

U.S. Department of Justice
National Institute of Justice



National Institute of Justice

*Program
Announcement*

Research Program Plan

Fiscal Year 1988

106269

*National Institute of Justice
20th Anniversary, 1968-1988*

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

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U.S. Department of Justice
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National Institute of Justice

James K. Stewart

Director

The Assistant Attorney General, Office of Justice Programs, provides staff support to coordinate the activities of the following program Offices and Bureaus: National Institute of Justice, Bureau of Justice Statistics, Bureau of Justice Assistance, Office of Juvenile Justice and Delinquency Prevention, and Office for Victims of Crime.

Foreword

With the publication of this Program Plan, the National Institute of Justice ushers in the 20th year of organized Federal support for research on crime and justice. No longer an infant enterprise, the National Institute of Justice has compiled a notable track record; the practitioners and researchers who have joined with us in common purpose can point to significant achievements. This plan reflects the progress we have achieved and sets the course for future advances.

Two decades ago, there was little or no systematic, objective information available on crime and criminal justice policies. Over the years, Institute-sponsored research has spurred an evolution of understanding of crime and its impact. Today, we recognize that the costs of crime to our society are far greater than we realized two decades ago. Continued progress toward the discovery of policies that work in reducing repeat violence and victimization is the goal of NIJ's Program Plan.

Insights provided by research have set in motion a rethinking of how we view crime and criminal offenders. Research that called into question the effectiveness of rehabilitation helped shift the emphasis away from treatment of individuals to a growing reliance on deterrence and incapacitation.

The accretion of such knowledge laid the groundwork for a new direction in research that has in the past 5 years accelerated our momentum. Moving away from general surveys and descriptive studies, the National Institute refocused its efforts toward research aimed at informing policy and practice. The gains made in recent years are reflected in the National Institute's position as a leader in the criminal justice field.

The value of policy-relevant research can be seen in the emerging policies that are making a difference in our ability to safeguard the public and concentrate scarce criminal justice resources where they will do the most good. Today, we have the potential to:

- cut the demand for drugs among criminals through court-supervised drug testing.
- reduce the chances of repeat violence against victims of spouse assault.
- reduce the number of victims through new strategies for deploying police and strengthening their link to their communities.
- cut drug-related robberies and burglaries through police strategies to stop street level traffickers.
- offer judges intermediate sanctions that avoid the "prison or nothing" dichotomy through use of such alternatives as fines, house arrest, and electronic monitoring.

- marshal resources beyond the criminal justice system—in the private sector, the community, through architecture and design—to bolster safety and hold down costs.

- measure the effects of various policies with far greater precision and understanding of the costs and benefits of policy choices.

Research in the 1970's confirmed, for example, the existence of the career criminal. Following up on this important insight, the Institute supported surveys to gauge the impact of the high-rate offender on crime and on criminal justice operations. From this basic knowledge came the idea of focusing criminal justice resources selectively on the career criminals. Today, the concept of the career criminal is entrenched in criminal justice—a dramatic rethinking of policy and practice. Now research is examining ways to identify these offenders more accurately, moving toward the recommendation of one recent study that concluded that public safety would clearly benefit from incarcerating a larger proportion of high-risk probationers and prisoners, and for longer periods of time.

The link between drug abuse and crime is undeniable and alarming. We have known for several years that drugs accelerate an individual's crime rate from four to six times what it is when the offender is relatively drug free. Now, we no longer need to watch helplessly as drug-spawned crime vitiates entire neighborhoods. We can do something.

Recent experiments in Washington, D.C., and New York revealed that arrestees using drugs were 50 percent more likely to be rearrested than those not on drugs. Mandatory, court-supervised drug testing represents an objective test for identifying these high-risk offenders. With this scientifically accurate, impartial data, judges are in a position to decide appropriate conditions for pretrial release, including periodic testing which research shows lowers the demand for drugs.

In policing, we have moved beyond the ability to reveal what doesn't work to demonstrate various options for deploying forces with greater effectiveness and efficiency. Analysis of police calls in one major city, for example, revealed that 65 percent of the repeat calls were from less than 5 percent of the addresses. By getting at the source of these calls, police can intervene to reduce this enormous drain on their resources. Another new approach—problem-oriented policing—has shown its effectiveness in solving problems that would otherwise lead to crime and disorder. The problem-solving approach reduced crime in targeted areas through solutions that drew upon a wide variety of public and private resources

in Newport News, Virginia, the real-world laboratory for the test.

These and other contributions are the product of the increasingly fruitful collaboration between practitioner and researcher. During the 5 years I have had the honor to serve as the Institute Director, merging research and practice has been one of my chief priorities. So it has been especially gratifying to see the marked increase in the use of research by practitioners and policymakers and in the working relationships between researcher and practitioner that only rarely existed a decade or so ago.

The growing consensus about the value of research in criminal justice stems, I believe, from several important developments.

First, the costs of crime and criminal justice to our society have become so great that we can no longer afford not to measure effectiveness and assess consequences. Fiscal limitations force tradeoffs that demand a better understanding of the benefits and costs of various approaches. This crisis has created an opportunity for policy-oriented research to help agencies work smarter, not harder. Practitioners have recognized the need for solid, objective information, and researchers have employed their skills to respond to that need.

Second, we have moved far in creating a favorable climate for collaboration, building understanding and respect between those who design and conduct research and those who set and carry out crime control policies. The National Institute of Justice maintains a continuing dialog with criminal justice practitioners and policymakers to ensure that research is attuned to the challenges they face and that the new information we gain is disseminated in the most accessible and useful way.

Third, we have reorganized the way the National Institute allocates its resources. In the past, research funds were funneled primarily to the three sectors of the criminal justice field: police, courts and corrections. Each of these institutions had its own set of problems, and these expenditures undoubtedly improved their functioning. But this approach also tended to compartmentalize our thinking and information.

We have made a fundamental change, as evidenced in this Program Plan, to address the overarching problems that face not only the separate institutions but criminal justice as a whole: career criminals, drugs, victims, to name just a few. This holistic approach will help avoid the fragmented response of the past and assess how the policies of each criminal justice institution can contribute its resources to reducing crime—our ultimate objective. I believe this synergy will yield more efficient and creative use of research funds.

Fourth, we have made striking advances in the methods of criminal justice research. In the past, we lacked the

measurement tools to disclose with precision the benefits of changes in policy. Accordingly, much research tended to report no difference or no measurable effectiveness. Now, through experiments and more sophisticated methodologies we can heighten the reliability of research findings and the strength of our policy recommendations.

In the 1960's, field experiments in criminal justice were rare. They increased somewhat in the 1970's, but it was not until the 1980's that every area of criminal justice policymaking saw scores of experiments completed and more in progress.

This year's Program Plan reflects the National Institute's continuing interest in experimentation as a uniquely valuable tool. More than any other type of research, the experiment holds the promise of delivering the hard knowledge we need to tackle fundamental issues and to generate needed change.

Ultimately, we need experimentation because it simply is too costly to adopt new policies and new technologies without rigorous testing. Nor can we afford to continue to follow traditional approaches without analysis and testing to see if they are working as we want them to.

We are not yet at the level of the medical profession where new treatments are always tested before they are introduced for wide-scale use, but substantial progress has been made in harnessing the power of the experiment for criminal justice policymaking.

One of the most dramatic examples of the value of experimentation and the growing influence of research is the Minneapolis Domestic Violence Experiment. Three years ago, only 10 percent of large urban police departments made arrest the official response to spouse assault. Today, nearly half the departments have instituted this policy, a dramatic shift spurred significantly by research.

Similarly, experiments with voluntary drug testing of arrestees have given us desperately needed objective data on the extent of drug abuse among criminal populations. At the same time, experimentation demonstrated the value of court-supervised drug testing. Now this proven approach is available to communities across the country who are searching for solutions to controlling drug abusing offenders.

The success of the drug testing experiment will have even more far-reaching benefits, as the new National Institute of Justice Drug Use Forecasting system gets under way. In 10 large cities now being chosen, researchers will analyze data gathered in periodic, voluntary, and anonymous drug tests of arrestees to detect trends in drug abuse and help determine whether law enforcement efforts are having an impact and what level of drug abuse prevention and treatment communities need.

Important work is also proceeding through longitudinal studies that enable us to track behavior among cohorts. These longer-term efforts offer the advantage of building a comprehensive knowledge base that will help us understand not only why individuals commit crime but why others in similar circumstances do not, and what factors intervene to cause individuals to cease careers in crime. From this will come insights into more successful ways to enforce good conduct.

Finally, one of the chief aims of the National Institute has been the development of a corps of talented research scientists to gather reliable data and solve problems. The sheer brain power now mobilized for research against crime is immensely encouraging, and the National Institute of Justice will continue to nurture this vital source of our progress.

The National Institute of Justice has guided a modest investment in research that has produced lucrative returns. New strategies to prevent and deter crime and streamline criminal justice operations have paid for themselves in dollars and cents—and, most important, in lives saved and communities rescued from the depredations of crime.

The record of accomplishment shows that the field of criminal justice research and development has advanced toward the critical mass capable of sustaining and expanding progress. In facing other threats to our national well-being, we have relied upon research to guide our policies and practices. Medical practice today, for example, is reaping the benefits of a continuing and expanding Federal investment in health-care research. As medical researchers contributed the great advances we have seen in the treatment of disease over the past 50 years, the value of a sustained commitment to research was manifest.

Investment in justice research to date has been limited. In fact, the per capita investment in public safety research is 8 cents, compared to the \$36 allocated for health care research. This is not surprising given the still early stage of development of justice research as a recognized field of scientific endeavor.

As we begin the third decade of justice research, however, I believe we have demonstrated our ability to invest the funds entrusted to us wisely and effectively. As we move toward greater reliance on experiments, we recognize the need to mobilize resources not only from the Federal Government but also from the private sector, national organizations, and private foundations to support this more costly type of research. But if we are to realize the added dimension of usefulness experiments can give us, we need a sustained and expanded commitment of resources. Then, criminal justice research can cross the threshold to major advances that will enable us to fashion new and more effective crime control policies.

We are fortunate to have such momentum as we look toward the 21st century and the enormous challenges we face in combating new forms of crime spawned by new technology. In presenting this Program Plan, we look forward once again to your creative ideas and well-thought-out proposals. At a time of heightened public concern, resource constraints and difficult policy choices, we need your continued involvement.

Knowledgeable practitioners and skillful, analytical researchers working together can produce the reliable information we need so individuals, our economy, and our society as a whole can prosper.

James K. Stewart
Director
National Institute of Justice

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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."

Introduction

The National Institute of Justice (NIJ) 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.

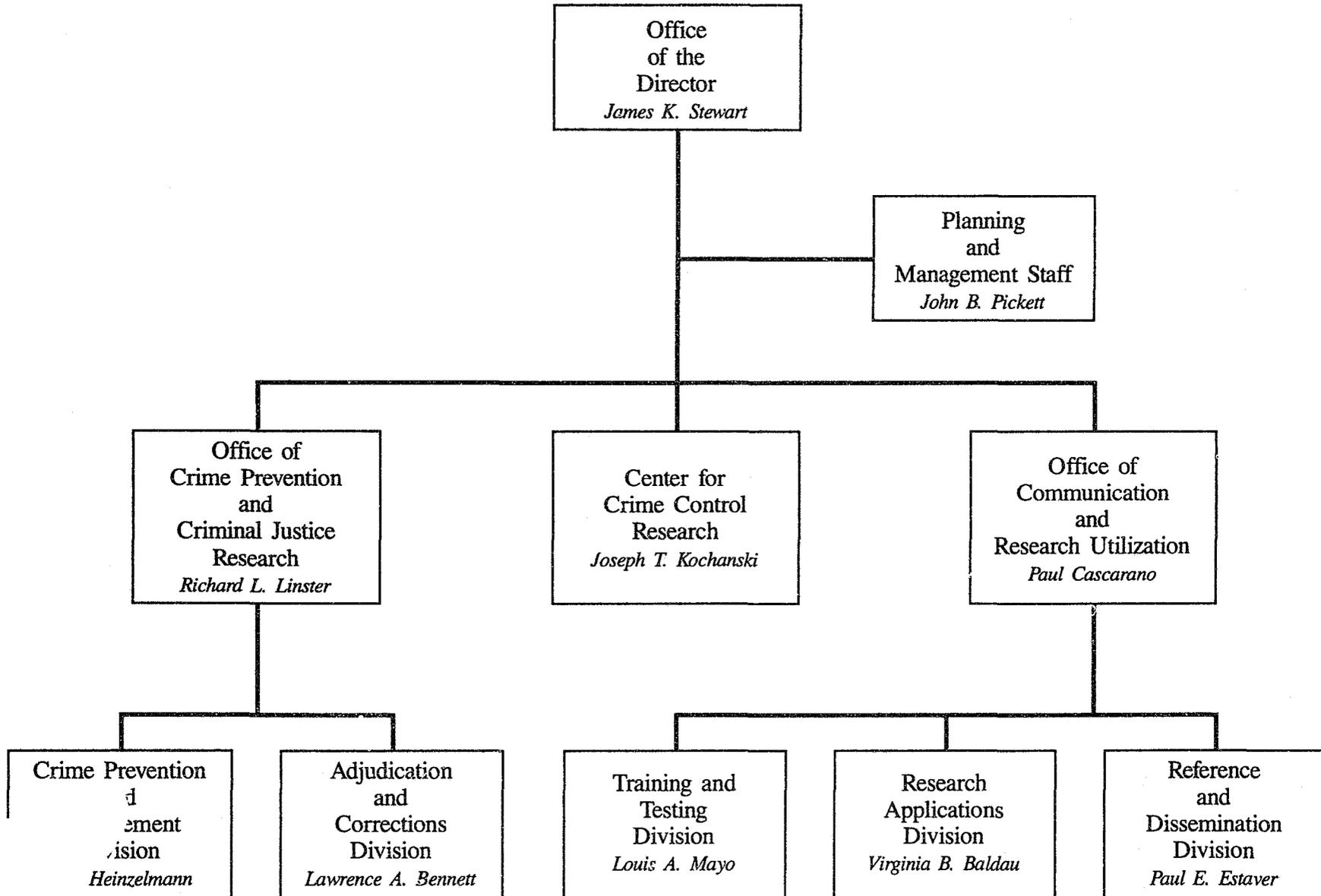
The Institute's key operating assumption is that research and the knowledge it produces can and must have relevance to criminal justice policy. Because the decisions made by criminal justice administrators and policymakers are critical to the lives and liberty of individuals and have

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.

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 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. In addition, the Office develops demonstration efforts based on Institute research. 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.

Application procedures and requirements of award recipients

Program announcements

Proposals submitted to the National Institute of Justice should respond directly to one of the 13 research announcements described on pages 9 to 45.¹ Prior to expending the considerable effort necessary to develop a competitive proposal, prospective applicants are strongly encouraged to call the program managers listed in these announcements to discuss the appropriateness of possible research topics under their program area.

Projects that contemplate the provision of services in addition to research are eligible for NIJ support but only for the resources necessary to conduct the research tasks outlined in the proposal. Ideally, projects should have a national impact and have potential relevance to a number of jurisdictions. Projects that address the unique concerns of single jurisdictions are likely to receive little consideration.

The following procedures are required for all submissions requesting research sponsorship (unless otherwise specified in a particular solicitation).

Diversity of awards

The Institute awards grants to, or enters into cooperative agreements with, educational institutions, nonprofit organizations, public agencies, individuals, and profitmaking organizations that are willing to waive their fees. National Institute of Justice programs support a wide variety of principal investigators and institutions. An examination of a sample of 275 separate awards made under NIJ competitive research programs between 1982 and 1986 found that 161 different institutions received awards and 220 separate individuals served as principal investigators. Educational institutions received nearly half (144) of these awards, private nonprofit institutions received 101, and 50 awards went to operational agencies, profitmaking institutions, and private individuals.

The Institute expects that its competitive research programs will continue to support a wide variety of researchers and research institutions. Although there is some concentration of research awards in larger universities and in nonprofit organizations, we do not believe that good ideas or quality research are limited to these institutions.

Program budgets

Except for the Visiting, Summer, and Graduate Research Fellowship Programs, each program in this announcement is tentatively budgeted between \$500,000 and \$1,000,000 for fiscal year 1988. Typically, this amount supports from three to six awards per program. Actual funding allocations among programs are based on the quality of the proposals received. Average award amounts and total program budgets for the Visiting, Summer, and Graduate Research Fellowships are considerably lower and are described in the specific fellowship announcement.

Products

Each project is expected to generate tangible research products. These may include articles in refereed scientific journals, policy-oriented journals, or professional criminal justice publications. Machine-readable data used in National Institute research are an important and increasingly valued research product. Other potential products include printed summaries of research findings for policy audiences, conference presentations and papers, implementation manuals, videotape training materials, and formal press releases. Most projects will be limited in the type and number of products anticipated. Successful proposals will clearly identify the nature of the grant products that can reasonably be expected should they be funded.

The NIJ review process

The Institute makes almost all of its research 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 continuing interest. Because 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 are typically funded.

Peer review

After all applications for a competition have been received, the Institute selects three to five persons from the research and practitioner communities to serve as the review panel for that program. These experts are chosen for their research experience and operational expertise, as well as for their knowledge in the substantive areas covered by the competition. The individuals who served

on NIJ peer review panels in the past 2 years are listed on pages 47 to 49.

The panel members read each proposal received and convene in Washington, D.C., to assess the technical merits and the policy relevance of the research proposed. Their assessment of each submission is forwarded to the Director of the Institute.

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

Under law, the Director has sole authority for awarding grants. Thus, panel assessments of the program submissions, together with the Institute program manager's assessments, are submitted for consideration by the Director. At the conclusion of his review and after thorough scrutiny of the proposed financial estimates, the Director formally awards successful proposals by signing the appropriate award documents.

Review criteria

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

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 body of research findings could ultimately contribute to a practical application in law enforcement or criminal justice. Reviewers will assess the applicants' awareness of related research and their ability to point their 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.

Research methodologies

The Institute supports a wide range of research designs and methodologies including simple descriptive studies and secondary data analysis. Experimental designs are strongly encouraged because of their potential relevance to policymaking and the strength of the evidence they can produce. Proposals for field experiments need to be sufficiently definitive to permit an informed review, yet sufficiently open to the kind of revisions that result from the extensive collaboration with operational agencies actually implementing the experiment.

Other considerations of note

Human subjects protection

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

Research or statistical information identifiable to a participant in NIJ-sponsored research is protected by statute from being used in legal proceedings.

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

In addition, the Institute has adopted the U. S. Department of Health and Human Services Model Policy on Human Research Subjects. This policy requires that each institution engaged in 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 the Department of Health and Human Services must be approved by the recipient's Institutional Review Board (IRB) prior to the initiation of the project. Approval by the IRB need not precede the submission of a proposal to NIJ but it must be obtained prior to the beginning of any research activity.

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. This requirement is strictly enforced. Alternative arrangements require the explicit approval of the Director at the time of award.²

Coordination

Applicants are expected to identify all other Federal, local, or private sources of support, including the Institute programs to which this or a closely related proposal have been or will be submitted. This information permits NIJ to consider the possibility of joint funding and limits the possibility of duplicate funding. Concurrent submission to other programs or, where appropriate, several NIJ programs is encouraged. Each peer review process is independent and multiple submissions will not jeopardize the likelihood of an award.

Deadlines

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

Page limit

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

Length of awards

The Institute limits its awards to a maximum period of 2 years. Studies requiring more than 2 years to complete should be designed in phases. Support for the first phase of a project, however, does not guarantee support for subsequent phases. Typically, continuation proposals are subject to competitive peer review prior to second-phase funding.

Legibility

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

How to apply

Applicants should submit 10 copies of their complete proposals by the deadline established for their particular research program. Submissions must include:

Standard Form 424. A copy of this form (with instructions) appears at the end of these announcements. Please follow instructions carefully and include all parts and pages.³

Budget narrative. Budget narratives should detail the salaries, materials, and costs assumptions used to estimate project costs.⁴ Narratives and cost estimates should be presented under the following standard budget categories: personnel, fringe benefits, travel, equipment, supplies, contracts, other, and indirect costs.

As noted above in "Length of awards," funding is limited to a maximum period of 2 years (24 months). The budget provided in section 1, item 12 of Standard Form 424 must reflect planned spending for no more than 2 years. The text of the proposal must match this budget. Applicants who anticipate that their research will take longer than 2 years to complete should provide budget estimates for subsequent phases.

One-page abstract. The abstract of the full proposal should highlight purposes, goals, research methods and, when known, the location of field research. Abstracts should not exceed one page.

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

- A clear, concise statement of the 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 and practice. It is important that applicants briefly cite those particular issues and concerns of present-day criminal justice policy that stimulate the proposed line of inquiry and suggest what their own investigation would contribute to the knowledge base for making an informed choice among policy options.
- 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 procedures of analysis to be employed.
- A description of the expected research products (reports, journal articles, data sets, etc.).
- 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.

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.

Standards of performance by recipients

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

The Institute awards grants and enters into cooperative research agreements, depending upon the degree of administrative control that it believes necessary in its various research projects. Grants, which compose 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 through March 31, April 1 through June 30, etc.—regardless of the project's start date. Progress reports need not be lengthy, but they should tell the monitor which tasks have been completed and whether significant delays or departures from the original workplan are expected.

Timeliness

Principal investigators are expected to complete award products within the time frames 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 can be terminated administratively. In this situation, any funds remaining are withdrawn. Future applications from either the principal investigator or the recipient institution are subject to severe scrutiny and may be denied support based on past failure to meet minimal standards.

Publications

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

This research was supported by grant number _____ from the National Institute of Justice. Points of view are those of the author(s) and do not necessarily represent the position of the U.S. Department of Justice.

Depending on the nature of a project, a variety of alternative publication formats may be appropriate for disseminating project findings to the research and policy communities. Two-thousand word articles might be appropriate for *NIJ Reports*, or slightly longer presentations in the *NIJ Research in Brief* series are another example of available mechanisms used from time to time to communicate project findings to a wider audience.

Research agencies occasionally find it worthwhile to relate important research findings through the media. In such instances, we require that copies of press releases about NIJ research be sent to the Institute at least 20 days in advance of the actual release. This policy alerts the Department of Justice public information office to possible press inquiries and enables the Institute to coordinate press coverage of Institute-sponsored research findings.

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1. 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).
 2. *Data Resources of the National Institute of Justice*, a catalog of abstracts from all publicly archived NIJ-sponsored data sets, is available free from the National Criminal Justice Reference Service.
 3. 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.
 4. All proposals should include in their budgets \$1,000 for each year of the project to pay for the cost of attending a 2-day meeting of all the senior researchers funded under the same program. The budget narrative should state that this is a "standard NIJ estimate to cover the expense of travel to the annual program conference."

Crime control and criminal careers

The dramatic rise in the level of crime in American society during the last 25 years 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 1986 indicate that over 13 million index crimes were reported to the police. That year also saw the United States reach an all-time high in the number of individuals imprisoned (546,659). However, the rate of imprisonment per crime in 1986 is only about two-thirds that reported in 1960. The annual cost to the taxpayer for this level of imprisonment approaches \$8 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.

Policymakers in America today continue to devote attention to the specific issues of crime and punishment even as purse strings continue to be tightened. 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.

These actions have not taken place in the absence of research. In fact, criminal justice policymakers have, in the past 20 years, become increasingly responsive to social science research findings in developing new crime control policies.

Still, there remain many concerns about prison population sizes and prison costs. Determining which offenders to incapacitate has become a primary concern; yet 70 percent of all convicted felons are not sentenced to prison but are on some form of community release. Recent evidence from California suggests that 65 percent of felony probationers are rearrested at least once within 2 years of their release.¹ 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. This shift coincided with an emerging scientific consensus acknowledging that most rehabilitation programs lacked scientifically compelling evidence of effectiveness.² Research advances of the past decade have also generated evidence that crime rates are, in fact, responsive to more certain and more severe sanctions. In a 1978 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."³

This rather guarded statement reflects the fact that scientific support for deterrence and incapacitation as mechanisms of crime control is still limited with respect to the size and direction of the effects that can reasonably be expected from alternative sanctions. Research on State and local aggregate crime rates since the Academy's 1978 report has explored the deterrent effects of sanctions for a variety of index offenses as well as specific crimes such as bank robbery and drunk driving. In addition, policy experiments have attributed 50 percent reductions in repeat violence in spouse assault cases to the specific deterrent effects of arrest.

In 1978 the National Academy of Sciences found that crime control effects from incapacitation were "plausible" but without a firm empirical base.⁴ In a 1986 report the Academy reviewed the extensive research of the past decade and estimated that 1982 incarceration policies reduced the 1982 robbery and burglary rates by 35 to 45 percent. The Academy also estimated that incarceration policies designed to incapacitate high-rate offenders offer crime reduction effects up to 10 percent, with no increase in prison populations.⁵

All of these estimates are based on assumptions and estimation procedures for determining rates of participation

in crime, the age at which criminal careers start and stop, the rate of offending over time, the seriousness and variety of offenses, the number of offenders per crime, and the nature of the social networks among the criminally active. Most of these assumptions and all of these estimation procedures are open to question, further testing, and refinement. This program is designed for the explicit purpose of supporting research that addresses one or more of these aspects of 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.

Crime career research

This program is interested in research directed at a thorough understanding of participation in criminal behavior, the frequency and seriousness of criminal activity, and the length 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 or other sanctions retard or accelerate the development of offenders' subsequent criminal behavior. Studies in this category have in the past estimated the annual rates of offenders' commission of crimes and examined one or several crime types, the duration of their criminal careers, the number of crimes committed during a career and, most important for this program, the impact of incarceration or other sanctions on careers in crime.

Neighborhood and community-level studies

The Crime Control and Criminal Careers Program incorporates research that estimates the relative gains in crime reduction generated by different sanction levels. National time series and State-level analyses have spawned efforts that use county, city, and neighbor-level data to estimate the crime-control effects of sanctions policies. Of course, research conducted at a more local level is also hampered by data and measurement problems.⁶ Currently efforts are underway to estimate the deterrent effects of arrest on crime at the neighborhood level and the magnitude of the effects of official sanctions (conceptualized as jail incarceration risk and police aggressiveness in patrols) on serious criminal offending in 171 American cities.

Perceptions research

This program has supported research investigating how the assessment of sanction risk or sanction cost differs among various subpopulations and whether the criminal justice system can communicate sanction threats more effectively. Past efforts have involved longitudinal studies of adolescents to determine the sequencing of criminal behavior and perceptions of sanction risks. A current effort is attempting to understand how offenders decide

to end their criminal careers. Related NIJ-supported research is planned for this area under the Ethnographies of Property Offenders Program.

Measuring crime

This issue has been a perennial topic for researchers interested in crime and criminal justice. The accurate interpretation of official crime statistics, victim surveys, and self-reports of crime is vital to improving the understanding of criminal careers. The importance of improving techniques to measure self-reports of crime was emphasized again recently in a reanalysis of a 1978 Rand Corporation survey of jail and prison inmates.⁷ An important contribution of this Rand survey is the highlighting of the variability of the rates at which individual offenders commit crimes. The estimates of these rates, especially for burglary and robbery, are dependent upon researcher decisions about the interpretation of ambiguous survey responses.

There is also a problem of veracity in the self-reports of crime. It is apparent from the Rand survey that some respondents overreported and some respondents underreported the frequency with which they committed criminal acts. This program includes research on improved measures of criminality in the context of understanding criminal careers and the control of crime.

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

Ten copies of fully executed proposals should be sent to:

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

This program will be operated in two rounds. The first round's deadline will be December 17, 1987; the second round's deadline will be April 22, 1988. Completed proposals must be received at the National Institute of Justice no later than 5 p.m., on those dates. Extensions of these deadlines will not be permitted.

To obtain further information about this solicitation, researchers may write to Winifred Reed, Program Manager, Crime Control Theory and Policy Program, at the above address, or contact her 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 Mrs. Reed to discuss it with her before undertaking the considerable effort required to prepare a proposal that would be competitive.

References and related grants

1. *Prison Versus Probation in California*, Joan Petersilia and Susan Turner, with Joyce Peterson, Santa Monica, California, The Rand Corporation, 1986.
2. *Effectiveness of Correctional Treatment: A Survey of Treatment Evaluation Studies*, D. Lipton, R. Martinson, and J. Wilks, New York, Praeger, 1975; and *Rehabilitation of Criminal Offenders: Problems and Prospects*, L. Sechrest, S. White, and E. Brown, ed., Washington, D.C., National Academy of Sciences, 1979.
3. *Deterrence and Incapacitation: Estimating the Effects of Criminal Sanctions on Crime Rates*, A. Blumstein, J. Cohen, and D. Nagin, ed., Washington, D.C., National Academy of Sciences, 1978, p. 7.
4. *Ibid.*, p. 7.
5. *Criminal Careers and "Career Criminals"* (2 volumes), A. Blumstein, J. Cohen, J. Roth, and C. Visher, ed., Washington, D.C.; National Academy of Sciences, 1986.
6. *Communities and Crime*, A. Reiss, Jr., and M. Tonry, ed., Chicago, University of Chicago Press, 1986.
7. "The Rand inmate survey: A reanalysis," C. Visher in *Criminal Careers and "Career Criminals,"* Vol. 2, A. Blumstein, J. Cohen, J. Roth, and C. Visher, ed., Washington, D.C., National Academy of Sciences, 1986.

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

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

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

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

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

Drugs, alcohol, and crime

Drug and alcohol abuse and the crime and social problems with which they are associated pose some of the most serious challenges facing America today. 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.

The social and economic costs imposed by these problems are tremendous. 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," have appeared and spread rapidly through all segments of our society. Hospitals have seen the number of drug-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.

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 white-collar crime and corruption to property offenses and crimes of violence. Surveys of prisoners have indicated that more than two-thirds of all those held 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.

National Institute-supported research has revealed the role of drugs as an accelerator of predatory crime and shown the offense rates of heroin-abusing criminals to increase about four to six times during periods of use over the same offenders' rates during periods when not addicted. Other recent NIJ research testing arrestees for drug usage has revealed that 73 percent of District of Columbia arrestees and 81 percent of a New York sample had taken one or more drugs other than alcohol or marijuana prior to their arrest. Pretrial rearrest rates were 50 percent higher for drug-positive offenders, with multiple drug users presenting the greatest risks to the community.

We have made significant progress in recent years in advancing and applying our knowledge of the links between drugs and crime in our fight against them, but much more still needs to be learned and done. Comprehensive abilities to assess how different drug control strategies will interact to affect crime rates and other social issues are still relatively limited for purposes of detailed prediction and evaluation of the combined effects of alternative policy options.

The picture is far from simple or complete. We know that drugs and alcohol interact with other complex social, psychological, and pharmacological factors to influence the behaviors of substance-abusing offenders. We also know that illicit drugs can 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. Therefore, to provide a full picture of the extent of mutual dependence between drugs and crime, research must encompass the criminality associated both with drug consumption and with drug distribution and trafficking.

Scope

This program has dual objectives: (1) Increasing our understanding of the nature and extent of drug and alcohol-related crime, and (2) improving our abilities to apply such knowledge to the control of drug and alcohol abuse and related criminality and thus reduce their social and economic costs and numbers of victims.

The following examples illustrate the types of policy-relevant research issues of particular interest to this program:

Assessing the nature and extent of drug-related crime

Drug abuse and crime are closely related. Many offenders are active drug abusers and reduction of their drug usage is associated with reduction of their criminal activity, even among relatively hard-core offenders. Such evidence from Institute research and other sources of the magnifying effects of drugs on crime provides strong support for public policies which aim to reduce drug and alcohol abuse, not only for its own sake but also because it will aid in reducing crime.

Accurate and sensitive measurement is fundamental to these objectives. Present abilities to estimate how many crimes of various types are drug- or alcohol-related, the nature of the roles these substances played in contributing to the occurrence or severity of the criminal acts, or how much reduction in various types of crime can be obtained with a given reduction in drug usage are inadequate for our needs. Further studies are needed to improve our abilities to monitor how different types of drugs are contributing to various types of crime and how best to integrate the information available from various indicators for criminal justice policy issues.

Control of drug supply and evaluation of local interventions

Research is needed to assess the changing nature of local drug trafficking systems and to contribute to the development and testing of a wide range of strategies to control their activities. Institute-supported studies have indicated that enforcement efforts aimed at street drug markets may produce significant reductions in drug trafficking and related crime.

Further studies might address such issues as developing the optimal mixes of efforts directed toward dealers and mid- and high-level traffickers; the effectiveness of enforcement strategies aimed at sellers (buy-and-bust) and at users; methods of detection and investigation; legislative and prosecutorial strategies and sanctioning policies; and coordinated initiatives involving police, courts, regulatory agencies, tax authorities, customs officials, and financial institutions. Street dealers and small-scale suppliers should be a focus of research to determine the effects of disruption at this level on local markets and mid- and large-scale drug distribution systems.

Measuring changing trends in drug abuse

Since the nature and extent of drug-related crime are related to overall levels and patterns of drug abuse, the abilities to accurately assess the size and nature of drug abuse trends are of fundamental importance to the development and evaluation of effective prevention and control efforts. Unfortunately, regional and local (as distinct from national) estimates of the numbers and characteristics of those currently using various legal and illegal drugs are not readily available for most jurisdictions, although these are the levels at which many policy decisions are made affecting the control of both crime and drugs.

Improved methods are needed for estimating the sizes and characteristics of various substance-abusing populations. Changes are continually occurring in the drug scene, bringing new substances or forms of drugs into prominence (e.g., crack, synthetic analogs). NIJ has initiated efforts to extend the criminal justice system's

abilities for early detection of trends in usage by criminal offenders through objective drug testing. The DUF (drug usage forecasting) program will provide accurate data on the drug status of samples of arrestees in jurisdictions across the Nation to permit early detection of changing trends in drug usage and optimal use of criminal justice resources.

Reducing the 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 fundamental change in these policies so as to make illicit drug use unacceptable either in the workplace or socially. Reducing the demand for drugs, especially those shown to be closely linked to crime, such as narcotics, cocaine, and PCP, is essential if we are to succeed in reversing the present levels of drug abuse and related crime.

This solicitation encourages research efforts that will explore ways to reduce the demand for drugs both among criminal offenders and the general public. A wide range of approaches are possible—such as enhancing the effectiveness of general and specific deterrence through increased emphasis on detection by urinalysis or other objective drug tests in offender populations, assessment of the relative roles of detection and other sanctions with different populations, the contributions of various types of information and attitudinal components in dissuading new users and changing the behaviors of current users, and the effectiveness of prevention efforts aimed at youths or high-risk groups.

Patterns of drug/alcohol use and relations to development and cessation of patterns of delinquency and crime

Research has indicated that drug and alcohol abuse may affect both the nature and intensity of patterns of youth or adult crime. Further research is needed to clarify the processes involved and address such questions as how and why many individuals in "high-risk" groups do not develop drug-related problems.

The identification of individual and environmental 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

Ten copies of fully executed proposals should be sent to:

Drugs and Crime Research Program
National Institute of Justice
633 Indiana Avenue NW., Room 900
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 p.m., January 27, 1988, to be considered for the first cycle, and no later than 5 p.m., May 4, 1988, for the second cycle. Extensions of these deadlines will not be permitted.

To obtain further information about this solicitation, researchers may write to Dr. Bernard Gropper, Program Manager, Drugs 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.

References and recent related grants

1. "Controlling pretrial drug use and reducing risk through testing," J.A. Carver in *NIJ Reports*, 199, pp. 2-7, September-October 1986.
2. "Relationship of problem drinking to individual offending sequences," J.J. Collins in *Criminal Careers and Career Criminals*, Vol. 2, pp. 89-120, Washington, D.C., National Academy Press, 1986.
3. "Controlling drug abuse and crime: A research update," M.G. Graham in *NIJ Reports*, 202, pp. 2-7, March-April 1987.
4. "Probing the links between drugs and crime," B.A. Gropper in *NIJ Research in Brief*, National Institute of Justice, February 1985.
5. "Epidemiology of drug abuse: an overview," N.J. Kozel and E.H. Adams in *Science*, Vol. 234, November 21, 1986, pp. 28-32.
6. "Impact of substance abuse on criminal careers," E.D. Wish and B.D. Johnson, in *Criminal Careers and Career Criminals*, Vol. 2, pp. 52-88, Washington, D.C., National Academy Press, 1986.

86-IJ-CX-0084. Urine Tests of Arrestees To Identify Hidden Drug Abusers, Toborg Associates.

86-IJ-CX-0075. Impact of Legislation To Prohibit Happy-Hour on Alcohol-Related Motor Vehicle Accidents, Northeastern University.

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

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

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

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

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

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

85-IJ-CX-0052. Drug-Related Crime Analyses: Homicide, 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-0025. Drug Use as a Predictor of Behavior on Probation, Narcotic and Drug Research, Inc.

Offender classification and prediction of criminal behavior

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 less restrictive sanctions 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 vicious and most persistent 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. 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 developed 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. More recent research has led to prediction schemes such as the Rand Scale, Salient Factor Score, Iowa Risk Assessment Scale, and other measures. These 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 would 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.

The recent book, *Prediction and Classification: Criminal Justice Decisionmaking*, edited by Don Gottfredson and

Michael Tonry, is a significant product of this research program. It brings together much of what is known about key topics of offender classification and prediction. It includes a careful discussion of the legal and ethical issues involved in the implementation of classification and prediction systems in applied settings. Many of the methodological problems of classification and prediction are examined. It is recommended that potential applicants to this program have read this volume prior to submitting a research application.

Scope

The focus of this program is on research to improve and facilitate the assessment of the risk that 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 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 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 understanding of how an offender's criminal career is likely to continue to evolve, given what is known at a particular point about his history of deviance.

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

Ten copies of fully executed proposals should be sent to:

Offender Classification and Prediction of
Criminal Behavior Program
National Institute of Justice
633 Indiana Avenue NW., Room 900
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 p.m., January 20, 1988, to be considered for the first cycle, and 5 p.m., April 20, 1988, for the second. Extensions of these deadlines will not be permitted.

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.

References and recent related grants

1. *Prediction and Classification: Criminal Justice Decisionmaking*, D.M. Gottfredson and M. Tonry, ed., Chicago, University of Chicago Press, 1987.
2. *Criminal Careers and "Career Criminals,"* Vols. I and II, ed. A. Blumstein et al., Washington, D.C., National Academy Press, 1986.
3. *Varieties of Criminal Behavior*, J. Chaiken and M. Chaiken, Santa Monica, California, Rand Corporation, 1982.
4. *Prediction in Criminology*, D.P. Farrington and R. Tarling, Albany, New York, State University of New York Press, 1985.
5. "Offender typologies—two decades later," D.C. Gibbons, *British Journal of Criminology* 15, 2 (1975): 140-156.
6. *Key Issues in Criminology*, R. Hood and R. Sparks, New York, McGraw-Hill Book Co., 1970.
7. *Classifying Criminal Offenders*, E.I. Megargee and M.J. Bohn, Jr., Beverly Hills, California, Sage Publications, 1979.
8. *Clinical Prediction of Violent Behavior*, J. Monahan, Rockville, Maryland, U.S. Department of Health and Human Services, 1981.

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.

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

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

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

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

Violent criminal behavior

The Justice Assistance Act of 1984 authorizes 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 and the fear of violent attack can strangle whole neighborhoods and communities. We need to develop policies for interventions that can reduce violence by offenders.

According to the 1986 Uniform Crime Report (UCR) statistics, a violent crime—a murder, a rape, a robbery, or an aggravated assault—occurred every 21 seconds. It has become almost common to be advised to walk in a group when out at night. A recent report by Langan and Innes¹ estimated that 6 million Americans are targets of violent crime annually.

The rate of violent crimes per 100,000 population has increased sharply in the last quarter century: 159.0 (1960); 360.0 (1970); 580.7 (1980); and 617.3 (1986). Recently, the influence of illegal drug abuse in contributing to violent behavior has become of particular concern. Violent crimes not only bring suffering and hardship to the victims and their families, but also affect the quality of life and behavior of everyone in our society as a result of fear.

While statistics show that violence occurs most often among family members and persons acquainted with one another, one of the most significant fears is of being attacked by a stranger, either at home or elsewhere. The Institute has worked to develop more effective strategies for preventing, investigating, and solving violent crimes perpetrated in particular by strangers to the victims.

The Violent Criminal Apprehension Program (VI-CAP) is operated by the Federal Bureau of Investigation. It was established based on findings from Institute research suggesting that systematic analysis of data and evidence could greatly assist in apprehending violent criminals. VI-CAP acts as a national data information center and identifies patterns of violent crime across States. In this way VI-CAP assists law enforcement agencies throughout the criminal justice system to coordinate their efforts and maximize the number of crimes solved.

The object of the Violent Criminal Behavior Program is to obtain a better understanding of the factors essential to preventing and reducing the potential for criminal violence in an individual. The development of interventions to prevent violence, particularly prospective ones, is of critical interest to the program. Finally, the assessment of the 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—remains one of central interest.

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 research topic areas, while not intended to be an exhaustive list, identify issues of particular concern.

Violence prevention

Violence in America is a pervasive and devastating national problem, but it is not an inevitable feature of American life. Much violence is predictable and potentially preventable. More frequently than not, violence is not a random event between strangers but a patterned, repetitive behavior occurring among acquaintances, friends, and family members. Most homicides, for instance, are not between strangers but between people who know each other or are members of the same family.

According to the FBI, 47 percent of all homicides are caused by arguments, 55 percent of all homicides involve people who know each other and 25 percent involve family members. The evidence on rape and assault from victim surveys indicate a similar pattern: 40 percent of all rapes and assaults involve acquaintances or family members. Domestic violence may be the most common violent crime.

Violence affects all aspects of American society, but disproportionately the poor, the young, and minority ethnic groups (for example, young, black males, among whom homicide is the leading cause of death). It is these citizens who would benefit most by a successful program in violence prevention. The pervasive nature of violence, however, requires that workable strategies be developed that are equally effective for all strata of American society.

The Institute's experiment on spouse assault demonstrates that there is a clear difference in effectiveness among police policies on handling such assaults. Arrest is now the policy of choice in Minneapolis and many other cities. Future violence could be reduced as a consequence of this changed policy. While this finding is not definitive—the Institute is now replicating the experiment in six cities—it is encouraging to observe that research results can lead to better informed policies that prevent violence.

Research applications are invited to investigate or propose criminal justice, educational, mental health, and social service violence prevention and control interventions. Applicants may propose systematic field observation of experimental treatments used by police, prosecutors, and court-mandated counseling programs dealing with violent offenders; studies examining the effectiveness of educational, health, and other social service programs in preventing disagreements from erupting into violent behavior; studies of the etiology of hate violence which is violence directed against an individual because of an intrinsic characteristic such as race, religion, ethnicity, national origin, or sexual orientation; and the application of civil statutes to criminal behavior, such as the use of injunctive relief in certain hate violence incidents or the confiscation of weapons from juveniles.

Intergenerational transmission of violence

The intergenerational transmission of violence has become a popularly accepted theory, despite the dearth of empirical evidence about how child abuse or neglect is related to later outcomes. In a recent review of the extant literature on intergenerational transmission of violence conducted for the National Institute of Justice, Widom² concluded that less than one-fifth of formerly abused adults perpetrate abuse on their own children, and that in prospective studies using children who were abused or neglected, the incidence of subsequent delinquency was about 20 percent.

Findings from studies on the question of whether abuse and neglect lead to later violent criminal behavior were contradictory. While some provide strong support for the "cycle of violence theory," in others there were no differences between abused and nonabused delinquents, and in at least one study, abused delinquents were less likely to engage in aggressive crimes.

The National Institute of Justice is interested in research examining the consequences of experiencing and observing abuse and neglect, with an emphasis on addressing causality issues.

Questions of interest include: In what context(s) do the long-term effects of abuse and/or neglect occur? For example, what are the consequences of abuse and neglect in the larger context of the caretaking environment? Is early sexual abuse an antecedent to later crimes? Does the perpetrator of the abuse make a difference in terms of the consequences of early abusive experiences? What are the long-term consequences of early sexual victimization and how do they differ in males and females?

Violent crime and mental disorder

Monahan and Steadman³ 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 Schalenger⁴ 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.

Deadlines and further information

Ten copies of fully executed proposals should be sent to:

Violent Criminal Behavior Program
National Institute of Justice
633 Indiana Avenue NW., Room 900
Washington, DC 20531

Completed proposals must be received at the National Institute of Justice no later than 5 p.m., January 13, 1988, to be considered for the first cycle, and 5 p.m., April 13, 1988, for the second cycle. Extensions of these deadlines will not be permitted.

Applicants are encouraged to contact the Institute before submitting proposals to discuss topic viability or proposal content. 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 telephone her at 202-724-7631.

References and recent related grants

1. *Risks of Violent Crime*, by P.A. Langan and C.A. Innes, Bureau of Justice Statistics Special Reports, May 1985.
2. "Does Violence Beget Violence? A Critical Examination of the Literature," by Cathy Spatz Widom, unpublished, National Institute of Justice, 1987.
3. "Crime and mental disorder: An epidemiological approach," by J. Monahan and H. Steadman, *Crime and Justice: An Annual Review of Research* 4, ed. M. Tonry and N. Morris, Chicago, University of Chicago Press, 1983.
4. "Prevalence of Psychiatric Disorder Among Admissions to Prison," by J. Collins and W. Schalenger, paper presented to the American Society of Criminology, November, 1983.

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

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

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

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

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

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

Apprehension, prosecution, and adjudication of criminal offenders

In the view of the general public the primary function of the criminal justice system is the apprehension, conviction, and punishment of offenders guilty of serious crimes. This expectation is sometimes met with the feeling that criminals benefit more from the system than the victims when it is seen that felony offenders are given probation instead of a prison sentence, or are given early release because of crowding in the prisons.

Currently, the arrest rate for all reported felonies is about one out of five, which is down from one out of four in 1970.¹ On average about one felony arrest in six results in a felony conviction. A third of these arrests are disposed of with a guilty plea to a reduced misdemeanor charge. Over 40 percent are dismissed by the prosecutor at screening or by the court at the charging hearing for lack of sufficient evidence to show probable cause. And even those who are convicted do not necessarily receive a prison sentence, for as many as two out of five convicted felony offenders are released.² In spite of this case attrition, our prisons are overflowing and yet the number of victims, the ultimate measure of the criminal justice system, continues at the unacceptably high level of nearly 6 million violent crimes annually.³

The system has been undergoing major changes in recent years. Some evidence for this is reflected in the statistics on prison admissions. In 1980, for every 1,000 incidents of murder, nonnegligent manslaughter, forcible rape, robbery, aggravated assault or burglary, 25 convicted offenders were admitted to prison with sentences of more than 1 year. This rate has grown steadily in succeeding years: the 1985 rate was 42 admissions per 1,000 offenses.⁴

In part the explanation may lie in a greater punitiveness at sentencing. But the statistics also point toward simultaneous changes in the arrest and prosecution processes with the rate of adult arrests for these selected crimes increasing in the same period from about 0.13 to 0.16 and the rate of prison commitments per adult arrest from about 0.19 to 0.27.⁵

The incidence of these crimes as reported to the police has declined from a nationwide total of 5.1 million in 1980 to 4.4 million in 1985.⁶ While this change is the net result of a very complex set of interacting social forces, it is not unreasonable to infer that improvement in the criminal justice system's effectiveness in apprehension and prosecution of serious offenders has been one of the significant contributing forces.

Criminal justice policymakers, faced with what seems like an obvious system overload, have attacked the crime problem in a variety of ways. Perhaps most notable at the local level have been those programs concerned in one way or another with the concentration of resources on the apprehension and prosecution of major felony offenders. These include the police-prosecutor efforts that set a priority on the conviction of the serious, persistent offender—the "career criminal."⁷ A somewhat different perspective on the problem is reflected in the adoption by some prosecutors and State legislatures of procedures to restrict charge reduction in guilty pleas.⁸ Additionally, attention has focused on crimes committed by defendants who are released into the community pending trial. Bail guidelines have been successfully tested that aid courts in deciding pretrial release conditions.⁹ NIJ's major drug testing program has found that drug testing in some instances identifies offenders in need of special controls.¹⁰

These changes reflect a rather general consensus that there are ways in which the "system" frequently falls short—the system is costly, and the sense of justice and fairness and protection of the innocent is not fostered. Research has provided some solutions to aid the system such as better identification of offenders and assessment of their risk to the community, and guidelines for judges to use in making pretrial release and sentencing decisions. Further areas of potential improvement might address such concerns as the fact that available evidence, often in priority cases, is not properly collected nor fully utilized; inadequacies exist in the filing of criminal charges; key witnesses are not properly prepared or encouraged to appear at trial; pretrial decisions are sometimes made before adequate offender background information is collected and presented. Since the system's failures are much more likely to be openly discussed than its successes, both offenders and the public may be tempted to conclude that the system is ineffective in performing its primary function.

Scope

Research proposals submitted under this program should address criminal justice problems seen as impeding continued improvements in the rate of apprehension and conviction of offenders guilty of serious crimes. From this program perspective, proposed studies should build on past research aimed at increasing our understanding of the impact and implications of the changes and reforms in the criminal justice system. There are a variety of outcome measures appropriate for assessing the effectiveness of apprehension, prosecution, and adjudication,

including criminal behavior. Research proposals must be explicit about which criteria will be used in their projects.

The following topic areas, although not intended to be complete in their coverage, are presented as examples of research themes that would fall within the general scope of this program.

Targeting resources on the most serious and persistent offenders

A variety of programs and policies has been inaugurated aimed at removing from the community those offenders who pose the greatest threat in terms of the frequency and seriousness of their crimes. These include coordination efforts between State and local agencies and the Federal Government, cross-designation of laws to increase resources, and the use of private resources for apprehension and adjudication. Police and prosecutor strategies for the identification of and apprehension of such offenders might be evaluated. Studies might examine the effectiveness and efficiency of prosecutorial schemes for prioritizing cases that focus on repeat offenders. Operational policies aimed at coordination of police and prosecutorial efforts would be of particular interest.

Pretrial decisions

Methods for increasing the accuracy and availability of information pertinent to pretrial decisions are of interest, especially in terms of their effectiveness in the control of crimes committed by defendants released to the community pending trial. Adding to interest in this area is the fact that 32 States and the Federal Government have passed public dangerousness laws, which were upheld recently by the U.S. Supreme Court in *U.S. v. Salerno*. Prosecutors could benefit from improved pretrial information in deciding whether to argue for preventive detention, as could judges in establishing conditions for pretrial release.

Effects of reforms on judicial processes

Legislated changes such as sentencing guidelines, determinate sentencing, restricted plea bargaining, and speedy trial acts are attempts to reform the judicial process—generally through the imposition of certain constraints on judicial discretionary powers. At the same time consideration of jail or prison capacities may have to be taken into account because of rulings on constitutional issues by higher courts. Studies could be of interest that explore ways in which courts have resolved the tensions inherent in these sometimes conflicting demands and in particular, any effects on incarceration rates of serious offenders that have been generated through changes in court policies.

While submissions are encouraged to address the issues and concerns cited above, other proposals that address relevant issues in the apprehension, prosecution and adjudication field will be considered.

Deadlines and further information

Ten copies of fully executed proposals should be sent to:

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

Completed proposals must be received at the National Institute of Justice no later than 5 p.m. on January 22, 1988, to be considered for the first cycle, and 5 p.m. on May 20, 1988, for the second cycle. Extensions of these deadlines will not be granted.

To obtain further information about this solicitation, researchers may write to Bernard V. Auchter, first cycle, or Richard M. Rau, second cycle, Program Manager, Apprehension, Prosecution, and Adjudication Program, at the above address, or by calling 202-724-2949.

Applicants are encouraged to contact either Program Manager to discuss topic viability or proposal content before submitting proposals.

References and related grants

1. *Uniform Crime Reports*, Federal Bureau of Investigation, 1970 and 1986.
2. "The Prosecution of Felony Arrests, 1981," Barbara Boland with Ronald Sones, Bureau of Justice Statistics, 1986; "Felony Arrests: Their Prosecution and Disposition in New York City's Courts," a Vera Institute of Justice monograph, 1977.
3. *Criminal Victimization in the United States 1985*, A National Crime Survey Report, Bureau of Justice Statistics, May 1987.
4. BJS Bulletin, "Prisoners in 1986," Bureau of Justice Statistics, May 1987.
5. *Ibid.*
6. *Ibid.*
7. "Criminal career research: A review of recent evidence," Joan Petersilia in *Crime and Justice 2*, Chicago, University of Chicago Press, 1980. See Related Projects.
8. "Plea-bargains, concessions, and the courts: Analysis of a quasi-experiment," Thomas W. Church, Jr., *Law & Society Review* 10, 3, 1976. See also *Alaska Bans Plea Bargaining*, Michael L. Rubinstein, Stevens H. Clarke, and Teresa J. White, National Institute of Justice, 1980.
9. "Development and Implementation of Bail Guidelines: Highlights and Issues," John S. Goldkamp, National Institute of Justice, 1984. See Related Projects.

10. *Drug Use Forecasting: New York 1984 to 1986*, National Institute of Justice Research in Action, 1987; "Drugs and Crime," *NIJ Reports*, National Institute of Justice, 1987.

Police-prosecutor studies:

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

85-IJ-CX-008. Improving Evidence Gathering Through Police and Prosecutor Coordination, Snohomish County Prosecutor's Office.

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

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

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

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

Pretrial release studies

87-IJ-CX-007. Drug Abuse and Misconduct During Pretrial Release, Temple University.

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

83-IJ-CX-0008. Public Danger as a Criterion in Pretrial Release Decisions, Toborg Associates, Inc.

Forensic science and criminal justice technology

Forensic science and criminal justice technology have proved to be invaluable tools for criminal justice. Scientific evidence such as fingerprints, ballistics, fibers, hair, voiceprints, etc. play an increasingly important role in police investigations and prosecutions. Continuing innovations in forensics and technology have helped 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. Research findings are used to prepare evidence scientifically to pass rigorous admissibility tests in accordance with the procedure known as the Frye Rule. In addition, 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.

The criminal justice system continually benefits from new Institute research on scientific evidence. Blood-alcohol evidence, for example, has now become the major factor in DWI convictions. Also, medical research into the genetic markers present in human body fluids—blood, semen, perspiration, saliva—has significantly improved 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 scene can help lead police to the attacker or narrow the field of suspects. New recombinant DNA science, under investigation by the Institute, is expected to produce even more advances in blood "fingerprinting."

Voice analysis research is also supported by the Institute and is expected to play a significant role in law enforcement responses to terrorism, telephone threats against innocent persons, and law enforcement evidence collection operations against organized crime. New research in hair analysis also indicates that information on an individual's history of drug use for a period of several months can be found in human hair.

Technology also plays an important role in criminal justice since it can be used to improve the criminal justice system's productivity. Advances in computer technology, both in applying existing technology and developing new ones, have improved a wide variety of agency operations. Police patrol patterns, court scheduling, electronic monitoring of offenders, and communication and record keeping are empowered or enhanced by computers.

Another breakthrough demonstrating the impact of close cooperation between science and law enforcement was the development of soft body armor for police officers.

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 that will facilitate the use of scientific innovation throughout the criminal justice system to save lives, improve crime clearance rates, reduce apprehension and conviction times, and deter future crime by increasing the likelihood of detection.

Scope

The Institute seeks proposals for research in the physical and biological sciences and their technologies addressing developments of equipment or techniques which will aid in crime prevention, crime detection, investigation, and adjudication. The following topic areas, although not intended to exclude others, are presented as examples of research themes in which the National Institute is interested.

Forensic sciences

The forensic sciences have provided one of the most promising 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 a fundamental resource in laboratories across the country—the *Sourcebook of Forensic Serology, Immunology, and Biochemistry* by Robert E. Gaensslen, Ph.D. Other projects include the identification of assailants using hair lost during struggles with victims, the conclusive examination of gunshot residue on hands and clothing using electron microscopes, the study of human speech patterns resulting in technology capable of identifying individual "voiceprints," and the study of cell structures of partially digested vegetables found in the stomach of homicide victims.

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

Criminal justice technology

The Institute actively considers proposals for technological advances with potential application to 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.

For example, the Institute has long been involved in the search for a viable, nonlethal alternative to the police officer's most distinctive weapon—his handgun. The Attorney General of the United States has held a conference on this subject. Since 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 restricted by legal precedents and local policy. The availability of a less-than-lethal alternative weapon would better equip law enforcement to handle encounters with armed suspects and fleeing felons.

Many new weapons, such as plastic guns, plastique explosives, and the like are capable of being transported through current detection barriers and safeguards. Research proposals for new tools which improve detection capabilities for both traditional and nontraditional weaponry are of interest. A breakthrough in this area offers the potential for greatly reducing violence by detecting such weapons on persons entering protected areas.

Special attention should also be directed to technology that facilitates tracing organized crime transactions. For example research on the detection of illegal drugs being transported in various fashions through otherwise legitimate channels and improved means of identifying the offenders involved are of interest.

Research primarily focused on the development of computer software should be particularly innovative, address a problem of national interest, and offer unique capabilities to a broad spectrum of criminal justice operational elements.

Deadlines and further information

Ten 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 p.m. on March 16, 1988. 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 202-724-7631.

References and recent related grants

1. *Sourcebook in Forensic Serology, Immunology, and Biochemistry*, R.E. Gaensslen, U.S. Government Printing Office, August 1983.
2. *Forensic Evidence and The Police: The Effects of Scientific Evidence on Criminal Investigations*, Joseph L. Peterson, Steven Mihajlovic, and Michael Gilliland, U.S. Government Printing Office, October 1984.
3. *Procedures and Evaluation of Antisera for the Typing of Antigens in Bloodstains*. R.E. Gaensslen and Henry C. Lee, U.S. Government Printing Office, November 1984.
4. *Death Investigation and Examination: Medicolegal Guidelines and Checklists*, ed. Kenneth S. Field and Beth Ann Lipskin, The Forensic Sciences Foundation Press, 1984.
5. *The Laboratory's Role in Investigating Rape in Diagnostic Medicine*, George F. Senssabaugh, Jan Bashinski, and Edward T. Blake, March 1985.
6. "Post-coital detection of a male specific semen protein by Elisa," H. Graves, G.F. Senssabaugh, and E.T. Blake, *New England Journal of Medicine*, February 1985.
7. *Report on the Attorney General's Conference on Less Than Lethal Weapons*, Sherri Sweetman, U.S. Department of Justice, March 1987.

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

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

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

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

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

85-IJ-CX-0021. A Data Base for Forensic Anthropology, University of Tennessee.

83-IJ-CX-0052. Detection of Concealed Handguns, University of Tennessee.

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

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

Public safety and security

Crime and fear impose enormous costs on the physical, financial, and emotional well-being of the community and threaten the economic and social fabric of society as a whole. In fact, recent research has disclosed far greater and longer term consequences of victimization than previously believed.

For the past 50 years, the criminal justice system has had almost exclusive responsibility for managing justice and maintaining safety in the community. With the escalation of victimization and fear and the increasing cutbacks in police and criminal justice resources, however, there has been a major change in the public's response to crime. Growing fear has caused a shift in public emphasis from a concern for justice to a concern for personal safety and security. At the same time, there has been a broadening of the locus of responsibility for public protection beyond the professional expertise and official authority of the police to include individual citizens and groups in all sectors of the community.

Today, individuals purchase burglar alarms or (as in the Rasheed and Goetz incidents) adopt more aggressive self-protective measures; community groups initiate neighborhood watch programs or citizen patrols; and businesses, public institutions, and other organizations install protective equipment or employ private security guards. All segments of society have begun to take a more active role in preventing and controlling crime.

The purpose of this solicitation is to encourage research aimed at studying ways in which all of these groups, together with the criminal justice system, can reduce victimization, fear, and the costs of crime, and enhance the quality of community life.

During the past decade, much has been learned about effective techniques of reducing crime, both through community action and through alternative policing strategies. For example, Institute-supported research has included many studies of community crime prevention capabilities.¹ 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 crime, and police interaction with private security and other segments of the community.^{2,3,4,5}

Other studies have demonstrated that, along with specific law enforcement efforts and collective citizen actions, modifications of environmental features and institutional practices can also have important effects on both crime and the fear of crime. Experiments in Hartford, Portland, and other cities showed that coordinated law enforcement,

citizen, and environmental strategies can effectively increase safety and security in residential and commercial neighborhoods.^{6,7} These strategies also proved effective in reducing shopping center crime in Oakland, California.⁸

More recently, Institute-sponsored studies in Houston and Newark demonstrated that crime prevention programs which integrate police activities with those of citizens and private sector groups can reduce crime, disorder, and fear, with less cost to the community.⁹ In addition, research in Newport News, Virginia, has demonstrated the effectiveness of a new proactive, problem-oriented approach to policing that places special emphasis on police-community partnerships against crime, on problem identification and analysis, and on broad-based strategies individually designed to address specific situational vulnerabilities to crime.¹⁰

All of these studies have made important contributions to current public safety and security policy and practice and have suggested potentially fruitful directions for future research attention.

Scope

This solicitation requests proposals that will build on the progress of past research to examine new proactive, problem-oriented approaches to crime control by police, by private security, and by community groups and institutions, in order to identify what strategies are effective in reducing fear, victimization, and their destructive impacts on society. A variety of research designs and methodologies will be considered eligible under this program, including evaluations of existing programs, field experiments, and research aimed at the development and testing of new strategies.

Target groups for such strategies may include law enforcement agencies, the public in general, particular population subgroups, community groups and institutions, the private business sector, private security forces, and both governmental and nongovernmental organizations.

Proposals must contain clear definitions of the problem(s) to be addressed, of the key research variables, and of the relevance of the project for reducing victimization and improving public and private strategies for controlling crime. Applicants must also provide detailed descriptions of their proposed research designs, including their data sources, data collection methods, and analysis plans.

The following research topic areas, while not intended as an exhaustive list, identify some issues of particular concern.

Community security: A new role for police

Traditional policing consists largely of reactive responses to community safety issues. There is a growing recognition among police executives, however, that many urban safety problems are best dealt with in collaboration with other public agencies, such as transportation or social services, rather than solely within a law enforcement framework. Even within law enforcement, police have begun to experiment with proactive approaches to crime problems. Problem-oriented teams have been able to involve the community in identifying particular safety and security concerns and developing new and productive approaches to crime prevention and control.

The impact and effectiveness of these new forms of community policing require research attention. Police collaboration with the public and police proactivity in approaching crime are relatively new concepts that need additional experimentation if law enforcement is to advance beyond its traditional crime control functions and assume a broader, more effective role in increasing public safety and security. Research should obviously focus on objective measures of crime and fear reduction and improvements achieved in community security, economic viability, and quality of life. However, there is also considerable interest in research addressing the effective implementation of new strategies and in studies examining the effects of new approaches on resource allocation among the various police functions and services. Studies focusing on community policing as a means for drawing upon private sector resources to help control nonviolent crimes and incivilities merit substantial attention, as well, especially given current limitations in police resources and the need for priority targeting of violent crime.

Improving the quality of life

High crime and signs of physical disorder often signal the deterioration of a commercial or residential neighborhood. The presence of violent and property crime, street drug dealing, litter and vandalism, and public drunkenness are important sources of public fear and insecurity and lead citizens to feel a loss of control over their lives and their neighborhoods. Such conditions also reduce the opportunities citizens have to improve their lives and generate a continuing cycle of increasing physical decline, crime, fear, and helplessness.^{11,12,13}

Research is needed that would help develop strategies to reverse this process of urban decline and increase the social and economic viability of neighborhoods. For example, research might examine activities of police, citizens, and business leaders that contribute to controlling or reversing neighborhood deterioration or might assess the effectiveness of coalition strategies designed

to target specific neighborhood problems. Also of special interest are studies that seek to develop measures to estimate the costs of crime to the community in order to identify strategies to reduce these costs.

Privatization of security

The demand for private security has grown dramatically in the last decade, far outstripping public law enforcement in size. According to 1986 estimates, expenditures for private security totalled \$51 billion, more than twice as much as the \$24 billion spent on public police.¹⁴ This dramatic growth may lead to the emergence of new relationships between public and private security and the possible future "privatization" of many security services.

Households as well as businesses are investing in a wide range of self-protective measures, such as electronic alarm systems, guards and guard dogs, security locks, and auxiliary lighting. Despite the magnitude of these expenditures, however, there is scant empirical knowledge about what differences (if any) this considerable investment has made in the levels of crime and fear.

Research is solicited that would examine the functions currently performed by private security and would explore how private security activities may effectively complement those of the police. Studies might concentrate on capital-intensive private security measures, such as lighting and alarms, or might focus on labor-intensive measures, such as industrial security guards and store detectives. Key research questions might include whether private security measures can achieve measurable reductions in victimization; whether police operations should be altered to coordinate more closely with existing private security practices and equipment; and whether increases in private security can contribute to increased rates of arrest, clearance, prosecution, and punishment of offenders.

Deadlines and further information

Ten 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 p.m. on the dates specified for each cycle. This program's first cycle deadline is January 15, 1988. The second cycle is May 13, 1988. Extensions will not be granted.

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

References and related grants

1. *Community Crime Prevention: Does It Work?*, ed. Dennis P. Rosenbaum, Beverly Hills, California, Sage Publications, *Criminal Justice System Annuals* (Vol. 22), 1986.
 2. *Kansas City Preventive Patrol Experiment*, George Kelling et al., Police Foundation, 1974.
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 12. *Safe and Secure Neighborhoods: Physical Characteristics and Informal Territorial Control in High and Low Crime Neighborhoods*, Stephanie W. Greenberg et al., National Institute of Justice, May 1982.
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87-IJ-CX-0006. The Community Patrol Officer Program, Vera Institute of Justice.

86-IJ-CX-0074. Mapping Crime in Its Community Setting, Chicago Police Department.

86-IJ-CX-0071. Arson Measurement, Analysis, and Prevention, Northeastern University.

86-IJ-CX-0037. Repeat Complaint Address Policing (RECAP), Crime Control Institute.

86-IJ-CX-0008. Improving Police Effectiveness in Police-Citizen Interactions, Police Foundation.

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

85-IJ-CX-0041. Transients and Police Policy: An Exploratory Study, Behavioral Research Institute.

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

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

Punishment and control of offenders

Each year in the United States over 10 million offenders become involved with the criminal justice system. By the end of 1985, over 200,000 adult offenders were in local jails, over 500,000 in State and Federal correctional facilities,¹ 277,000 on parole, and over 1.8 million on probation,² total with annual costs exceeding \$13 billion.³

Between 1983 and 1985, the probation population grew by 18 percent and the prison and jail population by 15 percent.⁴ These increases are causing continuing pressure on correctional resources. Thirty-eight states have court-ordered "caps," limiting their prison population and narrowing the disposition options available to courts.

After an offender is found guilty, various sanctioning options are reviewed. Consideration is given to the offender's degree of culpability, the nature of the offense, and the threat he or she presents to the community. Many times, the judge is presented with a dichotomous choice of imperfect alternatives—incarceration, maximum control in crowded prisons, or probation, often viewed as providing little or no control. A recent NIJ-supported study, in California, illustrated the failures of both prison and probation when it found that 72 percent of the released prisoners and 63 percent of the probationers studied were rearrested within the 2-year followup period.⁵

Some jurisdictions have expanded the options available by developing intermediate sanctions which are not as harsh as imprisonment but which provide more punishment and control than traditional probation. An evaluation of Georgia's program suggests that intensive supervision (ISP) provides greater control than regular probation while costing less than incarceration.⁶ However, there is a need for research to assist in determining appropriate sanctions for different kinds of offenders and in determining which programs are most effective in reducing citizens' fear, actual victimizations and system costs.

The National Institute of Justice is supporting research related to a number of sentencing options, including ongoing assessments of ISP programs in New Jersey and Massachusetts and electronic monitoring programs in several States. Consistent with the findings in the Georgia study, the participants in the New Jersey ISP program were rearrested less frequently than a comparable group of prison releasees, while the ISP program cost the taxpayers of the state less than incarceration.⁷

In addition to examining the effects of intermediate sanctions, the research program of the National Institute of Justice is addressing some of the major problems confronting managers of prison and jails, including the management of death row inmates and the control of prison gang violence.

These projects are intended to provide better information to criminal justice policymakers and administrators about options that might be considered in the management of correctional resources to achieve improved control over crime in our society through a system of punishments that is just, practicable, fair to past victims, and protective of future, potential victims.

Scope

This announcement seeks proposals that will examine the punishment and control of offenders both in the community and within institutions. These studies may relate to policy and management concerns, operational strategies, or program effectiveness. Different methodological approaches would be appropriate for the various issues which fall within the scope of the announcement. These could include experiments, surveys, observational and cohort studies, and analyses of existing data.

The following topic areas, although not intended to exclude others, are presented as examples of research themes in which the National Institute is interested:

The application of intermediate sanctions

The primary penal sanctions employed to punish and control criminal offenders are incarceration and probation. However, many jurisdictions are increasing their use of other sanctions, including fines, house arrest, electronic monitoring, community service orders, weekend confinement, intensive supervision, and a variety of treatment/control programs for particular offenders such as drunk drivers and other substance abusers. Other jurisdictions are exploring a mix of sanctions such as "shock probation" (a brief prison stay prior to probation) or "split sentences" in which the offender spends a period of time in jail as a condition of probation.

Research is needed to define the benefits and drawbacks of sentencing alternatives and combinations and to determine how and when they can be more effectively employed with particular groups of criminal offenders. Of special interest are the consequences of these sanctions in terms of both deterrence and recidivism. Experimental studies that deal with the selection of offenders appropriate for intermediate sanctions capitalizing on those most likely to succeed, represents a particular research interest.

Managing prison capacity, violence, and system stress

In many States, correctional systems are under court order to reduce prison crowding or revise various policies and practices or both. Research is encouraged that will provide correctional administrators with information about the likely effects of choice among available policy options in terms of benefits to system management and costs to the public—including, of course, measures of any degradation of public safety.

There is also a need for improved prison management techniques and improved classification to facilitate that management. These might address the problems inherent in particular types of institutions or presented by specific offender groups such as the mentally ill or AIDS victims.

There is a continuing interest in finding more effective programs for inmates that would serve to reduce substance dependence, improve educational levels, and increase employability. It is particularly important to develop improved classification systems to identify offender types that benefit most from programs and avoid a return to criminal behavior. In addition, research which will assess the cost effectiveness of a variety of such strategies is encouraged.

A high proportion of those incarcerated have been convicted of a violent offense and may present a special potential for violence directed at both staff and other inmates. Not enough is known about the effectiveness of the various strategies prison administrators have adopted to control violence within the institutions. Research is therefore encouraged to examine the factors contributing to the development of violence and the effectiveness of control strategies to mitigate it.

Defraying costs through offender payments

Recently some jurisdictions have begun to make offenders responsible for some of the costs of supervision or of special services such as drug and alcohol testing and electronic monitoring. In other jurisdictions, the suggestion of fees has met with strong opposition. A recent study⁸ pointed out the need for information about the impact of fees on probation, parole, and other components of the system.

Proposals that deal with employment by industries within the prison setting are also of interest. Studies might explore ways for offenders to pay for a major portion of their upkeep, assist in supporting their families, and contribute to restitution payments or to victim compensation programs, thus turning a liability into assets and reducing somewhat the tax burden of prison costs.

The privatization of corrections

As discussed above, private industry may become involved in corrections through programs which provide

employment. In addition, correctional agencies may contract with the private sector for the provision of specific services, such as medical care or food services. Public agencies may also contract to buy already constructed institutions and for the operation of a prison or jail. Between 1983 and 1986, the number of adult offenders housed in such facilities increased from none to 1,200.⁹

An NIJ-supported report¹⁰ highlighted some of the issues in contracting for the private operation of prisons and jails, underscoring the need for further empirical work on these issues.

Deadlines and further information

Ten 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 p.m. on the dates specified for each cycle. This program's first cycle deadline is January 8, 1988. The second cycle deadline is May 6, 1988. Extensions will not be granted.

To obtain further information about this solicitation, researchers may write to Anne Schmidt, first cycle, or Voncile Gowdy, second cycle, Program Manager, Punishment and Control Program, at the above address, or contact Ms. Schmidt at 202-724-2959 or Ms. Gowdy at 202-724-2951.

Applicants are encouraged to contact the Institute before submitting proposals to discuss topic viability or proposal content.

References and recent related grants

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2. BJS Bulletin "Probation and Parole, 1985," Bureau of Justice Statistics, January 1987.
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86-IJ-CX-0080. Electronic Surveillance of Pretrial Releases as a Jail Crowding Reduction Strategy: Evaluation of a Controlled Experiment in Indianapolis, Toborg Associates.

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

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

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

85-IJ-CX-0049. Finding Effective Strategies for Controlling Gang Violence in Prison, Criminal Justice Institute.

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

Victims and the criminal justice system

During the past several years the emergence of victims as a force within the body politic and the criminal justice system has created pressure for significant changes in how the system operates. The grassroots victims movement has advanced the view that the criminal justice system should give greater weight to crime victims in criminal justice system proceedings.

To date more than 30 States have passed victim rights initiatives. The Victims of Crime Act of 1984 made matching Federal funds available to the States for services and compensation to crime victims. The research program of the National Institute of Justice will continue to assess the effectiveness of these various initiatives in support of victims so that successful efforts can be identified along with areas in need of further improvement.

As pressure for changes in criminal justice procedures and statutes has grown, National Institute research has played an important role in the rethinking of public policies about crime victims. Much of the Institute's sponsored research has included policy-relevant studies on the victims of crime. Institute projects have provided legislators, criminal justice planners, and practitioners with new information on the effects of crime on victims, on the success of programs to help victims deal with the impact of crime, on ways to assist victims who are involved in the criminal justice process, and on basic issues relating to the prevention of victimization.

Legislatures of the various states have responded in different ways to victim activism, and they provide important contrasts in the means used to involve citizens in the criminal justice process and in the cost-effective delivery of victim services and compensation. The National Institute has highlighted victim participation in the criminal justice system by funding studies of how victims are treated by the system; studies of innovative programs and legislation to expand the role of victims; and policy studies examining victims' status and rights under the law. The Institute is currently funding a nationwide examination of those States with victim bill of rights laws to identify successful approaches to meeting the needs of crime victims as well as areas where victim concerns require increased attention. In addition, the Institute is examining victim impact statements to determine what factors influence their overall use and effectiveness.

In recent years, the criminal justice community has come to realize more fully that victims play a key role in the ability of police and courts to bring criminals to justice. This has been due in large part to studies indicating how

citizen responses affect criminal justice outcomes. This research has shown that victim actions such as reporting crime and providing information and testimony can greatly increase the likelihood of arrest, effective prosecution, and conviction. Such actions 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 policies and procedures which increase citizen cooperation.

Such actions can have significant consequences for the criminal justice system and the community at large. If citizens fail to act, the criminal justice system ceases to function effectively. When this occurs, neighborhoods are caught in a downward spiral of crime, fear, loss of confidence, and economic stagnation.

In short, past research has shown authorities that participation by victims is vital to the criminal justice process. Further work is needed to improve the utilization of victims as active participants in order to secure more positive case outcomes. At the same time, it is essential to insure that these victims gain the maximum support, protection, and assistance that the system can provide. These questions take on special importance in view of the recent Supreme Court ruling which narrowed the scope of victim impact statements at sentencing, and the debate over the victim's role in plea bargaining.

Scope

The National Institute of Justice is issuing this solicitation in order to develop improved responses to victim needs and more effective actions in support of crime victims, and to improve the functioning and fairness of the criminal justice system. This includes a focus on the costs of crime and victimization to determine how such costs can be dealt with most effectively. The following topic areas, although not intended to be complete in their coverage, are presented as examples of research which is of interest to the National Institute.

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. Strategies such as public education, media announcements including those developed by

the National Institute, general forums, and support groups are among those that have been employed in the past. The goal is to reduce victimization and enhance the administration of justice.

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 of the actions and the response of victims and witnesses, and increase their sense of security, at each of the key decision points in the criminal justice process. Efforts to enhance victim-witness safety and more effectively provide information to 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 with an emphasis on projects that help criminal justice managers revise their procedures in the interest of justice and efficiency.

This is seen as a long-term program effort in which research and action are effectively wedded through experimental research which incorporates what is currently known about the importance of victim involvement in the criminal justice process with efforts to test specific approaches in order to enhance current levels of victim cooperation. The research program in this area should be based on the development of research plans which can be effectively implemented and evaluated in a variety of community settings.

Assessing programs on victim assistance and victim compensation

With regard to victim assistance programs, there is interest in determining what program areas are being addressed, what types of assistance are being provided, and the number and percent of victims being served. Organizational and program characteristics and procedures associated with effectiveness in reaching and servicing victims need to be identified.

Victim compensation programs merit attention in terms of the kinds of victims and expenses covered, revenue sources being used, percent of claims awarded, and types of claims served. Comparisons with other nations that also have such programs may be instructive. Also of interest are programs of offender restitution or service to the community: How well do they address victim needs and harm to the community? Program characteristics associated with accountability, equity, and effectiveness in compensating crime victims are also of interest.

Data being submitted to the Office for Victims of Crime concerning the use of Victims of Crime Act funds may also be worthy of examination.

Realizing legislative intent concerning the status of victims of crime

A majority of the States have now enacted legislation dealing with the rights of crime victims. The translation from legislation to a change in procedures is not always successful, however, and the actual implementation of these rights is greatly influenced by case law developed by appellate courts, and by trial court rulings. It is important to examine variations in legal response and the basis of various judicial interpretations of victim rights. This information will indicate how well legislative intent is being met, modifications that may be needed, and useful training issues for victims advocates and other personnel who deal with victims.

In addition, attention needs to be given to the manner in which current policies and operating procedures serve to enhance or constrain the implementation of victims' rights both with respect to meeting victim needs and in promoting victim support of the criminal justice process.

The development of program evaluation tools

Public officials and program managers need better instruments to help evaluate the effect of public policy and programs to meet the needs of crime victims. This involves (1) making sure that relevant data are being gathered and used, (2) the application of proper evaluation criteria, and (3) quick and inexpensive ways to determine the effectiveness and efficiency of victim-supported programs. The development of evaluation procedures should include their application in a program context in order to assess their utility and effectiveness. Standardized assessment and evaluation procedures and instruments should be developed and tested that will facilitate the evaluation of programs in terms of their cost-effectiveness, service to victims, and impact on criminal justice system outcomes.

Improving the criminal justice system response to hate violence

Recent events classified as hate violence have provoked special concern by the Administration and Congress as well as various communities and law enforcement agencies. The Institute has sponsored the development of a model law enforcement response to racial and religious violence.

In general, little systematic research has been undertaken on this problem, which can be defined as harassment or violence directed against an individual because of an intrinsic characteristic such as race, religion, ethnicity, national origin, or sexual orientation. There is a need to examine these events in terms of their frequency, patterns, motivation, prevention, and consequences for victims.

Proposals that emphasize methods of data collection of hate violence and existing data sources that could form

the basis for greater understanding of the scope and nature of this problem are requested. The Institute is also interested in procedures and practices of police departments with respect to investigating hate violence. The content of victimization programs dealing with victims of hate violence is also of interest.

The purpose of research on this topic is to increase the depth of knowledge on hate violence, to use the information to create effective policy to combat it, and to meet the needs of its victims.

Deadlines and further information

Ten 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 15, 1988. Extensions will not be granted.

Applicants are encouraged to contact the Institute to discuss topic viability or proposal content before submitting proposals. To obtain further information, potential applicants may contact Dr. Richard Titus at 202-724-7684.

References and recent related grants

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2. *Report of President's Task Force on Victims of Crime*, Washington, D.C., 1982.
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4. *When the Victim Is a Child*, Washington, D.C., National Institute of Justice, 1985.

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86-IJ-CX-0085. Tests of Ecological/Activity Theories of Victimization, American University.

86-IJ-CX-0049. Victim Rights Legislation: An Analysis of Its Impact, Section on Criminal Justice, American Bar Association.

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

85-IJ-CX-0069. Police and Civilian Help for Victims of Crime: Can It Make a Difference?, University of Illinois—Chicago Circle.

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

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

83-IJ-CX-K045. Racial and Religious Violence: A Model Law Enforcement Response, National Organization of Black Law Enforcement Executives.

White collar and organized crime

In recent years there has been a growing concern about the pervasive problems of white collar and organized crime. While they do not generate the paralyzing fear elicited by such violent crimes as robbery and rape, these complex and predatory offenses have far-reaching consequences that threaten our economic security, corrupt our legitimate institutions, and undermine public trust in government and law. Moreover, their intricate and covert nature poses special problems for law enforcement and increases their resistance to prevention and control.

Today, these crime problems have reached critical proportions, dramatically greater in frequency and scope than they were even 5 years ago. The computerization of financial and investment transactions (enabling electronic fund transfer and a 24-hour stock market) has created new opportunities (and incentives) for white collar crime. Similarly, the expansion, diversification, and growing profitability of drug trafficking have provided incentives for the emergence of new organized criminal groups and enterprises. Furthermore, the problem of prison crowding, together with the growing public pressure to increase incarceration sentences for violent criminals, has forced a reduction in prison sanctions for nonviolent white collar and organized crime offenders, thus weakening this important deterrent to crime commission. It is therefore essential that priority attention be given to white collar and organized crime in order to improve our current understanding of and response to these major national problems and prevent their further escalation.

Over the years, the National Institute of Justice has supported research on a wide range of white collar and organized crime issues.

White collar crime projects have included studies of offenses against government, against business, and against consumers. For example, government-related research addressing fraud and abuse in Federal benefit programs highlighted approaches that can be used to identify these offenses as well as strategies for preventing and controlling them.¹ In addition, a study of corruption in local governmental regulatory agencies resulted in recommendations for detection, prevention, and enforcement measures to combat this problem.²

Research on employee theft studied the nature and frequency of these crimes and suggested a well-articulated policy against theft, publicized sanctions, and sympathetic treatment of employees as strategies for reducing their occurrence.³ Other business-oriented research examined strategies that can be useful in preventing price-fixing and bid-rigging offenses and in detecting them when they occur, thus making prosecution possible.^{4,5}

Crimes against consumers have been studied in terms of their impacts, relevant legislation, and the opportunities that exist for intervention.⁶ In addition, research attention has been given to assessing the effectiveness of local economic crime units in assisting consumers who are victimized. Among the features identified as contributing to successful operations were an organizational independence of these units within the prosecutor's office and a continuing interaction between investigative and prosecutorial staff in developing cases.^{7,8}

Most recently, research on money laundering examined the enforcement strategies employed by experienced Federal-level investigators and prosecutors and adapted them to provide assistance to State and local officials in response to their particular needs and resources.⁹ For example, since 1984, the FBI has used money-laundering investigation as a major tool in its investigative arsenal against drug trafficking cartels, and this Federal expertise can contribute to State and local investigative effectiveness in drug trafficking cases, as well.

The Institute has also supported an extensive program of organized crime research, directed toward the improvement of law enforcement policies and procedures. For example, a study of organized-crime gambling activities in New York City found that illegal bookmaking and numbers operations follow the same basic principles of marketing and economics as legitimate business enterprises and showed how this creates special opportunities for law enforcement intervention.¹⁰ For example, the need to advertise their goods and services to potential customers makes these gambling operations vulnerable to law enforcement detection as well, and the need to keep records of payments received and owed creates a "paper trail" that can provide evidence for successful prosecution.

Other studies have used this business and marketing model to suggest strategies for detecting and controlling organized crime corruption of legitimate industries, as well.^{11,12} For example, in one study, an industry was found to be dominated by an organized crime-controlled cartel that allotted territory to each cartel member and prevented other businesses from competing for their customers. Therefore, regulatory and financial remedies were suggested to facilitate new (noncartel) business entry into the market and thus reopen it to competition. This example illustrates the potential value of using economic theory to reverse organized crime-created market atrophy in an industry and restore its legitimate financial opportunities.

More recently, the Institute sponsored a symposium on major issues in organized crime control, at which experts discussed critical enforcement problems and suggested an agenda of research to address them.¹³ A current study responds to one of the most serious of these enforcement problems—control of drug trafficking—by seeking to develop strategies to incapacitate narcotics wholesalers.¹⁴

Scope

This program announcement requests proposals that will build on the advances made by previous research to develop new, more effective approaches to white collar and organized crime prevention and control. The ultimate goals of this program are to reduce victimization and decrease the costs of these crimes to individuals, businesses, the criminal justice system, and society as a whole.

To permit a wide range of research ideas, broad definitions are adopted for this program. "White collar crime" proposals may address any of the various illegal forms of deception, concealment, or breach of trust engaged in for purposes of financial gain. "Organized crime" studies may focus on the entire range of legal and illegal business enterprises engaged in by traditional syndicates, such as La Cosa Nostra, or by any of the more recently emerging organized criminal groups, such as ethnic, motorcycle, and prison gangs. All proposals should have as a major objective, however, the advancement of our state of knowledge and understanding about white collar or organized crime in order to contribute to the development of effective legislative, criminal justice, regulatory/administrative, or private sector strategies for preventing and controlling white collar or organized crime, especially at the State and local levels.

Proposals must contain a clear statement of the problem to be addressed and clear definitions of the key research variables. Applicants must also provide detailed descriptions of their proposed research designs, including their data sources, data collection methods, and analysis plans.

The following topic areas, while not intended to be exclusive, identify some issues of particular concern.

White collar crime

Based on the findings of previous studies and on the results of an Institute-sponsored colloquium designed to identify fruitful directions for future policy-relevant research,¹⁵ some white collar crime issues of particular interest are detailed below. Improved prevention and control of white collar crime requires a better understanding of the conditions that may facilitate or constrain the commission of these offenses, such as the extent of computerization, the types and levels of management controls and customer surveillance, and the degree of commitment to accepted standards of professional ethics. Vulnerability

studies may be used to identify which factors influence white collar criminal activities in various types of situations. For example, attention could be given to identifying situational differences associated with the occurrence or nonoccurrence of such crimes as computer-aided theft and business or insurance fraud in order to design the kinds of interventions that will be most likely to prevent these crimes from taking place. Research on environmental and market conditions that arrest or promote the development of white collar criminal activities could also contribute to effective prevention strategy design.

Another important need is for research on alternative types of remedies for controlling various kinds of white collar offenses. Studies might focus on the effectiveness of such criminal, civil, and regulatory remedies as incarceration; monetary fines; victim restitution; civil suits, injunctions, and orders of divestment; license revocation; and aggressive performance code inspection. Proposals might also examine investigative and prosecutorial strategies contributing to successful case convictions, such as those employed in the recent cases against Wall Street insider trading in New York. The impacts of other law enforcement policies, such as those establishing special targeting priorities or minimum crime severity thresholds for determining case selection, might be studied, as well. Of special importance is research that promotes the effective employment of a variety of remedies as part of a multistrategy approach to white collar crime control, since this is a major weakness in current responses to the problem.

Issues related to the general and specific deterrence of white collar crime also merit significant research attention. For example, proposals might examine the relative effectiveness of alternative strategies to reduce the opportunities for offenses to occur or to increase the risk or severity of sanctions. The latter might include the range of criminal sanctions that can be imposed as well as the use of extralegal mechanisms such as licensing boards, professional and corporate self-policing, or the enforcement of business and professional association codes of ethics. Research aimed at the identification and testing of strategies to reinforce noncriminal behavior is also encouraged.

Organized crime

Recognizing the serious threat that organized crime poses to the Nation's political, social, and economic well-being, NIJ sponsored a 1986 symposium of experts in organized crime control policy, practice, and research to discuss critical enforcement problems requiring research attention.¹⁶ Among the many issues discussed, symposium participants noted that important advances had been made in Federal legislation and law enforcement operations and stressed the need for expanding these and for adapting them to State and local problems and resources. In addition, they expressed the need for a more precise assessment of the size of organized criminal groups, activities,

and profits, especially difficult to quantify because of the covert and deceptive nature of their operations. Also recommended was research utilizing the growing body of public record information as an important source of data for studying the structure and parasitic nature of all types of existing organized criminal groups, their business enterprises, and their methods of operation, and for evaluating the effectiveness of current strategies for organized crime detection, investigation, prosecution, and sanctioning.

Based on these and other symposium recommendations and on the findings of previous studies, applicants might consider research addressing the following objectives:

- To help jurisdictions effectively target enforcement efforts by identifying reliable direct and indirect measures of the presence, types, and levels of organized crime activity. Such measures can be useful in guiding criminal justice policy, allocating resources, and assessing the impact of particular law enforcement initiatives.
- To increase State and local capabilities for proactive enforcement operations by promoting the adoption of effective intelligence data collection and analysis. Research might address how intelligence-gathering can be accomplished with the limited resources available to State and local agencies and how the resulting data can contribute to successful interventions.
- To improve organized crime enforcement operations by developing and promoting the adoption of (a) investigative strategies involving increased interagency, inter-level, and interspecialist coordination, and (b) prosecution and sanctioning strategies involving increased use of Federal and State RICO statutes and their asset forfeiture provisions. Of special importance are strategies for achieving these objectives within the limited budgetary and manpower resources available to State and local agencies; and
- To help broaden organized crime enforcement efforts beyond their traditional criminal syndicate targets to include the wide range of existing ethnic, motorcycle, and other groups. More comprehensive targeting of criminal activities is also needed, going beyond the traditional law enforcement focus on illegal racketeering operations to include the infiltration and corruption of legitimate industries and institutions by organized criminal groups. Of special interest is research aimed at the development of strategies designed to respond to the specific features and vulnerabilities of particular groups and activities.

Deadlines and further information

Ten copies of fully executed proposals should be sent to:

Research Program on White Collar and Organized Crime
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 the dates specified for each cycle. This program's first cycle deadline is January 29, 1988. The second cycle is May 27, 1988. Extensions will not be granted.

Applicants are encouraged to contact the Institute to discuss topic viability or proposal content before submitting their proposals. To obtain further information, potential applicants may contact Lois Mock at 202-724-7684.

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1. *Fraud in Government Benefit Programs: Suggested State/Local Prevention Strategies*, John Gardiner et al., National Institute of Justice, February 1982.
2. *Corruption in Land Use and Building Regulation: An Integrated Report of Conclusions*, Theodore Lyman, National Institute of Justice, September 1979.
3. *Theft by Employees in Work Organizations*, John Clark and Richard Hollinger, National Institute of Justice, September 1983.
4. *Deterrent Effect of Antitrust Enforcement*, Michael Block et al., National Institute of Justice, 1980.
5. *Identification of Collusive Bidding in the Highway Construction Industry*, Fred Nold et al., National Institute of Justice, 1983.
6. *Consumer Fraud: An Empirical Perspective*, Jane Schubert and Robert Krug, National Institute of Justice, June 1979.
7. *Prosecution of Economic Crime: San Diego and Seattle Fraud Divisions*, Peter Finn and Alan Hoffman, National Institute of Justice, Exemplary Projects, March 1976.
8. *Connecticut Economic Crime Unit*, Debra Whitcomb et al., National Institute of Justice, Exemplary Project, 1979.
9. *Money Laundering: A Resource and Strategy Guide for State and Local Agencies*, Clifford Karchmer, final report submitted to the National Institute of Justice, forthcoming 1987.
10. *Illegal Gambling in New York: A Case Study in the Operation, Structure, and Regulation of an Illegal Market*, Peter Reuter and Jonathan Rubinstein, National Institute of Justice, April 1982.
11. *Racketeering in Legitimate Industries: Two Case Studies*, Peter Reuter et al., National Institute of Justice, January 1983.
12. *Organization of Illegal Markets: An Economic Analysis*, Peter Reuter, National Institute of Justice, February 1985.

13. *Major Issues in Organized Crime Control: Symposium Proceedings*, ed. Herbert Edelhertz, a final report submitted to the National Institute of Justice, forthcoming 1987.

14. Grant No. 86-IJ-CX-0079, Research on Strategies to Incapacitate Narcotics Wholesalers, Police Executive Research Forum.

15. *White-Collar Crime: An Agenda for Research*, ed. Herbert Edelhertz and Thomas Overcast, Lexington, Massachusetts, Lexington Books, D.C. Heath and Company, 1982.

16. *Major Issues*, symposium proceedings, note 13 above.

Visiting fellows

The Visiting Fellowship Program is designed to integrate the often disparate worlds of research and practice. This program brings individuals from operational agencies and from colleges and universities to the National Institute of Justice offices in Washington to work on criminal justice research projects. The resulting infusion of policy and research experience has proven to be valuable to participants and Institute staff alike. Although the physical relocation of principal investigators is unique to this NIJ program, its primary purpose is similar to other programs—the production of policy-relevant research reports.

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 research of interest to the Institute specifically includes those topics described under each program in this volume, though proposals addressing other topics are also welcome. Applicants are advised, however, that their proposals must meet the criteria specified in the section titled, "Application procedures and requirements of award recipients."

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.

Many courts are appointing Masters to enforce correction system changes. For example, Howard R. Messing is a court-appointed Master addressing the burgeoning issues of jail crowding and jail conditions. The use of Masters is a growing fact of life in jail crowding litigations. Yet the role of the Master varies widely—some only monitor and report while others serve in a quasijudicial capacity. There is very little that is known about the varied functions they perform and very little ongoing guidance is available to assist the newly appointed Master. Professor Messing's efforts are directed at overcoming these shortcomings by providing an information package to assist the courts as well as the new Master in dealing with local jail crowding issues.

There is much public concern about child sexual abuse and about how well the criminal justice system is managing child sexual abuse cases. Often young child victims suffer almost as much from criminal justice intervention as they did when they were abused. This revictimization occurs because the standard methods of dealing with crimes against persons breaks down when the victim is

a young child. This is particularly true if the child is marginally competent due to age or to physical or mental infirmity. As a prosecuting attorney specializing in child abuse cases, Kenneth R. Freeman has undertaken to find more effective ways to prevent victims of child sexual abuse from being revictimized by the criminal justice system and to improve the conviction rate for guilty offenders.

A major question currently facing State and Federal correction officials is the role of the private sector in providing correctional services. Dr. Charles H. Logan is preparing a monograph to clarify the issues on both sides of the debate over privatization in corrections. The issues to be covered include propriety, cost, quality, quantity, flexibility, security, liability, accountability, potential for corruption, and dependency. His effort will help to inform the national dialog over privatization in corrections.

Scope

The Visiting Fellows Programs 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:

Practitioners—Middle-and-upper level criminal justice personnel who are usually employees of State or local government. The candidates bring with them an active knowledge of how the local communities function, of policy development and command structures of the justice system, and of innovations occurring at the local level. They include representatives from the police, the courts, corrections facilities, probation agencies, and victims services, and show a potential for future leadership.

Researchers—Personnel with broad and extensive criminal justice research experience. Candidates are usually drawn from college and university facilities; they 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 panels based upon the applicant's status as either a practitioner or a researcher. 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 January 1988 and December 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 (telephone, supplies, furniture, etc.).
- Awards can be made in two manners: 1) to individuals, and 2) through IPA (intergovernmental personnel action) to the recipient's parent facility. To be eligible for an IPA appointment, 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 three to five fellowships. Application and selection procedures for the Visiting Fellows Program are largely the same as those for other grant programs.

Ten 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 p.m. on February 26, 1988. 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 202-724-7631.

Recent fellows

Lt. Michael McCampbell, Sheriff's Department, Arlington County, Virginia. Evaluation of Police Recruit Training Programs.

Charles DeWitt, Santa Clara, California, Jail Construction Specialist. Prison Construction Initiative Which Identifies Cost-Effective Means for Building New Facilities.

Dr. Barry Ruback, Professor of Psychology, Georgia State University. Study of How Victims of Violent Crimes Make Decisions To Involve the Criminal Justice System or Not.

Dr. Patricia Mayhew, Home Office Research and Planning Unit, London, England. Examined National Crime Surveys To Compare Burglary Statistics for the United States, Canada, and England.

Dr. Garry Mendez, National Urban League, New York, N.Y. Examination of Crime Prevention in African-American Communities Using Ethnicity, Culture, and History Values as a Basis.

Graduate research fellowships

When Congress created the National Institute of Justice in 1968 it asserted the importance of attracting promising scientists into criminal justice research. For the past 20 years, the National Institute of Justice has remained committed to the support of graduate-level 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 awards are made to students whose research is of interest to the National Institute.

The research of interest to the Institute specifically includes those topics described under each program in this volume, though proposals addressing other topics are also welcome. Applicants are advised, however, that their proposals must meet the criteria specified in the section titled, "Application procedures and requirements of award recipients."

Recent Graduate Research Fellowships have demonstrated the potential for direct contributions to criminal justice policy as well as advancing our body of knowledge about crime and criminal behavior.

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 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-level 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.

Stipulations for the 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 pro-rated 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) Pro-rating of 12-month stipend. The total stipend plus any dependent allowance must be pro-rated for part-time study and/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 pro-rated 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. With one exception, application and selection procedures for the Graduate Fellowship Program are largely the same as those for other grant programs. Instead of the 25-page project narrative required for other programs, Graduate Fellow applicants should submit a 10-page 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.

With this one exception, applicants should carefully follow all of the procedures outlined in the Application Procedures section on page 5 of this booklet.

Ten 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 p.m. on February 26, 1988. 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 the Institute (telephone 202-724-7631).

Recent related grants

87-IJ-CX-0002. Resisting Drug Use Among Adolescents.

87-IJ-CX-0003. Police Management of Mentally Disturbed Individuals.

87-IJ-CX-0004. Controlling the Offender in the Community.

86-IJ-CX-0058. The Improved Forensic Determination of Drugs of Abuse and Explosive Residue.

86-IJ-CX-0066. The Directed Lie: Standardizing the Control Question Polygraph Test for the Detection of Deception.

Summer research fellowships

Over the last 20 years, the National Institute of Justice has funded numerous projects that have made significant contributions to our understanding of the operation of the criminal justice system. Many of these projects have undertaken costly and time-consuming extensive data collection efforts. The Institute's interest in these research data, however, does not end with the closing of the original work. The reexamination of the data generated by these projects is an important research tool that can produce innovative research findings long after the primary analysis has been published. In addition, secondary analysis can corroborate original findings and give greater confidence to research findings.

The Summer Research Fellowship Program is aimed at the reanalysis of existing research data, particularly of data sets resulting from NIJ-sponsored research. 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 successfully reanalyzed the Institute's earlier Minneapolis Domestic Violence Experiment. This effort reformatted 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.

A 1987 fellow is currently reexamining a portion of the Vera Institute of Justice project on employment and crime. A central purpose of this fellowship is to better understand the choice process individuals engage in to decide whether to participate in crime and/or employment. This secondary analysis will extend the work completed by this large NIJ-supported program.

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. 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 Univer-

sity of Michigan's Inter-University Consortium for Political and Social Research are of particular interest.

A catalog of abstracts from all publicly archived data sets from NIJ-sponsored research, *Data Resources of the National Institute of Justice* (2nd Edition), is available free from the National Criminal Justice Reference Service. 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, 1988. Final products are due no later than October 31, 1988. Unlike the Visiting Fellows Program, all work for Summer Fellowships is done at the researcher's home institution.

Deadline and further information

Funding for this program has been targeted at \$50,000, which will typically support five 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 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 p.m. on April 1, 1988. 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 the Institute (telephone 202-724-7636).

Recent fellowships

Identifying the Special Employment Services Needed To Successfully Place Ex-Offenders in Jobs, Llad Phillips, University of California, Santa Barbara.

Examining the Differential Effects of Sanctions, Douglas Smith and Patrick Gartin, University of Maryland.

Age of Onset and Delinquency Patterns, Legal Status, and Chronicity of Offending, Patrick Tolan, DePaul University.

The Relationship Between Employment and Crime: A Reexamination, Harold L. Votey, Jr., University of California, Santa Barbara.

National Institute of Justice peer review participants

The research programs of the National Institute of Justice rely on peer review of proposals to assess the technical merit and policy relevance of the proposed research. The assistance of extramural peer reviewers continues to be essential to the accomplishment of the Institute's mission. The Institute wishes to acknowledge and thank the following persons who served as peer reviewers in fiscal years 1986 and 1987:

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University of Maryland—College Park

Franklin E. Zimring
Professor of Law
The Earl Warren Institute
University of California—Berkeley

Application forms

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 9.

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.

OJP Form 4000/3 (Rev. 10-86)
 Attachment to SF-424

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.

OJP Form 4006/3 (Rev. 10-86)
Attachment to SF-424

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 contractor's 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 88,000 criminal justice documents, operates a public reading room where researchers may consult the publications themselves, and offers complete information and referral services.

Among the wide array of products and services provided by NCJRS are custom searches, topical searches and bibliographies, research services, audiovisual and document loans, conference support, selective dissemination of information, and distribution of documents in print or microfiche.

Registered users of NCJRS receive *NIJ Reports* bimonthly. For information on becoming a registered user, write National Institute of Justice/NCJRS User Services, Box 6000, Rockville, MD 20850 or call 800-851-3420 (301-251-5500 in the Washington, D.C., metropolitan area, Maryland, and Alaska).

Additional copies of this program announcement, other National Institute program solicitations, and most related research reports cited in this document may also be obtained from NCJRS.