the application. If an applicant does not have an approved rate agreement, the applicant should contact the Office of the Comptroller, Office of Justice Programs, 202-307-0604, to obtain information about preparing an indirect cost rate proposal.

13. What, if any, matching funds are required? Units of State and local governments (not including publicly supported institutions of higher education) are encouraged to contribute a match (cash, non-cash, or both) of requested funds. Other applicants also are encouraged to seek matching contributions from other Federal agencies or private foundations to assist in meeting the costs of the project.

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

duplicate funding. Applicants may submit more than one proposal to NIJ, but the same proposal cannot be submitted in more than one program area.

15. What is the deadline? July 14, 1995.

16. Is there a page limit? The Institute has established a limit of 30 double-spaced pages for all normal grant applications. This page limit does not include references, budget narrative, curriculum vitae, or necessary appendices. Applications for small grants (\$1,000-\$50,000) are limited to 15 double-spaced pages. NIJ does not wish to create elaborate regulations regarding type fonts, margins, and spacing. Applicants are cautioned, however, that obvious attempts to stretch interpretations of the Institute's limits have, in the past, caused proposal reviewers to regard such efforts unfavorably.

17. What is the page order? The following order is mandatory. Omission can result in rejection of the application:

1. SF 424
2. Names and affiliations of all key persons from applicant and subcontractor(s), advisors, consultants, and Advisory Board members.
3. Abstract
4. Table of Contents
5. Budget narrative
6. Assurances and Certifications, etc.
7. Negotiated rate agreement
8. Program narrative
9. References
10. Resumes of key personnel

18. What does the review process entail? After all applications for a competition are received, NIJ will convene a series of peer review panels of law enforcement and related professionals and researchers. NIJ will assign proposals to peer panels that it deems most appropriate. Panel members read each proposal and meet to assess the technical merits and policy relevance of the proposed research. Panel assessments of the proposals, together with assessments by NIJ staff, are submitted

to the Director, who has sole and final authority over approval and awards. The review normally takes 60 to 90 days, depending on the number of applications received. Each applicant receives written comments from the peer review panel concerning the strengths and weaknesses of the proposal. These comments may include suggestions for how a revised or subsequent application to NIJ might be improved.

19. What are the criteria for an award? The essential question asked of each applicant is, "If this study is successful, how will it further the purpose of Title I of the Crime Act, the Public Safety Partnership and Community Policing Act of 1994, or improve law enforcement policies or operations?" Four criteria are applied in the evaluation process:

- Impact of the proposed project.
- Feasibility of the approach to the issue, including technical merit and practical considerations.
- Originality of the approach, including creativity of the proposal and capability of the research staff.
- Economy of the approach. Applicants bear the responsibility of demonstrating to the panel that the proposed study addresses the critical issues of the topic area and that the study findings could ultimately contribute to a practical application in law enforcement. Reviewers will assess applicants' awareness of related research or studies and their ability to direct the research or study toward answering questions of policy or improving the state of law enforcement operations.

Technical merit is judged by the likelihood that the study design will produce convincing findings. 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 each applicant's awareness of factors that might dilute the credibility of the findings. Impact is judged by the scope of the proposed approach and by the utility of the proposed products. Reviewers consider each applicant's understanding of the process of innovation in the targeted criminal justice agency or setting and knowledge of prior uses of criminal justice research by the proposed criminal justice constituency. Appropriateness of products in terms of proposed content and format is also considered.

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

20. Are there any other considerations in selecting applications for an award? Projects should have a national or regional impact or have potential relevance to a number of jurisdictions. Because of the broad national mandate of the National Institute of Justice, projects that address the unique concerns of a single jurisdiction should be fully justified.

The applicant's performance on previous or current NIJ grants will also be taken into consideration in making funding decisions.

21. Who is eligible to apply? NIJ awards grants to, or enters into cooperative agreements with, educational institutions, nonprofit organizations, public agencies, individuals, and profit making organizations that are willing to waive their fees. Where appropriate, special eligibility criteria are indicated in the separate solicitations.

22. Does NIJ accept resubmission of proposals? The Institute will accept resubmission of a previously submitted proposal. The applicant should indicate for *Question 8, Form 424*, that the application is a revision. The applicant should include this information in the abstract. Finally, the applicant should prepare a one-page response to the earlier panel review (to follow the abstract) including 1) the title, submission date, and NIJ-assigned application number of the previous proposal, and 2) a brief summary of responses to the review and/or revisions to the proposal.

X. Requirements for Award Recipients

Required Products

Each project is expected to generate tangible products of maximum benefit to criminal justice professionals, researchers, and policymakers. In particular, NIJ strongly encourages documents that provide information of practical utility to law enforcement officials; prosecutors; judges; corrections officers; victims services providers; and Federal, State, county, and local elected officials.

Products should include:

- A summary of approximately 2,500 words highlighting the findings of the research and the policy issues those findings will inform. The material should be written in a style that will be accessible to policy officials and practitioners and suitable for possible publication as an NIJ Research in Brief. An NIJ editorial style guide is sent to each project director at the time of the award.
- A full technical report, including a discussion of the research question, review of the literature, description of project methodology, detailed review of project findings, and conclusions and policy recommendations.
- Clean 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.
- Brief project summaries for NIJ use in preparing annual reports to the President and the Congress.

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

Public Release of Automated Data Sets

The National Institute of Justice is committed to ensuring the public availability of research data and to this end established its Data Resources Program in 1984. All NIJ award recipients who collect data are required to submit a machine-readable copy of the data and appropriate documentation to NIJ prior to the conclusion of the project. The data and materials are reviewed for completeness. NIJ staff then create machine-readable data sets, prepare user's guides, and distribute data and documentation to other researchers in the field. A variety of formats are acceptable; however, the data and materials must conform with requirements detailed in *Depositing Data With the Data Resources Program of the National Institute of Justice: A Handbook*. A copy of this handbook is sent to each project director at the time of the award. For further information about NIJ's Data Resources Program, contact Dr. James Trudeau, 202-307-1355.

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 imposes specific requirements to ensure that proper financial and administrative controls are applied to the project. Financial and general reporting requirements are detailed in *Financial and Administrative Guide for Grants*, a publication of the Office of Justice Programs. 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 principal investigators assume certain responsibilities as part of their participation in government-sponsored research and evaluation. NIJ's monitoring activities are intended to help grantees meet these responsibilities. They are based on good communication and open dialogue, with collegiality and mutual respect. Some of the elements of this dialogue are:

- Communication with NIJ in the early stages of the grant, as the elements of the proposal's design and methodology are developed and operationalized.
- Timely communication with NIJ regarding any developments that might affect the project's compliance with the schedules, milestones, and products set forth in the proposal. (See statement on Timeliness, below.)
- Communication with other NIJ grantees conducting related research projects. An annual "cluster conference" should be anticipated and should be budgeted for by applicants at a cost of \$1,000 for each year of the grant.
- Consideration of communication with the field through electronic media to make available interim reports and data sets, and other grant products as appropriate.
- Providing NIJ on request with brief descriptions of the project in interim stages at such time as the Institute may need this information to meet its reporting requirements to the Congress. NIJ will give as much advance notification of these requests as possible, but will expect a timely response from grantees when requests are made.
- Providing NIJ with copies of presentations made at conferences, meetings, and elsewhere based in whole or in part on the work of the project.

- Providing NIJ with prepublication copies of articles based on the project appearing in professional journals or the media, either during the life of the grant or after.

- Other reporting requirements (Progress Reports, Final Reports, and other grant products) are spelled out elsewhere in this solicitation. Financial reporting requirements will be described in the grant award documents received by successful applicants.

Communications

NIJ Program Managers 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, and so forth) regardless of the project's start date. Progress reports will inform 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.

Publications

The Institute encourages grantees to prepare their work for NIJ publication. In cases where grantees disseminate their findings through a variety of media, such as professional journals, books, and conferences, copies of such publications should be sent to the Program Manager as they become available, even if they appear well after a project's expiration. NIJ imposes no restriction on such publication 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.

Data Confidentiality and Human Subjects Protection

Research that examines individual traits and experiences plays a vital part in expanding our knowledge about crime control and criminal behavior. It is essential, however, that researchers protect subjects from needless risk of harm or embarrassment and proceed with willing and informed cooperation. NIJ requires that investigators protect information identifiable to research participants. When information is safeguarded, it is protected by statute from being used in legal proceedings:

"[S]uch information and copies thereof shall be immune from legal process, and shall not, without the consent of the person furnishing such information, be admitted as evidence or used for any purpose in any action, suit, or other judicial, legislative, or administrative proceedings." 42 U.S.C. 3789g(a).

Applicants should file their plans to protect sensitive information as part of their proposal. Necessary safeguards are detailed in 28 Code of Federal Regulations (CFR), Part 22. A short "how-to" guideline for developing a privacy and confidentiality plan can be obtained from NIJ program managers.

In addition, the Department of Justice has adopted Human Subjects policies similar to those established by the Department of Health and Human Services. In general, these policies exempt researchers from Institutional Review Board (IRB) review provided that necessary safeguards of privacy and confidentiality have been met. However, the Institute may find in certain instances that subjects or subject matters are especially sensitive and may require IRB review. These exceptions will be decided on an individual basis during application review. Applicants should read 28 CFR, Part 46, to determine their individual project requirements.

APPLICATION FOR FEDERAL ASSISTANCE

1. TYPE OF SUBMISSION: Application <input type="checkbox"/> Construction <input type="checkbox"/> Non-Construction Preapplication <input type="checkbox"/> Construction <input type="checkbox"/> Non-Construction		2. DATE SUBMITTED	Applicant Identifier
3. DATE RECEIVED BY STATE		State Application Identifier	
4. DATE RECEIVED BY FEDERAL AGENCY		Federal Identifier	

5. APPLICANT INFORMATION	
Legal Name:	Organizational Unit:
Address (give city, county, state, and zip code):	Name and telephone number of the person to be contacted on matters involving this application (give area code)

6. EMPLOYER IDENTIFICATION NUMBER (EIN): <div style="border: 1px solid black; width: 100px; height: 20px; margin: 5px 0;"></div>	7. TYPE OF APPLICANT: (enter appropriate letter in box) <input type="checkbox"/> <div style="display: flex; justify-content: space-between;"> <div style="width: 48%;"> A. State B. County C. Municipal D. Township E. Interstate F. Intermunicipal G. Special District </div> <div style="width: 48%;"> H. Independent School Dist. I. State Controlled Institution of Higher Learning J. Private University K. Indian Tribe L. Individual M. Profit Organization N. Other (Specify): _____ </div> </div>
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8. TYPE OF APPLICATION: <div style="display: flex; justify-content: space-around; margin-top: 10px;"> <input type="checkbox"/> New <input type="checkbox"/> Continuation <input type="checkbox"/> Revision </div> If Revision, enter appropriate letter(s) in box(es): <input type="checkbox"/> <input type="checkbox"/> A. Increase Award B. Decrease Award C. Increase Duration D. Decrease Duration Other (specify): _____	9. NAME OF FEDERAL AGENCY:
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10. CATALOG OF FEDERAL DOMESTIC ASSISTANCE NUMBER: <div style="border: 1px solid black; width: 100px; height: 20px; margin: 5px 0;"></div> TITLE:	11. DESCRIPTIVE TITLE OF APPLICANT'S PROJECT:
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12. AREAS AFFECTED BY PROJECT (cities, counties, states, etc.):		
--	--	--

13. PROPOSED PROJECT: Start Date Ending Date	14. CONGRESSIONAL DISTRICTS OF: a. Applicant b. Project
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15. ESTIMATED FUNDING: <table style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 15%;">a. Federal</td> <td style="width: 15%;">\$</td> <td style="width: 15%;"></td> <td style="width: 15%;">.00</td> </tr> <tr> <td>b. Applicant</td> <td>\$</td> <td></td> <td>.00</td> </tr> <tr> <td>c. State</td> <td>\$</td> <td></td> <td>.00</td> </tr> <tr> <td>d. Local</td> <td>\$</td> <td></td> <td>.00</td> </tr> <tr> <td>e. Other</td> <td>\$</td> <td></td> <td>.00</td> </tr> <tr> <td>f. Program Income</td> <td>\$</td> <td></td> <td>.00</td> </tr> <tr> <td>g. TOTAL</td> <td>\$</td> <td></td> <td>.00</td> </tr> </table>	a. Federal	\$.00	b. Applicant	\$.00	c. State	\$.00	d. Local	\$.00	e. Other	\$.00	f. Program Income	\$.00	g. TOTAL	\$.00	16. IS APPLICATION SUBJECT TO REVIEW BY STATE EXECUTIVE ORDER 12372 PROCESS? a. YES. THIS PREAPPLICATION/APPLICATION WAS MADE AVAILABLE TO THE STATE EXECUTIVE ORDER 12372 PROCESS FOR REVIEW ON: DATE _____ b. NO. <input type="checkbox"/> PROGRAM IS NOT COVERED BY E.O. 12372 <input type="checkbox"/> OR PROGRAM HAS NOT BEEN SELECTED BY STATE FOR REVIEW
a. Federal	\$.00																										
b. Applicant	\$.00																										
c. State	\$.00																										
d. Local	\$.00																										
e. Other	\$.00																										
f. Program Income	\$.00																										
g. TOTAL	\$.00																										

17. IS THE APPLICANT DELINQUENT ON ANY FEDERAL DEBT? <input type="checkbox"/> Yes If "Yes," attach an explanation. <input type="checkbox"/> No	
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18. TO THE BEST OF MY KNOWLEDGE AND BELIEF, ALL DATA IN THIS APPLICATION/PREAPPLICATION ARE TRUE AND CORRECT, THE DOCUMENT HAS BEEN DULY VERIFIED BY THE GOVERNING BODY OF THE APPLICANT AND THE APPLICANT WILL COMPLY WITH THE ATTACHED ASSURANCES IF THE ASSISTANCE IS AWARDED		
a. Name of Authorized Representative	b. Title	c. Telephone number
d. Signature of Authorized Representative		e. Date Signed

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 <u>only</u> 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 the Uniform Administrative Requirements for Grants and Cooperative Agreements - 28 CFR, part 66, Common Rule (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.

Public reporting burden for this collection of information is estimated to average 26 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspects of this collection of information, including suggestions for reducing this burden, to the Comptroller, Office of Justice Programs, U.S. Department of Justice, 633 Indiana Avenue, NW., Washington, D.C. 20531; and to the Public Use Reports Project, 1121-0140, Office of Information and Regulatory Affairs, Office of Management and Budget, Washington, D.C. 20503.

ASSURANCES

The Applicant hereby assures and certifies compliance with all Federal statutes, regulations, policies, guidelines and requirements, including OMB Circulars No. A-21, A-110, A-122, A-128, A-87; E.O. 12372 and Uniform Administrative Requirements for Grants and Cooperative Agreements - 28 CFR, Part 66, Common Rule, 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 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 USC 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 Omnibus Crime Control and Safe Streets Act of 1968, as amended, 42 USC 3789(d), or Victims of Crime Act (as appropriate); Title VI of the Civil Rights Act of 1964, as amended; Section 504 of the Rehabilitation Act of 1973, as amended; Subtitle A, Title II of the Americans with Disabilities Act (ADA) (1990); Title IX of the Education Amendments of 1972; the Age Discrimination Act of 1975; Department of Justice Non-Discrimination Regulations, 28 CFR Part 42, Subparts C, D, E, and G; and Department of Justice regulations on disability discrimination, 28 CFR Part 35 and Part 39.
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, sex, or disability against a recipient of funds, the recipient will forward a copy of the finding to the Office for Civil Rights, 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.
16. It will comply with the provisions of the Coastal Barrier Resources Act (P.L. 97-348) dated October 19, 1982 (16 USC 3501 et seq.) which prohibits the expenditure of most new Federal funds within the units of the Coastal Barrier Resources System.



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

Dear Program Manager:

I intend to apply for funds under this solicitation. I expect to apply under the following sections (check all that apply):

- ☐ II. Evaluations
- ☐ III. Organization and Management Issues
- ☐ IV. Police and the Community
- ☐ V. Strategies, Tactics for Crime and Disorder
- ☐ VI. Locally Initiated Research
- ☐ VII. Other Crime Act Topics

I would like to be considered as a reviewer for other sections: ☐ Yes ☐ No

Name _____

Address _____

Telephone _____

Fold and Tape

AFFIX
FIRST CLASS
STAMP

NIJ Solicitation for Policing Research and Evaluation
633 Indiana Avenue N.W.
Washington, DC 20531

Fold and Tape