

U.S. Department of Justice
National Institute of Justice

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Program Announcement

Research

Program Plan

102667

Fiscal Year 1987

About the National Institute of Justice

The National Institute of Justice is a research branch of the U.S. Department of Justice. The Institute's mission is to develop knowledge about crime, its causes and control. Priority is given to policy-relevant research that can yield approaches and information that State and local agencies can use in preventing and reducing crime. The decisions made by criminal justice practitioners and policymakers affect millions of citizens, and crime affects almost all our public institutions and the private sector as well. Targeting resources, assuring their effective allocation, and developing new means of cooperation between the public and private sector are some of the emerging issues in law enforcement and criminal justice that research can help illuminate.

Carrying out the mandate assigned by Congress in the Justice Assistance Act of 1984, the National Institute of Justice:

- Sponsors research and development to improve and strengthen the criminal justice system and related civil justice aspects, with a balanced program of basic and applied research.
- Evaluates the effectiveness of justice improvement programs and identifies programs that promise to be successful if continued or repeated.
- Tests and demonstrates new and improved approaches to strengthen the justice system, and recommends actions that can be taken by Federal, State, and local governments and private organizations and individuals to achieve this goal.
- Disseminates information from research, demonstrations, evaluations, and special programs to Federal, State, and local governments, and serves as an international clearinghouse of justice information.
- Trains criminal justice practitioners in research and evaluation findings, and assists practitioners and researchers through fellowships and special seminars.

Authority for administering the Institute and awarding grants, contracts, and cooperative agreements is vested in the NIJ Director. In establishing its research agenda, the Institute is guided by the priorities of the Attorney General and the needs of the criminal justice field. The Institute actively solicits the views of police, courts, and corrections practitioners as well as the private sector to identify the most critical problems and to plan research that can help resolve them.

James K. Stewart

Director

U.S. Department of Justice
National Institute of Justice

Research Program Plan

Fiscal Year 1987

November 1986

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National Institute of Justice

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NCJ-102667

National Institute of Justice

James K. Stewart

Director

Grant applicants should be aware that the announcements of available funding contained in this plan are contingent upon the appropriation of funds by the Congress. Further, the amounts of appropriated funds ultimately available will be determined after any sequestration under Public Law 99-177, the "Balanced Budget and Emergency Deficit Control Act of 1985."

Foreword

The Federal investment in research and development on crime and criminal justice is not yet two decades old, yet tremendous strides have been made.

Research has demonstrated effective ways in which communities can band together and allocate resources to control crime. For the last decade research has shaped the way police are deployed in our Nation's cities and how they handle calls for service from the public. Research also has identified the existence of career criminals—the small number of offenders who commit crime disproportionately and repeatedly victimize our citizens and communities. Research has substantiated the connection between drug use and crime, particularly among those more serious offenders. Research has demonstrated in spouse assault cases that police arrests could significantly reduce future violence.

Research also has demonstrated the effectiveness of career criminal programs in prosecutors' offices and repeat offender projects in police departments. A long history of research and experimentation has provided the empirical underpinnings and rationale for the recently established Federal Sentencing Commission. Research supported by the National Institute of Justice and conducted by the National Academy of Sciences also has had a tremendous impact on sentencing, rehabilitation, and the concept of deterrence.

These and other important projects are testimony to the real influence that research has had and can have on the public policy debates surrounding crime, its control, and the consequences of different policies. The National Institute of Justice is fulfilling the promise that federally supported research can assist State and local government by testing the effectiveness of various alternatives to crime control and criminal justice initiatives and widely disseminating the results of such tests to State and local governments.

This approach is far less costly than duplicative experimentation by local jurisdictions. It also provides a range of policy alternatives from among which jurisdictions can select depending upon their individual circumstances. Providing State and local decisionmakers with the known consequences of alternative policies is the best form of Federal assistance.

While research has provided a sound base from which to assess our policies with respect to crime control, much remains to be done. The challenge for researchers and practitioners alike is to utilize the accumulating wealth of empirical data to

continue to rethink our policies, to examine how effective they really are, and to devise new approaches based on new information.

For example, penitentiaries were the great reform of the late 19th century, followed in the mid-20th century by concepts of rehabilitation and community supervision. The latter concepts, it appears, are slowly being replaced again by variations of incapacitation and deterrence strategies that call for more certain, swift, and severe sanctioning of offenders.

Research sponsored by the National Institute of Justice during the past decade has confirmed the lack of empirical data to support rehabilitation on a large scale, has begun to generate information that supports the viability of the deterrence hypothesis, and theoretically demonstrates the crime reduction effects and the impact on prison capacity of a policy of selective incapacitation for the few chronic, serious offenders who commit a disproportionate amount of crime. Progress in at least two areas of research and experimentation could have a tremendous impact during the next decade on crime control policy:

—our ability to classify offenders and to predict which offenders are likely to continue in their criminal careers and which are not could revolutionize sentencing and sanctioning policies.

—relatedly, better information on the effectiveness of alternative sanctions—fines, restitution, house arrest using electronic monitoring, intensive supervision, and drug-testing—can assure that offenders are punished appropriately and that the community is safe from further victimization.

In the area of drugs and crime, we also have made advances that if sustained and expanded have the hope of rescuing our youth from the ravages of narcotics and bringing some measure of stability to the neighborhoods and communities where the drug trade currently flourishes. Two decades ago, our public policy with respect to drug addicts was shaped in part by a belief that heroin addicts, at least, were a relatively benign class of offenders engaging principally in minor property offenses to maintain their habits. Methadone maintenance and treatment were the preferred policies. In the 1970's and into the 1980's, however, trafficking in methadone became a problem and treatment programs failed to keep up with the appearance of new drugs on the market—cocaine, PCP and, most recently, a more dangerous and addictive form of cocaine, "crack."

New research at the same time has given us a better picture of the relationship between drug use and crime. We now know that criminals who abuse drugs commit crimes at least twice as often as do other offenders—and up to six times as frequently during periods of heavy drug use. More important, the crimes committed are just as likely to be violent crimes as they are property offenses. Drug use is not a benign, victimless crime. It has severe consequences for individual victims upon whom drug users prey and for communities, particularly poorer ones, where the drug trade flourishes.

Recent research adds empirical support to this more accurate view of the effects of drug use. Using urinalysis to test arrestees in Washington, D.C., and New York City, the Institute has shown that as many as 69 percent of all arrestees have evidence of the use of one or more drugs in their system. Half of these persons reported they did not use drugs at the time of their arrest.

Further advances in the use of urinalysis and more effective monitoring of offenders will not only give us a more accurate picture of actual drug use (as opposed to self-reports), it will also provide critical intelligence to law enforcement authorities on the types of drugs being used in their communities and will provide an accurate measure of the effectiveness of strategies designed to curb drug use. Again, further research and experimentation in these areas over the next several years can dramatically reshape public policies for the coming decades.

Another area in which we have an opportunity to rethink our public policies and posit a new paradigm for the coming decades relates to crime in the inner city. It is no secret that crime is worst in the central cities and that those who can least afford it are victimized the most. Homicide remains a leading cause of death among young black males and, according to the Bureau of Justice Statistics, 7.3 percent of households with incomes less than \$7,500 were burglarized in 1984, the highest household burglary victimization rate in the country.

For years we have claimed that the answer to crime in the inner city was training and jobs. Once these were in place, the crime rate would decline and communities would become more stable. I suggest the opposite may be true. Crime and fear of victimization have such a stranglehold on these communities that they effectively bar the market from operating in them. Businesses have moved out and will not return until their employees can move safely to and from work. As a result fewer and fewer jobs exist and the fear generated by crime makes commuting to and from night-time jobs perilous at best.

In a recent article for *Policy Review* (Summer 1986) I reviewed the experience of a number of cities that have made crime reduction the priority in their communities. There are signs of success in attracting business, jobs, and shoppers. This is clearly another development that needs research and experimentation. It involves bringing the public and private sector together in a coordinated focused attempt to solve a problem. Public safety resources are too scarce to do anything else but devise new partnerships that bring the energies of all sectors of society to bear on the problem of crime.

This year's program plan is in large part built on the premise that the past decade of experience and research is dramatically shifting the way we as a society look at crime, criminal offenders, and drug abuse. It is based on the belief that empirical data are shedding new light on age-old problems and allowing us to envision new and more effective public policies. It continues with the premise that researchers, with their analytical and methodological skills, and enterprising practitioners, willing to take risks and to experiment, working together offer the best solution to this national problem.

The problem is a serious one. It goes to the heart of what defines a society and what defines the proper relationships among its citizens. We think there are signs of light. We think the challenge an ennobling and rewarding one. We encourage you to reexamine these problems, reexamine your theories, and put the best that you have to offer into research and experimental designs that will contribute to bringing crime back under control.

We look forward to your ideas and proposals.

James K. Stewart
Director
National Institute of Justice

Table of contents and application deadlines

<p>Foreword iii</p> <p>Introduction 1</p> <p>Organization of the National Institute of Justice 3</p> <p style="text-align: center;">Research program plan announcements:</p> <p><i>Center for Crime Control Research</i></p> <p>Drugs, alcohol, and crime 5 Cycle 1: February 25, 1987 Cycle 2: May 27, 1987</p> <p>Crime control theory and policy 9 Cycle 1: February 11, 1987 Cycle 2: May 13, 1987</p> <p>Offender classification and prediction of criminal behavior 13 Cycle 1: February 4, 1987 Cycle 2: May 6, 1987</p> <p>Violent criminal behavior 17 Cycle 1: February 18, 1987 Cycle 2: May 20, 1987</p> <p>Property offenders' perceptions of risks 19</p> <p><i>Office of Crime Prevention and Criminal Justice Research</i></p> <p>Victims and the criminal justice system 21 Single cycle: April 24, 1987</p> <p>Public safety and security 25 Cycle 1: February 13, 1987 Cycle 2: May 15, 1987</p>	<p>Apprehension and prosecution of criminal offenders 29 Cycle 1: February 20, 1987 Cycle 2: May 22, 1987</p> <p>Punishment and control of offenders . . . 33 Cycle 1: February 27, 1987 Cycle 2: May 29, 1987</p> <p>Forensic and criminal justice technology 37 Single cycle: March 13, 1987</p> <p>Supplementing the National Crime Survey 41</p> <p><i>Fellowship programs</i> 43</p> <p>Visiting fellowships 45 Single cycle: February 27, 1987</p> <p>Graduate research fellowships 47 Single cycle: February 27, 1987</p> <p>Summer research fellowships 49 Single cycle: April 2, 1987</p> <p>Application procedures and requirements of award recipients 51</p> <p>Standards of performance by recipients . 55</p> <p>Grant application forms 57</p>
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Introduction

The National Institute of Justice is the principal Federal agency for research, development, evaluation, and dissemination of programs to improve and strengthen the criminal justice system. It has a broad mandate encompassing the full range of issues dealing with crime and criminal justice. The Justice Assistance Act of 1984 specifically mandates the Institute:

1) to provide more accurate information on the causes and correlates of crime and juvenile delinquency, 2) to develop new methods for the prevention and reduction of crime, 3) to evaluate the effectiveness of criminal justice programs, 4) to make recommendations for action to Federal, State, and local governments for the improvement of their systems of criminal justice, and 5) to serve as a national and international clearinghouse for the exchange of information on crime and criminal justice-related matters.

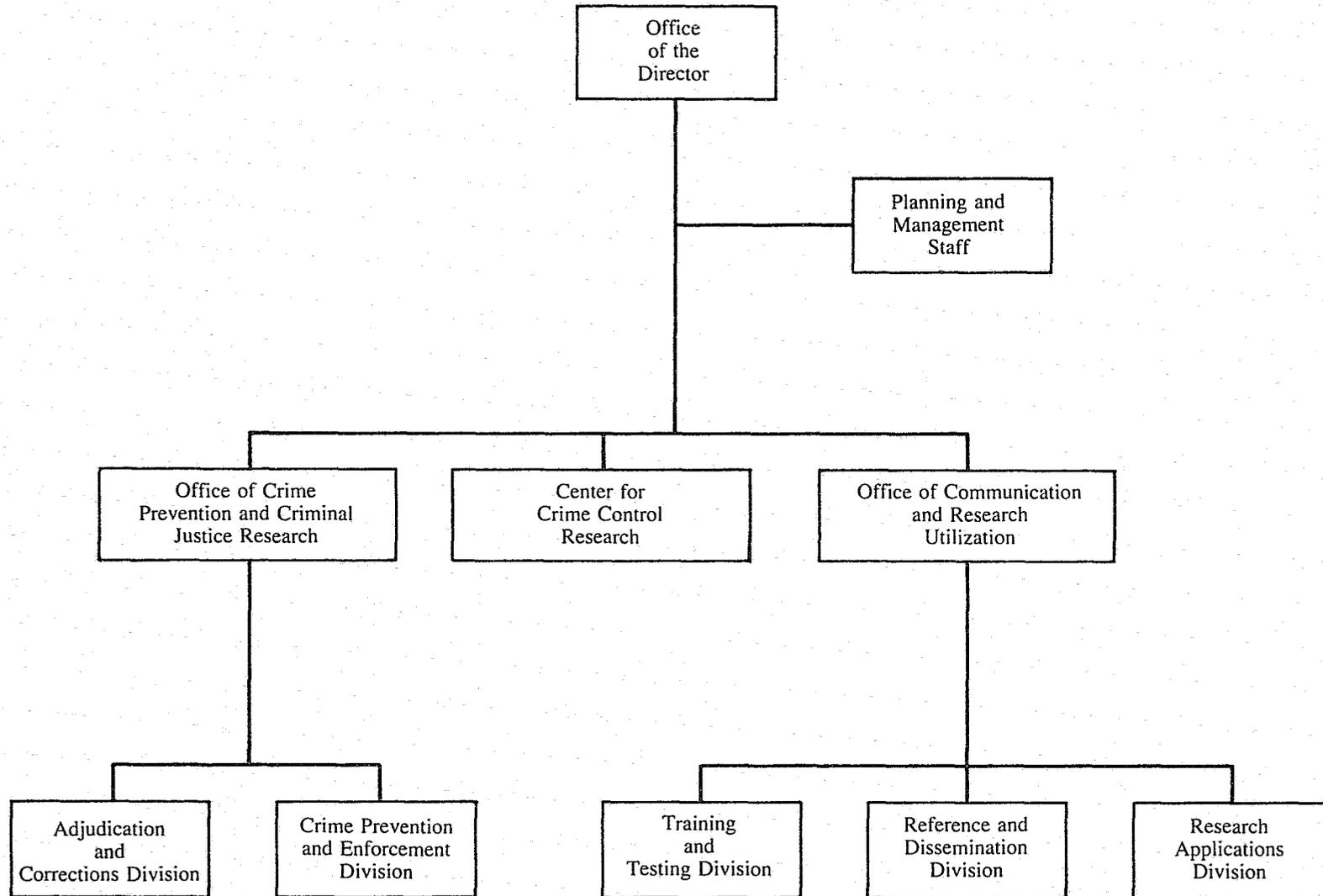
The Institute's key operating assumption is that research and the knowledge it produces can and must have relevance to criminal justice policy. Because the decisions made by criminal justice administrators and policymakers are critical to the lives and liberty of individuals and have economic and social consequences, they must be based on the best empirically based information that research can provide.

The research agenda of the National Institute of Justice emphasizes projects and programs that promise useful information for criminal justice operations. Policy-oriented research with practical benefits is given a high priority, as are new and improved approaches for State and local agencies to use in preventing and reducing crime.

The authority for administering the Institute and awarding grants, contracts, and cooperative agreements is vested solely in the Director. In establishing its research agenda, the Institute is guided by the priorities of the Attorney General and the needs of the criminal justice field. The Institute actively seeks the views of academicians, police, courts, corrections practitioners, and the private sector to identify the most critical problems facing the field and to assist in planning research that can help resolve them. Current research priorities are:

- Developing policies and procedures that measurably reduce the supply and demand for illegal drugs.
- Reducing the impact of victimization and the fear of crime.
- Alleviating jail and prison crowding.
- Reducing violent crime by identifying and apprehending the career criminal.
- Determining the direct and indirect costs of specific crimes.
- Involving communities and the private sector in controlling crime.
- Reducing delay and improving the effectiveness of the adjudication process.
- Providing better and more cost-effective methods for managing the criminal justice system.
- Assessing the impact of probation and parole on subsequent criminal behavior.
- Enhancing Federal, State, and local cooperation in crime control.
- Integrating criminal justice policies to better control crime and assure justice.

National Institute of Justice



Organization of the National Institute of Justice

The operations of the National Institute of Justice are conducted by three offices which are designed to accomplish the Institute's research, development, testing, evaluation, and dissemination responsibilities. The offices are the Center for Crime Control Research, the Office of Crime Prevention and Criminal Justice Research, and the Office of Communication and Research Utilization.

Center for Crime Control Research

Significant changes in policy often occur on the basis of limited information, intuition, and personal beliefs. Such changes can have unintended, sometimes counterproductive results. The Center analyzes trends in crime and criminal justice and identifies critical issues that require sustained study and experimentation over a comparatively lengthier timeframe than other problems. For example, a major and ongoing emphasis of the program is determining the deterrence effects of alternative sanctions and crime control efforts. The United States currently spends \$33 billion annually on a system designed to deter and punish offenders, and we need to know how effective the system is.

The Center also seeks to develop new tools to enhance the ability of research to provide more reliable answers to criminal justice problems. Current methodologies are often insufficiently precise in measuring the effects of alternative crime control strategies. The Center draws from all disciplines in refining research techniques so that the real effects of different sanctions and enforcement strategies can be determined.

Office of Crime Prevention and Criminal Justice Research

In an era of fiscal stringency, the productivity of the criminal justice system, particularly at the State and local levels, must be improved and innovative ways found to bring all the resources of the community to bear on the problem of crime. This Office houses the Institute's applied and developmental research and evaluation activities. It supports applied research and evaluation directed specifically at improving day-to-day criminal justice operations through the study of current operational practices

and the exploration of innovative concepts and policies. It also sponsors research and evaluation on how the impact of the resources of the community and the private sector can be expanded through the creation of partnerships to prevent and control criminal behavior.

The Office emphasizes funding research that is relevant to policymaking and on problems amenable to short and intermediate-term solution. It is concerned with the practical operations of law enforcement agencies, components of the adjudication process (defense, prosecution, and the judiciary), the correctional system, and with ways other sectors of society interact with the criminal justice system in controlling and dealing with criminal behavior.

Office of Communication and Research Utilization

The research funds of the National Institute of Justice represent a substantial investment of tax dollars. An equal effort must be expended to ensure that the results are placed in the hands of those who need them. Research, no matter how successful, will have limited impact on policy and practice without intensive efforts to communicate research-based information to those who can put it to use.

The audiences for criminal justice research are varied—administrators and practitioners who operate components of the system, legislators and State and local officials who set policy, and researchers who are exploring various aspects of the field. Each has a different perspective and each is likely to obtain and use information in a different way.

The responsibility of this program is to establish links with these audiences to ensure that their needs and priorities inform the Institute's research agenda, and that the results of Institute research and evaluation have an impact on criminal justice policy and practice.

The program sponsors a biennial survey of criminal justice professionals, short-term studies of emerging issues with implications for criminal justice operations, and syntheses of research and operating practice. It also maintains liaison with a variety of national and international agencies and organizations, public interest groups, criminal justice research and professional associations, and the

private sector. The Office establishes and maintains feedback mechanisms both to monitor the impact of research on policy and practice and to ensure that the research needs of the field are being met.

Office of the Director

The Director of the Institute is appointed by the President of the United States, and upon confirmation by the Senate, serves at the President's pleasure. The Director establishes the research and development objectives of the Institute. The Director has final authority to approve grants, contracts, and cooperative agreements, and maintains responsibility for fiscal operations of the Institute.

The Office of the Director includes a staff of Special Assistants who aid the Director in his executive, administrative, and liaison responsibilities.

Finally, the Office includes a Planning and Management staff which is responsible for reporting to the Director on the fiscal management of the Institute, conducting short- and long-term planning for and evaluation of Institute operations, preparing budget materials, and monitoring the implementation of internal policies established by the Director. The staff also oversees the conduct of in-house research.

Drugs, alcohol, and crime

Introduction

Drug and alcohol abuse and the crime and social problems with which they are associated are among the most serious challenges facing America today. Major changes are occurring in public attitudes and policies to reduce the tremendous costs they impose on us all.

High proportions of our youth admit to using a variety of drugs, from alcohol and marijuana to hallucinogens, narcotics, and cocaine. Reports of drug abuse by prominent figures in fields ranging from sports to industry fill the media, and the Nation's citizens consistently rank drugs and crime among their top concerns. New forms of illicit drugs, such as cocaine "crack," appear and spread rapidly through all segments of our society. Hospitals have seen the number of cocaine-related emergency cases triple since 1981. As a result of all these factors, the annual costs of drug- and alcohol-related problems are staggering—estimated at \$46.9 billion and \$89.5 billion respectively—when we consider the social and economic impacts of crime, decreased productivity, treatment, and lost lives.

The President and leaders in both the public and private sectors are taking historic initiatives to curb the supply and demand—to eradicate drugs from the school and workplace, to develop international cooperation to reduce the flow, to enhance law enforcement efforts to rid our Nation of drug trafficking, and to expand public awareness to reduce the acceptability of drug usage by our citizens.

In addition to the other ills with which they are associated, considerable evidence has shown that drug and alcohol abuse contribute to the occurrence and intensities of many types of crime, from property offenses to crimes of violence. Surveys indicate that almost two-thirds of all prisoners in State facilities were under the influence of one or more illegal drugs when they committed the crimes for which they were incarcerated, or had drunk very heavily just before the offense. The crime rates of heroin-abusing offenders have been shown to increase about four to six times during periods of use over the same offenders' rates during periods when not addicted. Recent NIJ-funded research testing arrestees in Washington, D.C., and New York City revealed that 56 percent of the men and 69 percent of the women had used drugs other than

alcohol and marijuana less than 48 hours before their arrest. Pretrial rearrest rates were 50 percent higher for drug-using offenders, with multiple drug users presenting the greatest risks to the community.

Research plays a vital role in developing empirically reliable information needed to develop optimum public policies to control drug and alcohol abuse and related crime. For example, programs aimed at controlling crime through detection and monitoring of offender drug use have been shown to significantly reduce repeat offending. New technologies and procedural breakthroughs are enabling us to detect arrestee drug abuse and apply that knowledge to criminal justice decision processes. But, despite the persuasive evidence we have of the links between drugs and crime, we are not yet able to forecast reliably the effects different drug control strategies should have on crime rates.

While some argue that if drugs were legalized crime would drop, research has clearly shown that drug-crimes include both economically motivated offenses and others which are not. To the extent that such expressive crimes as sexual and violent offenses are directly associated with the abuse of drugs and alcohol, rather than with problems of acquiring them, they would be more likely to increase, rather than decrease, because of the larger numbers of users and abusers. The interplay of such tradeoffs must be carefully weighed in the assessment of potential strategies and the development of responsible public policy.

We recognize, of course, that there are multiple and complex underlying mechanisms by which drugs and alcohol interact with other factors to affect behavior. They may act as both direct and indirect social, psychological, and pharmacological influences on the behaviors of substance-abusing offenders. But, illicit drugs can also serve as powerful stimuli for criminal behavior even among those who *do not use* these drugs themselves—through the economic motivations involved in their production and distribution. Thus, to provide a complete picture of the extent of mutual dependence between drugs and crime, research must encompass the criminality associated both with drug consumption and with drug trafficking. While drug abuse has been inappropriately considered a victimless crime, research has exposed the breadth and depth of associated criminality and the types of costs imposed on us all.

Improving our understanding of the factors that influence drug usage and drug-related crime is of vital interest to the development of criminal justice interventions and strategies aimed at the reduction of drug demand and the control of drug-related crime.

Scope

This program has dual objectives: (1) increasing our understanding of the nature and extent of drug-related crime, and (2) improving our abilities to control drug abuse and drug-related criminality.

The following examples illustrate the types of issues of particular relevance:

Assessing the nature and extent of drug abuse—Regional and local (as distinct from national) estimates of the numbers and characteristics of those currently using various illegal drugs are almost nonexistent. Yet these are the levels at which many policy decisions are made affecting the control of both crime and drugs.

Improved methods for estimating the sizes and characteristics of various substance-abusing populations, especially drug-abusing criminal offenders, are needed. Changes are continually occurring in the drug scene, bringing new substances or forms of drugs into prominence (e.g., "crack" or "rock" cocaine, synthetic analogs). The effectiveness of law enforcement tactics would be considerably enhanced by an ability to anticipate these changes. Objective monitoring methods, such as those based on urinalysis testing, have been shown to be capable of providing early warning of trends in drug use among offenders. Combining the contributions from multiple indicators to improve the accuracy of our estimates of abuse trends is a research area of particular importance.

Reduction of demand for illicit drugs—A policy of concentrating enforcement efforts on major dealers and effectively ignoring the users of illicit drugs has been argued to be a *de facto* decriminalization of use. The President, Congress, State and local officials, the business community, and a broad cross-section of the public have called for a fundamental change in these policies—changes aimed at eliminating the social acceptability of illicit drug use. Reduction of the demand, especially for such drugs as narcotics, cocaine, and PCP, is absolutely essential if we are to succeed in reversing the presently intolerable levels of drug abuse and the costs it imposes on our Nation.

This solicitation encourages research efforts that will explore ways to reduce the demand for drugs among offender populations and the general public. A wide range of approaches are possible, such as those related to enhancing the effectiveness of general and specific deterrence of offender populations through increased emphasis on detection of drug usage by urinalysis or other objective drug tests. For example, such information has been used in decisions establishing conditions of pretrial release for arrestees that all persons under criminal justice system supervision shall *not* use drugs. Such a policy could result in thousands of drug purchases stopping; cutting substantially the demand and not rewarding the suppliers.

Research is needed to be directed at further enhancing the effectiveness of the criminal justice system's role in demand reduction: problem-oriented policing aimed at solving local crime problems through antidrug trafficking efforts; improving the implementation of such programs and their integration into community-level efforts; and evaluation of the impact such programs have on levels of drug abuse and crime. Other efforts could address strategies to impede the recruitment of new users.

Control of drug supply and evaluation of local interventions—While much might be accomplished through demand reduction programs, efforts to control the supply of illegal drugs are also critical to reducing the problem of drug abuse. The huge profits produced by illegal drug markets (especially heroin and cocaine) have created large-scale organized criminal enterprises that encompass production, refining, smuggling, distribution, and wholesaling operations. The President's Commission on Organized Crime has cited these major drug trafficking networks as "...the most serious organized crime problem in the world today."

Because of the dynamic nature of drug abuse and drug-related problems, public and private attempts at their prevention and control must be similarly dynamic. Innovations in Federal, State, and local policies may reflect not only differences in substance abuse patterns and related crime problems, but also differences in control strategy.

Research is needed that will increase our knowledge about drug trafficking systems and contribute to the development and testing of a wide range of strategies to control their activities.

Studies might address such issues as developing the best strategic mix of efforts directed toward street dealers, mid- and high-level traffickers; techniques for detection and investigation (including financial analysis to detect money-laundering activities,

police undercover operations, and use of informants); legislative and prosecutorial strategies such as the use of RICO (racketeer-influenced or corrupt organization) statutes and combining criminal and civil prosecutions; sanctioning strategies (including asset forfeiture, use of injunctions, and enhanced incarceration sanctions); and coordinated control initiatives involving police, courts, regulatory agencies, tax authorities, customs officials, and financial institutions.

In addition, street dealers and small-scale suppliers should be the focus of research to determine the effect of disruption at this level on large-scale drug distribution organizations.

Measuring drug-related crime and its social costs—Evidence from NIJ research and other sources has clearly shown that drug abuse and crime are closely related. Many offenders are active drug abusers and reduction of drug usage is associated with reduction of criminal activity, even among relatively hardcore offenders. Such evidence provides strong support for public policies which aim to reduce drug and alcohol abuse, not only for its own sake but also because it can and will aid in reducing crimes.

Accurate and sensitive measurement is fundamental to these objectives. Yet, present abilities are relatively crude and inaccurate in estimating (1) how many crimes of various types (e.g., violent, property, etc.) are actually drug- or alcohol-related, or (2) the nature of the roles these substances played in contributing to the occurrence or severity of the criminal acts, or (3) how much reduction in various types of crime can be obtained with a given reduction in drug usage.

Research aimed at improving abilities to assess the magnitudes of the relations of different types of drugs to different types of crime and the social and economic costs they impose on us all would contribute greatly to our ability to evaluate the effectiveness of efforts at drug and crime control.

Patterns of drug/alcohol use and relations to development and cessation of patterns of delinquency and crime—An area of major interest for research is how (and why) patterns of drug and alcohol abuse progress and influence the onset and development of patterns of youthful delinquency and adult crime. Of equal importance are the questions of how and why many individuals in "high risk" groups do not develop drug-related problems.

The identification of individual characteristics, life events, and interventions relating to cessation of drug usage would clearly aid the development and implementation of more effective policies aimed at the reduction of demand for illicit drugs and a corresponding reduction of drug-related crimes.

Deadlines and further information

Funding for this program has been tentatively set at up to \$1,500,000. Institute awards are normally limited to a maximum period of 2 years. Studies requiring more than 2 years to complete should be designed in phases. Selection of the first phase of a project, however, does not guarantee support of subsequent phases, and continuation award proposals must be submitted for competitive review. Applicants should carefully follow all of the procedures outlined in the application procedures section on page 51 of this booklet.

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

Drugs, Alcohol and Crime Research Program
National Institute of Justice
Room 900
633 Indiana Avenue NW.
Washington, DC 20531

This program will offer two opportunities to submit proposals this year. Completed proposals must be received at the National Institute of Justice no later than 5:00 p.m., February 25, 1987, to be considered for the first cycle, and no later than 5:00 p.m., May 27, 1987, for the second cycle. Extensions of these deadlines will not be permitted.

It is expected that once each year there will be a 2-day meeting of senior researchers on all projects being sponsored under this program. Dates and locations of these meetings remain to be decided. All applicants should include \$1,000 for each year or fraction during which the research is to be carried out. The explanation in the budget narrative should state that this is a "standard NIJ estimate to cover expenses of travel to the annual program conference, as directed in the program solicitation."

To obtain further information about this solicitation, researchers may write to Dr. Bernard Gropper, Program Manager, Drugs, Alcohol and Crime Research Program, at the above address, or contact him at 202-724-7631. Potential applicants who may want to clarify the appropriateness of a specific research idea for funding under this program are

encouraged to call Dr. Gropper to discuss it with him before undertaking the considerable effort required to prepare a proposal that would be competitive.

Recent related grants

86-IJ-CX-0029—Detection and Evaluation of Substance Abuse Histories Through Hair Analysis, Ianus Foundation

86-IJ-CX-0030—Drug Offender Typology Development, University of Maryland, Friends Medical Research

86-IJ-CX-0050—Urine Testing of Juvenile Detainees To Identify High-Risk Youths, University of South Florida

86-IJ-CX-0069—Optimization of Legal Supervision for Chronic Addict Offenders, University of California at Los Angeles

86-IJ-CX-0075—Urine Tests of Arrestees To Identify Hidden Drug Abusers, Toborg Associates

86-IJ-CX-0084—Impact of Legislation to Prohibit Happy-Hour or Alcohol-Related Motor Vehicle Accidents, Northeastern University

85-IJ-CX-0023—Modeling the Crime Reduction Effects and Economic Benefits of Drug Abuse Treatment, Research Triangle Institute

85-IJ-CX-0025—Drug Use as a Predictor of Behavior on Probation, Narcotic and Drug Research, Inc.

85-IJ-CX-0027—Retail-Level Heroin Enforcement and Property Crime, District Attorney's Office, Eastern District, Massachusetts

85-IJ-CX-0052—Drug-Related Crime Analyses: Homicide, Narcotic and Drug Research, Inc.

85-IJ-CX-0056—Drug and Alcohol Use, Violent Delinquency, and Social Bonding: Implications for Social Intervention, URSA Institute

85-IJ-CX-0057—Gang Involvement in Cocaine Rock Trafficking, University of Southern California, Social Science Research Institute

85-IJ-CX-0058—High-Level Drug Markets: An Economic Study, Rand Corp.

Crime control theory and policy

Introduction

The dramatic rise in the level of crime in American society during the 1960's and 1970's has stimulated an unprecedented level of public and professional concern about what official actions can be taken to cope with this problem. A recent Roper survey found that crime and drugs were the most frequently mentioned societal problems facing the Nation—outdistancing inflation, unemployment, and nuclear disarmament. The FBI crime reports for 1985 indicate that almost 12 million index crimes were reported to the police. That year also saw the United States reach an all-time high in both the number of individuals imprisoned (463,866) and in the rate of imprisonment (188 per 100,000 population). The annual cost to the taxpayer for this level of imprisonment exceeds \$7.5 billion.

The dilemma posed by simultaneously high levels of crime and imprisonment emphasizes what has always been a central policy question in criminal justice: "What is the effect of punishment on crime?" The idea that punishment (or the threat of punishment) will be effective in controlling criminal behavior is certainly one of the fundamental characteristics of any organized society. And governments, good and bad, have throughout history manipulated sanction schedules in an attempt to achieve a greater measure of social control.

In America today policymakers are devoting more attention than ever before to the specific issues of crime and punishment. Laws are passed and tax dollars spent on programs that clearly aim at enhancing general deterrence through the threat of stiffer penalties for certain types of crimes. Police departments and prosecutors have established programs aimed directly at increasing the chances of incapacitating high rate offenders during their most criminally active years. Law enforcement officials have also been instrumental in developing new crime control policies that significantly affect future violence, such as the arrest of offenders in spouse assault cases.

At the same time in many States there is an explicit concern about prison population sizes and prison costs. Determining which offenders to incapacitate becomes a primary concern. Seventy percent of all convicted felons are not in prison but are on some form of community release after continuing to commit crimes. Understanding which offenders pose the greatest risk is critical, as is the formulation

of new methods of social control that provide more adequate protection to society. And naturally this leads to questions regarding the crime control effectiveness of alternative punishments.

The broad mandate of this program is to support an accumulation of sound research on the crime control effectiveness of official sanctions. The findings from this research would serve as a scientific basis for the continued evolution of informed and more effective policies aimed at the reduction of crime.

Scope

Public preferences in the past decade have shifted away from the ideal of rehabilitative treatment. Interestingly, this shift coincided with an emerging scientific consensus acknowledging that most rehabilitation programs lacked scientifically compelling evidence of effectiveness.¹ Furthermore, research advances of the past decade have generated evidence that crime rates are, in fact, responsive to more certain, more severe, and more swiftly imposed sanctions. In a comprehensive review of the literature, a Panel of the National Academy of Sciences concluded that, in contrast to the beliefs of many criminologists of the 1950's and 1960's, the available scientific evidence "favors a proposition supporting deterrence more than it favors one asserting that deterrence is absent."² That study also found plausible the argument that substantial crime control effects might derive from the incarceration of active offenders.³

But scientific support for deterrence and incapacitation as mechanisms of crime control is still limited with respect to the size of the effects that can be achieved. For this reason, the Crime Control Theory and Policy Program is specifically designed to support research aimed at estimating the extent to which crime is (or could be) affected by alternative sanctioning policies. Through this program, the National Institute of Justice is intent on finding answers to the pressing policy questions about how certain or how severe sanctions must be to affect the crime rate. Which types of behavior can more easily be prevented by which types of sanctions? Does the arrest of a friend or an acquaintance deter potential offenders? Are the perceptions of risks different among those who are deterred and those who continue their careers? Are there classes of offenders for whom rehabilitation programs are demonstrably effective?

In response to these and other questions of public policy, the National Institute of Justice is soliciting proposals for research projects that will contribute to a better understanding of how well these policy mechanisms work and what effect they have on criminal careers. The following list of project classes, while not intended to be complete in its coverage, is intended to illustrate the scope and variety of the program's interests.

Policy experiments or quasi-experiments structured to obtain empirical evidence of the success or failure of innovative approaches to sanctioning. This approach was used to establish the deterrent effect of arrests on spouse assault cases in Minneapolis and to substantiate the effectiveness of the mandatory minimum firearm law in Massachusetts.

Crime career research directed toward a thorough understanding of the onset, length, and nature of criminal careers. This sort of research seeks to determine the amount of crime and crime costs prevented by incarceration and to obtain a better grasp on how incarceration retards or accelerates the development of offenders' subsequent criminal behavior. Studies in this category have in the past estimated the annual crime commission rates of offenders and examined one or several crime types, the duration of their criminal careers, the number of crimes committed during a career and, most importantly for this program, the impact of incarceration or other sanctions on careers in crime.⁴

National-level studies aimed at measuring the relative gains in crime reduction generated by the different levels of sanctions found in U.S. jurisdictions. This type of research has, for instance, analyzed crime and sanction data for a 30-year period using national level data. Investigations which systematically compared the experiences of State and local governments have been supported using data from the 1950, 1960, and 1970 censuses.

Policy analyses designed to simulate the likely effects of new and untried sanctioning approaches based on our present knowledge of criminal behavior and the criminal justice system. Hypothetical testing of the size of the incapacitation effects that can be expected from a policy of longer prison sentences for career criminals, is an example of this line of research. Also of interest is the question of what level of sanction is required to deter marginal offenders from continuing their careers.

Perceptions research investigating why the assessment of sanction risk or sanction cost differs greatly among various subpopulations and whether

these criminal justice systems can communicate sanction threats more effectively. Past efforts have involved multiple interviews with adolescents to determine the sequencing of criminal behavior and perceptions of sanction risks.

Again, the above listing is intended to suggest the general nature of the program rather than to exclude classes of research projects not mentioned. The variety of crime types and research disciplines represented in this program should not obscure the highly focused program theme—the effects of *official* sanctions on crime. Crime control effects derived from sources such as private protection or demographic variations are of interest to this program only insofar as they offer plausible and testable competing explanations for the observed reductions associated with official sanctions. Proposal authors should keep this objective in mind. All proposals should, therefore, describe clearly not only the research project for which funding is sought but also precisely how this research might benefit the continued development of criminal justice policy.

Deadlines and further information

Funding for this program has been tentatively set at up to \$700,000. This will typically support 5 to 7 grants. Institute awards are normally limited to a maximum period of 2 years. Studies requiring more than 2 years to complete should be designed in phases. Selection of the first phase of a project, however, does not guarantee support of subsequent phases, and continuation award proposals must be submitted for competitive review. Applicants should carefully follow all of the procedures outlined in the application procedures section on page 51 of this booklet.

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

Crime Control Theory and Policy Program
National Institute of Justice
Room 900
633 Indiana Avenue NW.
Washington, DC 20531

This program will be operated in two rounds. The first round's deadline will be February 11, 1987, the second round's deadline will be May 13, 1987. Completed proposals must be received at the

National Institute of Justice no later than 5:00 p. m. on those dates. Extensions of these deadlines will not be permitted.

It is expected that once each year there will be a 2-day meeting of senior researchers on all projects being sponsored under this program. Dates and locations of these meetings remain to be decided. All applicants should include \$1,000 for each year or fraction thereof during which the research is to be carried out. The explanation in the budget narrative should state that this is a "standard NIJ estimate to cover expenses of travel to the annual program conference, as directed in the program solicitation."

To obtain further information about this solicitation, researchers may write to either Joel Garner or Winifred Reed, Program Managers, Crime Control Theory and Policy Program, at the above address, or contact them at 202-724-7635. Potential applicants who may want to clarify the appropriateness of a specific research idea for funding under this program are encouraged to call Dr. Garner or Ms. Reed to discuss it with them before undertaking the considerable effort required to prepare a proposal that would be competitive.

References and recent related grants

1. *Effectiveness of Correctional Treatment: A Survey of Treatment Evaluation Studies* by D. Lipton, R. Martinson, and J. Wilks, Praeger, New York, 1975; and *Rehabilitation of Criminal Offenders: Problems and Prospects* ed. L. Sechrest, S. White, and E. Brown, National Academy of Sciences, Washington, D.C., 1979.
2. *Deterrence and Incapacitation: Estimating the Effects of Criminal Sanctions on Crime Rates* ed. A. Blumstein, J. Cohen, and D. Nagin, National Academy of Sciences, Washington, D.C., 1978, p. 7.
3. *Ibid.*, p. 9. For a more recent review of the evidence concerning incapacitation, see "Incapacitation as a Strategy for Crime Control: Possibilities and Pitfalls," by Jacqueline Cohen, *Crime and Justice: An Annual Review of Research*, v. 5, ed. M. Tonry and N. Morris, University of Chicago Press, Chicago, 1983.
4. *Criminal Careers and 'Career Criminals.'* ed. A. Blumstein, J. Cohen, J. Roth, and C. Visher, National Academy of Sciences, Washington, D.C., 1986.

86-IJ-CX-0012—The Indianapolis Domestic Violence Experiment, University of Indiana.

86-IJ-CX-0021—The New Orleans Offender Population Study, University of Wisconsin.

85-IJ-CX-0062—Participation in Illegal Behavior: An Experimental Assessment, University of Arizona.

84-IJ-CX-0032—Arrests as Communications to Criminals, Decker and Associates.

84-IJ-CX-0067—Effects of Sanctions on Prevalence and Incidence of Crime, Carnegie-Mellon University.

84-IJ-CX-0071—A Longitudinal Analysis of Neighborhood Delinquency Rates, University of Oklahoma.

Offender classification and prediction of criminal behavior

Introduction

Within recent years issues of offender classification and the prediction of future criminal behavior have achieved a critical importance in criminal justice policy debates. Research has revealed that 65 to 80 percent of all offenders are rearrested. Differentiating between these and the remaining 20 to 35 percent who may be suitable for rehabilitation or release to the community can have enormous consequences for criminal justice.

The concept of the career criminal has led to police and prosecutor programs that target resources on those offenders identified as the most persistent and most frequent in their commission of serious crimes. The logic is that the incarceration of such high-rate offenders would prevent a large number of crimes and would in this sense represent a most efficient use of criminal justice system resources. The corollary to this is identifying those offenders who will not recidivate and need not consume scarce prison resources. In practice, of course, the success of such a policy must depend on the ability to make sufficiently reliable predictions about the future of individual criminal careers.

Continued high levels of crime (and especially violent crime) coupled with a rather general loss of faith in rehabilitation as a universal basis for correctional policy have led to a wide variety of sentencing reforms. Partly because of the sheer volume of crime and partly because of changes in sentencing schedules, prison and jail populations have in many places reached crisis levels. Many policymakers are searching for innovative sanctions that are effective alternatives to prison without at the same time increasing the risk of victimization to society.

Prediction models and the classification systems on which they are based are, of course, not new to criminal justice. Parole boards have for years used objective aids such as base expectancy tables to give them additional information as to the likely future criminal behavior of prisoners being considered for release. Today, this use of prediction schemes continues as the Rand Scale, Salient Factor Score, Iowa Risk Assessment Scale, and other measures are being used or considered for use by a number of State and local jurisdictions.

The priority objective of this program is to support the accumulation of a body of research on the

classification of offenders and the prediction of future dangerousness. Improved prediction and classification systems could inform and improve the accuracy and reliability of the many dispositional decisions that must be made each day by criminal justice officials. Such systems also could have an impact on jail and prison construction needs, and on the security of communities. Improved classification could save dollars as well as reduce victimization and the fear of crime.

Scope

The focus of this program is on research to improve and facilitate dispositional decisions in criminal justice insofar as these decisions have a discretionary component that is at least in part influenced by an assessment of the risk an individual poses for some future behavior. Obvious examples are the risk of new crimes being committed if a defendant is released pending trial or if a convicted offender is given probation.

As suggested above, however, real operational problems for the corrections system are involved in the evaluation of an individual's potential for violence and disruptive behavior while in custody, for attempting escape, for victimization by other inmates, or for attempts at suicide. And certainly the career criminal concept has profound significance for crime control policy if it can be demonstrated that the most frequent, persistent, and serious offenders can be reliably identified relatively early in their careers.

There are a host of challenges facing the researcher. Typically, only limited data are available about an individual and some of these may be of questionable quality. Indeed, criminology theory in its present state of development can offer only tentative guidance to suggest what the technically most powerful behavior predictors might be. Furthermore, the frequency of the behavior to be predicted is often not directly observable. And there are ethical issues regarding the use of status variables as criteria for dispositional decisions.

Other research issues are raised by the fact that the classification/prediction process must eventually be structured so that it can be administered easily by criminal justice officials and at relatively low cost. This can impose rather severe constraints on the kinds of individual information that will in practice

be available. But it also raises technical questions about the consistency and internal reliability of a classification process that must typically be administered as a routine operational procedure.

The following list of topics represents in fairly broad terms the kinds of research projects that would readily fall within the scope of this program. Obviously, this listing is intended to be illustrative rather than exhaustive.

Development of improved analytic methods for classification or prediction of criminal behavior

—Recent research has shown considerable interest in the adaptation of improved statistical tools and mathematical models for assessment of risks that are important in criminal justice decisions. The predictive power of any of these methods has yet to be demonstrated in thoroughgoing empirical tests. This program has an interest in supporting further development of innovative methods. All applications must, however, include tests that would be indicative of the results that would be obtained if the methodology were routinely applied as a prediction device or to develop a correctional classification system to inform criminal justice decisions.

Further development and testing of correctional classification systems

—There are a variety of classification schemes being used by Federal and State prison systems. Some of them are based essentially on the expert opinion of experienced correctional administrators. Other, more elaborate systems find their theoretical roots and their long history of development in criminological applications of psychometric testing. These latter systems especially were often developed for populations different from the ones to which they are now being applied (e.g. juvenile vs. adult offenders) or for correctional system objectives that are not at this time the paramount concern of correctional system management (e.g., identification of individual rehabilitation needs vs. the need to maintain order and control in a crowded institution.) Additional research may be of help in revising and refining such classification systems through a thorough assessment of their ability to assign each individual to a unique subclass and the power of the resulting classification to assess risk potentials that are of major concern to correctional managers.

Criminal career forecasting—Over the past decade or so there has emerged a body of research literature that attempts to identify classes of offenders that are significantly different in their patterns and rates of offending and that tries to infer from the sequences of events in criminal histories what

are the significant determinants of individual criminal career paths.

The scientific goal and ultimately the policy significance of this line of research is obviously to achieve an accurate and precise understanding of how an offender's crime career is likely to continue to evolve, given what is known at a particular point about his past history of deviance. We also would like to know the *actual* amount of crime committed and an estimate of income. If we understand the real rates and costs, we can make better estimates of the consequences of different policies.

Applicants who wish to pursue some aspect of this field of inquiry are again strongly encouraged to incorporate an empirical test of predictive power into their research design if this is at all possible.

Deadlines and further information

Funding for this program has been tentatively set at up to \$700,000. This will typically support five to seven grants. Institute awards are normally limited to a maximum period of 2 years. Studies requiring more than 2 years to complete should be designed in phases. Selection of the first phase of a project, however, does not guarantee support of subsequent phases, and continuation award proposals must be submitted for competitive review. Applicants should carefully follow all of the procedures outlined in the application procedures section on page 51 of this booklet.

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

Offender Classification and Prediction of
Criminal Behavior Program
National Institute of Justice
Room 900
633 Indiana Avenue NW.
Washington, DC 20531

There will be two opportunities to submit proposals this year. Completed proposals must be received at the National Institute of Justice no later than 5:00 p.m., February 4, 1987, to be considered for the first cycle, and 5:00 p.m., May 6, 1987, for the second. Extensions of these deadlines will not be permitted.

It is expected that once each year there will be a 2-day meeting of senior researchers on all projects

being sponsored under this program. Dates and locations of these meetings remain to be decided. All applicants should include \$1,000 for each year or fraction thereof during which the research is to be carried out. The explanation in the budget narrative should state that this is a "standard NIJ estimate to cover expenses of travel to the annual program conference, as directed in the program solicitation."

To obtain further information about this solicitation, researchers may write to Dr. Richard Laymon, Program Manager, Offender Classification and Prediction of Criminal Behavior Program, at the above address, or contact him at 202-724-7635. Potential applicants who may want to clarify the appropriateness of a specific research idea for funding under this program are encouraged to call Dr. Laymon to discuss it with him before undertaking the considerable effort required to prepare a proposal that would be competitive.

References and recent related grants

1. *Criminal Careers and "Career Criminals,"* Vols. I and II, ed. A. Blumstein et al., National Academy Press, Washington, D.C., 1986.
2. *Varieties of Criminal Behavior*, by J. Chaiken and M. Chaiken, Rand Corporation, Santa Monica, CA. 1982.
3. *Prediction in Criminology*, by D.P. Farrington and R. Tarling, State University of New York Press, Albany, NY. 1985.
4. "Offender Typologies—Two Decades Later," by D.C. Gibbons. *British Journal of Criminology* 15(2), 1975, 140-156.
5. *Key Issues in Criminology*, by R. Hood and R. Sparks, McGraw-Hill Book Co., New York, 1970.
6. *Classifying Criminal Offenders*, by E.I. Megargee and M.J. Bohn, Jr., Sage Publications, Beverly Hills, CA. 1979.
7. *Clinical Prediction of Violent Behavior*, by J. Monahan, U.S. Department of Health and Human Services, Rockville, MD. 1981.

86-IJ-CX-0048—Classification, Prediction and Criminal Justice Policy, Justice Policy Research Corporation.

86-IJ-CX-0039—Improved Techniques for Assessing the Accuracy of Recidivism Prediction Scales, Carnegie-Mellon University.

85-IJ-CX-0019—Prediction and Typology Development, University of Iowa.

85-IJ-CX-0063—Psychological Classification of the Adult, Male Prison Inmate, University of Cincinnati.

85-IJ-CX-0072—Developmental Factors Associated With Sexual Dangerousness, Brandeis University and the Massachusetts Treatment Center at Bridgewater.

84-IJ-CX-0037—A New Methodology for Use in Assessing Parole Decisions and Mental Competency and Criminal Responsibility, Duke University.

86-IJ-CX-0052—Violent Offenders in Two Birth Cohorts: Patterns in Violent and Serious Nonviolent Recidivism and Their Implications for Public Policy, University of Pennsylvania.

Violent criminal behavior

Introduction

The Justice Assistance Act of 1984 authorized the National Institute of Justice "to provide more accurate information on the causes and correlates of crime." Nowhere is such knowledge needed more than in the area of criminal violence. High levels of violence can strangle whole neighborhoods and communities. We need to develop interventions that can reduce future violence by offenders.

According to the most recent Uniform Crime Report (UCR) statistics, a violent crime—a murder, a rape, a robbery, or an aggravated assault—occurred every 24 seconds. In a recent report by Langan and Innes,¹ it is estimated that 3 percent of Americans—6 million people—are targets of violent crime annually. These crimes not only bring suffering and hardship to the victims and their families, they also affect the quality of life of everyone in our society.

The object of the Violent Criminal Behavior Program is to obtain a better understanding of the factors essential to producing the potential for criminal violence in an individual: physical, psychological, cultural, and situational. Knowledge of these factors and how they interact is basic to the evolution of a more effective policy of social control. Even more salient, perhaps, is the importance of such knowledge to the assessment of risk of future violence—an assessment that enters into some of the most difficult decisions that must be made in criminal justice, both at the level of general policy and at the level of individual case dispositions.

Scope

This solicitation seeks to focus the attention of the research community on a more thorough understanding of the factors that contribute significantly to serious, chronic, violent behavior in individuals. The following list of project areas, while not intended to be complete in its coverage, illustrates the potential range of the program's interests.

Studies of nonlethal assaults—While we have detailed data on homicide, the UCR provides only aggregate data on offenses other than homicide. Research that increases knowledge at the interface between medical and criminal justice information on personal violence might help to fill this gap. These data are important not only because most

criminal violence falls into this category, but also because correct interpretation of the homicide data requires knowledge of the incidence of other types of violence. The difference between homicide and assault may be simply an artifact of the quality of medical service or the availability of a weapon.

Studies of domestic violence—Domestic violence is probably the most common violent crime. However, there are few reliable statistics available. Estimates of prevalence vary over a wide range, depending in part on how "domestic violence" is defined.

Over the past decade the belief that violence begets violence has become firmly established in the minds of the general public and many professionals. The family has come to be seen as the training ground for other violent behavior although the connection has never been scientifically demonstrated.

Violent crime and mental disorder—Monahan and Steadman² have concluded that the correlates of crime among the mentally ill appear to be the same as the correlates of crime among any other group: age, gender, race, social class, and prior criminality. They state further that the correlates of mental disorder among criminal offenders appear to be the same as the correlates of mental illness among other populations: age, social class, and previous mental illness. However, Collins and Schlenger³ have concluded that the lifetime prevalence of psychiatric disorder among male felons is much higher than that in the general population. The issues of violence and mental disorder need to be systematically investigated to clarify these conflicting reports and to develop information on which policy can be based.

Biological factors in violent crimes—In the past decade a significant amount of criminological research has been concerned with correlating aggressive behavior with biological factors in many areas such as health indices, birth rates, birth casualty, neurology, learning disabilities, nutrition, endocrinology, and genetics.⁴ Although there has been some indication that biological factors are of more importance in violent crime than in property crime, this finding has not been entirely consistent. Further investigation of this issue is required, but research involving the use of intrusive medical techniques in the collection of data is excluded.

Deadlines and further information

Funding for this program has been tentatively set at up to \$700,000. This amount would typically support five to seven grants.

Individual awards are normally limited to a maximum period of 2 years. Studies requiring more than 2 years to complete should be designed in phases. Selection of the first phase of the project, however, does not guarantee support of subsequent phases, and continuation award proposals must be submitted for competitive review.

It is recognized that this program budget would not ordinarily be adequate for support of large-scale experimental projects or those requiring the collection of large amounts of original data. Limited funds could be provided, however, for design and feasibility studies for such projects. Again, program support for a design study would not imply Institute commitment of support for the follow-on project. Applicants should carefully follow all of the procedures outlined in the application procedures section on page 51 of this booklet.

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

Violent Criminal Behavior Program
National Institute of Justice
Room 911
633 Indiana Avenue NW.
Washington, DC 20531

Completed proposals must be received at the National Institute of Justice no later than 5:00 p.m., February 18, 1987, to be considered for the first cycle, and 5:00 p.m., May 20, 1987, for the second cycle. Extensions of these deadlines will not be permitted.

To obtain further information about this solicitation, researchers may write to Dr. Helen Erskine, Program Manager, Violent Crime Behavior Program, at the above address, or contact her at 202-724-7631.

Potential applicants who may want to clarify the appropriateness of a specific research idea for funding under this program are encouraged to call Dr. Erskine to discuss it with her before undertaking the considerable effort required to prepare a proposal that would be competitive.

References and recent related grants

1. *Risk of Violent Crime*, by P.A. Langan and C.A. Innes, Bureau of Justice Statistics Special Reports, May 1985.
2. "Crime and Mental Disorder: An Epidemiological Approach," by J. Monahan and H. Steadman, in *Crime and Justice: An Annual Review of Research* v. 4, ed. M. Tonry and N. Morris, University of Chicago Press, Chicago, 1983.
3. "Prevalence of Psychiatric Disorder Among Admissions to Prison," by J. Collins and W. Schlenger, paper presented at the American Society of Criminology, November 1983.
4. "Violent Juvenile Delinquents: Psychiatric, Neurological, Psychological and Abuse Factors," by D.O. Lewis et al., *Journal of the American Academy of Child Psychiatry* 18 (1979) 307-319.

86-IJ-CX-0033—Child Abuse, Neglect, and Violent Behavior, University of Indiana at Bloomington.

86-IJ-CX-0034—Mental Disorder and Violent Behavior, Research Triangle Institute.

86-IJ-CX-0035—Intra- and Intergenerational Aspects of Serious Domestic Violence and Alcohol/Drugs, Research Foundation for Mental Hygiene.

86-IJ-CX-0046—An 8-Year Followup of Formerly Incarcerated Violent Offenders, University of New York at New York.

85-IJ-CX-0030—Justifiable and Criminal Homicide of Family Members, Acquaintances, and Strangers: Regional, Cultural, and Environmental Factors, University of New Hampshire.

85-IJ-CX-0033—Careers of Mentally Disordered Violent Offenders, State University of New York at Albany.

85-IJ-CX-0034—Biological and Environmental Factors in Violent Crime, University of Pennsylvania.

Property offenders' perceptions of risks

An announcement for a new program designed to understand the learning and risk perceptions of property offenders will be published separately from this Program Plan. The goal of this program is to complement the more typical large population studies with the greater detail and insight that can be obtained from research on a smaller number of currently active offenders. Projects supported through this program must have an ethnographic orientation, but overall study designs that would also utilize complementary methodological techniques are encouraged. The populations of these studies should include currently active property offenders contacted outside criminal justice channels. The National Institute of Justice currently

plans to award grants for studies at three sites under this program in fiscal year 1987. The funding for the program has been tentatively set at up to \$700,000. For additional information about this program, contact:

Ms. Winifred L. Reed
National Institute of Justice
633 Indiana Avenue NW.
Washington, DC 20531

Ms. Reed may be reached by telephone at 202-724-7635.

Victims and the criminal justice system

Introduction

The President's Task Force on the Victims of Crime recommended in 1982 that the criminal justice system give greater weight to the views of victims in criminal justice system proceedings. To date more than 30 States have passed victim rights initiatives. What remains unknown is the impact these initiatives have had on the criminal justice process and on victims themselves. For example, does victim participation ameliorate the effects of trauma? And does victim participation and treatment have any effect on fear in communities? More information is needed to determine the victim's current status within the criminal justice system and to assess what further improvements in that status are needed.

National Institute of Justice research has examined attempts to incorporate victim input into pretrial settlement conferences, plea negotiations, and both sentencing and parole eligibility hearings. Studies show that victim participation is highest in those procedures closest in time to the crime. On the whole, victim appearance rates range from 50 percent in pretrial conferences to 2 percent in parole hearings. Mechanisms of notification also affect participation, with half the victims being unaware of the opportunity to appear or not knowing where and when to appear. More convenient and effective ways of insuring victim influence on all phases of criminal justice system processes and outcomes are necessary before the full potential for beneficial victim involvement can be realized.

Institute research has highlighted the fact that the citizen's role in reporting crime and in providing evidence is critical in efforts to arrest and convict offenders. Such vital participation may not occur, however, if victims and witnesses fear for their safety or are disillusioned with the criminal justice system. Therefore, incentives are needed to gain greater citizen cooperation with the system, to develop support services that provide aid for victims and witnesses, and to utilize anonymity and economic incentives which increase citizen cooperation. Such additions could make tremendous differences in cases which would probably not otherwise be solved.

Institute research has also dealt extensively with a special class of victims—children. Studies which have focused on the sexual abuse of these young victims have identified some very disturbing trends. Statistics show that most child sexual abuse cases

go unreported. In addition, of those which are reported, the majority are not prosecuted.

Concerns about the harmful effects a child might experience while participating in criminal justice procedures and doubts as to the credibility of the child witnesses are important factors in decisions not to prosecute child abuse cases. Proving that the child was actually victimized and that an alleged assailant is indeed the guilty party can be extremely difficult. Such questions often turn on whether the child's behavior, knowledge, or attitudes on sexual or other matters lie sufficiently outside the norm as to constitute clear evidence of sexual victimization. It is clear that the approaches used successfully in other areas of child development need to be brought to bear on the problem of proving child sex abuse in court. Finally, in the face of the arduous effort it takes to bring such painful cases to trial, studies have found problems with the outcomes of even the few successful prosecutions of child sex abusers. For the most part, sentences for such criminals are not greater than one year.

In short, past research has shown authorities that participation by victims, both children and adults, is vital to the criminal justice process. Further work is needed to improve the utilization of victims as active case participants to secure more prosecutions and convictions. At the same time, it is essential to insure that these victims gain the maximum support and protection that the system can provide.

Scope

The National Institute of Justice is issuing this solicitation in order to develop improved systematic responses to the critical problems related to actions in support of crime victims. The following topic areas, although not intended to be complete in their coverage, are presented as examples of research themes in which the National Institute has a particular interest.

Assessing the impact of victim rights initiatives—The research in this area should address both the positive and negative effects of these legislative and policy initiatives in terms of their impact on victims and on the criminal justice system. Several questions can be addressed. Do outcomes differ when victim allocation rights are exercised and when victims are involved in plea decisions or in assisting the prosecutor in the trial process? What are the effects of such procedures

on court/trial processing in terms of resource demands or policy modification? What impact do such changes have on victim satisfaction with the criminal justice process and their willingness to cooperate and support the actions of prosecutors, judges, and other criminal justice personnel?

More objective determination of victim impact—While often helpful to final case outcomes, it has been demonstrated that victim appearance provisions place a heavy responsibility on the criminal justice system. Substantial time and effort must be expended to inform victims adequately of their rights and remind them of the times and places for appearances. For victims, such active and visible roles in the criminal justice process are often time-consuming and emotionally stressful.

However, victim influence may be possible without victim appearance. One possible alternative could be a victim impact statement taken at the earliest possible point in case processing and updated as necessary to influence all major criminal justice actions. An authoritative assessment instrument that would provide a detailed description of the financial, emotional, medical, and other forms of harm or loss suffered by the victim could be employed. The statement could be taken by victim service counselors, police officers, or detectives, and readily comprehended by prosecutors, judges, jurors, parole boards, and victim compensation boards.

Research proposals for the development of such an instrument should include a description of what dimensions of impact are to be measured and why, how they are to be measured, how and by whom the instrument is to be administered, the process by which the instrument is to be tested and refined, and other details as relevant. Practitioners who would use the instrument should be involved or represented in the project in an appropriate manner.

Promoting victim involvement in the criminal justice process—The focus of research in this area is on developing more effective strategies and techniques to motivate victims and witnesses to report crime, to give evidence, and to cooperate, when necessary, in subsequent stages of the criminal justice process. Research should build where appropriate on successful programs such as Crime Stoppers and Neighborhood Watch. The emphasis is on experimental approaches that can demonstrate a positive impact on the actions and response of victims and witnesses at each of the key decision points in the criminal justice process. Efforts to enhance victim/witness safety and more

effectively provide information to the victims on case status and related criminal justice activities merit special research emphasis. The cost-effectiveness of different approaches to these problems is a priority concern.

Protecting the victim of child sexual abuse in court—Research is required that will lead to the development of standardized norms, assessment instruments, and evaluation procedures that can provide evidence of the occurrence of child sexual abuse in ways that protect the interests of the child and are acceptable to the court system. Most important are instruments and procedures that will be authoritative with respect to child assessment and the determination of sexual abuse. They must also protect the child victim from further injury by the criminal justice system itself.

Applicants should indicate how they would go about the construction of the required assessment tool and how they would test and refine it in ways that have the greatest similarity to its proposed use in real criminal justice system proceedings. Practitioners who would represent the intended users of the grant products should be involved in the project in an appropriate manner.

Deadlines and further information

Funding for this program has been tentatively set at up to \$750,000, which will typically support 2 to 4 grants. Applicants should carefully follow all of the procedures outlined in the application procedures section on page 51 of this booklet.

In addition, the management plan should include a concluding 3-month period, supported with a very limited budget, to provide for any necessary modifications of the draft final report and executive summary in response to NIJ reviews.

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

Research Program on Victims and the Criminal Justice System
National Institute of Justice
633 Indiana Avenue NW
Washington, DC 20531

Completed proposals must be received at the National Institute of Justice no later than 5 p.m. on April 24, 1987. Extensions will not be granted.

Applicants are encouraged to contact the Institute before submitting proposals to discuss topic viability

or proposal content. To obtain further information, potential applicants may contact Dr. Lawrence A. Bennett at 202-724-2956.

References and recent related grants

Confronting Domestic Violence: A Guide for Criminal Justice Agencies, by Gail A. Goolkasian, National Institute of Justice, Washington, D.C., 1986.

When the Victim Is A Child: Issues for Judges and Prosecutors, by Debra Whitcomb, Elizabeth R. Shapiro, and Lindsey D. Stellwagen, National Institute of Justice, Washington, DC, 1985.

Attorney General's Task Force on Family Violence, Final Report, U.S. Department of Justice, Washington, DC, 1984.

Report of the President's Task Force on Victims of Crime. Washington, DC, 1982.

86-IJ-CX-0001—Authorization and Implementation of Victim Impact Statements, State University of New York at Albany.

85-IJ-CX-0006—Sexual Assault Legislation, Center for Women Policy Studies.

85-IJ-CX-0020—Effect of Criminal Court Testimony on Child Sexual Assault Victims, University of Denver.

85-IJ-CX-0038—Criminal Victimization: The Physical Impact of Psychological Stress, Kent State University.

85-IJ-CX-0066—The Impact of Courts on the Sexually Abused Child, University of North Carolina.

84-IJ-CX-0039—Psychological Impact of Crime, Medical University of South Carolina.

84-IJ-CX-0074—Sentences for Sex Offenses Against Children and Adults, American Bar Association.

Public safety and security

Introduction

Crime and fear of victimization have enormous consequences that affect commerce, lives, property, and individual freedom.

The criminal justice system has the primary responsibility for providing a safe community within which residents can live and conduct their business with a sense of security. The purpose of this solicitation is to encourage the submission of research proposals that will serve to improve the means by which citizens, community organizations, private security, all private and public agencies, and the criminal justice system can work in concert to effect these goals of public safety and community security.

During the past decade, much has been learned about effective techniques of crime prevention, community and neighborhood action, and alternative policing strategies.

For example, Institute research has included many studies of community crime prevention capabilities. There has also been work on the crime prevention role of law enforcement, particularly in the areas of preventive patrol, specialized practices for deterring serious crimes, and police interaction with private security and other segments of the community.

These studies have demonstrated that, along with specific law enforcement efforts, collective citizen actions can have important effects on both crime and the fear of crime. Experiments in Hartford, Portland, and other cities showed that combined law enforcement, citizen, and environmental strategies can effectively increase safety and security in residential and commercial neighborhoods. Studies in Houston and Newark also demonstrated that the police, working with citizens, can reduce the fear of crime and, in some instances, the actual level of crime.

More recently, Institute-sponsored research in Newport News, Virginia, found a special proactive approach to policing, called problem-oriented policing, to be of major significance. The emphasis on problem identification, the use of community-wide information and resources for analytical purposes, and the development of a broad-based response that may combine both corrective and preventive measures produced highly positive results.

Problem-oriented policing is the outgrowth of 20 years of Institute research into police operations,

including the Kansas City patrol experiments, the Wilmington split force study, the study of differential police response to calls for service, the study of fear of crime in Houston and Newark, and more recently, the demonstration efforts in Newport News. The two main themes that have emerged from these studies are increased police operational effectiveness and closer police involvement with the community.

The Institute has also conducted extensive studies of various serious assault and property offenses and the system's response to them. Guidelines for police and prosecutors in the area of forcible rape, for example, have contributed not only to improved investigation and prosecution procedures for rape but to more sensitive treatment of victims. And comprehensive NIJ studies of homicide, robbery, burglary, and arson have identified factors associated with their occurrence as well as strategies for more effective prevention and response. Research has also addressed other major crime problems, such as consumer fraud, abuse of government benefit programs, employee theft, and computer crime.

These studies have all contributed to the development of improved regulatory, criminal justice, and private sector strategies and policies. Additional research is necessary, however, especially in terms of systemwide coordination and focus of effort.

Scope

This solicitation requests proposals which will build on the progress of past research to develop a more integrated approach to reducing crime, increasing public safety, and improving community security. A variety of research designs and methodologies will be considered eligible under this program, including evaluations of existing programs or field experiments. All proposals, however, should have as their ultimate goal the development of more effective programs or strategies for preventing and reducing criminal victimization, reducing community fear and disorder, or both.

Participant groups for such strategies may include law enforcement agencies, individual citizens, particular population subgroups, community groups and institutions, the private business sector, private security forces, and both governmental and non-governmental organizations.

Proposals submitted should include specific research and program plans. Sources of data to be used in problem definition and analyses should be indicated along with a clear definition of the methods for evaluating the impact of proposed solutions on the reduction or prevention of crime.

The following research topic areas, while not exclusive, identify some issues of particular concern.

Police as public safety leaders—Some authors have criticized police managers for their adherence to traditional, largely reactive responses to community safety issues. There is a growing recognition among police executives that many urban safety problems are best dealt with in collaboration with other public agencies such as transportation or human services, rather than solely within a law enforcement framework. Even within a law enforcement framework, police have begun to experiment with proactive approaches to crime problems. Problem-oriented teams have been able to involve the community in identifying problems and developing new and productive approaches to crime prevention and apprehension.

Both police collaboration and proactivity are relatively new concepts that need additional experimentation if police executives are to enlarge their role in providing safety to their communities. Applicants might study ways for police to expand the resources targeted toward public safety through collaboration with other community agencies like the public schools or fire departments. They might investigate proactive efforts by police with citizen groups or business leaders. Studies should include measures of the resources contributed as well as indicators of success or failure.

Public and private security—Investment in private security has outstripped law enforcement expenditure since 1980. This dramatic growth may signal the emergence of new relationships between public and private security and the possible future "privatization" of security services. Households as well as businesses have acquired a potpourri of self-protection including electronic alarm systems, guards and guard dogs, security locks, and auxiliary lighting. Despite the magnitude of these investments, there is scant empirical knowledge on whether these investments prevent or simply displace crimes and whether these investments add to or duplicate services provided by local police.

Research is solicited that will explore the mechanisms through which private security operates

and how these mechanisms affect or rely upon police presence or response. Studies may concentrate on capital-intensive systems such as lighting and alarms, or on labor-intensive settings like guards and store detectives. Settings may be business or residential. Key research questions are whether measurable reductions in victimization risk are achieved and whether police operations should be altered to enhance crime prevention and apprehension of criminals in a modern security environment. Applicants who seek joint support from private organizations such as home and business insurers or local business groups are of special interest.

Improving the quality of urban life—Physical settings often signal latent danger and the deterioration of a business or residential neighborhood. Graffiti and other vandalism, littered streets, drifters, and unruly youths instill a fear of crime and create a climate in which householders and businessmen are reluctant to invest. Deterioration is likely to progress to genuine danger if it is allowed to continue.

Research on strategies to reverse urban deterioration can take several forms. Studies may seek to clarify the relation between deterioration and the growth of crime and what works to reverse these processes. Applicants might study joint efforts of police and citizen coalitions or police and business leaders to identify the elements of such partnerships that are influential in reversing deterioration. Studies might focus on specific crimes such as shoplifting and street theft or on specific populations such as teen gangs or low-level drug dealers. Studies should propose specific measures of success or failure. Measuring the costs to the community of deterioration is of special interest.

Deadlines and further information

Funding for this program has been tentatively set at up to \$1,000,000, which will typically support 5 to 8 grants. Applicants should carefully follow all of the procedures outlined in the application procedures section on page 51 of this booklet.

In addition, the management plan should include a concluding 3-month period, supported with a very

limited budget, to provide for any necessary modifications of the draft final report and executive summary in response to NIJ reviews.

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

Research Program on Public Safety and Security
National Institute of Justice
633 Indiana Avenue NW.
Washington, DC 20531

Completed proposals must be received at the National Institute of Justice no later than 5:00 p.m. on the dates specified for each cycle. This program's first cycle deadline is February 13, 1987. The second cycle deadline is May 15, 1987. Extensions will not be granted.

Applicants are encouraged to contact the Institute before submitting proposals to discuss topic viability or proposal content. To obtain further information, potential applicants may contact Dr. Lawrence A. Bennett at 202-724-2956.

Recent related grants

86-IJ-CX-0071—Arson Measurement, Analyses, and Prevention, Northwestern University.

86-IJ-CX-0079—Research on Strategies To Incapacitate Narcotics Wholesalers, Police Executive Research Forum.

85-IJ-CX-0004—Neighborhood Self-Help Anti-Crime Program, Eisenhower Foundation.

85-IJ-CX-0006—Sexual Assault Legislation: An Implementation Study, Center for Women Policy Studies.

85-IJ-CX-0013—Illicit Money Laundering Activities and Strategies to Combat Them, Battelle Memorial Institute.

85-IJ-CX-0014—Major Issues in Organized Crime Control: A Symposium To Develop an Institute Research Agenda, Northwest Policy Studies Center.

85-IJ-CX-0048—The Impact of Rape Reform Legislation, University of Nebraska at Omaha.

85-IJ-CX-0070—Downtown Safety, Security, and Economic Development Program: Phase IV, Regional Plan Association, New York City.

85-IJ-CX-0074—Disorder, Crime, and Community Decline, Northwestern University.

84-IJ-CX-0059—Factors Distinguishing Successful From Unsuccessful Burglaries and Robberies, State University of New York at Albany.

84-IJ-CX-4066—Promoting Crime Prevention Competence Among the Elderly, Colorado State University.

84-IJ-CX-0023—Improving the Effectiveness and the Utilization of Neighborhood Watch Programs, State University of New York at Albany.

84-IJ-CX-0040—Problem-Oriented Policing (Newport News Police Department), Police Executive Research Forum.

PO 84-M-146—Policing a City's Central District: The Oakland Story, Albert J. Reiss, Jr., Yale University.

Apprehension and prosecution of criminal offenders

Introduction

All crimes that occur need ideally to be responded to with the apprehension and successful prosecution of criminal offenders. Yet research overwhelmingly shows that a few, highly active offenders commit over 80 percent of all crime. While every crime needs to be investigated to protect the rights of individual victims, the police and prosecutors must recognize that some criminals pose a higher risk to society than others.

The identification, apprehension, and prosecution of such offenders requires that systematic planning occur between police and prosecutors. While police and court officials share the common objective of reducing crime and ensuring public safety, each has different, and sometimes conflicting, methods or subobjectives. Thus, it is apparent that a more systematic approach is necessary to solve the problems presented by crime and the serious criminal offender. Methods of better identifying career criminals, techniques for building better cases to ensure convictions, and sources for obtaining more complete offender dangerousness information must be developed.

Police have made many advances in the area of targeting resources on active and dangerous, chronic offenders. An Institute-funded project conducted by the Police Foundation, for example, examined a proactive targeting approach to apprehending repeat offenders. Officers assigned to the Washington, D.C., Repeat Offender Project (ROP) used a variety of investigative and undercover tactics to apprehend high-rate offenders. The study found that ROP substantially increased the likelihood of arrest for targeted persons and that those arrested by ROP officers had longer and more serious prior arrest histories. In addition, ROP arrestees were more likely to be prosecuted and convicted on felony charges and more likely to be incarcerated than non-ROP comparison arrestees.

Similarly, NIJ's adjudication research has shown that through the effective targeting of prosecutorial resources, improvements can be made in the conviction and sentencing of serious repeat offenders. An important issue in the handling of such dangerous, chronic criminals is the pretrial release decision. Bail guideline studies have shown that data exist that can help courts make pretrial release decisions that improve offender reappearance rates and reduce the commission of crime by those on

bail. However, information regarding the determination of dangerousness, an essential part of the pretrial release decision, is often not made available to the judge.

Strategies are also currently being tested through an Institute-sponsored police-prosecutor program to reduce attrition in felony cases. Through cooperative relationships among police, prosecutors, and research evaluators, these experiments are examining the impact of a variety of police-prosecutor coordination efforts. This research is intended to provide information that will be useful in eliminating avoidable case attrition and improving case preparation and evidence gathering.

However, despite these advances, there are many ways in which current systemwide activities fall short. Available evidence is often not properly collected or analyzed; information resources are not adequately tapped; inadequacies exist in the filing of criminal charges; key witnesses may not be properly prepared or encouraged to appear at trial; incomplete case preparation and schedule conflicts may result in unnecessary case delay or dismissal; and pretrial decisions may be made before adequate offender background information is presented. As a result, both offenders and the public sometimes conclude that the criminal justice process is ineffective and not meeting its objectives.

Scope

The National Institute of Justice is issuing this request for proposals in order to develop improved systematic responses to critical problems in the apprehension and prosecution of serious criminal offenders. Studies are encouraged that deal with means of improving any of the following: early identification of serious or chronic offenders, improved police-prosecutor interaction and coordination, development of prosecutorial alternatives for handling serious repeat offenders, improved determination of public dangerousness, and increased understanding of key criminal justice decisionmaking issues.

Projects funded may involve the analysis and assessment of current practices or the evaluation of new programs and procedures. Proposed research

should be grounded in current theory and practice while being responsive to the needs of the practitioner. Innovative experimental research efforts are especially encouraged and will receive prime consideration. Field experiments, however, will require the identification of cooperative project sites as well as evidence of support from key participants.

The application must address the significance of the problem and indicate how the results of the proposed research will contribute to improved policy and practice. The program narrative should contain a clear, concise statement of the issues to be addressed, supported by a review of the literature in that problem area. In addition, there should be a detailed statement of the proposed research design and study methodology. Care should be taken in delineating the data sources, data collection strategies, variables to be examined, and procedures of analysis to be employed.

The following topic areas, although not intended to be complete in their coverage, are presented as examples of research themes in which the National Institute has a particular interest.

Identification and apprehension of serious offenders—Police strategies for identifying highly active serious offenders and monitoring their activities should be tested and evaluated. Research is necessary to determine the most effective means by which to supplement the criminal record for the early identification of serious repeat offenders. In addition, while preliminary research by the Institute suggests that repeat offender identification programs can be effective, further research is needed to evaluate ROP selection procedures and to estimate their crime control potentials. Studies may examine the optimal size of such units, the impact of ROP units on the rest of the criminal justice system, or the types of crimes, criminals, or both that are most susceptible to intervention through ROP strategies.

Improving prosecution through police-prosecutor coordination—Research is needed to develop more effective means of coordinating police efforts with those of prosecutors to ensure that arrests of serious offenders lead to conviction. One particular issue that merits special attention involves the application of evidentiary rules, which has been a source of tension between police and prosecutors for years. Research is needed that analyzes existing differences between the departmental goals and philosophies of police and prosecutors. Studies could analyze the sources of this tension (inherent to the system versus that based on attitudes); the impact of segmented evidence

gathering and usage on police-prosecutor interaction; or the effectiveness of vertical investigation and prosecution systems (one investigative officer and one prosecutor).

Ensuring public safety through better decisionmaking—The Institute's research on bail guidelines indicates that accurate information regarding an offender's behavior exists. Yet this information is often not made available to the judge even though it would lead to safer pretrial decisions.

Research that develops or examines methods of increasing the availability of public dangerousness information is needed. Studies may focus on better usage of existing data sources; enlarging existing data bases through previously untapped sources; developing new data sources; or examining the impact of external factors such as jail overcrowding, community response, and witness safety on the decisionmaking process. Studies which emphasize innovative techniques, such as urinalysis, are strongly encouraged.

Research is also needed to analyze procedures and develop prosecutorial alternatives to be considered when making decisions such as charging, bail/detention, and plea bargaining/case disposition.

These are but a few of the issues related to the apprehension and prosecution of serious offenders. While submissions are encouraged to address the issues and concerns cited above, other proposals that address relevant issues in the apprehension and prosecution area will be considered.

Deadlines and further information

Funding for this program has been tentatively set at up to \$750,000, with approximately \$375,000 being allotted for each of the two funding cycles. This will typically support 4 to 7 grants. Applicants should carefully follow all of the procedures outlined in the application procedures section on page 51 of this booklet.

In addition, the management plan should include a concluding 3-month period, supported with a very limited budget, to provide for any necessary modifications of the draft final report and executive summary in response to NIJ reviews.

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

Research Program on Apprehension and Prosecution
National Institute of Justice
633 Indiana Avenue NW.
Washington, DC 20531

Completed proposals must be received at the National Institute of Justice no later than 5:00 p.m. on the dates specified for each cycle. This program's first cycle deadline is February 20, 1987. The second cycle deadline is May 22, 1987. Extensions will not be granted.

Applicants are encouraged to contact the Institute before submitting proposals to discuss topic viability or proposal content. To obtain further information, potential applicants may contact Dr. Fred Heinzelmenn at 202-724-2949.

Recent related grants

86-IJ-CX-0028—Use and Effectiveness of Fines, Jail and Probation in Municipal Courts, University of Southern California.

86-IJ-CX-0046—Evaluation of Mental Health Expert Assistance Provided to Indigent Criminal Defendants, National Center for State Courts.

86-IJ-CX-0081—Evaluation of Administrative Per Se Laws, Pacific Institute for Research and Evaluation.

85-IJ-CX-0005—Effects of Sentences on Subsequent Criminal Behavior, New Jersey Administrative Office of the Courts.

85-IJ-CX-4007—Reducing Avoidable Felony Case Attrition, Hindelang Criminal Justice Research Center.

85-IJ-CX-0008—Improving Evidence Gathering Through Police and Prosecutor Coordination, Snohomish County Prosecutor's Office.

85-IJ-CX-0054—Evaluation of the Minnesota Determinate Sentencing System, Virginia Polytechnic Institute and State University.

84-IJ-CX-0004—Improving Evidence Gathering Through Police and Prosecutor Coordination, Research Management Associates, Inc.

84-IJ-CX-0056—Assessing the Utility of Bail Guidelines, Temple University.

84-IJ-CX-0069—Budgetary Incentives and Reducing Delay in the Criminal Courts, State University of New York.

84-IJ-CX-0072—How Police and Prosecution Procedures Affect Case Attrition Rates, Rand Corporation.

84-IJ-CX-0075—Convicting Guilty Criminals: An Experiment in Police and Prosecutor Communication, Police Foundation.

84-IJ-CX-0076—Improving Evidence Gathering Through a Computer-Assisted Case Intake Program, Georgetown University.

Punishment and control of offenders

Introduction

Punishment serves an important goal in contributing to the safety of society. According to Southerland and Cressey,¹ punishment of criminals is justified in order to accomplish retribution, deterrence (including incapacitation), rehabilitation, and protection and in upholding the solidarity of society.

Between 1980 and 1985, 10 to 12 million people each year were arrested and charged with violations of the criminal law. During this same period the number of persons incarcerated in State and Federal correctional facilities increased by more than 53 percent, and the number of offenders under supervision in the community rose by almost 50 percent.

Despite this level of activity, the public senses the inadequacy of traditional offender controls. This lack of confidence has tended to erode the probation process, degrade court operations, and compromise the entire system of justice. Without adequate offender control, the choice is viewed as a decision between incarceration (maximum control) or nonincarceration (little or no control).

With prisons full and overflowing, alternative punishments are constantly being sought. The most common alternative, probation, is often ineffective since scarce resources lead to practices such as limited office contacts. Such efforts fail to result in adequate punishment and control. What is needed is more information as to the effects of gradations of punishment. What kinds of sanctions are necessary to get the attention of an offender? A week in jail? Two months of public restitution? Six months in prison? How can offenders be more effectively controlled in the community?

Prison research undertaken by the National Institute of Justice has helped address some of these problems through the development and examination of sentencing guidelines, studies of the effects of incapacitation on crime and victimization, and many assessments of strategies and programs which seek to better control offenders. Studies of felony probation outcomes in California and ongoing assessments of intensive probation supervision programs in Georgia, New Jersey, and Massachusetts are helping to better inform criminal justice

policymakers and administrators about viable options that may complement traditional crime control methods.

Scope

This solicitation is being issued to encourage research that emphasizes a more systematic approach to the determination, imposition, and enforcement of fair and effective criminal sanctions. Studies of the issue of sentencing, for example, should take into account both incapacitating and deterring effects. Alternative punishments must also be examined in terms of their impact on continued criminal behavior. Thus, studies of the cost-effectiveness of different sanctions are also needed. The overall goal is to help develop a system of criminal punishments and control that will ensure safety for the public and still be cost-effective.

Of particular interest are projects exploring improved methods for ensuring that offenders pay for services provided. Under present procedures offenders are usually placed in a variety of programs fully supported by taxpayers. The offender should be liable for the consequences of his behavior and assume greater responsibility for activities that might contribute to a more positive future. Thus, studies of the use of probation fees might be considered as well as the payment of costs associated with drug testing if that should be needed. Similarly, improved procedures for the collection of fines and restitution payments should be carefully evaluated. Again, the overall goal is to develop a system of offender punishment and control that will ensure safety for the public and still be cost effective.

Proposals that will provide important policy guidance based on research and the evaluation of innovative operational strategies are of particular interest. Projects funded may involve the analysis and assessment of current practices or the evaluation of new programs or procedures. Proposed research should be grounded in current theory and practice and should be responsive to the needs of the practitioner. Innovative experimental research efforts are especially encouraged and will receive prime consideration. Field experiments, however, will require the identification of cooperative project sites as well as evidence of support from key criminal justice participants.

The following topic areas, although not intended to be complete in their coverage, are presented as examples of research themes in which the National Institute has a particular interest:

Use of various sentencing sanctions—The primary penal sanctions employed to punish and control criminal offenders are probation and incarceration. However, many jurisdictions are increasing their use of other sanctions, including fines, house arrest, electronic monitoring, community service orders, weekend confinement, and a variety of treatment/control programs for particular offenders such as drunk drivers and other drug abusers.

Research is needed to better define the benefits and drawbacks of these various sentencing alternatives and determine how they can be more effectively employed for particular groups of criminal offenders. Of particular interest are the consequences of these sanctions both in terms of punishment and deterrence.

The incarceration of offenders—High rates of crime and the need to incapacitate serious offenders have resulted in greater use of incarceration as a penal sanction. Within prisons there is a need to address problems of security and violence that are related to the large number of serious criminal offenders present in inmate populations. These offenders must be effectively controlled in order to reduce the likelihood of harm to correctional staff and other inmates. More effective control strategies to deal with such offenders need to be implemented and evaluated.

Research that will contribute to the improved management of prisoners through cost-effective yet humane forms of incarceration is encouraged. Programs that increase the contributions and responsibility of inmates are also indicated. Proposals examining levels of privileges related to work and good behavior are of interest, as are plans which deal with employment by private industry within the prison setting. In the latter case, studies of how offenders can pay for a major portion of their upkeep, assist in supporting their families, and contribute to restitution payments or to victim compensation programs are also stressed.

Jails, police lockups, and other short-term facilities—While most jails can be used to handle persons for as long as a year, local lockups are the temporary detention facilities generally used to hold persons for 48 hours or less. Even though they are used extensively, a number of problems relating to their operations have been identified. These problems include intake screening to adequately address physical and mental health concerns; services for special clientele, such as

addicted, alcoholic, suicidal, or juvenile inmates; crowding; security issues, including the need for offender surveillance and monitoring; and staff selection, training, and performance. Since relatively little is known about short-term facilities, empirical research that will address these problems and promote more effective management and operation is encouraged.

Control of offenders in the community—Clearly, incarceration prohibits offenders from continuing to commit crime. Other alternatives are progressively less secure. However, with more effective risk assessment and classification systems, correctional officials may be able to better manage offenders and keep them from creating more victims while being punished in less secure environments. In order to provide adequate public protection, however, more effective mechanisms are needed to identify both pretrial defendants and convicted offenders who can be monitored and controlled in the community. There is particular interest in the development of effective strategies for handling such offenders while ensuring public safety.

Experimental studies that deal with the selection of such offenders and the use of intensive supervision or other means of community surveillance and control are urgently needed and will receive special attention. For example, more information is needed on assessing dangerousness in order to more reliably target offenders who require greater control. Further, programs requiring additional evaluation are those placing greater responsibility on the offender for payment of service fees for probation supervision, urinalysis testing, and electronic monitoring.

Deadlines and further information

Funding for this program has been tentatively set at up to \$750,000, with \$375,000 for each of the two cycles. This will typically support 4 to 7 grants. Applicants should carefully follow all of the procedures outlined in the application procedures section on page 51 of this booklet.

In addition, the management plan should include a concluding 3-month period, supported with a very limited budget, to provide for any necessary modifications of the draft final report and executive summary in response to NIJ reviews.

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

Research Program on the Punishment and Control of Offenders
National Institute of Justice
633 Indiana Avenue NW.
Washington, DC 20531

Completed proposals must be received at the National Institute of Justice no later than 5:00 p. m. on the dates specified for each cycle. This program's first cycle deadline is February 27, 1987. The second cycle deadline is May 29, 1987. Extensions will not be granted.

Applicants are encouraged to contact the Institute before submitting proposals to discuss topic viability or proposal content. To obtain further information, potential applicants may contact Dr. Fred Heinzmann at 202-724-2949.

References and recent related grants

1. *Criminology*, 9th ed., by Edwin H. Southerland and Donald C. Cressey, Lippincott, Philadelphia, 1974.

86-IJ-CX-0041—Electronic Monitoring of Non-Violent Convicted Felons, Indiana University.

86-IJ-CX-0040—Electronic Surveillance of Work Furlough Inmates, San Diego Association of Governments.

86-IJ-CX-0064—Validity and Reliability of 8 Types of Electronic Monitoring Equipment, Utah State Department of Corrections.

86-IJ-CX-0080—Electronic Surveillance of Pretrial Releasees as a Jail Crowding Reduction Strategy: Evaluation of a Controlled Experiment in Indianapolis, Toborg Associates.

85-IJ-CX-0036—Impact of Intensive Probation Supervision in Massachusetts, University of Massachusetts at Lowell.

85-IJ-CX-0043—Analysis and Management of Long-Term Offender Violence, Correctional Services Group.

85-IJ-CX-0049—Finding Effective Strategies to Control Gang Violence in Prison, Criminal Justice Institute.

85-IJ-CX-0060—Evaluation of an Interagency Vocational Rehabilitation Program for Youthful Offenders, North Carolina State University.

85-IJ-CX-0065—Review and Evaluation of Specialized Programs for Two Prisoner Groups, American Correctional Association.

85-IJ-CX-0067—Electronic Monitoring of Offenders: An Appraisal, Michigan Department of Corrections.

85-IJ-CX-0068—Contracting with the Private Sector for the Operation of State Correctional Facilities.

84-IJ-CX-0043—Improved Handling of Long-Term Offenders, Missouri Department of Corrections.

Forensic and criminal justice technology

Introduction

Forensic science and criminal justice technology have proved to be invaluable tools for criminal justice. Innovations in these fields have helped to provide credible evidence in criminal investigations with a resulting increase in convictions and early guilty pleas. They also have categorically cleared innocent suspects of a crime. In addition, such advances have supplemented and improved many operations and procedures in the various segments of the system. Research is essential in ensuring that criminal justice agencies and organizations use the most up-to-date technology and resources both to investigate crime and to prevent it.

There exists a strong potential for channeling advances by the scientific community toward the improvement of the entire criminal justice system. Institute-sponsored projects have led to dramatic results in many areas including forensics, patrol allocation, computer-aided transcription, and the protection of law enforcement personnel in the line of duty.

Early medical research into the genetic markers present in human body fluids—blood, semen, perspiration, saliva, etc.—was harnessed to improve significantly the ability to identify perpetrators of violent crime. Using techniques developed in Great Britain, the Institute pioneered the widespread American use of electrophoresis whereby even minuscule samples of physical evidence can be analyzed to provide invaluable information in criminal investigations. With electrophoresis, a tiny fleck of an assailant's blood found at a crime site can help lead officials to the attacker or narrow the field of suspects.

Another breakthrough demonstrating the impact of close cooperation between science and law enforcement was the development of soft body armor for police officers. Early body armor used by law enforcement personnel was heavy, uncomfortable, and drastically inhibited movement. Then, using a soft synthetic fiber originally created by DuPont to replace steel cord in automobile tires, scientists developed the Kevlar vest. The garment, which is flexible and inconspicuous under normal clothing, has been credited with saving the lives of hundreds of police officers.

In addition, research has addressed needs in the area of police department resource allocation. In most police departments, patrol car operations consume over half of the annual budget. In response to the

failings of the traditional "hazard" and "workload" formulas of directing patrol operations, the Institute sponsored the development of the Patrol Car Allocation Model (PCAM85). Using the latest technology, researchers provided police departments with a computer program which offers a viable and effective method for matching resources such as patrol cars and manpower to need.

Advances are also being made in alternative methods for individual identification through a variety of mechanisms such as voice prints.

These few examples illustrate how scientific and technological progress can be focused to improve our ability to control crime. The National Institute of Justice is committed to funding research which will facilitate the use of scientific innovation throughout the criminal justice system.

Scope

The Institute seeks proposals for research in the physical sciences and technology geared toward the development of either equipment or techniques which will aid in crime prevention, detection, or investigation. Special attention should also be addressed to technology that would aid in tracing organized crime deals. Also of interest would be means which would enhance criminal identification capabilities. Another possible topic would be the application of artificial intelligence to police command and control problems.

The following represent areas of particular concern. Please note, however, that at this time computer hardware and software innovations per se are excluded except as integral parts of larger, more comprehensive systems.

Less-than-lethal weapons—The Institute has long been involved in the search for a viable alternative to the police officer's most distinctive weapon—his handgun. Because a decision on the part of a policeman to use his gun can often mean serious injury or even death to one of the parties involved, the use of weapons is strictly curtailed by legal precedents and local policy. The availability of a less-than-lethal alternative weapon would allow the individual patrolman to more effectively carry out his duty of protecting the public.

Scientists and inventors have offered several solutions to the dilemma posed by the lethal potential of traditional firearms, including a stun device such as the Taser which uses relatively harmless electric current to incapacitate offenders. Various gases and gas delivery systems have also been the source of experimentation including the RAG (ring air foil grenade) delivery systems for tear gas. Finally, tools ranging from spray nets to electromagnetic radiation have become of interest to the law enforcement community.

However, all devices to date have shown serious problems in deployment, result, or both. The Institute seeks to sponsor the development of weapons which will incapacitate for a sufficient period of time without killing, maiming, or disfiguring arrestees or offenders. Concerns to be addressed in device development include range, reaction-time, portability, effectiveness, cost, etc. Equipment is sought for several scenarios including one-on-one encounters, group encounters, and riot situations.

Forensics—The science of forensics has provided one of the most exciting avenues for growth and improvement in the area of crime investigation. Breakthroughs in the techniques and equipment used to study evidentiary materials have literally transformed the modern ability to solve and study crime.

Several years ago, the Institute sponsored what has become known as a fundamental resource in laboratories across the country—the *Sourcebook of Forensic Serology, Immunology, and Biochemistry* by Robert E. Gaensslen, Ph.D. Other past projects have included the identification of assailants using hair lost during struggles with victims, the conclusive examination of gunshot residue on hands and clothing using electron microscopes, and the study of human speech patterns resulting in technology capable of identifying individual “voiceprints.”

Research proposals in forensics can be of a wide and varied nature. The Institute solicits projects which aim to develop equipment or techniques which enhance forensic capabilities. In addition, studies which propose evaluation and improvement of the use of forensic evidence are welcome.

Detection of weapons and illegal substances—There is a clear need for better ways to separate the criminal from the implements of criminal violence. In response to an increase in acts of terrorism and epidemic growth of the illegal drug trafficking trade, the security community has issued a call for new systems to use in the detection of

weapons, explosives, and illegal substances. Many new weapons, such as plastic guns, plastique explosives, etc., can be transported through current barriers and safeguards.

Research proposals for new tools which improve detection capabilities for both traditional and non-traditional weaponry are of interest. A breakthrough in this area offers the potential for greatly reducing violence by enabling law enforcement to determine the possession of weapons by those suspected of offenses. Also of interest are new means for the detection of illegal drugs being transported in various fashions through otherwise legitimate channels.

In addition to the areas cited above, the Institute actively considers proposals for technological advances with potential application to other areas of the criminal justice system. In short, proposals in the areas of science and technology are not limited by focus or specific subject matters, but are judged according to their potential utility in addressing today's criminal justice needs.

Deadlines and further information

Funding for this program has been tentatively set at up to \$750,000, which will typically support 4 to 7 grants. Applicants should carefully follow all of the procedures outlined in the application procedures section on page 51 of this booklet.

In addition, the management plan should include a concluding 3-month period, supported with a very limited budget, to provide for any necessary modifications of the draft final report and executive summary in response to NIJ reviews.

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

Research Program on Forensic and Criminal Justice Technology
National Institute of Justice
633 Indiana Avenue NW
Washington, DC 20531

Completed proposals must be received at the National Institute of Justice no later than 5:00 p.m. on March 13, 1987. Extensions will not be granted.

Applicants are encouraged to contact the Institute before submitting proposals to discuss topic viability or proposal content. To obtain further information, potential applicants may contact Joseph T. Kochanski at 202-724-2962.

Recent related grants

Supplemental Award 2 (1986), 83-IJ-CX-0052—
Detection of Concealed Handguns, University of
Tennessee.

86-IJ-CX-0044—Genetic Typing of DNA in
Biological Evidence, University of California.

86-IJ-CX-0059—Determining Time of Administra-
tion of Marijuana from Human Biological Samples,
University of California.

Supplemental Award 1 (1985), 83-IJ-CX-0052—
Detection of Concealed Handguns, University of
Tennessee.

85-IJ-CX-0040—A Study of the Validity of Poly-
graph Examinations in Criminal Investigations,
University of Utah.

85-IJ-CX-0021—A Data Base for Forensic An-
thropology, University of Tennessee.

83-IJ-CX-0038—Application of Enzyme Immune
Sorbent Assay in the Analysis of Blood and Semen
Evidence, University of California.

83-IJ-CX-0050—Genetic Markers in Human
Semen, Oakland Crime Laboratory.

83-IJ-CX-0052—Detection of Concealed Hand-
guns, University of Tennessee.

Supplementing the National Crime Survey

The Law Enforcement Assistance Administration constructed the National Crime Survey (NCS) in 1973 to obtain an alternative index of crime and unmask the "true" level of crime in the country. Administrators and scholars quickly came to appreciate that the NCS was a rich source of information about crime. It provided not only a measure of how much crime went unreported, but also new insights on how, where, and how frequently crime occurred. Critics have argued, however, that NCS's potential as a research tool has not yet been fully realized. The questions asked of respondents provide a consistent and stable source of data on some crime topics but, because of the constancy, prevent other lines of research inquiry.

To enhance the policy relevance and public information value of the survey, the National Institute of Justice and the Bureau of Justice Statistics are pleased to announce a jointly sponsored research program to encourage researchers to consider the widest range of research and analytic interests that

can be addressed by adding supplemental questions to the National Crime Survey. Both agencies believe that supplementary questions can yield robust answers to many research issues. Some potential areas for examination are self-protection, police response, and victimization dynamics.

An announcement for this program is being published separately. The deadline for applications will be March 27, 1987. Anyone wishing additional information regarding this program should contact:

Ms. Lauresa A. Stillwell
National Institute of Justice
633 Indiana Ave. NW., Rm. 870
Washington, DC 20531
(202) 724-2962

Fellowship programs

Introduction

The National Institute of Justice is charged by law with the responsibility to provide research fellowships to practitioners and scholars. The National Institute of Justice Fellowship Programs offer criminal justice system professionals and academicians the opportunity to conduct research in areas that are of interest to them and that also contribute to the work of the Institute. The three components

of the Fellowship Programs provide support for research on current criminal justice issues and problems conducted by persons at differing stages of their careers. The programs are:

- 1) Visiting fellowships
- 2) Graduate research fellowships
- 3) Summer research fellowships

Visiting fellowships

Introduction

Much of the success of the Visiting Fellows Program is its ability to bring together the often disparate worlds of research and practice. The program helps the Institute to keep its finger on the pulse of today's working criminal justice system by providing direct support to system professionals who demonstrate the potential to make significant contributions to criminal justice theory and practice. The fellowships provide exceptional opportunities to develop skills and knowledge and to improve future performance.

Successful candidates for the Visiting Fellows Program typically identify gaps in services or theory which, if successfully addressed, would contribute measurably to more competent operations or understanding of the system.

The Institute's most recent fellows are prime illustrations of the broad range of experience, purpose, and background the National Institute of Justice seeks in candidates for the program.

For example, during his 22 years as a police officer in the Arlington County (Virginia) Sheriff's Department, Lt. Michael McCampbell realized that most traditional recruit training programs left trainees unprepared for the harsh realities of actual street experience. During his fellowship at the Institute, Lt. McCampbell carried out an extensive evaluation of programs offered by police departments all over the country. The results from his study demonstrate the need for innovative field approaches which give new officers the practical background necessary for them to effectively and safely fulfill all of their duties.

America's prison population is growing at an alarming rate. Recent studies have shown that our prisons on a whole operate at 110 percent capacity and are forced to release thousands of inmates (many of them serious felons) early to ease crowded conditions. Charles DeWitt, a jail construction expert from Santa Clara, California, joined the Institute as a fellow to study this problem. He has undertaken a prison construction initiative which identifies cost-effective means for building new facilities. His work is being widely disseminated to State and local officials. The project will result in millions of dollars of savings and dramatic reductions in the time required to construct facilities.

According to 1984 Bureau of Justice Statistics figures, at least one member of 27 percent of

American households fell victim to crime during the previous year. How do these victims cope with the choices imposed upon them by their experiences with such traumas? Professor Barry Ruback, a psychology professor and lawyer from Georgia State University, is currently studying how victims, especially those subjected to violent crimes like rape and incest, make significant decisions whether to involve the criminal justice system or not.

During her 1986 fellowship, Dr. Patricia Mayhew used national crime surveys to compare burglary statistics for the United States, Canada, and England and Wales. Dr. Mayhew came to the Institute from her post as a principal research officer at the Home Office Research and Planning Unit in London. Her work provided an interesting examination of the structure of the crime surveys themselves. Her research showed how the design differences between the instruments affected reported measurements of burglary levels and patterns.

Scope

The Visiting Fellows Program solicits proposals from two groups of criminal justice professionals, emphasizing the nexus between research and practice. Based upon their backgrounds and credentials, candidates are classified as:

- 1) Practitioners—Middle- and upper-level criminal justice personnel who are usually employees of State or local government. These candidates bring with them an active knowledge of how the local communities function, of the policy and command structures of the justice system, and of innovations occurring at the local level. They include representatives from the police, the courts, corrections facilities, probation agencies, and victims services, and show a potential for future leadership.
- 2) Researchers—Personnel with broad and extensive criminal justice research experience. Candidates are usually drawn from college and university faculties who propose research from which the findings could improve either the assumptions on which criminal justice operations are based, or actual field operations.

Selection for the program is competitive. It is based on the background and experience of the individual candidate as well as the quality and viability of the proposed project. Submissions to the Visiting Fellows Program will be reviewed by one of two panels based upon the applicant's status as either a

practitioner or a researcher. The criteria for review will be geared accordingly. The following types of proposals are not eligible for consideration:

- 1) action-oriented programs where research plays only a minor role (actual provision of training or treatment programs, etc.),
- 2) part-time research efforts,
- 3) projects from students seeking support for graduate or undergraduate work, and
- 4) projects from former NIJ visiting fellows.

Successful candidates are invited to join the National Institute of Justice staff in Washington, D.C. There they enjoy the opportunity to interact with the Institute staff, national leaders in their field, and other visiting fellows as well as the opportunity to develop, carry out, and present their projects. Eighty percent of the fellowship period must be spent at the Institute.

Requirements for the Visiting Fellows Program are as follows:

- Projects must begin between July 1, 1987, and June 30, 1988. They can run from 6 to 18 months.
- NIJ funds will cover: Fellow's salary, fringe benefits, reasonable relocation costs, travel essential to the project, supplementary expenses (some special equipment, etc.), and office costs (telephone, supplies, furniture, etc.).
- Awards can be made in two manners:
 - 1) to individuals, and
 - 2) through IPA (inter-governmental personnel action) to the recipient's parent facility. To be eligible for an IPA appointment, the candidate must be an official of State or local government or a nonprofit criminal justice organization certified as eligible by the U.S. Office of Personnel Management.

Deadlines and further information

Funding for this program has been tentatively set at \$250,000, which will typically support 3 to 5 fellowships. Application and selection procedures for the Visiting Fellows Program are largely the same as those for other grant programs. Applicants should carefully follow all of the procedures outlined in the application procedures section on page 51 of this booklet.

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

Visiting Fellows Program
National Institute of Justice
633 Indiana Avenue NW.
Washington, DC 20531

Completed proposals must be received at the National Institute of Justice no later than 5:00 p.m. on February 27, 1987. Extensions will not be granted.

Applicants are encouraged to contact the Institute before submitting proposals to discuss topic viability or proposal content. To obtain further information, potential applicants may contact Joseph T. Kochanski at 202-724-2962.

Graduate research fellowships

Introduction

The National Institute of Justice maintains a strong commitment to the support of scholars entering criminal justice fields. The Graduate Research Fellowship Program provides support to the talented individuals who will be contributing to the development of criminal justice policy. Through this program, doctoral students are awarded grants of up to \$11,000 to support the completion of their dissertations. The grant awards are made to students whose research is of interest to the National Institute.

Recent graduate research fellowships have demonstrated the contributions to criminal justice policy and practice of these grant awards.

For example, Amy Craddock, a student from the University of North Carolina, is studying inmate classification systems used by corrections officials. Through her work on the subject, Ms. Craddock hopes to improve the theoretical basis for a process on which there has been little empirical research to date.

The past few years have seen a marked increase in the number of neighborhoods where citizens band together to prevent crime. Douglas Perkins from New York University studied one type of neighborhood protection group, the block association, to examine the organization's potential as a crime deterrent. He asked why some citizens moved toward such collective action while others chose private defenses or refused to react at all. He also assessed not only how block associations affected actual levels of criminal activity, but also how the presence of these groups changed perceptions of the fear and disorder which are dangerous byproducts of crime.

Certain characteristics of court organization have long been thought to affect the judiciary's ability to dispense justice. Jo Dixon of the University of Indiana tested the implications of case- and court-level factors on case processing time and sentencing severity. Her study should help decisionmakers provide more expeditious and equitable treatment for those who face adjudication processes.

These recent efforts by graduate research fellows are only a few examples of the valuable proposals funded through this Institute program.

Scope

The Graduate Research Fellows Program provides a limited number of fellowships which will be awarded to doctoral candidates through sponsoring universities. The awards are designed to support students engaged in the research and writing of a doctoral dissertation in the areas of crime, crime prevention, criminal behavior, or criminal justice. Prior to the grant award, applicants must have completed all degree requirements except for the internship (where required) and the research, writing, and defense of the dissertation.

Requirements for Graduate research fellowships are as follows:

- Fellowship awards are for 1 year or less. Time extensions may be granted for the delivery of the dissertation but no further funds will be awarded. These time extensions must be requested before the expiration of the original grant and require the receipt of all progress reports showing reasonable headway toward the objectives identified in the original application.

- The maximum amount of any one fellowship is \$11,000. The grant may include the fellow's stipend, allowances for certain dependents, and certain university fees, including continuing registration, library, and matriculation fees. Major project costs are also included, e.g., clerical assistance, special supplies, reproduction, necessary local and out-of-town travel (reimbursed at the University's rate), foreign travel (with prior Institute approval), and computer time.

- Stipends and allowances are determined as follows:

- 1) The fellow's stipend is a prorated award computed on the basis of \$5,000 for full-time study for a 12-month period.

- 2) Allowances for dependents are provided in addition to the fellow's stipend. Allowance rates are shown below:

Dependent spouse	\$ 500 per year
Dependent children	
One child	\$ 500 per year
Two children	\$ 800 per year
Three or more children	\$1,000 per year

The maximum amount allotted for the dependent allowance is \$1,500.

These living supplements may be computed by either of two methods:

1) Prorating of 12-month stipend. The total stipend plus any dependent allowance must be prorated for part-time study or periods of less than 12 months. For example, the total stipend for a fellow (\$5,000) with a dependent spouse (\$500) and one dependent child (\$500) who spends three-fourths of his or her time writing the dissertation for 6 months of the year is computed as follows:

$$3/4 \text{ time} \times 1/2 \text{ year} \times \$6,000 = \$2,250$$

2) Continuation of employer's pay rate. A fellow who has been regularly employed in teaching or research by the university or a related research organization, and for whom the dissertation requires leave from employment, may be supported at the employer's established rate of pay for the proportion of time devoted to study up to a maximum award of \$5,000. Dependent allowances can then be prorated and added as shown above.

• To be eligible to administer a graduate research fellowship grant on behalf of a doctoral candidate, an institution must be fully accredited by one of the regional institutional accrediting commissions recognized by the U.S. Secretary of Education and the Council on Postsecondary Accreditation.

Deadlines and further information

Funding for this program has been targeted at \$150,000, which will typically support 10 to 17 fellowships. Graduate fellow applicants should submit a 10-page concept paper which addresses research objectives, hypotheses, and methodology; the appropriateness of the design to the issues raised; time schedules for major events of the study; and documentation to the effect that the needed cooperation from organizations will be forthcoming.

Also, applicants should carefully follow all of the procedures outlined in the application procedures section on page 51 of this booklet.

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

Graduate Research Fellows Program
National Institute of Justice
633 Indiana Avenue NW
Washington, DC 20531

Completed proposals must be received at the National Institute of Justice no later than 5:00 p.m. on February 27, 1987. Extensions will not be granted.

Applicants are encouraged to contact the Institute before submitting proposals to discuss topic viability or proposal content. To obtain further information, potential applicants may contact Joseph T. Kochanski at 202-724-2962.

Summer research fellowships

Introduction

The Summer Research Fellowship Program is specifically aimed at the reanalysis of existing research data, particularly of data sets resulting from NIJ-sponsored research, in order to seek answers to important policy questions. Over the last 15 years, the National Institute of Justice has funded numerous projects which have made significant contributions to the operation of the criminal justice system. However, the Institute's dedication to research efforts does not end with the closing of the original work. The reexamination of the data generated by these projects assists in the corroboration of the validity of the original findings and permits innovative reanalysis to produce new findings.

Past summer fellowships have provided new insight into crime and criminal justice policy issues. For example, two sets of 1986 fellows worked extensively with the data produced by the Newark-Houston "fear of crime" experiments. Their work went beyond the original projects by concentrating further on factors (e.g., citizen attitudes, neighborhood environment, etc.) which made the communal fear reduction efforts so successful in those two areas.

A 1985 fellowship reanalyzed the Institute's earlier Minneapolis Domestic Violence Experiment. This effort formatted the original data files. It also employed a number of alternative statistical procedures and alternative definitions of repeated violence to investigate the robustness of the original analysis.

Finally, data collected from the Rand inmate surveys provided the impetus for a fellowship that assessed the effects of various selective incapacitation policies. This reanalysis shed a new light on the variable and intricate nature of the crime savings achieved by alternative incapacitation strategies.

Scope

This program solicits proposals from researchers who are interested in reanalyzing existing machine-readable data sets to gain new insight or correct problems in original analyses. Researchers interested in conducting secondary analyses of qualitative data are also encouraged to apply. It is intended for senior researchers and relatively new Ph.D.'s. Project hypotheses and appropriate data are the choice of the applicants. However, proposals to examine data sets originally generated under the auspices of the National Institute of Justice and

released through the Criminal Justice Data Archive at the University of Michigan's Inter-University Consortium for Political and Social Research are of particular interest.

Studies based on other data sets will, of course, also be considered for funding under this program. In such cases, applicants need to make a special effort to describe in some detail the data for the proposed analyses.

It should be noted that candidates must plan to begin work after June 1, 1987. Final products are due no later than October 31, 1987. Unlike the Visiting Fellows Program, all work for summer fellowships is done at the researcher's home institution.

Deadlines and further information

Funding for this program has been tentatively set at up to \$40,000, which will typically support 4 awards. These awards will not be grants but small contracts. Therefore, application procedures for the Summer Research Fellowship Program are different from those for other programs.

Candidates for this program should submit:

A. A proposal not to exceed 10 double-spaced pages. This paper should include: 1) the policy question to be addressed; 2) the hypotheses to be investigated; 3) the data set(s) to be employed; 4) the nature of the data analyses to be performed; 5) the potential policy implications; and 6) expected products of the research.

B. A detailed, one-page budget for salaries, supplies, and computing costs, etc., not to exceed \$10,000. Applicants should include the cost of one trip to present the results of this research at the annual meeting of the American Society of Criminology. This program is designed as summer support for individuals; the inclusion of institutional, indirect costs is strongly discouraged.

C. Resumes for key personnel including background, academic work, professional experience, and pertinent work and publications.

The standard Grant Application Form 424 is *not* appropriate for this program.

Five (5) copies of *fully executed proposals* should be sent to:

Summer Research Fellows Program
National Institute of Justice
633 Indiana Avenue NW.
Washington, DC 20531

Completed proposals must be received at the National Institute of Justice no later than 5:00 p.m. on April 2, 1987. Extensions will not be granted.

Applicants are encouraged to contact the Institute before submitting proposals to discuss topic viability or proposal content. To obtain further information, potential applicants may contact Ms. Winifred L. Reed at 202-724-7636.

Application procedures and requirements of award recipients

Program announcements

Proposals submitted to the National Institute of Justice should respond directly to one of the 10 program announcements found in this publication. The Institute may publish additional specific solicitations during the year. These will be announced in the Federal Register and disseminated by the National Criminal Justice Reference Service (NCJRS).

Proposals that do not respond to any particular Institute research program will be grouped and reviewed competitively on a periodic basis during the year. These proposals will be funded subject to the availability of funds. Applicants whose proposals include services in addition to research can only receive support necessary to conduct the research tasks outlined in the proposal. Ideally, projects should have a national impact and have potential applicability to a number of jurisdictions. Projects that address the unique concerns of single jurisdictions are likely to receive little consideration.

Prospective applicants are strongly encouraged to call program managers to discuss the appropriateness of research topics under their program area prior to expending the considerable effort necessary to develop a competitive proposal.

The following procedures are required for all submissions requesting research sponsorship.

Who can apply?

The Institute awards grants to or enters into cooperative agreements with academic institutions, non-profit organizations, public agencies, individuals, and profit-making organizations that are willing to waive their fees. The Institute strongly encourages women, minority, and physically handicapped researchers to compete fully in any program described in the announcement.

How to apply

Proposal format and content—Applicants should submit ten (10) copies of their complete proposals by the deadline established for their particular research program. Submissions must include:

A. Standard Form 424—A copy of this form (with instructions) is attached at the back of this announcement. Please follow instructions carefully and include *all* parts and pages.

Please note the following Catalog of Federal Domestic Assistance (CFDA) numbers required by question 6a on Standard Form 424. For all but visiting fellows and graduate research fellows applications, the CFDA number is 16.560. For visiting fellows applications, the CFDA number is 16.561. For graduate research fellows applications, the CFDA number is 16.562.

B. Budget narrative—Budget narratives should detail the salaries, materials, and cost assumptions used to estimate project costs. Narratives and cost estimates should be presented under the following standard budget categories: personnel, fringe benefits, travel, equipment, supplies, contracts, other, and indirect costs. These estimates should cover the total period of the award except for projects to be funded in phases. Projects applying for phased funding should estimate aggregate costs envisioned in subsequent phases.

C. One-page abstract—Abstracts of the full proposal should highlight purposes, goals, research methods, and locus of experiments. Ordinarily, they should not exceed one page.

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

- A clear, concise statement of the issues surrounding the problem area and of the research hypotheses or questions to be explored. A discussion of the relationship of the proposed work to the existing literature also is expected.
- A statement of the project's anticipated contribution to criminal justice policy, practice, theory, and/or research.
- A detailed statement of the proposed research design and analytical methodologies. Delineate carefully and completely the proposed data sources, data collection strategies, variables to be examined, and analytical procedures to be employed. If access to particular data sources or the cooperation of operational agencies is proposed, written assurances of cooperation and availability must be attached.

- The organization and management plan to conduct the study. Include a list of major milestones of events, activities, products, and a timetable for completion, including the time commitments of key staff to individual project tasks. All grant activities, including writing the final report, should generally be completed within 24 months. Requests for longer periods must demonstrate that the required tasks cannot be completed within 2 years.

E. Copies of vitae—Vitae for the professional staff should summarize education, research experience, and bibliographic information related to the proposed work. Authors of the proposal should be clearly identified.

The NIJ review process

The Institute makes almost all of its awards on the basis of national competitions. The competitions may culminate in a single award for a defined research problem or in multiple awards in areas of long-range interest. Since many research programs announce a wide scope of research or multiple areas of interest, a variety of research projects or approaches to a problem area may be appropriate.

Peer review

After all applications for a specific program announcement have been received, the Institute selects three to five persons as the review panel. These experts are chosen for their knowledge in both the substantive areas covered by the program announcement and in the related methodological aspects of the research. The panel, which consist of both researchers and practitioners, assesses the technical merits, policy relevance, and potential utility of the research proposed. Panelists convene after the review period to discuss each application and recommend selections to the Director of the Institute. The review period takes 6 to 10 weeks, depending on the number of applications received. Each applicant receives written comments from the peer review panel concerning the strengths and weaknesses of his or her proposal. These comments may include suggestions for how a subsequent application to NIJ might be improved.

Under law, the Director has sole authority for awarding grants. Thus, panel recommendations, together with the Institute program manager's recommendations, are submitted for consideration by the Director. At the conclusion of his review and after thorough budgetary scrutiny, the Director formally awards the successful proposal by signing the application.

Review criteria

The essential question asked of each application is, "If this line of research were successful, what eventual value would be received for criminal justice policies or operations?" Five criteria are applied in the evaluation process: technical merit, understanding of the problem, importance of the research, qualifications of the applicant, and project costs.

Technical merits are judged by the likelihood that the research design would produce convincing findings. Reviewers take into account the logic and timing of the research plan, the validity and reliability of measures proposed, the appropriateness of statistical methods to be used, and awareness of factors that might dilute the credibility of the findings. Applications must rate well on technical merit in order to be evaluated under the remaining criteria.

Applicants bear the responsibility of demonstrating to the panel that the research proposed is a contribution to the knowledge base in a given field and that the findings could ultimately contribute to a practical application in law enforcement or criminal justice. Reviewers will assess the applicant's awareness of related research and his ability to point his research toward answering questions of policy or improving the state of criminal justice operations.

Applicant qualifications are evaluated both in terms of the depth of experience and the relevance of that experience to the research proposed. Costs are evaluated in terms of the reasonableness of each individual item and in terms of the utility of the project to the Institute's program. Special consideration will be given to applications that include direct or in-kind contributions from other sources.

Considerations of note

Deadlines—Proposals *must* be received by the dates and times specified by the individual program announcements.

Coordination—Applicants must also identify all other Federal sources of support, including the Institute programs to which this or a closely related proposal has been or will be submitted. Concurrent submission to other programs will not jeopardize the likelihood of an award.

Proposal length—No page limits are enforced. However, authors of proposals should address as concisely as possible the issues described by the review criteria (see above). Technical materials that

support or supplement the description of the proposed research should be relegated to an appendix.

Data sets—Copies of all machine-readable data sets generated in conjunction with Institute supported research must be provided to the Institute at the end of the project period, along with code books and documentation.

Legibility—Proposals that are miscollated, incomplete, or handwritten will be returned without a deadline extension.

Standards of performance by recipients

Introduction

The National Institute of Justice expects individuals and institutions receiving its support to work toward completing a high quality research product. Besides this general expectation, the Institute must impose some specific requirements to ensure that proper financial and administrative control are applied to the project. Financial and general reporting requirements are detailed in an Office of Justice Programs document, "Financial and Administrative Guide for Grants." This guideline manual is sent to recipient institutions with the award documents. Project directors and recipient financial administrators should pay particular attention to the regulations in this document.

The Institute awards grants or enters into cooperative research agreements depending upon the degree of administrative and substantive involvement that is appropriate in its various research projects. Grants, which comprise the majority of awards, give researchers considerable responsibility and discretion in project decisions. Cooperative agreements are usually awarded when the nature of the project suggests that frequent and continuing NIJ participation in project decisions is desirable. In either case, award recipients incur a number of responsibilities as part of their participation in government-sponsored research.

Some of these responsibilities are highlighted below.

Communications—Project monitors should be kept informed of research progress. Written progress reports are required on a quarterly basis. All awards use standard quarterly reporting periods—January 1 thru March 31, April 1 thru June 30, etc.—regardless of the project's start date. Progress reports need not be lengthy, but they should tell the monitor which tasks have been completed and whether significant delays or departures from the original workplan are expected.

Timeliness—Principal investigators are expected to complete award products within the timeframes that they have set for themselves. The Institute recognizes that there are legitimate reasons—such as site startup delays and unexpected changes in programs—for project extensions. It does not consider the assumption of additional research projects that impinge upon previous time commitments as legitimate reasons for delay. Projects with

unreasonable delays are terminated administratively. Any funds remaining are withdrawn. Both the principal investigator and the employing organization are denied future NIJ awards.

Publications—The Institute encourages grantees to disseminate their findings through a variety of media such as professional journals, books, and conferences. It imposes no restrictions on dissemination other than acknowledgment of Institute support. Copies of such publications should be sent to the project monitor even if they appear well after a project's expiration.

The Institute requires a final report that highlights the relevance of the project's findings to the criminal justice community. Project monitors may obtain drafts of the report and suggest appropriate revisions. Copies of press releases must be sent to the Institute in advance of the actual release. This policy alerts the Department of Justice public information office to possible press inquiries and enables the Institute to coordinate press coverage of Institute-sponsored research findings.

Human subjects protection—Research with human subjects plays an essential part in expanding our knowledge about how to combat criminal behavior. It is essential, however, that research be performed without needless risk of distress and with the willing and informed cooperation of research subjects.

Subjects of NIJ research are protected by statute from the use of any research or statistical information identifiable to an individual:

Such 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. Code 3789g).

In addition, the Institute has adopted the U.S. Department of Health and Human Services *Model Policy on Human Research Subjects*. This policy requires that each institution engaged in NIJ research provide written assurances that it will comply with these regulations as codified at 45 *Code of Federal Regulations* 46. Pursuant to that policy, each

research project falling within the guidelines established by Health and Human Services must be approved by the recipient's Institutional Review Board (IRB) prior to the initiation of the project. Approval by the IRB need not precede the submission of a proposal to NIH but it must be obtained prior to the beginning of any research activity.

FEDERAL ASSISTANCE		2. APPLICANT'S APPLICATION IDENTIFIER	a. NUMBER	3. STATE APPLICATION IDENTIFIER	a. NUMBER
1. TYPE OF SUBMISSION (Mark appropriate box) <input type="checkbox"/> NOTICE OF INTENT (OPTIONAL) <input type="checkbox"/> PREAPPLICATION <input type="checkbox"/> APPLICATION		b. DATE Year month day 19		NOTE: TO BE ASSIGNED BY STATE	b. DATE ASSIGNED Year month day 19
		<i>Leave Blank</i>			
4. LEGAL APPLICANT/RECIPIENT a. Applicant Name b. Organization Unit c. Street/P.O. Box d. City f. State h. Contact Person (Name & Telephone No.)				5. EMPLOYER IDENTIFICATION NUMBER (EIN)	
				6. PROGRAM (From CFDA)	a. NUMBER [] [] [] [] [] [] MULTIPLE <input type="checkbox"/> b. TITLE
7. TITLE OF APPLICANT'S PROJECT (Use section IV of this form to provide a summary description of the project.)				8. TYPE OF APPLICANT/RECIPIENT A—State B—Interstate C—Substate D—County E—City F—School District G—Special Purpose District H—Community Action Agency I—Higher Educational Institution J—Indian Tribe K—Other (Specify): Enter appropriate letter <input type="checkbox"/>	
9. AREA OF PROJECT IMPACT (Names of cities, counties, states, etc.)			10. ESTIMATED NUMBER OF PERSONS BENEFITING	11. TYPE OF ASSISTANCE A—Basic Grant B—Supplemental Grant C—Loan D—Insurance E—Other Enter appropriate letter(s) [] []	
12. PROPOSED FUNDING		13. CONGRESSIONAL DISTRICTS OF:		14. TYPE OF APPLICATION A—New B—Renewal C—Revision D—Continuation E—Augmentation Enter appropriate letter <input type="checkbox"/>	
a. FEDERAL	\$.00	a. APPLICANT	b. PROJECT	17. TYPE OF CHANGE (For 14c or 14e) A—Increase Dollars B—Decrease Dollars C—Increase Duration D—Decrease Duration E—Cancellation F—Other (Specify): Enter appropriate letter(s) [] [] []	
b. APPLICANT	.00	15. PROJECT START DATE Year month day 19			
c. STATE	.00	16. PROJECT DURATION Months			
d. LOCAL	.00	18. DATE DUE TO FEDERAL AGENCY Year month day 19			
e. OTHER	.00				
f. Total	\$.00				
19. FEDERAL AGENCY TO RECEIVE REQUEST				20. EXISTING FEDERAL GRANT IDENTIFICATION NUMBER	
a. ORGANIZATIONAL UNIT (IF APPROPRIATE)		b. ADMINISTRATIVE CONTACT (IF KNOWN)			
c. ADDRESS				21. REMARKS ADDED <input type="checkbox"/> Yes <input type="checkbox"/> No	
22. THE APPLICANT CERTIFIES THAT		To the best of my knowledge and belief, data in this preapplication/application 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 approved.			
		a. YES, THIS NOTICE OF INTENT/PREAPPLICATION/APPLICATION WAS MADE AVAILABLE TO THE STATE EXECUTIVE ORDER 12372 PROCESS FOR REVIEW ON: DATE _____			
		b. NO, PROGRAM IS NOT COVERED BY E.O. 12372 <input type="checkbox"/> OR PROGRAM HAS NOT BEEN SELECTED BY STATE FOR REVIEW <input type="checkbox"/>			
23. CERTIFYING REPRESENTATIVE		a. TYPED NAME AND TITLE		b. SIGNATURE	
24. APPLICATION RECEIVED 19		25. FEDERAL APPLICATION IDENTIFICATION NUMBER		26. FEDERAL GRANT IDENTIFICATION	
27. ACTION TAKEN		28. FUNDING		29. ACTION DATE Year month day 19	
<input type="checkbox"/> a. AWARDED		a. FEDERAL \$.00		30. STARTING DATE Year month date 19	
<input type="checkbox"/> b. REJECTED		b. APPLICANT .00		31. CONTACT FOR ADDITIONAL INFORMATION (Name and telephone number)	
<input type="checkbox"/> c. RETURNED FOR AMENDMENT		c. STATE .00			
<input type="checkbox"/> d. RETURNED FOR E.O. 12372 SUBMISSION BY APPLICANT TO STATE		d. LOCAL .00		32. ENDING DATE Year month date 19	
<input type="checkbox"/> e. DEFERRED		e. OTHER .00		33. REMARKS ADDED	
<input type="checkbox"/> f. WITHDRAWN		f. TOTAL \$.00		<input type="checkbox"/> Yes <input type="checkbox"/> No	

GENERAL INSTRUCTIONS FOR THE SF-424

This is a standard form used by applicants as a required facesheet for preapplications and applications submitted in accordance with OMB Circular A-102. 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.

APPLICANT PROCEDURES FOR SECTION I

Applicant will complete all items in Section I with the exception of Box 3, "State Application Identifier." If an item is not applicable, write "NA." If additional space is needed, insert an asterisk "*", and use Section IV. An explanation follows for each item:

- | <i>Item</i> | <i>Item</i> |
|--|---|
| 1. Mark appropriate box. Preapplication and application are described in OMB Circular A-102 and Federal agency program instructions. Use of this form as a Notice of Intent is at State option. Federal agencies do not require Notices of Intent. | (a revision or augmentation under item 14), indicate only the amount of the change. For decreases, enclose the amount in parentheses. If both basic and supplemental amounts are included, breakout in Section IV. For multiple program funding, use totals and show program breakouts in Section IV. 12a—amount requested from Federal Government. 12b—amount applicant will contribute. 12c—amount from State, if applicant is not a State. 12d—amount from local government, if applicant is not a local government. 12e—amount from any other sources, explain in Section IV. |
| 2a. Applicant's own control number, if desired. | 13b. The district(s) where most of action work will be accomplished. If city-wide or State-wide, covering several districts, write "city-wide" or "State-wide." |
| 2b. Date Section I is prepared (at applicant's option). | 14. A. New. A submittal for project not previously funded. |
| 3a. Number assigned by State. | B. Renewal. An extension for an additional funding/budget period for a project having no projected completion date, but for which Federal support must be renewed each year. |
| 3b. Date assigned by State. | C. Revision. A modification to project nature or scope which may result in funding change (increase or decrease). |
| 4a-4h. Legal name of applicant, name of primary organizational unit which will undertake the assistance activity, complete address of applicant, and name and telephone number of the person who can provide further information about this request. | D. Continuation. An extension for an additional funding/budget period for a project with a projected completion date. |
| 5. Employer Identification Number (EIN) of applicant as assigned by the Internal Revenue Service. | E. Augmentation. A requirement for additional funds for a project previously awarded funds in the same funding/budget period. Project nature and scope unchanged. |
| 6a. Use Catalog of Federal Domestic Assistance (CFDA) number assigned to program under which assistance is requested. If more than one program (e.g., joint funding), check "multiple" and explain in Section IV. If unknown, cite Public Law or U.S. Code. | 15. Approximate date project expected to begin (usually associated with estimated date of availability of funding). |
| 6b. Program title from CFDA. Abbreviate if necessary. | 16. Estimated number of months to complete project after Federal funds are available. |
| 7. Use Section IV to provide a summary description of the project. If appropriate, i.e., if project affects particular sites as, for example, construction or real property projects, attach a map showing the project location. | 17. Complete only for revisions (item 14c), or augmentations (item 14e). |
| 8. "City" includes town, township or other municipality. | 18. Date preapplication/application must be submitted to Federal agency in order to be eligible for funding consideration. |
| 9. List only largest unit or units affected, such as State, county, or city. | 19. Name and address of the Federal agency to which this request is addressed. Indicate as clearly as possible the name of the office to which the application will be delivered. |
| 10. Estimated number of persons directly benefiting from project. | 20. Existing Federal grant identification number if this is not a new request and directly relates to a previous Federal action. Otherwise, write "NA." |
| 11. Check the type(s) of assistance requested.
A. Basic Grant—an original request for Federal funds.
B. Supplemental Grant—a request to increase a basic grant in certain cases where the eligible applicant cannot supply the required matching share of the basic Federal program (e.g., grants awarded by the Appalachian Regional Commission to provide the applicant a matching share).
E. Other. Explain in Section IV. | 21. Check appropriate box as to whether Section IV of form contains remarks and/or additional remarks are attached. |
| 12. Amount requested or to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions should be included. If the action is a change in dollar amount of an existing grant | |

APPLICANT PROCEDURES FOR SECTION II

Applicants will always complete either item 22a or 22b and items 23a and 23b.

- | | |
|--|--|
| 22a. Complete if application is subject to Executive Order 12372 (State review and comment). | 22b. Check if application is not subject to E.O. 12372. |
| | 23a. Name and title of authorized representative of legal applicant. |

FEDERAL AGENCY PROCEDURES FOR SECTION III

Applicant completes only Sections I and II. Section III is completed by Federal agencies.

- | | |
|--|--|
| 26. Use to identify award actions. | will contribute. 28c—amount from State, if applicant is not a State. 28d—amount from local government, if applicant is not a local government. 28e—amount from any other sources, explain in Section IV. |
| 27. Use Section IV to amplify where appropriate. | 29. Date action was taken on this request. |
| 28. Amount to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions will be included. If the action is a change in dollar amount of an existing grant (a revision or augmentation under item 14), indicate only the amount of change. For decreases, enclose the amount in parentheses. If both basic and supplemental amounts are included, breakout in Section IV. For multiple program funding, use totals and show program breakouts in Section IV. 28a—amount awarded by Federal Government. 28b—amount applicant | 30. Date funds will become available. |
| | 31. Name and telephone number of agency person who can provide more information regarding this assistance. |
| | 32. Date after which funds will no longer be available for obligation. |
| | 33. Check appropriate box as to whether Section IV of form contains Federal remarks and/or attachment of additional remarks. |

**PART II
PROJECT APPROVAL INFORMATION**

Item 1.

Does this assistance request require State, local, regional, or other priority rating?
 _____ Yes _____ No

Name of Governing Body _____
 Priority Rating _____

Item 2.

Does this assistance request require State, or local advisory, educational or health clearances?
 _____ Yes _____ No

Name of Agency or Board _____
 (Attach Documentation)

Item 3.

Does this assistance request require clearinghouse review in accordance with Executive Order 12372?
 _____ Yes _____ No

(Attach Comments)

Item 4.

Does this assistance request require State, local, regional or other planning approval?
 _____ Yes _____ No

Name of Approving Agency _____
 Date _____

Item 5.

Is the proposed project covered by an approved comprehensive plan?
 _____ Yes _____ No

Check one: State
 Local
 Regional
 Location of Plan _____

Item 6.

Will the assistance requested serve a Federal installation?
 _____ Yes _____ No

Name of Federal Installation _____
 Federal Population benefiting from Project _____

Item 7.

Will the assistance requested be on Federal land or installation?
 _____ Yes _____ No

Name of Federal Installation _____
 Location of Federal Land _____
 Percent of Project _____

Item 8.

Will the assistance requested have an impact or effect on the environment?
 _____ Yes _____ No

See instructions for additional information to be provided.

Item 8.

Will the assistance requested cause the displacement of individuals, families, businesses, or farms?
 _____ Yes _____ No

Number of:
 Individuals _____
 Families _____
 Businesses _____
 Farms _____

Item 10.

Is there other related assistance on this project previous, pending, or anticipated?
 _____ Yes _____ No

See instructions for additional information to be provided.

Item 11.

Is the project in a designated flood area?
 _____ Yes _____ No

See instructions for additional information to be provided.

INSTRUCTIONS

PART II

Negative answers will not require an explanation unless the Federal agency requests more information at a later date. Provide supplementary data for all "Yes" answers in the space provided in accordance with the following instructions:

Item 1 — Provide the name of the governing body establishing the priority system and the priority rating assigned to this project.

Item 2 — Provide the name of the agency or board which issued the clearance and attach the documentation of status or approval.

Item 3 — Attach the clearinghouse comments for the application in accordance with the instructions contained in Executive Order 12372.

If comments were submitted previously with a preapplication, do not submit them again but any additional comments received from the clearinghouse should be submitted with this application.

Item 4 — Furnish the name of the approving agency and the approval date.

Item 5 — Show whether the approved comprehensive plan is State, local or regional, or if none of these, explain the scope of the plan. Give

the location where the approved plan is available for examination and state whether this project is in conformance with the plan.

Item 6 — Show the population residing or working on the Federal installation who will benefit from this project.

Item 7 — Show the percentage of the project work that will be conducted on federally-owned or leased land. Give the name of the Federal installation and its location.

Item 8 — Describe briefly the possible beneficial and harmful impact on the environment of the proposed project. If an adverse environmental impact is anticipated, explain what action will be taken to minimize the impact. Federal agencies will provide separate instructions if additional data is needed.

Item 9 — State the number of individuals, families, businesses, or farms this project will displace. Federal agencies will provide separate instructions if additional data is needed.

Item 10 — Show the Federal Domestic Assistance Catalog number, the program name, the type of assistance, the status and the amount of each project where there is related previous, pending or anticipated assistance. Use additional sheets, if needed.

PART III — BUDGET INFORMATION

SECTION A — BUDGET SUMMARY

Grant Program, Function or Activity (a)	Federal Catalog No. (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					
j. Indirect Charges					
k. TOTALS	\$	\$	\$	\$	\$
7. Program Income	\$	\$	\$	\$	\$

INSTRUCTIONS

PART III

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 not 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).

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) shown 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 were 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-h — Show the estimated amount for each direct cost budget (object class) category for each column with program, function or activity heading.

Line 6i — Show the totals of Lines 6a to 6h in each column.

Line 6j — Show the amount of indirect cost. Refer to OMB Circulars A-87, A-21 and A-122.

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. When additional sheets were prepared, the last two sentences apply only to the first page with summary totals.

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. Source of Non-Federal Resources

Line 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. (See Attachment F, OMB Circular A-102 or Attachment E, OMB Circular A-110, as applicable.)

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 amount of cash and in-kind contributions to be made by the applicant as shown in Section A. (See also Attachment F, OMB Circular A-102 or Attachment E, OMB Circular A-110, as applicable.)

Column (c) — Enter the State 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 continuing 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 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 C — NON-FEDERAL RESOURCES

(a) Grant Program	(b) APPLICANT	(c) STATE	(d) OTHER SOURCES	(e) TOTALS
8.	\$	\$	\$	\$
9.				
10.				
11.				
12. TOTALS	\$	\$	\$	\$

SECTION D — FORECASTED CASH NEEDS

	Total for 1st Year	1st Quarter	2nd Quarter	3rd Quarter	4th Quarter
13. Federal	\$	\$	\$	\$	\$
14. Non-Federal					
15. TOTAL	\$	\$	\$	\$	\$

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	\$	\$	\$	\$

SECTION F — OTHER BUDGET INFORMATION

(Attach Additional Sheets If Necessary)

21. Direct Charges:

22. Indirect Charges:

23. Remarks:

INSTRUCTIONS**PART III
(continued)****Section F — Other Budget Information.**

Line 21 — Use this space to explain amounts for individual direct object 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, pre-determined, 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 required herein or any other 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

PART IV PROGRAM NARRATIVE

Prepare the program narrative statement in accordance with the following instructions for all new grant programs. Requests for continuation or refunding and changes on an approved project should respond to item 5b only. Requests for supplemental assistance should respond to question 5c only.

1. OBJECTIVES AND NEED FOR THIS ASSISTANCE.

Pinpoint any relevant physical, economic, social, financial, institutional, or other problems requiring a solution. Demonstrate the need for assistance and state the principal and subordinate objectives of the project. Supporting documentation or other testimonies from concerned interests other than the applicant may be used. Any relevant data based on planning studies should be included or footnoted.

2. RESULTS OR BENEFITS EXPECTED.

Identify results and benefits to be derived. For example, when applying for a grant to establish a neighborhood health center provide a description of who will occupy the facility, how the facility will be used, and how the facility will benefit the general public.

3. APPROACH.

- a. Outline a plan of action pertaining to the scope and detail of how the proposed work will be accomplished for each grant program, function or activity, provided in the budget. Cite factors which might accelerate or decelerate the work and your reason for taking this approach as opposed to others. Describe any unusual features of the project such as design or technological innovations, reductions in cost or time, or extraordinary social and community involvement.
- b. Provide for each grant program, function or activity, quantitative monthly or quarterly projections of the accomplishments to be achieved in such terms as the number of jobs created; the number of people served; and the number of patients treated. When accomplishments cannot be quantified by activity or function, list them in chronological order to show the schedule of accomplishments and their target dates.

- c. Identify the kinds of data to be collected and maintained and discuss the criteria to be used to evaluate the results and successes of the project. Explain the methodology that will be used to determine if the needs identified and discussed are being met and if the results and benefits identified in item 2 are being achieved.

- d. List organizations, cooperators, consultants, or other key individuals who will work on the project along with a short description of the nature of their effort or contribution.

4. GEOGRAPHIC LOCATION.

Give a precise location of the project or area to be served by the proposed project. Maps or other graphic aids may be attached.

5. IF APPLICABLE, PROVIDE THE FOLLOWING INFORMATION:

- a. For research or demonstration assistance requests, present a biographical sketch of the program director with the following information; name, address, phone number, background, and other qualifying experience for the project. Also, list the name, training and background for other key personnel engaged in the project.
- b. Discuss accomplishments to date and list in chronological order a schedule of accomplishments, progress or milestones anticipated with the new funding request. If there have been significant changes in the project objectives, location approach, or time delays, explain and justify. For other requests for changes or amendments, explain the reason for the change(s). If the scope or objectives have changed or an extension of time is necessary, explain the circumstances and justify. If the total budget items have changed more than the prescribed limits contained in Attachment K to OMB Circular A-102 (or Attachment J to OMB Circular A-110, as applicable), explain and justify the change and its effect on the project.
- c. For supplemental assistance requests, explain the reason for the request and justify the need for additional funding.

PART V ASSURANCES

The Applicant hereby assures and certifies that he will comply with the regulations, policies, guidelines and requirements; including OMB Circulars No's. A-95, A-102, A-110, A-122, and A-87, as they relate to the application, acceptance and use of Federal funds for this federally-assisted project. Also the Applicant assures and certifies to the grant 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 Title VI of the Civil Rights Act of 1964 (P.L. 88-352) and in accordance with Title VI of that Act, no person in the United States shall, on the ground of race, color, or national origin, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under any program or activity for which the applicant receives Federal financial assistance and will immediately take any measures necessary to effectuate this agreement.
3. It will comply with Title VI of the Civil Rights Act of 1964 (42 USC 2000d) prohibiting employment discrimination where (1) the primary purpose of a grants is to provide employment or (2) discriminatory employment practices will result in unequal treatment of persons who are or should be benefiting from the grant-aided activity.
4. 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.
5. It will comply with the provisions of the Hatch Act which limit the political activity of employees.
6. It will comply with the minimum wage and maximum hours provisions of the Federal Fair Labor Standards Act, as they apply to hospital and educational institution employees of State and local governments.
7. 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.
8. It will give the sponsoring agency or the Comptroller General through any authorized representative the access to and the right to examine all records, books, papers, or documents related to the grant.
9. It will comply with all requirements imposed by the Federal sponsoring agency concerning special requirements of law, program requirements, and other administrative requirements.
10. 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.
11. 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.
12. 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 Historic Preservation Act of 1966 (16 USC 469a-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.
13. It will comply with the provision of 28 CFR Part 20 regulating the privacy and security of criminal history information systems.
14. All published material and written reports submitted under this grant or in conjunction with the third party agreements under this grant will be originally developed material unless otherwise specifically provided for in the grant document. Material not originally developed included in reports will have the source identified either in the body of the report or in a footnote, whether the material is in a verbatim or extensive paraphrase format. All published material and written reports shall give notice that funds were provided under an LEAA, NIJ, BJS, OJJDP or OJARS grant.
15. Requests for proposal or invitations for bid issued by the grantee or a subgrantee to implement the grant or subgrant project will provide notice to prospective bidders that the grantor agency organizational conflict of interest provision is applicable in that contractors that develop or draft specifications, requirements, statements of work and/or RFP's for a proposed procurement shall be excluded from bidding or submitting a proposal to compete for the award of such procurement.
16. It will comply with the provisions of 28 CFR 42.101 et seq. prohibiting discrimination based on race, color or national origin by or through its contractual arrangements. If the grantee is an institution or a governmental agency, office or unit then this assurance of nondiscrimination by race, color or national origin extends to discrimination anywhere in the institution or governmental agency, office, or unit.
17. If the grantee is a unit of state or local government, state planning agency or law enforcement agency, it will comply with Title VII of the Civil Rights Act of 1964, as amended, and 28 CFR 42.201 et seq. prohibiting discrimination in employment practices based on race, color, creed, sex or national origin. Additionally, it will obtain assurances from all subgrantees, contractors and subcontractors that they will not discriminate in employment practices based on race, color, creed, sex or national origin.

About the National Criminal Justice Reference Service (NCJRS)

The National Institute of Justice/NCJRS—the National Criminal Justice Reference Service—has been serving as a centralized national information clearinghouse to the criminal justice community since 1972. NCJRS also operates the Juvenile Justice Clearinghouse for the National Institute for Juvenile Justice and Delinquency Prevention, and the Justice Statistics Clearinghouse for the Bureau of Justice Statistics.

NCJRS maintains a steadily growing computerized data base of more than 85,000 criminal justice documents, operates a public reading room where researchers may consult the publications themselves, and offers complete information and referral services.

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