



National Institute of Justice

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

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February 1996

Boot Camp Research and Evaluation for Fiscal Year 1996

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I. Introduction

The Violent Crime Control and Law Enforcement Act of 1994 authorized the Federal Government to provide grants to States—either individually or to those that have organized into multistate compacts—to develop, expand, modify, operate, or improve correctional facilities and programs. By appropriate statute, the program funding for fiscal year 1995 is limited to the development, construction, and expansion of adult or juvenile boot camp facilities for nonviolent offenders, which will free conventional prison, jail, and juvenile corrections space for the confinement of violent offenders.

A portion of the overall funds authorized under this program has been set aside for the National Institute of Justice (NIJ) to implement a national evaluation strategy. This national evaluation strategy requires the active participation of boot camp program grantees who received Federal funding from the Office of Justice Programs (OJP) Corrections Program Office. The purpose of these evaluations will be to assess the process of implementing boot camp programs as well as to analyze the outcome evaluations based on measurable goals and objectives. Applicants should consult the Program Guidelines and Application Kit for the OJP FY 1995 Corrections Boot Camp Initiative for further information on the program strategy. These guidelines may be obtained by calling the National Criminal Justice Reference Service at 800-851-3420 or the Response Center at 800-421-6770.

This solicitation, the second of two, is part of a planned multiphase boot camp evaluation strategy. While the first solicitation sought to support evaluations of the impact of existing boot camps, this second solicitation primarily seeks to support evaluations of the impact of selected boot camps funded by the Office of Justice Programs in September 1995 under the 1994 Crime Act. The National Institute of Justice hereby solicits proposals for evaluations that respond to these needs, that document and assess activity stimulated by the Crime Act, and that provide systematic information that may be useful to criminal justice practitioners for the future development of new and better boot camp programs.

II. Statement of the Problem

Fueled primarily by the growth in jail, prison, and juvenile confinement populations over the past decade, and by the changing views of sentencing relative to punishment and treatment in the correctional system, boot camp programs have emerged as a new correctional strategy. Within a single decade, 36 State correctional systems and the Federal Bureau of Prisons have implemented more than 47 boot camp programs for adult offenders (MacKenzie, 1994). Boot camp programs also have been developed for juvenile offenders in 6 States and for use in 10 to 13 county jurisdictions (Austin et al., 1993).

The typical boot camp program exposes inmates to a daily regimen of strict discipline, physical training, military drill and ceremony (Parent, 1989; MacKenzie, 1990b), and work assignments, along with traditional approaches toward rehabilitation that include education, substance abuse counseling, job training, treatment, and other programs oriented toward community reentry.

Generally, but not always, adult boot camp programs are designed as alternatives to traditional incarceration for nonviolent offenders who have little or no prior imprisonment record. Adult participants in most of the State programs are supposed to be released in a shorter period of time than would be the case if they were designated to serve their sentences in a traditional correctional facility (MacKenzie, 1994). At the Federal level, however, adult inmates do not have reduced sentences; instead they serve a portion of their time in the boot camp while the remainder is served in a community corrections center.

A key finding in adult boot camp research is that positive attitudes evidenced by boot camp participants at graduation often erode, and many graduates eventually return to substance abuse and other criminal behaviors. This finding has influenced new boot camp models to expand and develop aftercare programs that emphasize drug treatment, life skills development, job training, employment counseling, and family support. These aftercare programs also stress public safety through structured monitoring and control, a result of case-specific consideration of risk

factors. Research should focus on boot camps with well-developed aftercare components and should address outcome-oriented issues.

In general, juvenile boot camps are thought to target offenders who have prior involvement in the juvenile justice system. However, more empirical evidence is needed to substantiate this concept. The typical length of stay in the juvenile boot camp is a few months, although in some States an offender's stay may be lengthened if requirements for graduation have not been met.

Proponents argue that the demanding and rigorous, but short, boot camp program will be rehabilitative and deter future criminal behavior. They also claim shorter sentences will mean reduced costs and a reduction in prison crowding. Yet most proponents also suggest that the juvenile and adult criminal justice systems should proceed cautiously in implementing boot camp programs until further research and evaluation efforts are carried out. This solicitation and the previous one provide a significant opportunity to inform the development of boot camp programs.

To date, research on correctional boot camps has been primarily descriptive (Parent, 1989; Austin et al., 1993; Cronin, 1994), and there have been few opportunities to generate a meaningful knowledge base on program effec-

tiveness. Evaluative research on boot camps to date has been hindered by the lack of experimental designs and delays in program implementation.

Most process evaluations and research efforts that have been completed have examined the impact of boot camps on offender adjustments while institutionalized (MacKenzie and Shaw, 1990; MacKenzie and Souryal, 1994) and on prison populations (MacKenzie and Piquero, 1994). However, data are lacking in the areas that are most frequently debated and of greatest concern: the effectiveness of boot camps to reduce offender recidivism and the targeting of an offender population that would otherwise use prison space.

III. Background

NIJ is soliciting proposals that will provide a knowledge base for understanding all aspects of boot camps. A multisite evaluation, as well as a number of local-level evaluations and planning assessments, will be conducted on several boot camp programs funded by the OJP Corrections Program Office. Although not all of the recently funded grantees will be asked to be part of the formal multisite evaluation and research strategy, all applicants were requested to document a willingness and ability to participate actively in such an evaluation program. Information to provide an assessment of the evaluability of the program, the amenability of local staff to engage in collaborative efforts with a national evaluation team throughout the program planning and implementation process in a problem-solving manner, and the capacity to generate data requisite for a rigorous outcome evaluation were requested at the time of application for the OJP funds.

The OJP Corrections Program Office funded 44 boot camp grants for planning, renovation, and construction (see Appendix A). This represents 24 State-level grants and 20 local grants to 27 States and 3 Territories. Funded grants included female as well as male boot camp programs and two Native-American boot camp facilities.

Recipients of boot camp planning grants will use awarded funds to sponsor statewide focus groups and workshops, employ planners, and/or pursue other planning strategies. The goals of the planning process are to promote informed decisionmaking and program improvements. Expert assistance will be solicited to facilitate the planning process and to assist in the gathering of essential information.

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 March 19.** 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.aspensys.com and identifying the solicitation and section(s) you expect to apply for. You can write a letter with the same information to NIJ Solicitation for Boot Camp Research and Evaluation, 633 Indiana Avenue, N.W., Washington, DC 20531. Help us help you.

Technical assistance will be provided by the Corrections Program Office, the Bureau of Justice Assistance (BJA) Corrections Crime Act Office, the Criminal Justice Institute, and the National Institute of Corrections to ensure logical and effective planning implementation.

Renovation and construction grantees will use funds to design, renovate, or construct facilities to operate boot camp programs. A renovation grantee can simultaneously modify an existing facility in order to expand a current program while a new physical complex is under construction. These grantees also will receive technical assistance from the Corrections Program Office, the BJA Corrections Crime Act Office, the Criminal Justice Institute, and the National Institute of Corrections.

NIJ-sponsored research and evaluation activity will be closely coordinated with the Corrections Program Office and the BJA Corrections Crime Act Office. These agencies have been assigned administrative and monitoring responsibilities for program activities.

The following two sections address the areas of research and evaluation of interest to NIJ.

IV. Solicitation of Proposals

A. NIJ is soliciting three types of evaluation and research strategies:

1. Multisite evaluation. Proposals based on a multisite evaluation strategy are encouraged. Demonstrations of the active participation of program grantees and the amenability of local staff to engage in collaborative efforts with an evaluation team should be included by applicants in the proposal package. The evaluation should respond to program goals, investigate process problems, and document implementation issues central to decisions about boot camps. NIJ is particularly interested in knowing whether federally funded boot camps play a key role in freeing up bedspace for the confinement of violent offenders, whether there is an effort to avoid net-widening, and whether there are other cost issues regarding the use of Federal dollars.

2. Single-site evaluations. Research proposals are being solicited that will evaluate the impact of one or more programs supported under the Crime Act. Impact evaluations will be used to determine whether the goals of the boot camps are eventually achieved, whether boot camps have a measurable or long-term impact on the recidivism

of program participants, and whether they have reduced correctional system costs. Single-site evaluations should examine new or particularly innovative aspects of boot camp programming such as coordinated aftercare, specialized treatment, or family counseling components. NIJ is particularly interested in evaluations involving juvenile and youthful offenders, female offenders, Native Americans, and regional boot camps.

3. Assessing the planning process. The majority of the Office of Justice Programs Corrections Program Office awards consisted of planning grants to organizations that were starting new boot camps, adding capacity to existing facilities, or adding components to existing programs. The Institute is interested in understanding the benefits derived from these planning resources, including such improvements as rational site selection, better selection criteria for boot camp candidates, and more comprehensive training and selection of boot camp staff. NIJ also is interested in the kinds of obstacles planning groups typically encounter and in the strategies they design to help overcome them.

NIJ will accept a wide range of research designs developed by the applicant to complete the tasks proposed. Randomized experimental designs, well-controlled quasi-experimental designs, and comparison group designs are three suggested research approaches.

B. NIJ is soliciting research and evaluation projects that address issues such as the following:

- What is a boot camp? (Look at other models, e.g., leadership, therapeutic, and work ethic/community service.)
- Is the boot camp, including the treatment and ancillary service components, being implemented as originally intended?
- Do boot camps, as conceived, meet the needs of juvenile and female offenders?
- What are best practices or ideal models that exist for boot camps?
- How are boot camp programs accommodating participants who fail, quit, or wash out?
- What kinds of offenders are most appropriate for boot camp participation, and how are they selected?

- How are partnerships and/or cooperative agreements being formed, and who is involved in making boot camps work? (Staff selection is a particular concern.)
- Are boot camps cost effective? If so, how much is being saved?
- What is the measurable significance of aftercare as it relates to recidivism, costs, and social adjustment?
- What kind of measures are being used to evaluate the impact of boot camp programs on participants and on the system?

Application Requirements

This section presents general application information, recommendations to proposal writers, and requirements for grant recipients. The application form, SF 424, is included at the end of this document. Proposals not conforming to these application procedures will not be considered.

Award period. In general, NIJ limits its grants and cooperative agreements to a maximum period of 24 months. However, longer budget periods may be considered.

Award amount. Up to \$600,000 will be available to support research under this NIJ solicitation.

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

Boot Camp 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 April 30, 1996. Extensions of this deadline will not be permitted.

Contact. Applicants are encouraged to contact Dr. Voncile Gowdy, 202-307-2951, for this solicitation to discuss topic viability, data availability, or proposal content before submitting proposals. For information about the Violent Crime Control and Law Enforcement Act of 1994, contact the Department of Justice Response Center at 800-421-6770 or 202-307-1743. For information about the availability of references, listed on page 10, contact the National Criminal Justice Reference Service at 800-851-3420 or e-mail askncjrs@ncjrs.aspensys.com.

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, issues, and requirements 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 the criminal justice system and the public. Discuss how your approach will improve the situation or advance the state of the art of knowledge or state of the science, and explain why it is the most appropriate approach to take. Give appropriate citations to the research literature. 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 also will 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 with the administration of the project.

5. How will others learn about your findings? Include a plan to disseminate the results of the research, evaluation, technology, or demonstration 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 document. 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 are required to 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. How may grant funds be used? 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, 202-307-0623, 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, noncash, 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 are the deadlines? Nonbinding letters of intent should be received no later than March 19, 1996. Completed proposals must be received at NIJ by close of business on April 30, 1996.

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 appendixes. 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), advisers, consultants, and Advisory Board members. Include the name of the Principal Investigator, title, organizational affiliation (if any), department (if institution of higher education), address, phone, and fax.
3. Abstract.
4. Table of Contents.
5. Budget narrative.
6. Assurances and Certifications, etc.
7. Negotiated rate agreement.
8. Program narrative.
9. References.
10. Resumés 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 criminal justice professionals and researchers. NIJ will assign proposals to peer panels that it deems most appropriate. Panel mem-

bers 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 were successful, how would criminal justice policies or operations be improved?" 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 or criminal justice. 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 criminal justice 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 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. Projects that intend to provide services in addition to performing research are eligible for support, but only for the resources necessary to conduct the research tasks outlined in the proposal.

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 profitmaking organizations that are willing to waive their fees. Where appropriate, special eligibility criteria are indicated in the solicitation.

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.

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. NIJ 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 users' 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 require-

ments 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 dialog, with collegiality and mutual respect. Some of the elements of this dialog are as follows:

- 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.
- 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 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. NIJ is prepared to receive such communication through electronic media.
- 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 section of the Research Plan. Financial re-

porting requirements will be described in the grant award documents received by successful applicants.

Communications. NIJ Program Managers should be kept informed of research progress. The grantee shall submit programmatic reports to the Institute consisting of:

- Regular progress reports due on July 31 and January 31 concerning the events of the previous 6 months of the calendar year. The first report should include the administrative activities of the project and a brief update of progress. The second report should include a similar summary of administrative activities as well as a more detailed progress report, including any substantive findings from the work to date.
- A preliminary draft followed by a final work product.

Timeliness. Grantees are expected to complete award products within the time frames that have been agreed upon by NIJ and the grantee. The Institute recognizes that there are legitimate reasons for project extensions. However, NIJ does not consider the assumption of additional research projects that impinge upon previous time commitments as legitimate reasons for delay. Projects with unreasonable delays can be terminated administratively. In this situation, any funds remaining are withdrawn. Future applications from either the project director or the recipient institution are subject to strict scrutiny and may be denied support based on past failure to meet minimum standards.

Publications. The Institute encourages grantees to 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 publications 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 criminal behavior. It is essential, however, that re-

searchers protect subjects from needless risk of harm or embarrassment and proceed with their 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 United States Code 3789g).

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), ¶22. A short “how-to” guideline for developing a privacy and confidentiality plan can be obtained from NIJ Program Managers.

In addition, the U.S. Department of Justice has adopted Human Subjects policies similar to those established by the U.S. Department of Health and Human Services. If an Institutional Review Board is necessary for this project, a copy of the Board’s approval must be submitted to the National Institute of Justice prior to the initiation of data collection. Researchers are encouraged to review 28 CFR 46, ¶46.101 to determine their individual project requirements.

References/Bibliography

- Austin, J., Jones, M., and Bolyard, M. (1993). *The Growing Use of Jail Boot Camps: The Current State of the Art*. Research in Brief. Washington, D.C.: U.S. Department of Justice, National Institute of Justice.
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Appendix A

Directory of FY 1995 Boot Camp Grant Awards

Alaska Department of Corrections Commissioner's Office

Adult Planning Project

Jerry Shriner, Project Director
Special Assistant
Alaska Department of Corrections, Commissioner's
Office, 240 Main Street, Juneau, AK 99801
907-465-4640
\$50,000

American Samoa Department of Public Safety

Adult and Juvenile Planning Project

Sili K. Sataua, Project Director
Grants Administrator
American Samoa Department of Public Safety,
P.O. Box 1086, Pago Pago, AS 96799
684-633-1111
\$37,140

Arizona Department of Corrections

Adult Planning Project

Gilbert E. Lewis, Project Director
Arizona Department of Corrections, 1601 West
Jefferson, P.O. Box 629, Florence, AZ 85232
602-868-4011
\$49,427

Arizona Department of Youth Treatment and Rehabilitation

Juvenile Planning Project

Darrell Morong, Project Director
Arizona Department of Youth Treatment and Rehabili-
tation, 1624 West Adams, Phoenix, AZ 85007
602-542-4038
\$37,500

Arizona Governor's Division for Children

Juvenile and Adult Planning Project

Esther Moyah, Project Director
Gila River Indian Community, P.O. Box 97,
Sacaton, AZ 85247-0091
520-562-3191
\$43,701

California Youth Authority

Juvenile Planning Project

Ron Johnson, Project Director
Chief Probation Officer
Alameda County Probation Department,
400 Broadway, Oakland, CA 94607
510-268-7233
\$50,000

California Youth and Adult Correctional Agency

Juvenile Facility Construction Project

Joe Walden, Project Director
Probation Officer
Fresno County Probation Department,
P.O. Box 453, Fresno, CA 93709
209-488-3427
\$1,919,768

California Youth and Adult Correctional Agency

Juvenile Planning Project

Marcia Fisher, Project Director
Orange County Department of Probation,
909 North Main Street, Santa Ana, CA 97201
714-569-2148
\$30,098

California Youth and Adult Correctional Agency

Juvenile Facility Renovation Project

Frank Scozzari, Project Director
Santa Barbara County Department of Probation, 2121
South Centerpointe Parkway, Santa Maria, CA 93455
805-739-8607
\$865,000

California Youth and Adult Correctional Agency

Adult Planning Project

Daniel Vasquez, Project Director
Santa Clara Department of Probation,
180 West Hedding Street, San Jose, CA 95110
408-299-4005
\$49,995

California Youth Authority
Juvenile Planning Project

Lesley McClelland, Project Director
Probation Director
San Diego Department of Probation, 2901 Meadow Lark
Drive, San Diego, CA 92123
619-694-4213
\$32,362

Delaware Department of Corrections
Pre-Construction Planning Project

Debra Craig, Project Director
Delaware Department of Corrections,
80 Monrovia Avenue, Smyrna, DE 19977
302-739-5601
\$2,000,000

Florida Department of Juvenile Justice
Juvenile Facility Renovation Project

Major Gary Frechette, Project Director
Martin County Sheriff's Office, 800 Southeast
Monterey Road, Stuart, FL 34995
\$807,875

Florida Department of Juvenile Justice
Juvenile Facility Renovation Project

Sheriff Richard Roth, Project Director
Monroe County Sheriff, 5525 College Road,
Key West, FL 33040
305-296-2424
\$760,242

**Georgia Department of Children and Youth
Services**

Juvenile Facility Construction Project

Iris E. Smith, Project Director
Georgia Department of Children and Youth Services, 2
Peachtree Street, 5th Floor, Atlanta, GA 30303-3139
404-657-2436
\$1,719,768

Guam Department of Youth Affairs
Juvenile Planning Project

Ed Chargualaf, Project Director
Department of Youth Affairs, Government of Guam,

P.O. Box 23672, Barriguda, GU 96921
671-734-2597
\$46,875

Illinois Department of Corrections
Juvenile Planning Project

Karlene Behringer, Project Director
Kane County Court Services, 37 West 777, Route 38,
St. Charles, IL 60175
708-406-7195
\$46,265

Illinois Department of Corrections
Adult Facility Renovation Project

Bill Gilbert, Project Director
Illinois Department of Corrections, 1301 Concordia Court,
Box 19277, Springfield, IL 62794-9277
217-522-2666
\$697,500

Illinois Department of Corrections
Juvenile Facility Construction Project

Mike Furrrie, Project Director
Illinois Department of Corrections, 1301 Concordia Court,
Box 19277, Springfield, IL 62794-9277
217-522-9159
\$1,928,770

**Maryland Department of Correctional Safety
and Correctional Services Committee on
Criminal Justice**

Adult Planning Project

James M. Dean, Project Director
Baltimore County Bureau of Corrections, 400 Kenilworth
Drive, Towson, MD 21204
410-887-6550
\$50,000

**Commonwealth of Massachusetts
Committee on Criminal Justice**

Juvenile Planning Project

Sheriff John DeMello, Project Director
Barnstable County House of Corrections, P.O. Box 397,
Barnstable, MA 02630
508-362-5022
\$50,000

Michigan Department of Social Services

Juvenile Planning Project

Susan Kangas, Project Director
 Michigan Department of Social Services, 235 South Grand
 Avenue, Lansing, MI 48909
 517-335-3931
 \$37,500

Minnesota Department of Corrections

Adult Facility Renovation Project

Mark Carey, Project Director
 Director
 Dakota County Community Corrections, Judicial Center,
 1560 West Highway 55, Hastings, MN 55033-2392
 \$429,000

Missouri Department of Corrections

Juvenile Planning Project

Kenneth Hartke, Project Director
 Missouri Department of Corrections, P.O. Box 236,
 Jefferson City, MO 65102
 314-526-6510
 \$37,500

Mississippi Department of Corrections

Adult Planning Project

Kent Crocker, Project Director
 Mississippi Department of Corrections, 723 President
 Street, Jackson, MS 39202
 601-359-5616
 \$37,063

Mississippi Department of Human Services

Juvenile Planning Project

J. Walter Wood, Project Director
 Mississippi Department of Human Services, 750 North
 State Street, Jackson, MS 39202
 601-359-4987
 \$50,000

Nebraska Department of Correctional Services

Adult Planning Project

Steve King, Project Director
 Nebraska Department of Correctional Services, P.O. Box
 94661, Lincoln, NE 68509
 402-479-5767
 \$45,000

New Jersey Department of Corrections

Juvenile Facility Renovation Project

Frank E. Gripp, Project Director
 New Jersey Department of Corrections, Whittlesey Road,
 CN 863, Trenton, NJ 08625
 609-292-4640
 \$1,000,000

New Mexico Department of Corrections

Adult Planning Project

Barrilyn Roberts, Project Director
 New Mexico Department of Corrections, Highway 14, P.O.
 Box 27116, Santa Fe, NM 87502-0116
 508-827-8625
 \$50,000

New York State Division for Youth

Juvenile Facility Construction Project

Newell Eaton, Project Director
 New York State Division for Youth, Capital View Office
 Park, 52 Washington Street, Rensselaer, NY 12144
 518-473-1274
 \$1,134,118

Oklahoma Division of Criminal Justice Service

Juvenile Planning Project

Dan Anderson, Project Director
 Sac and Fox Nation, Poni Project, Route 2, Box 246,
 Stroud, OK 74079
 918-968-4279
 \$50,000

Ohio Department of Rehabilitation and Correction

Adult Facility Construction Project

Horst Gienapp, Project Director
 Ohio Department of Rehabilitation and Correction, 1050
 Freeway Drive North, Columbus, OH 43229
 \$1,736,164

Oregon Youth Authority

Juvenile Facility Construction Project

Mike Conzoner, Project Director
 Oregon Youth Authority, 500 Summer Street,
 Northeast, Salem, OR 97310-0197
 \$1,599,081

Pennsylvania Department of Corrections
Adult Planning Project

Frank A. Hall, Project Director
City of Philadelphia Prisons, 8201 State Road,
Philadelphia, PA 19136
215-685-8201
\$50,000

Pennsylvania Department of Corrections
Adult Planning Project

Ted E. Shumaker, Project Director
Pennsylvania Department of Corrections, P.O. Box 598,
Camp Hill, PA 17001-0598
717-975-4972
\$50,000

Rhode Island Department of Corrections
Adult Facility Renovation Project

Jeffrey J. Laurie, Project Director
Rhode Island Department of Corrections, 40 Howard
Avenue, Cranston, RI 02920
401-464-2676
\$554,414

South Carolina Department of Corrections
Adult Planning Project

Michael W. Moore, Project Director
South Carolina Department of Corrections, 4444 Broad
River Road, Columbia, SC 29210
803-896-8555
\$50,000

South Dakota Department of Corrections
Juvenile Facility Construction Project

Kevin McLain, Project Director
South Dakota Department of Corrections, 115 East Dakota
Avenue, Pierre, SD 57501-3216
605-773-3478
\$1,350,000

Texas Office of the Governor
Criminal Justice Division
Juvenile Facility Construction Project

Teresa Ramirez, Project Director
Harris County Juvenile Probation Department, 1001

Preston, Room 911, Houston, TX 77002
713-521-4100
\$1,424,250

Virgin Islands Department of Justice
Adult Planning Project

Sonia Maynard-Liburud, Project Director
Virgin Islands Bureau of Corrections, 3008 Orange Grove,
Christiansted, VI 00820
\$50,000

Washington Department of Corrections
Adult Facility Construction Project

Myra Wall, Project Director
Washington Department of Corrections, 417 West Fourth
Street, P.O. Box 41101, Olympia, WA 98504-1101
360-664-2581
\$1,800,000

West Virginia Division of Corrections
Juvenile Planning Project

Karen H. Shumaker, Project Director
West Virginia Division of Corrections, 112 California
Avenue, Charleston, WV 25305
304-558-2036
\$33,665

**Wisconsin Department of Health and Social
Services**
Juvenile Planning Project

Mark Boatwright, Project Director
Kenosha County, 7409 14th Avenue, Kenosha, WI 53143
414-654-4860
\$44,395

**Wisconsin Department of Health and Social
Services**
Juvenile Facility Construction Project

Silvia Jackson, Project Director
Wisconsin Department of Health and Social Services, 1
West Wilson Street, P.O. Box 7850,
Madison, WI 53707-7850
608-266-9342
\$689,250

Application Forms

APPLICATION FOR FEDERAL ASSISTANCE

1. TYPE OF SUBMISSION: <i>Application</i> <input type="checkbox"/> Construction <input type="checkbox"/> Non-Construction	<i>Preapplication</i> <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; display: inline-block; width: 100px; height: 20px; margin-bottom: 5px;"></div> - <div style="border: 1px solid black; display: inline-block; width: 100px; height: 20px; margin-bottom: 5px;"></div>	7. TYPE OF APPLICANT: (enter appropriate letter in box) <input type="checkbox"/>
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8. TYPE OF APPLICATION: <input type="checkbox"/> New <input type="checkbox"/> Continuation <input type="checkbox"/> Revision 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): _____	A. State B. County C. Municipal D. Township E. Interstate F. Intermunicipal G. Special District 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): _____
9. NAME OF FEDERAL AGENCY:	

10. CATALOG OF FEDERAL DOMESTIC ASSISTANCE NUMBER:	11. DESCRIPTIVE TITLE OF APPLICANT'S PROJECT:
TITLE:	

12. AREAS AFFECTED BY PROJECT (cities, counties, states, etc.):	
--	--

13. PROPOSED PROJECT: Start Date Ending Date	14. CONGRESSIONAL DISTRICTS OF: a. Applicant b. Project
---	--

15. ESTIMATED FUNDING:	16. IS APPLICATION SUBJECT TO REVIEW BY STATE EXECUTIVE ORDER 12372 PROCESS?
a. Federal \$.00 b. Applicant \$.00 c. State \$.00 d. Local \$.00 e. Other \$.00 f. Program Income \$.00 g. TOTAL \$.00	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
17. IS THE APPLICANT DELINQUENT ON ANY FEDERAL DEBT? <input type="checkbox"/> Yes If "Yes," attach an explanation. <input type="checkbox"/> No	

18. TO THE BEST OF MY KNOWLEDGE AND BELIEF, ALL DATA IN THIS APPLICATION/PREAPPLICATION ARE TRUE AND CORRECT, THE DOCUMENT HAS BEEN DULY AUTHORIZED BY THE GOVERNING BODY OF THE APPLICANT AND THE APPLICANT WILL COMPLY WITH THE ATTACHED ASSURANCES IF THE ASSISTANCE IS AWARDED

a. Typed 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 <i>only</i> the amount of the change. For decreases, enclose the amounts in parentheses. If both basic and supplemental amounts are included, show breakdown on an attached sheet. For multiple program funding, use totals and show breakdown using same categories as item 15.
5.	Legal name of applicant, name of primary organizational unit which will undertake the assistance activity, complete address of the applicant, and name and telephone number of the person to contact on matters related to this application.	16.	Applicants should contact the State Single Point of Contact (SPOC) for Federal Executive Order 12372 to determine whether the application is subject to the State intergovernmental review process.
6.	Enter Employer Identification Number (EIN) as assigned by the Internal Revenue Service.	17.	This question applies to the applicant organization, not the person who signs as the authorized representative. Categories of debt include delinquent audit disallowances, loans and taxes.
7.	Enter the appropriate letter in the space provided.	18.	To be signed by the authorized representative of the applicant. A copy of the governing body's authorization for you to sign this application as official representative must be on file in the applicant's office. (Certain Federal agencies may require that this authorization be submitted as part of the application.)
8.	Check appropriate box and enter appropriate letter(s) in the space(s) provided: —“New” means a new assistance award. —“Continuation” means an extension for an additional funding/budget period for a project with a projected completion date. —“Revision” means any change in the Federal Government's financial obligation or contingent liability from an existing obligation.		
9.	Name of Federal agency from which assistance is being requested with this application.		
10.	Use the Catalog of Federal Domestic Assistance number and title of the program under which assistance is requested.		
11.	Enter a brief descriptive title of the project. If more than one program is involved, you should append an explanation on a separate sheet. If appropriate (e.g., construction or real property projects), attach a map showing project location. For preapplications, use a separate sheet to provide a summary description of this project.		

BUDGET INFORMATION — Non-Construction Programs

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						
Object Class Categories	GRANT PROGRAM, FUNCTION OR ACTIVITY	(1)	(2)	(3)	(4)	Total (5)
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

	Total for 1st Year	1st Quarter	2nd Quarter	3rd Quarter	4th Quarter
	13. Federal	\$	\$	\$	\$
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 of 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.

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.

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 item 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, N.W., Washington, DC 20531; and to the Public Use Reports Project, 1121-0140, Office of Information and Regulatory Affairs, Office of Management and Budget, Washington, DC 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 as may be required.
2. It will comply with requirements of the provisions of the Uniform Relocation Assistance and Real Property Acquisitions Act of 1970 P.L. 91-646) which provides for fair and equitable treatment of persons displaced as a result of Federal and federally-assisted programs.
3. It will comply with provisions of Federal law which limit certain political activities of employees of a State or local unit of government whose principal employment is in connection with an activity financed in whole or in part by Federal grants. (5 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 give 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 in 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 had 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 nondiscrimination 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.

Signature _____

Date _____



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):

- I. Multisite Evaluation
- II. Single-Site Evaluation
- III. Assessing the Planning Process

Name _____

Address _____

Telephone _____

Fold and Tape



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633 Indiana Avenue, N.W.
Washington, DC 20531

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For more information on the National Institute of Justice, please contact:

National Criminal Justice Reference Service

PO Box 6000
Rockville, MD 20849-6000
800-851-3420
e-mail: askncjrs@ncjrs.aspensys.com

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Telnet to ncjrsbbs.aspensys.com

Gopher to ncjrs.aspensys.com 71

For World Wide Web access, connect to NCJRS Justice Information Center at:

<http://ncjrs.aspensys.com:81/ncjrshome.html>

If you have any questions, call or e-mail NCJRS.

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

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