

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



NATIONAL INSTITUTE OF JUSTICE

NIJ PROGRAM PLAN

1993

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About the National Institute of Justice

The National Institute of Justice, a component of the Office of Justice Programs, is the research and development agency of the U.S. Department of Justice. NIJ was established to prevent and reduce crime and to improve the criminal justice system. Specific mandates established by Congress in the Omnibus Crime Control and Safe Streets Act of 1968, as amended, and the Anti-Drug Abuse Act of 1988 direct the National Institute of Justice to:

- *Sponsor special projects and research and development programs* that will improve and strengthen the criminal justice system and reduce or prevent crime.
- *Conduct national demonstration projects* that employ innovative or promising approaches for improving criminal justice.
- *Develop new technologies* to fight crime and improve criminal justice.
- *Evaluate the effectiveness of criminal justice programs* and identify programs that promise to be successful if continued or repeated.
- *Recommend actions* that can be taken by Federal, State, and local governments as well as private organizations to improve criminal justice.
- *Carry out research on criminal behavior.*
- *Develop new methods of crime prevention* and reduction of crime and delinquency.

The National Institute of Justice has a long history of accomplishments, including the following:

- Basic research on career criminals that led to the development of special police and prosecutor units to deal with repeat offenders.
- Research that confirmed the link between drugs and crime.
- The research and development program that resulted in the creation of police body armor that has meant the difference between life and death to hundreds of police officers.
- Pioneering scientific advances such as the research and development of DNA analysis to positively identify suspects and eliminate the innocent from suspicion.
- The evaluation of innovative justice programs to determine what works, including drug enforcement, community policing, community anti-drug initiatives, prosecution of complex drug cases, drug testing throughout the criminal justice system, and user accountability programs.
- Creation of a corrections information-sharing system that enables State and local officials to exchange more efficient and cost-effective concepts and techniques for planning, financing, and constructing new prisons and jails.
- Operation of the world's largest criminal justice information clearinghouse, a resource used by State and local officials across the Nation and by criminal justice agencies in foreign countries.

The Institute Director, who is appointed by the President and confirmed by the Senate, establishes the Institute's objectives, guided by the priorities of the Office of Justice Programs, the Department of Justice, and the needs of the criminal justice field. The Institute actively solicits the views of criminal justice professionals to identify their most critical problems. Dedicated to the priorities of Federal, State, and local criminal justice agencies, research and development at the National Institute of Justice continues to search for answers to what works and why in the Nation's war on drugs and crime.

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ACQUISITIONS

NIJ PROGRAM PLAN

1993

March 1993

National Institute of Justice

Michael J. Russell
Acting Director

This document reflects the significant contributions of all the National Institute of Justice staff, whose names appear in Section VI.

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U.S. Department of Justice National Institute of Justice

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Foreword

The 1993 Program Plan of the National Institute of Justice makes an unprecedented statement of the research, evaluation, and development goals of the Institute in the battle against drugs and crime.

The development of this FY 1993 Program Plan began in FY 1991, when NIJ's senior professional staff, the Institute's former director, and I hosted numerous focus group meetings to learn first-hand the needs of the field. With the benefit of this valuable input, the long-range goals outlined in this Plan were developed.

The NIJ FY 1993 Program Plan outlines in broad strokes the issues facing our society that have been identified as areas of critical concern to the criminal justice community: violence; gangs; drugs; neighborhood deterioration because of crime; domestic violence; and victimization of individuals, neighborhoods, businesses, schools, and communities. At the same time, this FY 1993 Plan opens new avenues of investigation for researchers wishing to pursue their own ideas for research, evaluation, development, and demonstration within NIJ's general framework of long-range goals.

This Plan is designed to develop projects and produce products of practical utility to law enforcement, prosecutors, judges, probation and parole officials, corrections officers, victim services providers, and elected officials on the Federal, State, county, and local levels. The Plan addresses directly the problems the justice community faces, provides solid information on successful programs worthy of replication, and identifies ways in which technological innovations can improve our response to the challenges posed by crime. This Plan also responds to NIJ's statutory requirements as mandated by the U.S. Congress.

We are confident that the FY 1993 Program Plan reflects the partnership NIJ has forged with criminal justice professionals and the research community. We look forward to continuing this joint effort to control and prevent crime in this Nation.

Michael J. Russell
Acting Director
National Institute of Justice

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Section I

Introduction

Introduction

The National Institute of Justice is the research and development agency of the U.S. Department of Justice. Created in 1968 by Congress pursuant to the Omnibus Crime Control and Safe Streets Act, the Institute is authorized to:

- Sponsor research and development to improve and strengthen the Nation's system of justice with a balanced program of basic and applied research.
- Evaluate the effectiveness of justice improvement and identify programs that merit application elsewhere.
- Support technological advances applicable to criminal justice.
- Test and demonstrate new and improved approaches to strengthen the justice system.
- Disseminate information from research, development, demonstrations, and evaluations.

The Institute's evaluation mandate was expanded in the 1988 Anti-Drug Abuse Act, which authorized NIJ to evaluate drug control programs supported by the Bureau of Justice Assistance, Office of Justice Programs. NIJ's Evaluation Program enhances knowledge of what works to prevent and control crime and provides information to guide development and implementation of innovative drug programs as well as broader criminal justice programs.

Each year NIJ publishes its Program Plan, outlining the research, evaluation, and demonstration projects it intends to support in the current fiscal year to fulfill its mandate. This FY 1993 Program Plan, however, is unprecedented in that it goes beyond previous Plans to set forth six long-range goals for NIJ to focus its research, evaluation, and development in the coming years.

This FY 1993 Program Plan provides an overview of each of NIJ's six long-range goals and specifies the research, evaluation, and technology projects that NIJ anticipates supporting in this fiscal year under each goal. The numeric order of the goals does not indicate levels of priority for the Institute.

Application Procedures

NIJ's Plan includes two types of competitive grant solicitations for proposals in FY 1993. *General* research and evaluation solicitations appear in Section

II, following the discussion of each of the long-range goals. *Directed* solicitations, keyed to the goal they represent, appear in Section III. Other solicitations related to ongoing NIJ programs appear in Section IV. A matrix of the 1993 program appears on pages 18 and 19 to guide applicants in locating topics of interest across the six goals.

Each solicitation spells out the objectives—either broad or specific—for the proposed projects and the eligibility requirements. Information on deadlines and proposed funding appears at the end of each solicitation.

In addition to supporting competitive grant solicitations presented in the Plan, NIJ funds in FY 1993 are also allocated for other research, evaluation, development, training, and dissemination programs mandated by its enabling legislation. Many of these programs are carried out under competitive contracts that have been awarded. Requests for proposals for contracts to be bid or rebid are announced throughout the year in *Commerce Business Daily*. A number of these are ongoing programs, such as the National Criminal Justice Reference Service, the Data Resources Program, and the Drug Use Forecasting Data Center. Others, such as the initiative on stalking crimes, are projects earmarked for funding in FY 1993 by Congress. These programs are briefly described at the end of the Introduction.

NIJ's Long-Range Plan

NIJ's broad mandate means that many problems of crime and criminal justice are brought to its attention. Law enforcement and criminal justice practitioners seek assistance in designing and carrying out more effective programs. Criminologists, forensic and social scientists, practitioners, and evaluation specialists are encouraged to submit proposals for many different basic and applied research projects intended to enlarge the understanding of the causes of crime and advance the implementation of law enforcement and criminal justice goals.

Many proposals have merit, but NIJ's limited resources—not only annually but over time—mean that many worthwhile proposals must go unsupported. Through its annual Program Plan, NIJ seeks to guide researchers and practitioners in applying for support.

Because critical issues emerge and change quite frequently, knowledge to guide and implement criminal justice policies and programs on any particular issue accumulates slowly. To remedy this, NIJ now has selected several longer range strategic goals to guide its Program Plan. Several objectives underlie their adoption:

- To provide a framework to guide the support of research and practice that fulfills NIJ's legislative mandate and maximizes resources.
- To integrate and accumulate knowledge and practice in program areas and topics.
- To make significant gains in knowledge and practice in the long-range goals.

■ To make advances in knowledge and practice available in a useful format to assist criminal justice practitioners in controlling crime.

NIJ has established six priority goals for its long-range plan. Through this long-range strategic program, NIJ will design and support research, evaluation, demonstration, and training projects to understand, prevent, and control crimes and their harms. Each annual Program Plan will then propose specific program areas for each priority goal that will move NIJ closer to effective implementation of its legislative mandate.

The goals are:

- I. Reduce violent crimes and their consequences.
- II. Reduce drug-related crimes.
- III. Reduce the consequences of crimes for individuals, households, organizations, and communities.
- IV. Develop household, school, business, workplace, and community crime prevention programs.
- V. Improve the effectiveness of law enforcement, criminal justice, correctional, and service systems' responses to offenses, offending, and victimization.
- VI. Develop and evaluate information for criminal justice responses to changing and emerging crime patterns and for utilization of new technologies.

NIJ selected these goals in consultation with focus groups representing the research, evaluation, technology, and practitioner communities. By concentrating its limited resources on these closely related program goals, NIJ expects to have a far greater impact on generating knowledge that will help to reduce crime than would result from selecting programs that are only loosely integrated. Moreover, the Institute is convinced that these goals are of critical significance to the public and to those who serve it in law enforcement, criminal justice, and community services.

Six Strategic Long-Range Goals

Reducing violent crimes is the most critical problem facing America's justice system today for a number of reasons. Among the advanced countries of the world, the United States has exceptionally high violence rates.¹ The homicide rate is several times greater than that of any European country and more than twice that of its neighbor, Canada. Moreover, major crimes against persons in the United States are far more likely to involve serious injury than they are in other countries. The felony homicide rate is high, especially in the commission of robbery.

There is considerable diversity among violent crimes, ranging from aggravated assaults that result in death to violent sexual assaults. Violent crimes extend to threats of force or the use of violence to obtain property (robbery). Previously neglected violent crimes—such as the physical and sexual abuse of children, misdemeanor and felony domestic violence, and crimes involving

Note

1. Reiss, Albert J., Jr., and Jeffrey A. Roth, eds. *Understanding and Preventing Violence: A Report of the Panel on the Understanding and Control of Violent Behavior*. Washington, D.C.: National Academy Press, 1993:3.

coercion—need special attention. Violence toward minority persons and their property, legislated now as bias crime, is a concern. Significant research is needed into the costs and consequences of violent crime to individuals and neighborhoods as well as to law enforcement, criminal justice, and corrections agencies.

Violence and other forms of crime are disproportionately concentrated in some urban neighborhoods and communities, markedly affecting the quality of life in those communities and contributing to their deterioration. NIJ's second goal, therefore, is to reduce the consequences of drug-related crimes for neighborhoods and communities. Current NIJ-supported programs such as Drug Market Analysis and Community Policing clearly are examples of this objective. Special attention must be given to the ways that drug use and the illegal marketing of drugs are linked to the deterioration of communities and how deteriorated neighborhoods become the backbone of criminal organization.

The core feature of most crime is the harm that it does. It causes physical, psychological, and economic harm to victims—individuals, their families, and their communities. Crime tears the fabric of neighborhoods by weakening social bonds among neighbors and reducing their capacity for collective social control. And it undermines moral and public order. Reducing the consequences of crimes for individuals, households, organizations, and communities is, therefore, the third major goal of NIJ's long-range plan.

Reducing crime and its harmful consequences is clearly achieved when society is able to reduce the number of offenders, the number of crimes they commit, and the seriousness of the consequences for households, schools, businesses, workplaces, and communities. These objectives seem best met, however, when society is able to *prevent* crime and its consequences, NIJ's fourth major goal.

Accordingly, NIJ seeks to link its crime prevention efforts to the first three strategic goals, focusing on certain victim populations and organizations. Much violent and property crime occurs within workplaces and households. Young people are at high risk of physical and sexual assault in households, and they are at risk of many forms of crime victimization on their way to and from—and within—school. The seemingly random violence in communities where drug markets are endemic and gangs threaten the safety of residents makes such high-crime communities targets for special prevention programs. Crime prevention, similarly, is integral to problem- and community-oriented policing programs. NIJ is especially interested in the ways that community, social service, and health agencies—which now focus disproportionately on delivering services to crime victims—could have greater involvement in crime prevention.

Improving the *effectiveness* of the law enforcement, criminal justice, correctional, and service systems in reaching their objectives is NIJ's fifth major goal. Greater effectiveness of these systems should contribute substantially to reducing violent and property crimes and their consequences for individuals, organizations, and communities. These major systems are responsible for *prevention* as well as for control of criminal behavior and victimization.

***NIJ has established
six priority goals for
its long-range plan.***

Integral to each annual Plan is an emphasis on the convergence of topics, the integration of objectives under several goals, and the accumulation of knowledge for effective prevention and criminal justice responses.

Much research on the criminal justice system is fragmentary because it is specific to only one agency. Research on system effectiveness, for example, is evaluated by standards *internal* to each agency rather than on system outcomes. Moreover, few studies focus on the consequences of decisions made independently in one criminal justice agency on those of others, even though they form a processing system in which the decisions of one agency are sequentially linked to the actions of another. In implementing this goal, NIJ plans to focus on evaluating different modes of system processing rather than gauging the effects on a single criminal justice agency.

Statutory crimes are far from homogeneous classes of offending behaviors. They also vary considerably in statutory sanctions and in the ways violators are processed by the separate decisions of prosecutors, judges and juries, and corrections officials. Crimes are also fairly dynamic entities as society constructs and reconstructs their categories and their meanings. New crimes emerge and sanctions for old ones change. Some behaviors are decriminalized while others are criminalized. Accordingly, one of the objectives of NIJ's sixth major goal is to develop and evaluate information for criminal justice responses to changing and emerging crime patterns.

New technologies are developed to commit crimes as well as to prevent them. At the same time, material and social technologies are creating new systems of tracking crimes and criminals and of processing them. The utilization of these new technologies in detecting, controlling, and preventing crimes and in protecting and promoting public safety and security is another objective of NIJ's sixth major goal. New technologies can prevent or reduce the harm done by crime and make law enforcement more effective.

NIJ considers these six long-range goals the core of its **strategic program** to guide the development of each annual Program Plan. The specific objectives NIJ expects to achieve through reasonable progress in attaining each goal will vary somewhat from year to year, because the knowledge base will grow as specific research and development projects are completed.

Integral to each annual Plan is an emphasis on the convergence of topics, the integration of objectives under several goals, and the accumulation of knowledge for effective prevention and criminal justice responses.

Major topics selected for the FY 1993 Program Plan—domestic violence, communities and crime, and technology—illustrate these cross-cutting links. In domestic violence, for example, research on violent crime will cumulate knowledge on the sexual and physical assault of family and household members, the objective of the first goal. The consequences of drug use for intrafamily violence patterns are objectives under the second and third goals. How domestic violence can be prevented and how occurrences are processed by police, prosecutors, and courts, or are referred to alternative services, are objectives of the fourth and fifth goals. Patterns of elder abuse in family and institutional settings is one of the emerging topics for investigation under the third and sixth goals.

Prevention and control of criminal behavior require extensive research into its development, expression, and consequences. Those research results must then be linked to formation of models and development of prevention and interven-

tion practices. Models must be implemented in field practice demonstrations and evaluated for their utility and effectiveness. NIJ's long-range plan, therefore, provides for support of research, evaluation, and field testing of programs or interventions, and development and dissemination of new models of criminal justice system management and practitioner training and of demonstration programs for preventing and controlling criminal behaviors.

Ongoing Programs for FY 1993

As noted earlier, NIJ also has allocated FY 1993 funds for the following programs, which respond to its legislative mandate.

Program on Human Development and Criminal Behavior

This Program will advance knowledge of the relationship between individual traits, family and school environments, and community characteristics as they contribute to the development of criminal behavior. NIJ and its funding partner, the John D. and Catherine T. MacArthur Foundation, have jointly invested \$10 million over a 5-year period in the development and design phase, which will be completed in 1993, with implementation slated to begin in the third quarter of FY 1993.

During the past 5 years, the Program has produced two volumes on methodology for an accelerated longitudinal design, which also address how experimental studies in the course of the longitudinal project will be incorporated. The Program has also produced exhaustive reviews of the literature in early childhood development and conduct disorder, adolescent development and juvenile delinquency, the influence of familial and community factors on crime and criminal behavior, and the development of criminal careers.

Pilot studies have included research on the level and impact of fathers' involvement with preschool children; development and testing of psychological measures appropriate to the different age groups in the study (for example, measures of stress and family interaction, tests of reliability, and cultural appropriateness of measures); measurement of health-related influences on aggression; relationships between gender and crime; development of attitudes toward deviance between ages 11 and 18; and use of social services among adolescents and their parents.

For further information, please call Christy Visher, Program Manager, at 202-307-0694

Stalking Initiative

Attention recently has been focused on the continuing threat of violence posed by stalkers, who often target women. In accordance with Section 109(b) of the Department of Justice FY 1993 Appropriations Act (P.L. 102-395, October 6, 1992), the National Institute of Justice has begun development of a model State antistalking code. The project provides for a consortium of organizations representing State and local governments, criminal justice agencies, and victims rights groups that will examine existing antistalking codes, case law, and other relevant laws and practice, and develop a complete model law that is

NIJ's long-range Plan provides support for research, development, evaluation, field testing, training, and dissemination programs.

Applied research projects help policymakers and practitioners assess whether programs would be useful in their jurisdictions.

constitutional and enforceable. The project is coordinated by the National Criminal Justice Association.

In conjunction with the U.S. Secret Service, NIJ also has initiated an Exceptional Case Study Project to contribute to knowledge about the types of people who engage in violent behavior against public figures.

For more information on NIJ's stalking initiative, please call Charles Lauer, Program Manager, at 202-307-0626. For information on the Exceptional Case Study Project, please call Virginia Baldau, Program Manager, at 202-514-6204.

Research Applications Program

This program supports applied research projects that help policymakers and criminal justice practitioners assess whether particular policies, programs, or approaches would be useful and appropriate for their own jurisdictions and that examine emerging research issues and practices where little or no research or experience exists. In FY 1993 this program will produce reports on a number of topics relating to NIJ's goals, as highlighted below:

■ **Series on Violence.** NIJ plans to develop three bulletins in its Research in Brief series based on key portions of the report of the National Academy of Sciences Panel on the Understanding and Control of Violent Behavior: *Firearms and Violence, Psychoactive Substances and Violence*, and an overview of the report's key findings. An Issues and Practices report—*Violence: Crime Problem, Public Health Problem, or Both?*—also is planned.

■ **Controlling Juveniles' Access to Firearms.** This development review will build on the findings of the National Academy of Sciences Panel and related NIJ-sponsored research on juvenile access to firearms to examine legislative trends, the use of criminal and civil procedures and innovative law enforcement and community tactics designed to control juvenile access to handguns.

■ **Innovations by the Criminal Justice System and the Community in their Responses to Rape.** This report will highlight innovations in services to rape victims, including educational efforts, new hospital protocols for the collection of evidence, and specialized units in both police departments and prosecutors' offices. The report also discusses DNA typing of evidence and outreach to diverse ethnic groups.

■ **Law Enforcement Responses to Environmental Crime.** Building on existing NIJ-sponsored work on the needs and responses of local prosecutors in addressing environmental crime, this project will examine the organizational and investigative strategies used by law enforcement agencies faced with such crimes. Particular attention will be given to examples of cooperation among law enforcement, regulatory, and prosecution agencies.

A request for proposals for recompetition of the contract supporting the Research Applications Program will be issued this spring, with selection and award anticipated in late FY 1993. For further information, please call Virginia Baldau, Director, Research Applications and Training Division, at 202-514-6204.

Drug Use Forecasting Program

NIJ's Drug Use Forecasting (DUF) program, established in 1987, uses drug tests and interview data to measure types of drugs used by booked arrestees in 24 urban jurisdictions throughout the Nation. In FY 1993 NIJ will continue to work closely with the DUF Research Advisory Board, particularly in implementing the results of recently completed research on the sampling design and the development of a computerized interview.

Based on the competitive procurement initiated in FY 1992, a contract to support the DUF Data Center has been awarded, and the request for proposals for recompetition of the DUF laboratory contract will be issued, with selection and award anticipated in early FY 1994.

For further information, please call Joyce O'Neil, Program Manager, at 202-514-5981.

National Criminal Justice Reference Service

Established by NIJ in 1972, the National Criminal Justice Reference Service (NCJRS) is a national and international clearinghouse of information covering the field of criminal justice. The NCJRS online document data base contains citations of more than 120,000 books, research reports, articles, program descriptions, program evaluations, and audiovisual materials.

NCJRS offers users bibliographies as well as topical and custom searches of the data base. The NCJRS data base is made available to the public on microfiche; on CD-ROM disk; and on DIALOG, an international electronic information retrieval service. The *National Criminal Justice Thesaurus*, an important tool for searching the data base, is updated and published annually by NIJ.

NCJRS is operating in the third year of a 4-year contract. For further information, call G. Martin Lively, Program Manager, at 202-514-6211, or dial the NCJRS bulletin board at 301-738-8895. Information on how to contact NCJRS appears on the inside back cover of this publication.

Professional Conference Series

The Professional Conference Series (PCS) promotes information exchange among justice officials and researchers through conferences, workshops, and seminars. Topics for development are based on the needs of the field, the findings of the National Assessment Program, the results from NIJ research and development projects, and consultations with major criminal justice organizations.

Examples of activities planned for FY 1993 include a fourth annual National Conference on Evaluating Drug Control Initiatives, regional training workshops for criminal justice policymakers on the impact of the Americans With Disabilities Act, and technical assistance to build State capacity for performing criminal justice evaluations.

The PCS is in the third year of a 3-year contract. A request for proposals will appear during FY 1993, with award expected near the beginning of FY 1994.

For more information, please call John Thomas, Program Manager, at 202-514-6206.

Research Support Program

The Technical Assistance and Support (TAS) program provides NIJ with required technical assistance and access to peer review services essential to social science research. The TAS program manages a consultant pool of experts recruited from universities and colleges, criminal justice agencies, and professional organizations; assists in conducting peer review panels and organizing written reviews of all proposals received annually by NIJ; provides logistical arrangements for NIJ meetings and peer review panels; and coordinates peer reviews of NIJ reports.

A request for proposals for recompetition of the TAS contract may be issued in the spring. For further information, please call Denise Gadson, Office of the Director, at 202-307-2942.

Applying for NIJ Awards

NIJ encourages prospective applicants to contact the Program Manager listed in each solicitation.

Detailed instructions on application procedures and requirements for award recipients follow this Introduction. Federal application forms are included in Section VII.

Requirements

Application Requirements

Projects should have a national impact or have potential relevance to a number of jurisdictions. Because of the broad national mandate of the National Institute of Justice, projects that address the unique concerns of a single jurisdiction should be fully justified.

Projects that intend to provide services in addition to performing research are eligible for support, but only for the resources necessary to conduct the research tasks outlined in the proposal.

Cooperative research efforts involving criminal justice organizations or private foundations, especially where matching funds are available, are encouraged.

Eligibility Criteria

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

How To Apply

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

Standard Form 424

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

Certifications

In addition to SF 424, recent requirements involve certification regarding (1) lobbying; (2) debarment, suspension, and other responsibility matters; and (3) drug-free workplace requirements. A certification form is attached to SF 424. This form should be signed by the appropriate official and included in the grant application.

Budget Narrative

The budget narrative should list all planned expenditures and detail the salaries, materials, and cost assumptions used to estimate project costs. The narrative and cost estimates should be presented under the following standard budget categories: personnel, fringe benefits, travel, equipment, supplies, contracts, other, and indirect costs. For multiyear projects, applicants must include the full amount of NIJ funding for the entire life of the project. When appropriate, grant applications should include justification of consultants and a full explanation of daily rates for any consultants proposed.

One-Page Abstract

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

Program Narrative

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

- A clear, concise statement of the problem, goals and objectives of the project, and related questions to be explored. A discussion of the relationship of the proposed work to the existing literature is expected.
- A statement of the project's anticipated contribution to criminal justice policy and practice. It is important that applicants briefly cite those particular issues and concerns of present-day criminal justice policy that stimulate the proposed line of inquiry and suggest what their own investigation would contribute to current knowledge.
- A detailed statement of the proposed research or study design and analytical methodologies. The proposed data sources, data collection strategies,

NIJ encourages prospective applicants to contact the Program Manager listed in each solicitation.

NIJ strongly encourages documents that provide information of practical utility.

variables and issues to be examined, and procedures of analysis to be employed should be delineated carefully and completely. When appropriate, experimental designs are encouraged because of their potential relevance to policymaking and the strength of the evidence they can produce.

- A description of the organizational capability of the potential grantee.
- The organization and management plan to conduct the study. A list of major milestones of events, activities, and products and a timetable for completion indicating the time commitments to individual project tasks should be included. All grant activities, including writing of the final report, should be completed within the duration of the award period.
- The author(s) of the proposal should be clearly identified.

Expected Products

Each project is expected to generate tangible products of maximum benefit to criminal justice professionals, researchers, and policymakers. In particular NIJ strongly encourages documents that provide information of practical utility to law enforcement officials; prosecutors; judges; corrections officers; victims services providers; and Federal, State, county, and local elected officials. Applicants must concisely describe the interim and final products under each objective of the program strategy and address each product's purpose, audience, and usefulness to the field. This discussion should identify the principal criminal justice constituency or type of agency for which each product is intended and describe how the constituent group or agency officials would be expected to use the product or report. Products may include:

- Case studies showing how problems arise, how they are handled, and what the consequences are of specific decisions made at various levels in the criminal justice system. Case studies may also describe some of the side effects or unintended consequences of particular programs. Each case study should be 7,500 to 10,000 words long and written in a style that will be accessible to policy officials and practitioners. The information should be suitable for possible publication by the National Institute of Justice.
- A summary of approximately 2,500 words highlighting the findings of the research and the policy issues those findings will inform. The material should be written in a style that will be accessible to policy officials and practitioners and suitable for possible publication as an NIJ Research in Brief.
- A full technical report, including a discussion of the research question, review of the literature, description of project methodology, detailed review of project findings, and conclusions and policy recommendations.
- Clean copies of all automated data sets developed during the research and full documentation prepared in accordance with the instructions in the *NIJ Data Resources Manual*.

Additional interim and final products such as articles, manuals, or training materials may be specified in the proposal or negotiated at the time of the award, as appropriate.

Successful proposals will clearly identify the nature of the grant products that can reasonably be expected if the project is funded. In addition, a schedule of delivery dates of all products should be delineated.

Copies of Curriculum Vitae

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

Coordination

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

Deadlines

Proposal deadlines are indicated in the separate solicitations.

Page Limit

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

Legibility

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

Selection Criteria

After all applications for a competition are received, NIJ will convene a series of peer review panels of criminal justice professionals and researchers. NIJ will assign proposals to peer panels that it deems most appropriate.

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

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

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

Successful proposals clearly identify the nature of grant products that will result from a funded study.

Review Criteria

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

Four criteria are applied in the evaluation process:

- Impact of the proposed project.
- Feasibility of the approach to the issue, including technical merit and practical considerations.
- Originality of the approach, including creativity of the proposal and capability of the research staff.
- Economy of the approach.

Applicants bear the responsibility of demonstrating to the panel that the proposed study addresses the critical issues of the topic area and that **the study findings could ultimately contribute to a practical application in law enforcement or criminal justice**. Reviewers will assess applicants' awareness of related research or studies and their ability to direct the research or study toward answering questions of policy or improving the state of criminal justice operations.

Technical merit is judged by the likelihood that the study design will produce convincing findings. Reviewers take into account the logic and timing of the research or study plan, the validity and reliability of measures proposed, the appropriateness of statistical methods to be used, and each applicant's awareness of factors that might dilute the credibility of the findings.

Impact is judged by the scope of the proposed approach and by the utility of the proposed products. Reviewers consider each applicant's understanding of the process of innovation in the targeted criminal justice agency or setting and knowledge of prior uses of criminal justice research by the proposed criminal justice constituency. Appropriateness of products in terms of proposed content and format is also considered.

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

Requirements

Requirements for Award Recipients

Expected Products

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

As appropriate, additional interim and final products (for example, articles, manuals, or training materials) may be specified in the proposal or negotiated at the time of the award. See the discussion under "Application Requirements."

Public Release of Automated Data Sets

The National Institute of Justice is committed to assuring the public availability of research data. Each NIJ award recipient who collects data is **required** to submit a machine-readable copy of the data and appropriate documentation to NIJ prior to the conclusion of the project. The data and materials are reviewed for completeness and are deposited by NIJ in a public data archive. A variety of formats is acceptable; however, the data and materials **must conform** with requirements detailed in *Depositing Data With the Data Resources Program of the National Institute of Justice: A Handbook*. A copy of this handbook is sent to each project director at the time of the award.

*The National
Institute of Justice
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assuring the public
availability of
research data.*

Standards of Performance by Recipients

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

Program Monitoring

Award recipients and Program Managers assume a number of responsibilities as part of their participation in Government-sponsored research.

Each Program Manager and grantee is responsible for developing a monitoring plan for each project. Elements of this plan include:

- A statement of goals, objectives, tasks, program activities, and products.
- A program implementation plan and budget that schedules program expenditures.
- A schedule of monitoring activities.
- A list of products.
- A summary of subsequent program activities in response to implementing the monitoring recommendations (for example, the grantee provided the draft report, and the hold was removed from grant funds).

Communications

Program Managers should be kept informed of research progress. Written progress reports are required on a quarterly basis. All awards use standard

quarterly reporting periods (January 1 through March 31, April 1 through June 30, and so forth) regardless of the project's start date. Progress reports will inform the monitor which tasks have been completed and whether significant delays or departures from the original workplan are expected.

Timeliness

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

Publications

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

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

Data Confidentiality and Human Subjects Protection

Research that examines individual traits and experiences plays a vital part in expanding our knowledge about criminal behavior. It is essential, however, that researchers protect subjects from needless risk of harm or embarrassment and proceed with willing and informed cooperation.

NIJ requires that investigators protect information identifiable to research participants. When information is safeguarded, it is protected by statute from being used in legal proceedings. Applicants should read 28 *Code of Federal Regulations (CFR)*, Part 22, to determine the adequacy of the safeguards they intend to use.

[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 Department of Justice has adopted Human Subjects policies similar to those established by the Department of Health and Human Services.

In general, these policies exempt researchers from Institutional Review Board (IRB) review provided that necessary safeguards of privacy and confidentiality have been met. However, the Institute may find in certain instances that subjects or subject matters are especially sensitive and may require IRB review. These exceptions will be decided on an individual basis during application review. Applicants should read 28 CFR 46, para 46.101 to determine their individual project requirements.



Violence

Reduce violent crimes and their consequences



Drugs

Reduce drug-related crimes



Consequences

Reduce the consequences of crimes for individuals, households, organizations, and communities

General Solicitations

Research

Domestic Violence
Threats of Violence
Firearms and Violence
Gangs

Evaluation

Gang Prevention Programs

Science and Technology

Less-Than-Lethal Weapons
Technology Development

Research

Substance Abuse and
Violence Among Intimates
and Acquaintances
Risk Factors in Drug Abuse
Over the Life Cycle and Their
Relationship to Criminal
Behavior
Communities and Drug Use

Evaluation

Drug Enforcement Activities
Drug Treatment Programs
Effects of Drug Treatment

Research

Community and Organization
Victimization
Institutional Responses
to Victims

Directed Solicitations

Police Pursuit Driving and the
Use of Excessive Force

Use of Hair Testing To Detect
Juvenile Drug Use

Consequences of Child
Victimization

Other Solicitations

Visiting Fellowship Program
Graduate Research Fellowship Program

IV**Crime Prevention***Develop household, school, business, workplace, and community crime prevention programs***V****Improving Effectiveness***Improve the effectiveness of law enforcement, criminal justice, correctional, and service systems' responses to offenses, offending, and victimization***VI****Emerging Crime Patterns***Develop and evaluate information for criminal justice responses to changing and emerging crime patterns and for utilization of new technologies***Research**

Enhancing Community Responses to Crime

Location-Specific Crime Prevention Programs

Evaluation

Evaluating School-Based Crime Prevention Programs

Evaluating Crime Prevention Programs in Public Housing

Research

Community Policing

Prosecution and Adjudication

Intermediate Sanctions and Consequences

Evaluation

Evaluating Community Policing

Evaluating Intensive Prosecution and Adjudication Programs

Corrections and Intermediate Sanctions

Research

White-Collar and Organizational Crime: Systemic Factors in Fraud

Organized Crime Networks

Science and Technology

Forensic Sciences

Program Development Assessments

State Evaluation Capacity Building

DNA Testing Statutory and Case Review Program

John B. Pickett Fellowship in Criminal Justice Policy and Management

Data Resources Program

Section II

Goal I:

**Reduce Violent Crimes and
Their Consequences**

Reduce Violent Crimes and Their Consequences

Understanding, controlling, and preventing violent crime and criminality have always been integral to the mission of the National Institute of Justice. With the growing seriousness of violent offenses against citizens, their homes, and their communities, reducing violent crime has become one of NIJ's major long-range goals.

In 1991 there were approximately 25,000 homicides in the United States, an increase of 4 percent over 1990. In addition, almost 7 percent more people were victimized in 1991 than in 1990. Of the 19 million crimes against persons age 12 and older, one-third were violent—assault, robbery, or rape.¹

Just as we have learned that advancing the Nation's health requires understanding the causes and consequences of particular diseases, so must we understand crime in terms of its diverse types and the ways in which violence enters into criminal careers. Advances in preventing and controlling violent crimes require an integrated program of research on the onset and expression of specific types of violent behavior, for example, different types of homicides or sexual assaults. Research results must subsequently guide development of model programs and practices that can then be demonstrated and evaluated in the field. NIJ accordingly is developing a long-term plan of research, evaluation, and demonstration that will advance our understanding of violent crimes and their prevention and control.

In selecting topics for its FY 1993 Program Plan, NIJ has been guided by recommendations of the National Academy of Sciences (NAS) Panel on Understanding and Controlling Violence, as discussed in its report, *Understanding and Preventing Violence*, released in 1992.² The Panel conducted an exhaustive review and critical assessment of research in interpersonal violence at the request and with the support of the National Institute of Justice, the National Science Foundation, and the Centers for Disease Control. It recommended further research on the causes of various types of violent behavior. In 1993 NIJ is focusing on **domestic violence, threats of violence and stalking, gangs and violent crimes, and the use of firearms in violent crimes.**

Notes

1. Federal Bureau of Investigation. *Uniform Crime Reports, 1991*. Washington, D.C.: U.S. Department of Justice, Federal Bureau of Investigation, 1992.

See also Bureau of Justice Statistics. *Criminal Victimization, 1991: A National Crime Victimization Survey Report*. Bulletin. Washington, D.C.: U.S. Department of Justice, Bureau of Justice Statistics, October 1992.

2. Reiss, Albert J., Jr., and Jeffrey A. Roth, eds. *Understanding and Preventing Violence: A Report of the Panel on the Understanding and Control of Violent Behavior*. Washington D.C.: National Academy Press, 1993.

General Solicitations

NIJ anticipates funding one or more projects in each of the following areas.

Domestic Violence

In its review of previous research on domestic violence, the NAS Panel found that spouse assault, elder abuse, sibling violence, and child abuse are more prevalent than the public or officials ever suspected. For example, a national survey in 1985 of married couples found that about 4 in 100 females and 5 in 100 males reported experiencing severe violence during that year.³ Much higher rates characterize local surveys, and the highest estimates were obtained from select populations such as students, batterers, or persons who have filed for divorce.⁴ Another study found that in 1989, at least 1,200 and perhaps as many as 5,000 children died as a result of maltreatment, and over 160,000 children were seriously harmed.⁵ Moreover, domestic crimes against children, in addition to their immediate consequences, have severe long-range consequences for victims. For example, NIJ-sponsored research has found that being abused as a child increased the likelihood of arrest as a juvenile by 53 percent and increased the likelihood of arrest as an adult for a violent crime by 38 percent. Further, as adults these victims are prone to higher rates of suicide attempts and substance abuse than are nonabused subjects.⁶

Research focusing on justice system responses to these crimes has concluded that civil protection orders, if strictly enforced, can provide relief for victims of domestic assault. However, in a series of experiments on police response to spouse assault, researchers found that arresting the assaulter is not an effective deterrent for all kinds of misdemeanor assault.⁷

NIJ defines domestic violence to include all types of violence—including homicide—that occur in a family or in a household in which people have a continuing or previous domestic relationship. Crimes involving threatening, actual, and continuing physical and sexual assault are included. Domestic violence may involve siblings, children, domestic partners, and the elderly; and it may take place in households or nursing homes.

Dynamics of Domestic Violence

Past research on domestic violence focused on its prevalence and on criminal justice, health, and social service system responses to reported cases. However, it is especially difficult to obtain a comprehensive picture of the scope and interactive nature of domestic violence if investigators are limited to examining interventions or investigations of specific types of reported incidents.⁸ To prevent and control these crimes, information is needed on why different types of violence (for example, sexual and physical abuse of children) occur in some families and not others, what accounts for repeated domestic violence toward the same victim, and why there are multiple perpetrators and victims in some domestic relationships.

Research: 1993

Notes

3. Straus, M.A., and R.J. Gelles. "Societal Change and the Change in Family Violence From 1975 to 1985, as Revealed by Two National Surveys." *Journal of Marriage and the Family*, 48 (1986): 465-479.

4. Fagan, Jeffrey, and Angela Browne. "Marital Violence: Physical Aggression Between Women and Men in Intimate Relationships." Unpublished paper commissioned by the National Research Council Panel on Understanding and Control of Violent Behavior, 1990.

5. National Center on Child Abuse and Neglect. *Study Findings: Study of National Incidence and Prevalence of Child Abuse and Neglect*. Washington, D.C.: U.S. Department of Health and Human Services, National Center on Child Abuse and Neglect, 1988. (Cited in Reiss and Roth, *Understanding and Preventing Violence*.)

6. Widom, Cathy S. *The Cycle of Violence*. Research in Brief. Washington, D.C.: U.S. Department of Justice, National Institute of Justice, October 1992.

7. Sherman, L.W. *Policing Domestic Violence: Experiments and Dilemmas*. New York: Free Press, 1992.

8. Tonry, Michael, and Lloyd Ohlin. *Family Violence*. Crime and Justice, vol 11. Chicago: University of Chicago Press, 1989.

Types of Domestic Violence

As recommended in *Understanding and Preventing Violence*, NIJ also is seeking information about the simultaneous occurrence of different types of physical and sexual violence in families, especially in repeat physical victimization of spouses, children, and elders, and of repeat sexual violence against minors. Little is known about how interventions such as separation and divorce, or the arrest of a spouse, may either disrupt patterns of violence in households or lead to intensification of violence, stalking of a separated spouse, or to "careers" of domestic violence as new domestic relationships are formed.

In FY 1993 research proposals that address these issues are encouraged.

Threats of Violence

A substantial proportion of all violent acts are threats or attempts to harm rather than completed events. Under State criminal statutes, a violent crime occurs when harm is threatened as well as when it is attempted or actually occurs. The National Crime Victimization Survey (NCVS) reported that in 1991 more than 6 of every 10 violent crimes were not completed. Yet we know very little about how threats and attempts are related to types of violent crime or to individual offender and victim histories.

Recent attention has focused on the continuing threat of violence posed by **stalkers**. Stalkers frequently menace women, especially when they sever or spurn intimate relationships. An estimated 200,000 stalking victims are subjected to the terror and frustration of threatened violence.⁹ Previous NIJ research examined a sample of cases involving pursuit of public figures. The study suggested that the presence or absence of an explicit threat in letters or calls to the public figure does not indicate whether the individual is going to seek a direct encounter.¹⁰ But there is virtually no systematic knowledge of how frequently threats of violence, including stalking, occur, or how often they are a precursor to violent crime, including homicide. It is not known what role mental illness plays in threats.

In FY 1993 NIJ seeks studies of threats of violence, including stalking, the characteristics of victims and offenders, and the ways these offenses are related to criminal histories. NIJ also seeks proposals to assess how we can develop measures and estimates of threats of violent behavior—of assaults with intent to kill, of aggravated and simple assaults, of physical and sexual assaults by acquaintances and family members, and of threats of violent damage to property as well as persons.

Threats and Victim Injury

Although all violent crimes involve threats to harm, only some involve actual physical injury. The nature of these threats and of their outcomes to victims of violence is not well understood either in terms of the victims or their offenders, or in the interaction between them during a confrontation. The escalation of threats to physical injury in some incidents needs to be better understood and compared to those incidents in which threats are defused or do not result in physical harm to the victim.

Notes

9. Senate Judiciary Committee Hearing on S. 2922. Antistalking Legislation. September 29, 1992.

10. Finn, Peter, and Sarah Colson. *Civil Protection Orders: Legislation, Current Court Practice, and Enforcement*. Issues and Practices. Washington, D.C.: U.S. Department of Justice, National Institute of Justice, March 1990.

See also:

Mann, Kenneth. "Punitive Civil Sanctions: The Middleground Between Criminal and Civil Law." *Yale Law Journal*, 1795 (1992).

Chen, Mary M. "Constitutional Limits on Using Civil Remedies To Achieve Criminal Law Objectives: Understanding and Transcending the Criminal-Civil Law Distinction." *Hastings Law Journal*, 42 (1991):1325.

Dietz, P.E., D.B. Matthews, D.A. Martell, T.M. Stewart, D.R. Hrouda, and J. Warren. "Threatening and Otherwise Inappropriate Letters to Members of the United States Congress." *Journal of Forensic Sciences*, 36:5 (September 1991):1445-1468.

Recurring Threats

The role that serial threats play in victimization also needs further investigation. In some types of violent crime, such as domestic violence, repetitive patterns of victimization by the same offender are common. Such repeated threats of harm, or instances of actual harm, are reportedly often experienced as a continuing threat rather than as separate individual victimizations. Studies of victims and offenders in continuing relationships are necessary to understand more fully how victims cope with living under continual threat of harm from others in the household. What are the long-term psychological, physical, and behavioral consequences of these threats to their victims?

Firearms and Violence

The rates of criminal violence in the United States are among the highest in the world, and firearms are frequently used in acts of violence, especially homicide and robbery.¹¹ Two-thirds of all homicides reported in 1991 in the United States were committed with firearms; in over half of them a handgun was the weapon used. About one-fourth of all aggravated assaults involved a gun, and 4 in 10 robberies were committed with a firearm.¹² (Holdups in retail stores are more likely to involve a handgun than street robberies.¹³)

The type of weapon used in a crime significantly changes the consequences for the victim. For example, in robberies committed with a gun, victims are *less* likely to be injured because they are *less* likely to resist. However, when robberies do result in fatalities, the victims are three times more likely to have been killed with a gun than with a knife, the next most commonly used lethal weapon in these crimes.¹⁴

Federal law and numerous State statutes prohibit criminals, juveniles, and other high-risk individuals from owning guns. However, offenders can acquire firearms, and most of them do so through theft or by other illegal means or from informal sources.¹⁵ This highlights the importance of learning more about the channels facilitating illegal access to guns and of examining the effectiveness of licensing and regulatory strategies that govern acquisition and use of firearms.

NIJ seeks research that adds to the current body of knowledge about illegal gun acquisition, ownership, and use, as well as the relationship of these factors to violence and its consequences. Proposals are encouraged in the following areas.

Illegal Firearms, Acquisition, Ownership, and Use

Previous research has found a relationship between the prevalence of firearms in a city or region and the use of guns in crime, and the fact that guns involved in crime are often obtained through theft or by other illegal means. As the National Academy of Sciences points out in *Understanding and Preventing Violence*, it is essential "... to develop accurate estimates of ownership by gun type, of motives and sources for obtaining guns, and especially of gun acquisition patterns among juveniles and criminals."¹⁶

Notes

11. Wright, James D., Peter H. Rossi, and Kathleen Daly. *Under the Gun: Weapons, Crime, and Violence in America*. New York: Aldine Publishing Company, 1983.

See also:

Philip J. Cook. "The Technology of Personal Violence." In *Crime and Justice: A Review of Research*, vol. 14, ed. Michael Tonry and Norval Morris. Chicago: University of Chicago Press, 1991:1-71.

Bureau of Alcohol, Tobacco, and Firearms. "How Many Guns?" Press release. May 22, 1991.

Bureau of Justice Statistics. *Sourcebook of Criminal Justice Statistics, 1988*, Washington, D.C.: U.S. Department of Justice, Bureau of Justice Statistics, 1989.

Reiss and Roth, *Understanding and Preventing Violence*.

12. Federal Bureau of Investigation. *Uniform Crime Reports, 1991*. Washington, D.C.: U.S. Department of Justice, Federal Bureau of Investigation, 1992: 29, 32.

13. Federal Bureau of Investigation. *Uniform Crime Reports, 1991*.

See also:

Bureau of Justice Statistics. *Criminal Victimization in the United States, 1990: A National Crime Victimization Survey Report*. Washington, D.C.: U.S. Department of Justice, Bureau of Justice Statistics, February 1992.

Cook, "The Technology of Personal Violence."

14. Ibid. See also:

Cook, Philip J. "Reducing Injury and Death Rates in Robbery." *Policy Analysis*, 6:1 (Winter 1980):21-45.

Cook, Philip J. "Robbery Violence." National Institute of Justice. Unpublished Report, 83-IJ-CX-0012, 1986.

Zimring, Franklin, and James Zuehl. "Victim Injury and Death in Urban Robbery: A Chicago Study." *The Journal of Legal Studies*, 15:1 (January 1986):1-40.

Loftin, Colin, and David McDowall. "Determinants of the Death Rate From Robbery Revisited: Detroit, 1931-1979." National Institute of Justice. Unpublished Report, 83-IJ-CX-0012, 1986.

15. Wright, James D., and Peter H. Rossi. *Armed and Considered Dangerous: A Survey of Felons and Their Firearms*. New York: Aldine de Gruyter, 1986. See also Sheley, Joseph F., James D. Wright, and M. Dwayne Smith. "Firearms, Violence, and Youth." National Institute of Justice. Unpublished Report, 90-IJ-CX-0024, 1992.

16. Reiss and Roth, *Understanding and Preventing Violence*.

NIJ also seeks information about patterns of illegal acquisition of firearms by felons, juveniles, and others prohibited from possessing these weapons. Areas of interest include tracing the origins of guns confiscated by police to determine how they enter the illegal market. Research is needed into the structure of illegal markets in firearms and their links to both legal and illegal sources of weapon supply. In addition, the Bureau of Alcohol, Tobacco, and Firearms (BATF) has identified the Northeast corridor and the U.S.–Mexico border as areas of extensive illegal gun trafficking.

NIJ, therefore, requests proposals that would provide information to enhance law enforcement responses to these specific issues.

Effects of Regulatory Strategies

Federal law prohibits felons, juveniles, persons with a history of mental problems, drug users, and other high-risk individuals from legally purchasing or possessing firearms.¹⁷ And many States attempt to regulate firearms acquisition by requiring background checks or waiting periods before guns may be purchased. But felons seeking to buy guns do not divulge their criminal histories; juveniles may offer falsified identification; persons with mental health problems do not look different from anyone else.

There are no adequate data on the effectiveness of firearms regulations. For example, it is not known whether individuals who fulfill the regulatory requirements have fewer arrests later than those who have not. NIJ is interested in studies that would compare the later criminal records of individuals who had complied with regulations in order to acquire guns with the records of those who had not. The two groups may also differ in other important characteristics that may prove useful in identifying high-risk applicants for firearms purchases.

Gangs

A 1991 NIJ-sponsored survey of local law enforcement officials in the 79 largest U.S. cities estimated there are 3,876 gangs, 202,981 gang members, and 36,265 gang incidents. The NIJ survey also revealed that a growing number of females are active gang members. And an NIJ study of gang homicides in Chicago found that nearly half of the offenders were age 19 or older, supporting previous research showing that adults play leadership roles and engage in the worst violence—homicides, aggravated assault, robberies—and drug trafficking. However, the proportion of juveniles and adults involved in gang-related crime remains unclear. Police departments in only eight (11.1 percent) of the cities surveyed in 1991 that maintain information on gang members provide annual breakdowns of gang-related incidents by juvenile and adult offenders.

Because gangs are so diverse, nationwide estimates of the scope and dimensions of gang-related crime remain elusive. Evidence indicates that gang members are involved in serious crimes, but agencies vary in what they identify as a gang-related offense. There is general agreement that in some gangs members use and sell illegal drugs, but the extent of gang involvement in drug sales and accompanying violence requires further documentation. Evidence

Notes

17. U.S. Department of Justice. *Federal Firearms Statutes: Federal Prosecution Manual*. Washington, D.C.: U.S. Department of Justice, Criminal Division, 1992.

also indicates that gang youths are particularly susceptible to being recruited into larger criminal organizations involved in drug trafficking.

Female Involvement in Gangs and Gang-Related Crime

The 1991 NIJ survey showed that a growing number of females are now involved in gangs as members, not simply "associates." Sixty-eight percent of cities surveyed maintained records on female gang members. These 40 cities reported a total of 7,205 female gang members. Although female involvement in gangs and in gang-related criminal activity is thought to be increasing, estimates of female involvement in gangs are not reliable. Some law enforcement agencies do not classify females as gang members and in other jurisdictions, females are referred to as "associate" members.¹⁸ Recent field research reports, however, that a greater number of females are now involved in gangs on their own terms and not because of relationships with men. More research into the involvement of female gang members in criminal activity will aid in devising a criminal justice response to this developing crime pattern.

In FY 1993 NIJ is soliciting research on female involvement in gangs and gang-related crime. NIJ also is interested in studies that provide more information about the role of gangs in violent crime, the individual and collective criminal behavior of gang members, and how to better prevent and control such behavior. Another area to be explored is why the problem of gangs is more serious in some cities and regions than in others.

General Solicitations

NIJ seeks to document strategies that are successful in preventing and controlling violent crime and criminality—strategies that will assist criminal justice policymakers, practitioners in related areas such as social services and education, and the general public in preventing and controlling violent crime.

Gangs

In FY 1993 proposals are requested for evaluations of gang prevention programs and evaluations of sanctions for gang youth. NIJ is also interested in the evaluation of strategies to prevent and control violence in specific settings such as schools and public housing, to prevent and control all forms of domestic violence, and to mediate violent and potentially violent situations in criminal justice settings and communities.

Gang Prevention Programs

Gang prevention must be addressed in a comprehensive fashion, integrating both public and private social services, schools, and community-based organizations: mental health agencies, job training programs, public housing authorities, public health services, and criminal justice agencies. It should also provide continuing services for youth, beginning at an early age, as well as for the family. To complement its FY 1992 evaluation of comprehensive gang

Evaluation: 1993

Notes

18. Curry, G.D., et al. *National Assessment of Law Enforcement Anti-Gang Information Resources*. Evaluation Report. Washington, D.C.: U.S. Department of Justice, National Institute of Justice, forthcoming.

intervention programs, NIJ in FY 1993 seeks evaluations of comprehensive gang prevention programs for at-risk youth.

Sanctions for Gang Youths

Little information currently exists about effective sanctioning strategies for gang youth and how these strategies may or may not differ from sanctioning strategies for delinquent youth generally. Evaluations could be conducted of institutional or community-based programs. In assessing the effectiveness of programs, emphasis should be placed on a broad range of postrelease performance indicators, including criminal justice, school, and family factors.

Less-Than-Lethal Weapons Technology Development

One of the most difficult problems faced by a police officer is how to control a violent situation while protecting innocent victims, preventing unnecessary injury to offenders, and avoiding exposure to avoidable injury or serious civil liability. The problem is greatly aggravated since the nature of police encounters has changed dramatically in recent years because of an increasing incidence of violence. At the same time, the courts have imposed limitations on the police use of force.¹⁹

Unfortunately, the tools available to officers are limited and often offer few options beyond verbal persuasion, a police baton, or a firearm. In order to provide better alternatives for the police, NIJ recently established, in cooperation with the Department of Energy, the Department of Defense, and a wide array of law enforcement organizations, a program to develop innovative less-than-lethal weaponry that could be employed in such situations as:

- Fleeing felon/patrol applications.
- Domestic disturbances.
- Barricade/tactical assault.
- Search warrant/raid.
- Prison/jail disturbance.

NIJ's goal is to develop a wide range of technologically sophisticated weaponry that can be used to subdue criminals without causing injury to either a criminal or an innocent bystander. NIJ's research embraces both technologies and legal and social issues and includes field evaluations to test capabilities and applicability of methods in real-world operational settings. Recognizing the importance of this task, Congress has earmarked \$1.9 million for NIJ technology development in this area in FY 1993.

Unlike most efforts to develop useful new technologies or applications for existing technologies, NIJ's less-than-lethal weapons program is an integrated research and development effort that addresses more than technological issues. Too often, new technologies are introduced without adequate consideration of their social and legal consequences. NIJ is committed to a new approach that attempts to apply social and policy sciences from the outset in order to ensure

Notes

19. *Tennessee v. Garner*, 471 U.S. 1, 105 S.Ct. 1694, 85 L.Ed.2d 1 (1985).

that the technologies developed will provide useful minimum force options for law enforcement without creating avoidable social or legal problems.

Because of the variables in potential violent confrontations, it is axiomatic that no single device currently conceived would be useful in all situations requiring police use of force. NIJ will continue to examine less-than-lethal technologies currently in use and under development and to define applicability and potential for near-term transfer to State and local agencies. NIJ will also attempt to identify and seek solutions for legal and social issues arising from the application of these technologies by law enforcement. This research program will be based on an ongoing assessment of the needs of law enforcement in light of emerging technological advances. NIJ encourages innovative research proposals that address:

- Policy assessments regarding the introduction of new technologies into operations (considering such areas as legal, liability, operational constraints, public acceptance, and so forth).
- Laboratory research to verify basic conceptual capabilities.
- Field evaluations to demonstrate capabilities and applicability of methods in real-world operational settings.

General Solicitations

In selecting topics for the FY 1993 Program Plan, NIJ has been guided by recommendations of the 1986 Attorney General's Conference on Less-Than-Lethal Weapons and the recommendations of State and local police officials. Applicants may propose research projects that are not included in the specific solicitations but that do address the general goals and objectives of this program area. Topics of interest might include, but are not limited to, the following categories.

Control Technologies

Control alternatives have customarily been viewed as applying primarily to individuals, but this fails to address the full spectrum of law enforcement needs. For example, means of safely stopping vehicles or methods to remotely disable firearms are also required, in addition to means for restraining suspects or offenders.

Policy Assessments

It is axiomatic that "systems development begins and ends with the users." Court decisions on excessive force, officer and public safety, operational needs, public opinion, and potential liabilities force a complex array of requirements upon development of less-than-lethal systems. A thorough knowledge of all policy issues and requirements is necessary for the proper introduction of useful, new technologies. It is also equally important to understand the operational requirements and situations associated with the application of minimum force alternatives.

Science and Technology: 1993

Field Evaluations

The evaluation of potential methods and currently used systems in operational situations under controlled data gathering can verify the applicability and effectiveness of a technology and can identify system changes that can greatly enhance methods capabilities.

Additional Research and Evaluation Topics

NIJ recognizes that applicants might want to structure and pose their own research and evaluation questions, study designs, and analysis plans for research and evaluation related to violent crime. Applicants may propose research and evaluation projects that are not included in the preceding discussion but that do address the general objectives of Goal I.

If there is a question as to whether a given project idea falls within the program's scope, applicants are encouraged to seek advice from the Program Manager responsible for the particular area of interest.

Application Information

Application Requirements. See page 10 for general application and eligibility requirements and selection criteria. *Proposals not conforming to these application procedures will not be considered.* In FY 1993, NIJ's Program Plan contains both general and specific solicitations. The **general solicitations** discussed under Goal 1 ask the applicant to describe the goals, objectives, and strategies of the proposed research within the context of the FY 1993 Program Plan.

Award Amount. Up to \$1 million is available for research projects under this goal. It is anticipated that this amount will support five to six awards. Up to \$400,000 is available for evaluation projects under this goal. It is anticipated that this amount will support two to three awards. Up to \$500,000 is available for Science and Technology projects under this goal. Actual funding allocations are based on the quality of the proposals received.

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

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

National Institute of Justice
633 Indiana Avenue NW., Room 866
Washington, DC 20531

Completed proposals must be received at the National Institute of Justice by the close of business on: Research—June 3, 1993, Evaluation—June 10, 1993, and Science and Technology—June 10, 1993. Extension of these deadlines will not be permitted.

Contact. Applicants are encouraged to contact NIJ Program Managers to discuss topic viability, data availability, or proposal content before submitting

proposals. To obtain specific information on the research programs described under this goal area, potential applicants may contact:

- Bernard Auchter, 202-307-0154, for **Domestic Violence**.
- Lois Mock, 202-307-0693, for **Threats of Violence and Firearms and Violence**.
- Winifred Reed, 202-307-2952, for **Gangs** (both research and evaluation).
- Raymond Downs, 202-616-3509, for **Science and Technology**.

References

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

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

Section II

Goal II:

Reduce Drug-Related Crimes

Reduce Drug-Related Crimes

Drug abuse and drug-related crimes severely affect the lives of countless Americans residing in urban neighborhoods across the Nation. Efforts to improve the quality of life in these neighborhoods and to control and prevent these drug-related crimes place an enormous demand on the criminal justice community. The Drug Use Forecasting (DUF) program of the National Institute of Justice continues to show that the use of major addicting drugs—particularly cocaine—remains at relatively stable but high levels among booked arrestees in the 24 urban areas monitored by DUF. Also, a recent survey of more than 5,000 jail inmates across the Nation indicated that offenders were more than twice as likely as members of the general population to have used drugs and more than seven times as likely to be current users. More than one-third of the inmates reported they were trying to get money to buy drugs when they committed the crime for which they were incarcerated.

Thus, a major research, development, and evaluation priority for NIJ is stemming the tide of drug trafficking, drug abuse, and drug-related crimes. Drugs, including alcohol, tend to accelerate and intensify criminal behavior—both in crimes against property and violent crimes. In recent years, policy and research have concentrated more on the role of illicit drug use in criminal activity rather than on alcohol. However, the recent report of the National Research Council, *Understanding and Preventing Violence*, also identifies the link between alcohol and violent behavior as an area for future research and evaluation programs.

As part of its long-range research strategy, NIJ seeks to extend its work toward eradicating drug markets and improving communities, involving such issues as citizen safety, drug treatment programs, and drug-abuse education programs. NIJ continues to support research, evaluations, and demonstrations that advance understanding of the role of drug use in offending and repeat offending. NIJ also will encourage research to develop models of preventing and controlling drug use and evaluations of existing drug intervention, treatment, and prevention programs.

For FY 1993 NIJ proposes to give priority to four measures to determine the relationship between drugs and crime. The first is to achieve a better understanding of how substance abuse is related to violence among intimates and acquaintances because the role of alcohol and narcotic use in conflicts that result in assault is poorly understood. The second is to investigate drug abuse and related risk factors over the life cycle of individuals. The third is to investigate the ways in which the retailing of drugs affects the quality of life in a community and the means that residents can use to reclaim their community. Finally, NIJ seeks to examine the effectiveness of drug testing and treatment of adult defendants or offenders under community supervision.

General Solicitations

NIJ anticipates funding one or more projects in each of the following areas.

Substance Abuse and Violence Among Intimates and Acquaintances

The National Research Council report, *Understanding and Preventing Violence*, calls for research to increase our understanding of the psychosocial and social links between drugs and violence, especially the use of alcohol as a risk factor for violence among intimates and acquaintances. Several types of investigation are recommended for exploration.

Physical and sexual violence frequently occur among acquaintances, and much of that violence seems linked to the situational use of alcohol and other psychoactive drugs.¹ Of particular interest is the extent to which sexual assault of acquaintances, including date rape, is linked to heavy use or intoxication.² Proposed research projects might address the relationship between the use of alcohol and coercion and consent in acquaintance assaults, the links between repeated assaults of acquaintances and alcohol use, or the history of alcohol use and aggressive and violent behavior among those who assault acquaintances. Also of interest is the role of situational factors, such as the type of drinking establishment, in acquaintance assaults.

Many domestic violence incidents are linked to the initiation of arguments and domestic conflicts. Likewise, violent incidents often occur in conjunction with the use of alcohol.³ Yet surprisingly little is known about the links between domestic conflict and levels of alcohol use. Several topics seem worth investigation. One is to understand how the drinking behavior of partners affects the prevalence and incidence of physical and sexual violence. Research might consider whether conflicts are more likely to escalate into violence if both domestic partners, rather than only one, have been using alcohol. There is interest in discovering ways to de-escalate domestic conflicts involving alcohol. The vulnerability of children and other dependents to physical and sexual abuse when the parents are dependent on alcohol or other psychoactive drugs is also of interest.

Research: 1993

Notes

1. National Research Council. "Understanding and Control of Violent Behavior." Unpublished paper commissioned by NRC Panel, 1992.

2. Muehlenhard, C., and M. Linton. "Date Rape and Sexual Aggression in Dating Situations: Incidence and Risk Factors." *Journal of Counseling Psychology*, 34 (1987): 186-196.

3. Frieze, Irene, and Angela Browne. "Violence in Marriage." In *Family Violence*, ed. L. Ohlin and M. Tonry. Crime and Justice: A Review of Research, vol. 11. Chicago: University of Chicago Press, 1989:163-218.

Studies that address the law enforcement response to domestic violence are also important. For example, police response to domestic disputes involving the consumption of alcohol is a prime topic. Research into police arrest rates if one or both partners are heavy users or intoxicated is of interest, as is an examination of instances of spousal calls to police when a spouse has been argumentative and drinking. Other areas of consideration include the criteria police apply to distinguish felony from misdemeanor violence, whether police action depends upon the nature of the cohabiting or marital relationship, and whether police behave differently when they are aware of repeat domestic violence.

Finally, information is needed on the effect of alcohol use on the nature of domestic violence and its outcomes, specifically whether the likelihood of injury is greater when one or both spouses have been drinking, and the relationship between alcohol and drug use and domestic homicides.

Risk Factors in Drug Abuse Over the Life Cycle as Related to Criminal Behavior

Studies of risk factors in drug abuse have generally focused on a particular point of time in the life cycle, especially adolescence, or sets of influences related to either individual, family, or community circumstances. However, little is known about how risk factors in drug abuse patterns vary over the entire life cycle. A recent report from the General Accounting Office on Federal drug abuse research concluded that understanding drug abuse from a lifetime perspective should be the focus of future study.⁴ Research on the interrelationship of individual, familial, situational, and environmental risk factors in alcohol and drug abuse may be especially important in understanding and preventing violence and criminal behavior.⁵

Accordingly, NIJ solicits proposals that will increase understanding of how drug abuse over the life cycle of individuals is related to criminal behavior. Proposals are solicited that will increase our understanding of individuals who are early, persistent, and heavy users of alcohol and other drugs and of whether and how such users are at greater risk of antisocial and criminal behavior.⁶ For example, focusing on high-risk groups such as school dropouts might enhance understanding of early and persistent use since their life styles and environments ordinarily place them at much higher risk than those who stay in school.

Recent reviews of research on the links between drug use and crime draw attention to the possible effect of social norms, beliefs, and attitudes on both drug abuse and delinquent and criminal behavior.⁷ NIJ is interested in the stability of such norms and beliefs as persons grow older and in what ways changes in norms and beliefs are related to links between drug abuse and delinquent and criminal behavior.

Notes

4. General Accounting Office. *Drug Abuse Research: Federal Funding and Future Needs*. Washington, D.C.: General Accounting Office, 1992.

5. National Research Council, "Understanding and Control of Violent Behavior."

6. Tonry, Michael, and James Q. Wilson, eds. *Drugs and Crime*. Crime and Justice: A Review of Research, vol. 13. Chicago: University of Chicago Press, 1990.

7. Botvin, Gilbert J. "Substance Abuse Prevention: Theory, Practice, and Effectiveness." In *Drugs and Crime*, ed. M. Tonry and J.Q. Wilson. Crime and Justice: A Review of Research, vol. 13. Chicago: University of Chicago Press, 1990:461-519.

Communities and Drug Use

Drug trafficking and drug abuse are overwhelming many of the Nation's low-income communities.⁸ These communities often are marked by visible signs of social disorder and urban decay. Public housing developments appear to be particularly vulnerable. Relatively little is known about the social processes that lead to the selection of some communities for drug trafficking and whether and how drug trafficking and drug use patterns lead to disorder and decay in the selected communities.

Accordingly, NIJ solicits research on the processes that result in the selection of locations for drug trafficking and high levels of drug use and the progressive decay of communities. For example, studies might address the **characteristics of vulnerable locations and communities** (such as the stability of residents, businesses, and industries, and local employment opportunities) and **the effects of population composition** (such as unemployed youth, welfare families, single-parent families, school dropouts, and organized criminal groups) on community vulnerability and site or location characteristics. The Institute seeks to learn how community programs can be strengthened and how intervention measures can be designed.

Drug trafficking not only can lead to urban decay in the immediate area, but may accelerate crime victimization in adjacent neighborhoods as addicted persons rob and burglarize in those areas.⁹ Urban decay can also facilitate the selection of locations and communities for drug trafficking. Several types of study would enhance our understanding of this phenomenon, including research on the process by which drug trafficking may encourage deterioration of already vulnerable communities and adjacent areas (for instance, further exodus of the stable commercial and residential population).

Another related issue involves the way housing patterns affect and are affected by drug abuse and trafficking. Public housing seems especially vulnerable to drug trafficking and drug abuse when the income level of the population is limited. Questions of interest include: To what extent is this vulnerability related to the physical and community structure of public housing? What role does management policy for selecting tenants play? Are some public housing communities more vulnerable to drug trafficking than others? Do certain management selection processes give rise to violent youth gangs that struggle for a share of the drug market and threaten local residents with violence? Are there factors that insulate or protect some public housing projects from vulnerability to drug trafficking?

NIJ encourages proposals for studies that focus on factors that either may make communities vulnerable to a cycle of drugs and decay or that may protect them from entering that cycle or retarding it.

Notes

8. Johnson, Bruce D., Terry Williams, Kojo A. Dei, and Harry Sanabria. "Drug Abuse in the Inner City: Impact on Hard Drug Users and the Community." In *Drugs and Crime*, ed. M. Tonry and J.Q. Wilson. *Crime and Justice: A Review of Research*, vol. 13. Chicago: University of Chicago Press, 1990:9-67.

9. Rengert, George. *The Impact of Drug Sales on Neighborhood Viability*. Final Report. Philadelphia, Pennsylvania: Temple University Department of Criminal Justice, 1989.

General Solicitations

NIJ is mandated by Congress to evaluate drug control programs to identify new and innovative approaches to drug and crime control and determine whether programs have potential for replication. Accordingly, in FY 1993 the Institute will evaluate programs in two broad areas involving drug enforcement and drug treatment. NIJ anticipates funding one or more projects in each of the following areas.

Drug Enforcement Activities

As a result of the drug trafficking problems that emerged in the mid-1980's, changes in narcotics policing tactics have occurred at almost every level of law enforcement. To assist the police in determining appropriate strategies and tactics, the Institute began the process of evaluating new approaches to drug enforcement in 1989. In particular, two studies of police crackdowns were undertaken: one in Detroit and a second in New York City, where police were involved in Tactical Narcotics Teams.

Both evaluations found that concentrating police resources within a limited geographic area diminished the availability of drugs and resulted in fewer open markets for drug dealing. However, these studies found no measurable changes in the quality of life of residents.

Based on this previous research, NIJ solicits proposals that explore how the development of community services help communities eradicate drug trafficking. Police officers' involvement in these community efforts and their impact on the drug problem are areas of interest. In addition, studies to be conducted could include evaluating appropriate precinct staffing levels for narcotics intervention, determining the optimum duration of a crackdown in a given location, and evaluating special programs that involve the community in partnership with the police.

Drug Treatment Programs

The Anti-Drug Abuse Act of 1988 charged the National Institute of Justice with researching and evaluating anti-drug efforts—including treatment—nationwide. In response to this mandate, NIJ evaluates the merits of programs ranging from drug treatment for first-time and casual users to programs aimed at hard core addicts and repeat offenders.

The criminal justice system provides a controlled environment for drug treatment that enables many offenders to recover from the use of illegal drugs, at least temporarily. Drug testing is a key component to drug treatment within the criminal justice system because it provides objective information that officials need to place offenders in appropriate treatment programs and monitor their compliance with those programs. Evaluation of drug testing programs is valuable to local criminal justice administrators who are considering implementing systemwide drug testing programs. For example, findings regarding the applicability, feasibility, and cost-effectiveness of jail- and nonjail-based programs can be made and used in the development of further programs.

Corrections officials across the Nation have identified a need for information about the range of substance abuse programs that can be implemented in State and local correctional facilities. This information is currently available only through individual program descriptions and evaluation reports; little documentation exists on the range of programs available. Without this baseline of information, officials must individually conduct research on program development, implementation, and resources.

NIJ solicits proposals to evaluate program approaches in these areas or to assess national or State and local program strategies. Program evaluations should address the impact of drug treatment programs. Program assessments could include the range of diagnostic and treatment services, including counseling, substance abuse treatment, education, job training, literacy training, life skills development, and industrial and service skills development.

Effects of Drug Treatment

Evidence shows that treatment of appropriate quality and duration does have positive results, both for drug abusers and for American society as a whole.¹⁰ It is unclear, however, how the quality and duration of treatment are defined.

To improve the effectiveness of treatment in reducing drug abuse, policy analysts, program directors, and researchers need to understand the factors that contribute to success. They need information about the criminal justice clients who enter the programs, what treatments they receive, and how they respond to these treatments. Serious problems such as AIDS and the cocaine epidemic on the streets cause drug treatment programs to constantly adapt to fit the needs of their clients. Federal, State, and local governments need information on the costs and benefits of drug abuse treatment in terms of its impact on crime reduction.

Additional Research and Evaluation Topics

NIJ recognizes that applicants might want to structure and pose their own research and evaluation questions, study designs, and analysis plans for research and evaluation related to the reduction of drug-related crime. Applicants may propose research and evaluation projects that are not included in the preceding discussion but that do address the general objectives of Goal II.

If there is a question as to whether a given project idea falls within the program's scope, applicants are encouraged to seek advice from the Program Manager responsible for the particular area of interest.

Application Information

Application Requirements. See page 10 for general application and eligibility requirements and selection criteria. *Proposals not conforming to these application procedures will not be considered.* In FY 1993 NIJ's Program Plan contains both general and specific solicitations. The **general solicitations**

Notes

10. Hubbard, Robert L., Mary Ellen Marsden, J. Valley Rachal, Henrick J. Harwood, Elizabeth R. Cavanaugh, and Harold M. Ginzburg. *Drug Abuse Treatment: A National Study of Effectiveness*. Chapel Hill: University of North Carolina Press, 1989.

discussed under Goal II ask the applicant to describe the goals, objectives, and strategies of the proposed research within the context of the FY 1993 Program Plan.

Award Amount. Up to \$600,000 may be available for research projects under this goal. It is anticipated that this amount will support two to three awards. Up to \$600,000 may be available for evaluation projects under this goal. It is anticipated that this amount will support three to four awards. Actual funding allocations are based on the quality of the proposals received.

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

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

National Institute of Justice
633 Indiana Avenue NW., Room 866
Washington, DC 20531

Completed proposals must be received at the National Institute of Justice by the close of business on: Research—June 8, 1993, and Evaluation—June 2, 1993. Extension of these deadlines will not be permitted.

Contact. Applicants are encouraged to contact NIJ Program Managers to discuss topic viability, data availability, or proposal content before submitting proposals. To obtain specific information on the research programs described under this goal area, potential applicants may contact:

■ Richard Titus, 202-307-0695, for **Substance Abuse and Violence Among Intimates and Acquaintances, Risk Factors in Drug Abuse Over the Life Cycle as Related to Criminal Behavior, and Communities and Drug Use.**

■ David Hayeslip, 202-307-2962, for **Evaluating Drug Enforcement Activities.**

■ Laurie Bright, 202-616-3624, for **Evaluating Drug Treatment Programs and Evaluating Effects of Drug Treatment.**

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Bureau of Justice Statistics. *Drugs and Jail Inmates, 1989*. Special Report. Washington, D.C.: U.S. Department of Justice, Bureau of Justice Statistics, August 1991.

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Rengert, George. *The Impact of Drug Sales on Neighborhood Viability*. Final Report. Philadelphia, Pennsylvania: Temple University Department of Criminal Justice, 1989.

Rengert, George and John Wasilchick. *Space, Time, and Crime: Ethnographic Insights Into Residential Burglary*. Final Report. National Institute of Justice. Unpublished Report, 88-IJ-CX-0013, 1990.

Sherman, Lawrence. *Policing Domestic Violence: Experiments and Dilemmas*. New York: Free Press, 1992.

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Visher, Christy A. "Pretrial Drug Testing: Panacea or Pandora's Box?" *The Annals* (May 1992).

Section II

Goal III:

**Reduce the Consequences
of Crimes for Individuals,
Households, Organizations,
and Communities**

Reduce the Consequences of Crimes for Individuals, Households, Organizations, and Communities

The consequences of crime across the United States are alarming. In 1991 approximately 1 in every 4 U.S. households was victimized by one or more crimes; one household in 20 had at least 1 member age 12 or older who was the victim of a violent crime. Victimization rates were considerably higher among minorities and the poor. During 1990, crime victims sustained some physical injury in 33 percent of robbery and assaults. Criminal homicide is now one of the 15 most frequent causes of death for all Americans; among 15- to 34-year-olds, it is the second leading cause of death. Along with the spread of crime has come a spread of fear. According to a recent National Opinion Research Center survey, 41 percent of those who live in suburbs of the 100 largest cities stated that they were afraid to walk alone at night in their own neighborhoods; among city dwellers, 58 percent were afraid.

While the National Crime Victimization Survey (NCVS), conducted by the Bureau of Justice Statistics, has enlarged our understanding of the categories of people and households victimized by crime, research on the consequences of crime for individuals, households, organizations, and communities has received much less attention. Accordingly, the National Institute of Justice's multiyear plan of research and evaluation addresses these issues and will lead to the development of strategies and programs to reduce victimization and the consequences of crime.

These wide-ranging consequences can include physical injury, loss of property, psychological effects, and loss of time from work. The major source of information about criminal victimization, NCVS currently provides information on physical injury and economic losses for a national cross-section of individuals and households. Specific information is provided on the costs of medical and hospital care, insurance coverage for these expenses, and the nature and value of economic loss. However, information is needed on other aspects for individuals and households such as information on long-term consequences of being a crime victim or effects of being repeatedly victimized.

The effects of criminal victimization range far beyond their impact on individuals and households, reaching into schools, businesses, other organizations, public housing developments, neighborhoods, and ultimately affecting communities as a whole. In the community, violent crimes, gangs, vandalism, drugs, and disorder may lead businesses to close or relocate, reduce employment and shopping opportunities, and decrease property values. If this process

is not interrupted, urban neighborhoods and communities decay, investment stops, and law-abiding residents and their organizations move out. Research is needed to help in planning which actions can be taken to prevent organizational victimization and what interventions are most feasible in the early stages of community victimization to reduce crime and reverse the process of decline.

Gangs, weapons, and drugs are incompatible with the mission of our schools, yet all too often students and teachers live under the threat of violence. Particular concerns of secondary schools, for example, are how to prevent dropouts from victimizing students and teachers and how to prevent weapons from being brought into a school. Among the concerns of primary and middle schools is how to prevent the victimization of younger students on their way to school. A special problem for law enforcement and school administrators is how to prevent the use of school grounds for the sale of drugs.

White-collar crime, while not found in schools and not tilting toward violence, still creates victims. Recent research has drawn attention to the financial losses incurred by organizations and their members from large-scale fraud. Substantial aggregate losses from fraud have been documented for public benefit programs in health and welfare, private insurers, banks, savings and loan institutions, short-term credit companies, and consumer services. Beyond documenting these aggregate losses, more information is needed about the short- and long-term consequences of white-collar crime for individuals and organizations. For example, how have the recent savings and loan frauds affected individual retirement benefits? How stable are individual companies that were undermined by fraud? Over the next 5 years, NIJ proposes to increase our knowledge of the harm and its consequences that result from different kinds of white-collar crimes.

General Solicitations

To advance knowledge about the consequences of crime for individuals, households, organizations, and communities, especially in the areas defined above, and to continue work on current NIJ initiatives in the area of victimization, in FY 1993 NIJ seeks research proposals addressing the consequences of crime for individuals, businesses, organizations, and communities and organizational responses to special populations of victims.

Community and Organization Victimization

The primary source of data on criminal victimization is the National Crime Victimization Survey. However, information is needed on the consequences of crime as it affects businesses and organizations. Crime, disorder, and vandalism are major influences on the survival of businesses and organizations in urban areas. When businesses and organizations fail, the lives and livelihoods of a vast array of customers, suppliers, and employees are affected. If the victim is a public facility such as a school, recreation center, or housing development, the provision of an important public service may be jeopardized, with a considerable loss to taxpayers.

Research: 1993

Studies of neighborhoods and communities as targets of crime are solicited. Crime, disorder, and vandalism clearly strike at individuals, households, businesses, and organizations, but the combined effect on neighborhoods and communities merits study. The life and health of communities depend on a myriad of public and private decisions: whether to remain or to move out; to invest in property repair or leave a property as is; to expand business or retrench; to exercise informal social control over public space; to demand public services or even to provide those services. The result is community vitality or community decay. Crime and disorder affect all these public and private decisions, but existing information is usually insufficient to estimate accurately how criminal victimization brings about community decay or to devise solutions to resist and reverse it.

In FY 1993 NIJ is particularly interested in research projects that advance our knowledge of the short- and long-term consequences of crime on organizations, businesses, and communities. There is a paucity of information on the different consequences of crime for corporate and organizational victims. Therefore, NIJ is interested in studies on the consequences of different types of crime, including assault, employee theft, vandalism, burglary, robbery of businesses, and theft of property. Among the consequences to be considered could be the nature and magnitude of economic loss, injuries to employees, turnover in labor, changes in customers or clients, changes in location within and movement out of communities, changes in the organizational composition of communities, and responses to victimization.

Studies might also focus on the consequences of repeat victimization of different types of businesses and of other organizations such as schools, hospitals, industries, public housing authorities, transportation, and parks and other local recreational facilities. Studies of the consequences of repeat victimization of organizations could focus on one or more consequences to one or more types of organizations. Of special interest is how different types of crime result in repeat victimization and what measures organizations take to cope with repeat victimization. Prospective designs are encouraged.

Studies might also be proposed on how to estimate the magnitude of different types of consequences from victimization and their costs. Cost estimates could be useful in evaluating safety programs in inner-city areas and in assessing interventions designed to reduce the consequences for different types of organization—for instance, retail stores or schools—or at the neighborhood and community levels of individual, household, and organizational victimization.

Although many research questions are possible within these settings, the broad theme should be exploration of how an increase in crime leads to a progressively severe impact upon community organizations and what can be done to alleviate this impact on businesses, schools, and communities. Some illustrative questions are raised below.

Businesses

What are the direct and indirect effects of rising neighborhood crime rates on sales and customers of retail stores that remain in the area? What are the effects on manufacturers or other businesses? How do owners and managers

react to property loss, the effects of crime on their employees, or the level of violence in the neighborhood? Do groups of stores such as mini-malls experience different levels of impact than individual retail establishments? What are the implications for employee hiring and retention and for the viability of businesses within a community?

Schools

How does crime affect school attendance and student behavior during the journey to and from school? What are the effects on afterschool functions such as clubs and sports or other uses of free time connected with school? What steps do students, teachers, and other employees take to cope with threats of victimization? What is the impact of crime on recruitment and retention of school employees? What is the extent of weapon and drug possession and use in schools, and how do school administrators cope with such threats?

Other Public Agencies

How does crime influence decisions by public agencies to provide services in hazardous areas? For example, do health clinics limit hours or kinds of services rendered? What precautionary measures—such as minimizing home visits—do social and community workers take to cope with threats of victimization in a community? Do transportation systems limit routes or take other safety precautions? How do agencies deal with potential liability to clients injured on their premises? What are the ramifications of safety decisions by public agencies on the quality of life for neighborhood residents?

Community-Based Organizations

How does rising crime affect the ability of community-based organizations such as economic development groups, civic associations, and churches to support community goals of economic development, enhancement of public services, or social and cultural development? Does rising crime deter citizens from volunteering to work for these organizations? Are there increased difficulties in mobilizing the community for various programs and functions? Are community-based organizations more likely to increase or diminish their efforts in the face of rising crime?

Institutional Responses to Victims

Victimization often requires institutions to perform services outside their traditional roles. Law enforcement agencies may develop special programs for victims, such as referral of family violence victims to shelters or crisis counseling for victims of sex offenses. Medical personnel must deal with anger and emotional trauma. Other institutions must be prepared to offer specialized referrals as well as their normal services.

How institutions respond to victims may affect citizens' willingness to use their services and confidence in their performance. NIJ is soliciting research on ways in which various institutions respond to special crimes and population groups within society. By studying groups that have special needs, NIJ hopes

to develop responses to these needs and to improve victim services overall. The topics suggested for these studies include institutional responses to battered spouses and children, immigrant populations, and the elderly. Researchers may suggest additional population groups for study that they believe are appropriate; however, researchers should adhere to the spirit of the issues expressed in the general theme. The section below illustrates the kinds of issues that NIJ wishes to address.

Battered Spouses and Children

What services do agencies provide inside and outside shelters to either restore victims to safer family environments or to provide a transition to separate and independent living? Is adequate shelter available to receive battered spouses and children into custody? Are there psychological and emotional support systems that can help victims once they leave shelters? What services are provided for children who are victims of physical and sexual violence by members of their own household? In what ways are families protected from spousal threats after separation from shelters?

Elderly

What special responses and services do elderly victims of crimes require? Are particular arrangements needed to bring elderly victims to testify against perpetrators? Do the experiences of the elderly with victim service organizations differ markedly from those of younger populations? Do police link elderly victims to elderly support networks? What public sector responses are needed to investigate abuse of the elderly in family or institutional settings? What civil remedies are available to protect against abuse of the elderly?

Immigrant Populations

What are the consequences for law enforcement and auxiliary service agencies that lack personnel with the requisite cultural and linguistic skills to deal with major immigrant or minority populations? What are the consequences for victims of these minority groups? How well are police and criminal justice agencies equipped to deal with non-English-speaking victims? Are police able to obtain a reliable description of the victimization or the perpetrator? Do immigrants receive information that explains their rights and obligations as victims and citizens and the way to enter complaints? Are there liaisons between police and other social agencies that facilitate the provision of victim services for these populations? What efforts are made to overcome biases of non-English-speaking persons against involvement with police, other criminal justice agencies, or service providers?

Additional Research and Evaluation Topics

NIJ recognizes that applicants might want to structure and pose their own research and evaluation questions, study designs, and analysis plans for research and evaluation related to the consequences of crime for individuals,

households, organizations, and communities. Applicants may propose research and evaluation projects that are not included in the preceding discussion but that do address the general objectives of Goal III.

If there is a question as to whether a given project idea falls within the program's scope, applicants are encouraged to seek advice from the Program Manager responsible for the particular area of interest. Applicants wishing to propose evaluation projects should contact Rosemary Murphy, NIJ Evaluation Division, 202-307-2959.

Application Information

Application Requirements. See page 10 for general application requirements, eligibility requirements, and selection criteria. *Proposals not conforming to these application procedures will not be considered.* In FY 1993 NIJ's Program Plan contains both general and specific solicitations. The **general solicitations** discussed under Goal III leave to the applicant the task of describing the goals, objectives, and strategies of the proposed research within the context of the FY 1993 Program Plan.

Award Amount. Up to \$600,000 may be available for research projects under this goal. It is anticipated that this amount will support two to three awards. Up to \$200,000 may be available for evaluation projects under this goal. It is anticipated that this amount will support one to two awards. Actual funding allocations are based on the quality of the proposals received.

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

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

National Institute of Justice
633 Indiana Avenue NW., Room 866
Washington, DC 20531

Completed proposals must be received at the National Institute of Justice by the close of business on: Research—June 3, 1993, and Evaluation—June 10, 1993. Extension of these deadlines will not be permitted.

Contact. Applicants are encouraged to contact NIJ Program Managers to discuss topic viability, data availability, or proposal content before submitting proposals. To obtain specific information on the research programs described under this goal, potential applicants may contact:

- Richard Titus, 202-307-0695, for **Community and Organization Victimization and Institutional Responses to Victims.**
- Rosemary Murphy, 202-307-2959, for **Evaluations.**

Section II

Goal IV:

**Develop Household,
School, Business,
Workplace, and
Community Crime
Prevention Programs**

Develop Community Crime Prevention Programs

The National Institute of Justice encourages the development and evaluation of programs to prevent crimes. Any crime is made up of three principal elements: one or more offenders, one or more victims, and a place or context where it occurs. Each of these elements can be the focus of a prevention program.

Because a principal element of any crime is its place of occurrence, NIJ focuses on **developing crime prevention programs for different types of places and for the types of crimes that frequently occur there.** These locations are communities with their streets and neighborhoods and the local places and populations that are especially vulnerable to crime victimization—households, schools, businesses, parks, and workplaces. The National Academy of Sciences report *Understanding and Preventing Violence* addresses these issues in the context of violent crime and victimization.¹

A crime prevention program in any of these locations may center on the individual elements of a particular setting. For example, a business crime prevention program might focus on the specifics of a particular transaction point such as the vulnerability of persons at automated bank teller locations; a school crime prevention program may focus on reducing assaults on schoolbuses or on schoolgrounds rather than within schools. In addition, crime prevention programs must consider that the places where crimes occur may involve several organizational components. The school, for example, is sensibly the locus of some types of crime prevention programs because of its vulnerable population of children. But it is also a workplace that employs personnel who may be involved in different ways in crimes. For example, school personnel may be the victims of assaults by students, but they may also be offenders against students or other adults.

Prevention programs may also focus on deterring offenders by **controlling the availability of means to commit acts of crime, the offender's ability to select those means, or the opportunities for offending.** To prevent assaults, for example, one might focus on teaching young persons techniques of negotiation to settle disputes or ways to control anger and its expression toward others.

Programs could also focus on **potential victims of crimes and ways to prevent their victimization.** These programs could train potential victims on ways to alter their behavior so as to reduce the likelihood of victimization or repeat victimization. Many drug prevention programs, for example, concentrate on teaching young persons about the health risks of drug use.

Notes

1. Reiss, Albert J., Jr., and Jeffrey A. Roth, eds. *Understanding and Preventing Violence: A Report of the Panel on the Understanding and Control of Violent Behavior.* Washington, D.C.: National Academy Press, 1993.

Other prevention programs focus on the repeated use of stimuli in situations where a crime is likely to occur, such as repeated public announcements in airport terminals not to leave luggage unattended. Such preventive announcements may serve dual objectives: preventing the victimization of persons through theft of their belongings and calling attention to the possible dangers posed by unattended luggage in terminals.

Crimes often have secondary or related elements that can be the focus of a prevention program. These include the **means of committing a crime and opportunities for its commission**. NIJ's program in crime prevention also encourages research, development, and testing that focus on these elements.

Some crimes, for example, involve lethal devices such as guns, knives, and bombs combined with a special opportunity. These situations could be the focus of a prevention program. Airplane hijackings and bombings have been prevented, for example, by using metal detectors to locate weapons or explosive devices carried in luggage or by passengers. The practice of making obscene phone calls has been curtailed by devices that automatically record the phone number from which a call is placed. Certain types of fraud have been prevented by the development of photo identification cards, specialized holographs, and magnetic identification scanners.

Traditionally, many programs have concentrated on developing technological means of prevention such as alarms to warn of residential or commercial breakins, automobile antitheft devices, and special detection systems to prevent shoplifting. But crimes can be prevented by altering social situations or behavior as well.

NIJ encourages research and development of models of crime prevention and their testing that focus on the primary or secondary elements of crimes. Clearly, such programs can be more readily evaluated if their scope is limited. For example, programs designed to prevent school crime are often too diffuse to permit qualitative evaluation, whereas a program aimed at controlling bullying by changing the behavior of bullies and their potential victims is more amenable to development and testing.

General Solicitations

In FY 1993 NIJ is particularly interested in research that addresses community responses to crime and location-specific crime prevention programs. Research on these topics can provide guidance and assistance to community groups, public officials, and policymakers as they coordinate their responses to crime, drugs, and community disorder and decay.

Enhancing Community Responses to Crime

Organizing citizen action has emerged as a strategy to reclaim urban neighborhoods from the consequences of crime and illegal drug markets. Community involvement in crime prevention and control has become central to the development of several national initiatives designed to increase neighborhood safety and security.

Research: 1993

The role of citizens in preventing and controlling crime has evolved from one of simply providing information to assist the police to one of citizen groups actively playing key roles in reclaiming neighborhoods to ensure that they are safe places in which to live and work. The current focus is on the development of a comprehensive approach to neighborhood security that involves citizens, police, and other municipal agencies in a coordinated approach to neighborhood problems. Emphasis is placed on empowering citizens to reduce crime and fear and to increase their influence on the viability of their neighborhoods and the quality of local life.²

NIJ has supported research on community involvement in crime prevention and control that focuses on reducing victimization and solving community problems that influence neighborhood safety and security. Evaluation studies show that organized citizen actions help to reduce fear of victimization by crime and improve the quality of life of neighborhood residents. Other NIJ research has found that community programs can help reduce both drug-related crime and fear of victimization.³ Citizens are willing to become actively involved in anti-crime activities and are also interested in taking part in other activities such as drug education programs, youth tutoring programs, training programs for adults, and neighborhood economic revitalization programs. Some of these citizen responses are being evaluated both to assess lessons learned and to identify factors that may facilitate or impede their progress. Current NIJ research suggests that community groups would benefit from a clear understanding of how constitutional and legislative issues may impinge on citizen actions or raise liability concerns.⁴

To enhance community responses to crime, attention must be given to effective means for mobilizing citizens and community resources and to ways to maintain meaningful forms of community involvement. In FY 1993 NIJ seeks research proposals to support the further development of programs and strategies that community groups can use to reduce crime and fear of victimization and that facilitate citizen efforts to establish order and maintain control in their neighborhoods.

Involving Community Groups in Crime Prevention

Additional research is needed to determine which methods and procedures are effective in mobilizing citizens and developing effective forms of citizen action in different types of communities. Proposed research on how to promote citizen involvement in program efforts that address community safety and security should include a comprehensive focus on a variety of neighborhood problems in residential, commercial, and recreational areas.

Particular attention should be given to **the most useful means of organizing and maintaining community-based activities** that deal with these problems of drugs, crime, and community disorder. The proposed research should develop guidelines for policymakers and community leaders on how to promote more effective forms of community action in different neighborhood settings. These guidelines should be based on the characteristics of neighborhoods that influence particular responses to crime and drugs.

Notes

2. Skogan, Wesley. *Disorder and Decline: Crime and the Spiral of Decay in American Neighborhoods*. New York: Free Press, 1990.

3. Rosenbaum, Dennis. *Community Crime Prevention: Does It Work?* Beverly Hills, California: Sage Publications, 1986.

See also Rosenbaum, Dennis. *Evaluation of Community Responses to Drug Abuse*. National Institute of Justice. Unpublished Report, 90-DD-CX-0015, 1990.

4. Weingart, S., et al. *Lessons Learned: Case Studies of the Initiation and Maintenance of the Community Response to Drugs*. National Institute of Justice. Unpublished Report, 90-IJ-CX-0033, 1992.

See also Puro, Steven. *Legal Authorities of Citizens, Community Groups, and Private Security*. National Institute of Justice. Unpublished Report, 91-IJ-CX-0018, 1992.

Attention should also be given to efforts to reclaim urban neighborhoods based on the public's recognition of shared responsibility for community safety and security. Organized citizen actions to deal with drugs and crime and the factors that influence the success or failure of these efforts need examination, with particular attention given to the ways of developing partnerships with community groups, various municipal agencies, and the private sector.

Community-Based Strategies for Crime Prevention

NIJ also solicits research proposals that examine the development and use of innovative community-based strategies to enhance neighborhood security. New approaches—that go beyond traditional criminal justice responses to the control of neighborhood crime and disorder—are now being tested in some communities.⁵ For example, civil and regulatory procedures and abatement laws are being used to deal effectively with neighborhood problems involving drugs, crime, and community disorder. Case studies of these approaches could provide guidance to communities regarding the various problems that can be addressed through these means, the procedures that can be used to implement particular strategies, and the effectiveness of these efforts in enhancing neighborhood security.

In developing research projects in this program area, special attention should be given to those approaches that can be useful in mobilizing effective forms of citizen action. In general, the development of programs and strategies that are designed to promote community security should be based on a systematic analysis of the particular problems and characteristics of different neighborhoods. The identification of factors that facilitate or constrain the use of innovative community-based strategies and the lessons learned in employing them are also needed. Innovative strategies that promote neighborhood security and well-being merit special attention.

Location-Specific Crime Prevention Programs

People must be protected not only where they live but in locations where they are strangers or temporary residents as well. Most persons move routinely between places of residence and work or recreation. Thus, the security of persons when they stay temporarily in hotels on business trips or vacations is of as much concern as is their safety at home or as they travel to and from work. Similarly, property must be protected when it is vacant as well as when it is occupied or being used for public or private purposes. Businesses must be protected from crimes of burglary and theft, and their employees must be protected as they move about their place of work. Public property, transportation systems, schools, parks, and playgrounds all must be protected from vandalism.

Previous NIJ research and development projects identified some of the environmental causes of crime, disorder, and fear and proposed ways to correct these problems through better environmental design and management. Studies have examined the environmental correlates of crime and possible preventive measures in schools, residences, public housing, and commercial areas⁶ as

Notes

5. National Institute of Justice. *Community Policing in Seattle: A Model Partnership Between Citizens and Police*. Research in Brief. Washington, D.C.: U.S. Department of Justice, National Institute of Justice, August 1992.

See also Delibert, A. "Application of Nuisance Laws to Abandoned Buildings and Other Major Fire Hazards." *Neighborhood-Based Arson Control*. Washington, D.C.: Citizens Committee for Fire Prevention, 1985.

6. Wallis, A., and D. Ford. *Crime Prevention Through Environmental Design: An Operational Handbook*. Washington, D.C.: U.S. Department of Justice, National Institute of Justice, 1980.

See also:

Newman, O. *Crime Prevention Through Environmental Design*. New York: Macmillan, 1972.

Fowler, F. *Neighborhood Crime, Fear, and Social Control: A Second Look at the Hartford Program*. Washington, D.C.: Government Printing Office, 1982.

Kushmuk, J., and S. Whitemore. *A Reevaluation of the Crime Prevention Through Environmental Design Program in Portland*. Washington, D.C.: Government Printing Office, 1982.

well as a more comprehensive set of urban processes at the neighborhood and community level.

This research could be expected to specify the precise nature of the links between crime and the characteristics of the environment, propose solutions to these problems through better design and management, and assess the effectiveness of these solutions. Accordingly, NIJ solicits proposals that focus on the development and assessment of crime prevention strategies for commercial facilities, schools and colleges, public housing, and residential neighborhoods affected by crime, gangs, and drugs. Priority will be given to proposals that examine selected problems of commercial establishments, high-crime locations, and college campuses.

Commercial Establishments

NIJ has supported research and dissemination projects on the security of convenience stores, banks, small business retailers, and shopping centers in the inner city. Further research on commercial security, focusing on how security is affected by location, design, and management practices is required. Possible subjects of research include automatic banking machines, branch banks, and small retail outlets. Research is also encouraged on ways to resolve problems of loitering, delinquency, and public disorder in shopping malls. Victimization of persons in parking areas associated with commercial facilities is another problem requiring research attention.

Reducing Community Disorder, Fear, and Crime in High-Problem Locations

NIJ research has shown that just as a small number of offenders account for the majority of crimes, a small number of addresses account for the majority of calls to police for service. A substantial proportion of these addresses are public places such as taverns and bars, fast food outlets, street corner hang-outs, and drug markets. Proposed research projects could involve demonstrations, experiments, or other approaches to test specific crime prevention strategies and ways of enhancing community security, including their applicability to neighborhood "hot spots."

Crime Prevention on College Campuses

Many college campuses are perceived to have serious crime problems. Most campuses have facilities that were constructed when little, if any, attention was paid to crime prevention. One option is to adapt existing facilities and aspects of their sites to enhance the security of students and employees. Research is needed that would systematically assess the major security problems of selected campuses and propose suggestions for their resolution, including proposals for demonstrations or experiments to enhance campus security. Information sources could include college security administrators; college crime information systems; design experts; and surveys of students, employees, and administrators.

General Solicitations

NIJ seeks to evaluate programs that prevent and control violence in specific settings such as schools and public housing. In public schools violence and drug prevention programs are being developed to address the specific needs of the educational environment. These programs seek to educate students, teachers, administrators, and parents about drug and violence prevention programs and to protect them from violence in the surrounding community. Prevention programs in public housing have been evolving from police-based to resident-based operations. Building, in part, upon the efforts of the police to secure a safe environment, residents are taking on more responsibilities for violence prevention in their communities.

School-Based Crime Prevention Programs

Safe, disciplined, and drug-free schools are important elements for a conducive learning environment. During the past few years, however, schools and their surrounding neighborhoods have become less safe and secure. Recent studies show that crime and violence are problems for students, teachers, administrators, and other personnel.

Data from the school crime supplement to the National Crime Victimization Survey show that an estimated 9 percent of students, ages 12 to 19, were crime victims in or around their schools over a 6-month period.⁷ Two percent of those students reported being victims of violent crime (mostly simple assaults), and 7 percent reported at least one property crime.

According to the National Education Goals Report for 1992, substantial numbers of 8th, 10th, and 12th graders are victims of violent acts, theft, and vandalism at school.⁸ In 1991, for example, 16 percent of 12th graders surveyed by the University of Michigan reported being threatened with a weapon. Seven percent reported an injury by a weapon.⁹

To address the problems of safety, violence, and drugs in schools, a variety of prevention programs have emerged across the country. For example, in Texas and some other States, classroom management and discipline programs have been developed and implemented. These programs are aimed at the prevention of drug and alcohol abuse, delinquency, school disruptions, and other behaviors detrimental to the educational process. In Seattle, Washington, the police department and school district are planning to teach students how to resolve problems in nonviolent ways. In other cities and States, programs are aimed at training teachers, administrators, guidance counselors, and other school personnel in violence education and prevention.

NIJ is interested in impact evaluations of these crime and violence prevention programs in public schools. In particular, evaluations of programs that involve joint participation by schools, communities, and the criminal justice system are encouraged. Grant applicants should, at a minimum, select programs that may have implications for other communities nationally. In addition, applicants should examine the following research questions: What are the problems

Evaluation: 1993

Notes

7. Bastian, Lisa D., and Bruce M. Taylor. *School Crime: A National Crime Victimization Survey Report*. Washington, D.C.: U.S. Department of Justice, Bureau of Justice Statistics, 1991.

8. National Education Goals Panel. *Building a Nation of Learners*. National Education Goals Report. Washington, D.C.: Government Printing Office, 1992.

9. *Ibid.*

addressed by the program? How effective is the particular program in achieving its goals?

Crime Prevention Programs in Public Housing

The combined problems of crime, violence, drug abuse, and drug trafficking are overwhelming many of the Nation's public housing developments. Efforts to provide safe, quality low-cost housing for those in need are threatened by the amount, magnitude, and type of crime in public housing.

To help policymakers address concerns that public housing developments are locations of intense criminal activity, NIJ has awarded several grants to evaluate drug control strategies in public housing. One NIJ evaluation found that drugs and violent crime are severe problems in public housing in three cities. In Los Angeles, Phoenix, and Washington, D.C., the rates of drug offenses are higher in public housing than in the city at large. This study also confirmed the perception that there are "problem projects"—housing developments with crime problems much more severe than most other public housing communities.

Other NIJ studies have evaluated programs in Denver and New Orleans aimed at reducing violent crime in public housing by emphasizing arrests—drug enforcement sweeps, development of information, buy/bust operations, and surveillance techniques.

Analysis of data from these two sites showed little or no impact on the level of crime in the targeted communities. However, in Birmingham, Alabama, adding a police mini-station in a public housing development significantly improved residents' perceptions of their quality of life.

The conclusions that are emerging from these efforts indicate that the police focus must be wider than the simple arrest of drug traffickers and that more innovation in creating anti-drug and anti-drug crime programs must be applied.

NIJ solicits proposals to evaluate programs and strategies that include the criminal justice system, public housing authorities, and residents in dealing with public housing, drugs, and crime. NIJ encourages impact evaluations that examine the effectiveness of strategies and programs.

Additional Research and Evaluation Topics

NIJ recognizes that applicants might want to structure and pose their own research and evaluation questions, study designs, and analysis plans for research and evaluation related to crime prevention. Applicants may propose research and evaluation projects that are not included in the preceding discussion but that do address the general objectives of Goal IV.

If there is a question of whether a given project idea falls within the program's scope, applicants are encouraged to seek advice from the Program Manager responsible for the particular area of interest.

Application Information

Application Requirements. See page 10 for general application requirements, eligibility requirements, and selection criteria. *Proposals not conforming to these application procedures will not be considered.* In FY 1993 NIJ's Program Plan contains both general and specific solicitations. **The general solicitations** discussed under Goal IV ask the applicant to describe the goals, objectives, and strategies of the proposed research within the context of NIJ's Program Plan.

Award Amount. Up to \$600,000 may be available for research projects under this goal. It is anticipated that this amount will support three to four awards. Up to \$500,000 may be available for evaluation projects under this goal. It is anticipated that this amount will support two to three awards. Actual funding allocations are based on the quality of the proposal received.

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

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

National Institute of Justice
633 Indiana Avenue NW., Room 866
Washington, DC 20531

Completed proposals must be received at the National Institute of Justice by the close of business on: Research—June 3, 1993, and Evaluation—June 10, 1993. Extension of these deadlines will not be permitted.

Contact. Applicants are encouraged to contact NIJ Program Managers to discuss topic viability, data availability, or proposal content before submitting proposals. To obtain specific information on the research programs described under this goal area, potential applicants may contact:

- George Shollenberger, 202-307-2967, for **Enhancing Community Responses to Crime and Location-Specific Crime Prevention Programs.**
- Rosemary Murphy, 202-307-2959, for **Evaluating School-Based Crime Prevention Programs and Evaluating Crime Prevention Programs in Public Housing.**

Section II

Goal V:

**Improve the Effectiveness of
Law Enforcement, Criminal
Justice, Correctional, and
Service Systems' Responses
to Offenses, Offending, and
Victimization**

Improve the Effectiveness of Criminal Justice and Service Systems' Responses

The criminal justice system has the major role of responding to offenses, offending, and victimization. It plays a primary role in mobilizing other systems that serve offenders, such as treatment services, and in fostering the development and implementation of crime prevention programs.

Major innovations in criminal justice are rarely devised or attempted and are only occasionally grounded in theory or research findings. Current practices within the law enforcement, criminal justice, correctional, and related service systems are largely unevaluated. Moreover, modifications are often made without persuasive evidence that the replacement is preferable. Theory-driven innovations in community policing, for example, are still evolving, and they are being tested only sporadically in a few police departments.

Likewise, knowledge is limited concerning the deterrent effect of arrest on specific types of crime and the effectiveness of alternative police practices in dealing with different types of offenders (for example, juvenile or violent offenders). Recent research by the National Institute of Justice examined for the first time whether arrest is an effective deterrent for misdemeanor domestic assaults and compared arrest with other police practices in dealing with such assaults (for example, police counseling and separation of the partners). Only a few alternative police practices were evaluated in these experiments. Clearly there are others that could be compared as well as new practices that could be developed.

Unfortunately, much of the research in criminal justice is fragmented and specific to a single criminal justice agency. Some studies focus on behavior or decisions of particular agents such as police use of deadly force, prosecutorial decisions to select particular charges, discretionary prosecutorial practices such as plea bargaining, and judicial use of intermediate sanctions. Even in the latter case, however, such studies rarely focus on the relationship among the parties to a decision as, for example, the respective roles of police, defense attorneys, public prosecutors, and judges in plea or sentence bargaining.

Moreover, much research on criminal justice evaluates effectiveness in terms of standards internal to a particular agency: Are the objectives of police or correctional officer training courses achieved? How satisfied are citizens with their police service? But few studies focus on the consequences that decisions and practices in one part of the system have for other components in the system or on system processes. There are studies of jail and prison overcrowding

and of early release from sentences as a consequence of judicially mandated standards for maintaining correctional facilities, but little is known about their consequences for the criminal careers of offenders who have been released early. Likewise, there is little research on the effect of sentence length or a given type of sentence for any given offense. NIJ seeks, therefore, to focus research on the **consequences of the decisionmaking process within the criminal justice system** rather than simply examining the separate effect of the practices of each criminal justice agency. Such investigations should lead to an assessment of the criteria we use to judge criminal justice agency practices.

Current knowledge often is limited not only to evaluation of particular criminal justice agency practices but to the knowledge gained from cases that are the result of independent decisions in different components of the system. Relatively little is known about how different kinds of crime are detected and selected by social service and other agents as well as by law enforcement officials or of the processes by which they are referred. This is especially true for family-related offenses. How are child abuse cases detected and referred by different agencies? How do police process victims and offenders of different kinds of sexual assault, especially those on children? How are abuses of the elderly detected, and what roles do different criminal justice agencies play in processing them? How can police and prosecutors track repeat offenders of domestic violence? How can police work more effectively with emergency medical services and trauma centers in detecting and processing family-related offenses?

Similarly, little is known about how criminal justice agencies, especially courts at the time of sentencing, select and evaluate services of other agencies to which they refer offenders. For example, how do court officers determine the adequacy of drug treatment programs or choose among alternative community services? How effective are women's shelters in dealing with domestic violence cases? What criteria should law enforcement, courts, or correctional agencies apply in selecting agencies to which they mandate referral? Likewise, how do correctional agencies link to other services such as health care? By what standards does one assess the effectiveness of such services, especially in conjunction with the correctional objectives of criminal justice agencies?

Recently there have been substantial changes in sentencing and correctional practices. Emphasis has been placed on intermediate sanctions such as shock incarceration (boot camps). NIJ is currently evaluating shock incarceration programs for juveniles and for young adults. In recent years NIJ has also sponsored research on the use of fines as an intermediate sanction and identified problems in their use, especially problems of enforcing fine collections.

There likewise has been an increased emphasis on intensive supervision programs (ISP) for probationers and parolees. ISP programs often are combined with treatment regimens. NIJ has supported evaluations of intensive supervision on probation and on parole, but there is a need to continue evaluating these alternatives, given their mixed results.¹

NIJ recognizes that the conceptual and measurement issues are complex in program evaluation in the major areas of criminal justice. Through its research

Notes

1. Petersilia, Joan. *Intensive Supervision for High-Risk Probationers: Findings From Three California Experiments*. Santa Monica, California: Rand, 1990.

and evaluation programs, the Institute seeks to address some of these issues by focusing on measures of effectiveness in law enforcement, prosecution, courts, and corrections. Similarly, NIJ seeks to broaden the range of outcome measures for evaluating many of these new sentencing and correctional practices, focusing especially on process measures and alternatives to simple measures of repeat offending.

Research: 1993

General Solicitations

Community Policing

Community policing stresses the importance of police-citizen interaction in controlling crime, maintaining order, and empowering citizens for the purpose of improving the quality of life in neighborhoods. Some varieties of community policing also stress the importance of rational, empirically-based problem solving.² Community policing is being introduced in different forms in a growing number of police departments across the Nation. In the last decade, NIJ has supported a number of trial initiatives to develop and test various aspects of community policing. NIJ will continue to support projects that further develop community policing approaches, that examine the opportunities and problems in implementing them, and that assess their strategic utility.

Given the many community policing projects currently underway, NIJ has planned a more modest research program for this funding cycle, while recognizing that there are several areas in which small projects could make significant contributions to knowledge about community policing and police effectiveness.

NIJ is interested in supporting research that will assist policymakers and police administrators in developing and implementing community policing. Two areas are of particular interest: police supervision and priority community policing programs.

Police Supervision

Little is known about first-line supervision in police organizations and how this influences the implementation of community policing. This level of supervision may also reveal some of the line management weaknesses that influence the incidence of police brutality and excessive use of force. Important questions include: What are the different styles of supervision employed, and how prevalent is each style? How do supervisors develop their styles, and in particular, what role do department policies play in shaping those styles? What role does informal officer culture and behavior play in shaping first-line supervision? What is the impact of various supervisory styles on subordinates?

Priority Community Policing Programs

Many communities have been implementing and experimenting with the concept of community policing for a number of years. Successful high-priority programs are now emerging, and some of them may provide useful guidance

Notes

2. The works listed in the References section under "Problem-Oriented Policing" and "Community Policing" have frequent examples of this viewpoint.

to communities nationwide. Further, new and innovative community policing strategies are being developed to address major community problems. Descriptive research on successful, high-priority community policing programs and developmental research on innovative community policing strategies are of special interest.

Police Research Capabilities for Problem-Oriented Policing

Problem-oriented policing (POP) has been advocated as an alternative to what have now become traditional methods of organizing and evaluating police efforts. However, unlike traditional models, POP is concerned with a broad range of problems associated with the quality of life in a community. POP is results-oriented: Police success is achieved to the extent that these problems are reduced. POP makes no assumptions about the best strategies for reducing problems, but takes an empirical, research-based approach to identifying problems, determining contributing factors, selecting solutions, and evaluating their effectiveness. A POP approach goes beyond merely reacting to the individual consequences of a problem, which are often manifested in calls for service. POP attempts to deal with underlying causes in a proactive fashion.

In FY 1993 NIJ is interested in receiving proposals to strengthen the research and development capacity of a police department and to conduct a pilot POP project focused on addressing a specific problem. The proposal should indicate the nature of the problem selected for inquiry and current information available about that problem in that community and in the literature. It should indicate the methods that are planned to assess the problem, select a response, and evaluate the response.

A wide range of problems will be considered, but NIJ is particularly interested in the following problems:

- Domestic violence.
- Juvenile violence.
- Alcohol-related problems.
- Assault.
- Inappropriate use of police authority.
- Street-level drug trafficking.

For example, one vision of problem-oriented policing is to increase the range of sanctions or preventive interventions in dealing with misdemeanor domestic violence.³ A number of criminal justice alternatives merit attention, including the issuance of a warrant for absent offenders and the use of emergency protection orders.⁴

Proposals should clearly describe the department's current research and development capacity and how that capacity is to be used for this project. Proposals that show strong potential for long-term development of the department's research and development capacity will receive preference. Law enforcement agencies that apply under this general solicitation are encouraged to supplement inhouse personnel with outside experts as subcontractors if their participation would materially enhance the project's prospects.

Notes

3. Goldstein, Herman. *Problem-Oriented Policing*. New York: McGraw-Hill, 1990.

4. Sherman, Lawrence W. *Policing Domestic Violence: Experiences and Dilemmas*. New York: Free Press, 1992.

The end product of this study should include a final report that describes in detail: (1) the problem-solving process undertaken by the grantee, (2) the organization and staffing of the project, (3) the methodology and findings of the research, and (4) the lessons learned about the POP approach.

NIJ anticipates funding one project under this topic.

Prosecution and Adjudication

NIJ's FY 1993 priorities in prosecution and adjudication follow its multiyear focus on system processing of criminal cases. The following are suggested areas for proposed research in FY 1993, although proposals focusing on improving the efficiency and effectiveness of prosecuting and adjudicating criminal cases are encouraged. In addition, applicants should be aware that an NIJ project relevant to this program will review State antistalking legislation and develop model antistalking legislation.

Prosecution and Adjudication of Domestic Violence

Improvement and innovation in the management and effective handling of domestic violence cases are much needed in jurisdictions with large numbers of these cases. Applicants are encouraged to respond with proposals addressing the needs of prosecution and the courts to more effectively address domestic violence.

The following are some suggested areas for research, although all research proposals focusing on the efficiency and effectiveness of prosecuting and adjudicating domestic violence cases are encouraged. Specific areas include how domestic violence cases are charged and adjudicated, reasons why cases are dropped, the percentage and kinds of cases that are pleaded and tried, and the types of sentences given to convicted offenders.

Research is also needed on innovative methods for improving prosecutors' effectiveness in handling domestic violence cases. Especially needed are techniques for dealing with unwilling or vulnerable witnesses in spouse assault and child abuse cases; for working with advocacy programs for abused women and children; for presenting domestic violence cases in court; and for recommending sentences, including terms of probation, that consider both offender and victim needs.

Finally, improving the courts' response to domestic violence requires a greater understanding of the impact of increased court workloads as a result of these cases, knowledge about whether domestic violence restraining orders protect victims or contribute to escalating the level of violence, identification of strategies for monitoring the degree of compliance with protection orders, and development of innovative approaches that may be effective alternative responses to domestic violence. In addition, proposals are solicited on the effectiveness of court-advised or court-mandated counseling in protecting spouses from domestic violence during the process of separation and divorce.

Prosecution and Adjudication: Violent, High-Rate Offenders

Much of the research in prosecuting and adjudicating high-rate offenders has focused on assessing selective prosecution strategies or on classifying and predicting adult criminal careers. Evaluation research has also addressed prosecutor career criminal units, a strategy initiated more than a decade ago to maximize prosecutorial efforts. In addition, a key finding in the 1986 National Academy of Sciences Panel report, *Criminal Careers and "Career Criminals,"* is that current decisionmaking for crime control could be improved if more weight were given to an offender's juvenile record and record of serious drug use.⁵

Prosecutors have noted the importance of criminal career research in informing prosecutorial decisions: "Career criminal units focusing on the severity of the last crime only...often miss chronic career criminals."⁶ Prosecutors also report that violent young adult offenders are difficult to identify solely from their adult records. Because of their relative youth, they simply have not had time to establish an adult record that reflects their behavior or distinguishes them from repeat offenders of lesser crimes.⁷ From a judicial perspective, the use of juvenile records in adult cases can provide a more detailed history of offenses, sanctions, and relapses.⁸

In FY 1993 NIJ is soliciting proposals based on this body of research in two specific areas: prosecution and sentencing of violent offenders; and adjudication patterns, including court-imposed treatments, in criminal careers and their effectiveness.

Prosecution and Sentencing of Violent Offenders

Proposed research should focus on jurisdictions that are able to consider juvenile records in adult criminal cases. This additional history is thought to be an important element in identifying the repeat violent offender and consequently in determining priority prosecutions, although its utility has not been evaluated. Cooperation with criminal justice agencies having policies that permit the use of juvenile records in adult sanctioning is essential to any proposed research. Suggested efforts include:

■ A single-site demonstration and descriptive analysis that examines how prosecutors and judges use juvenile records in adult cases, including statutory authority; the agencies responsible for compiling the information and the process they use; the records' utility to prosecutors and judges; and the safeguards against misuse that have been established.

■ An examination of how the concept of a diversified criminal career on the part of juvenile and adult offenders, with elements of violence, enters into prosecutorial and judicial decisionmaking.

NIJ envisions *prospective* studies that would require close working relationships among the research team and prosecutors and judges. The study should examine the prosecution and sentencing decisionmaking process rather than simply records of decisions. Grant applications should include letters offering cooperation and support from appropriate agencies.

Notes

5. Blumstein, Alfred, Jacqueline Cohen, Jeffrey A. Roth, and Christy A. Visher, eds. *Criminal Careers and "Career Criminals,"* vol. 1. Washington, D.C.: National Academy Press, 1986.

6. Goldsmith, Stephen. *Prosecutors' Perspectives*, vol. 1, issue 1. Alexandria, Virginia: American Prosecutors Research Institute, 1987.

7. Harshbarger, L. Scott. *Prosecutors' Perspectives*, vol. 1, issue 1. Alexandria, Virginia: American Prosecutors Research Institute, 1987.

8. Walton, Reggie B. "Utility of Juvenile Records in Adult Criminal Proceedings: A Judge's Perspective." In *Juvenile and Adult Records: One System, One Record?* Washington, D.C.: U.S. Department of Justice, Bureau of Justice Statistics, 1980.

Adjudication Patterns

To improve knowledge on sanctioning patterns in criminal offending careers, NIJ requests studies that trace the succession of sanctions in a criminal career, beginning with juvenile offending. To the extent possible, information is desired not only on formal criminal sanctions but also on informal interventions, including treatment services.

These studies should investigate whether there are stages during a criminal career when particular formal and informal sanctions may be effective. Studies might focus on how these informal and formal sanctions encourage desistance from offending. One of the important questions to be considered is whether the severity of punishment for the first offense is positively related to desistance.

These studies may also shed light on the importance of prior arrests and convictions in assessing program outcomes. Currently, such assessments fail to take account of prior sentencing. For example, in assessing whether arrest was a deterrent, the NIJ domestic violence experiments did not take into account whether there was a prior arrest for domestic violence that had been an ineffective deterrent. For these repeat offenders, the more appropriate question might have been: Is there a threshold number of arrests that operates as a deterrent for some types of repeat spouse assaulters? Having data on the application of sanctions of a given kind for repeat offending (or failure to detect and apply sanctions for a given violation) will be helpful in assessing the effectiveness of interventions. It will also draw attention to the importance of using the history of delinquency and criminal charges to help determine when and how to intervene with specific criminal sanctions and alternative judgments.

Intermediate Sanctions and Consequences

Intermediate sanctions—such as fines, work-release, community service, boot camps, intensive supervision probation, and the coupling of intensive supervision with treatment and other rehabilitation or training programs—may be viable punishments for certain types of offenders. However, there appears to be some institutional resistance to developing and imposing these sanctions because of doubts about their viability and effectiveness, a lack of evidence that they are cost-effective, and problems coordinating agency responsibilities. These factors, coupled with the high costs already incurred by State correctional programs for incarceration, have slowed implementation of these programs.

NIJ is interested in proposals that address community corrections. Eighteen States currently operate under Community Corrections legislation—significant growth since 1973 when Minnesota adopted the first Community Corrections Act. Research studies might include a thorough review of community correction act experiences, including an analysis of costs, a description of changes and trends, a review of extant evaluations to synthesize lessons learned, and formulation of a research and evaluation agenda.

In FY 1993 NIJ is particularly interested in research proposals to study technical violations of intermediate sanctions, the use of intermediate sanctions by

courts, and the management of elderly offenders. In addition, a wide range of proposals will be considered.

Technical Violations and Their Impact on Probation and Parole

The imposition of conditions on offenders released to probation or parole is becoming increasingly important to the criminal justice system. Efforts by the courts and parole boards to control more effectively those under community release and supervision have resulted in more frequent imposition of release conditions such as mandatory drug testing, substance abuse treatment, curfews, employment, and payments of fines or restitution. Probation and parole officers spend much of their time monitoring compliance with and violations of such conditions. Increasingly, courts find that they are engaged in revocation proceedings for those charged with violations of the conditions of probation or parole. Commitment or return to custody is often the consequence of such hearings.

The increase in technical violations contributes significantly to prison and jail crowding. In 1988 more than 60 percent of Oregon's prison admissions were due to probation or parole revocations.⁹ In 1989 two-thirds of the prison admissions in Texas were probation or parole violators.¹⁰ And California Department of Corrections' officials estimate that well over 60 percent of California's prison admissions are either probation or parole violators.¹¹ This rise in new admissions resulting from technical violations has become an important criminal justice policy issue that needs more research.

Research on technical violations has been limited to descriptive studies or the nature of technical revocation. What is not understood is the relationship between technical violations of probation or parole and criminality. Some have suggested that technical violations are a predictor of future (or current) criminality and that revocation of release for technical violations protects the public safety, but evidence supporting this hypothesis is not yet available. Moreover, little is known about how such violations are related to the seriousness of criminal violations.

In FY 1993 NIJ requests proposals for research that will develop information on and further the understanding of technical violations and that will address the issues associated with the conceptual and practical changes due to changes in supervision practice. In particular, proposals are solicited that address the kinds of conditions imposed at sentencing for particular charges, the methods for detecting violations of such conditions, the responses to technical violations, and the ability of technical violations to predict future criminality. Some illustrative research questions are discussed below.

Types of Conditions. What types of release conditions are imposed by State and local jurisdictions? Do these conditions vary by jurisdiction, by jurist, or by agency? What agent(s) are responsible for the imposition of release conditions? What are the relationships among release conditions, charge, and offender type (for example, criminal record)?

Enforcement. What probation or parole resources are devoted to enforcing technical conditions at the State and local levels? How is compliance with

Notes

9. Parent, Dale G., Dan Wentworth, Peggy Burke, and Becki Ney. "Responding to Probation and Parole Violation." Washington, D.C.: U.S. Department of Justice, National Institute of Justice. Unpublished Report, 1992.

10. *Ibid.*

11. *Ibid.*

technical conditions monitored? How are violations detected? What are the regulations governing responses to technical violations? Are violations of some conditions more likely than others to lead to revocation and confinement?

Prediction. What is the relationship between the conditions of release and the commission of new crimes? What are those crimes, and how serious are they? Are those who violate release conditions more likely to engage in crime? Do violations of specific conditions (for example, failure to appear for urine testing or abide by curfew restrictions) signal future crimes? Are violations of other conditions unrelated to future criminal behavior or to the seriousness of future criminal behavior?

Innovative proposals that seek to investigate these and other questions related to the issue of technical violations are encouraged. Preference will be given to proposed research projects that are multijurisdictional.

Managing Elderly Offenders

The elderly make up the fastest growing segment of the U.S. population, and the number of incarcerated elderly is increasing at a comparable pace. By the year 2005, the percentage of inmates over age 50 is expected to be 16 percent or more of the total jail and prison population.¹²

Although data indicate that the percentage of all arrests of the elderly is declining, the percentage of elderly arrests for index crime is increasing, with most of the increase involving property crimes. Aggravated assault and larceny/theft are the major offenses for which the elderly are arrested.¹³

As more elderly offenders are incarcerated for these more serious offenses, this group's inmate population will continue to rise. Until now, older inmates have remained a fairly constant 3 to 4 percent of the total prison population. However, the number of older inmates is also increasing as a result of the aging of offenders serving long-term sentences.¹⁴

Thus, it appears that correctional officials will need to improve their service approaches to meet the needs of the rapidly growing number of older inmates. Older offenders may need more services than younger offenders, but need less supervision. Older inmates may need more preventive medical attention, predictable and orderly conditions, physical and emotional factors, and support from families. Proposals that describe inmate needs and delivery of services are sought.

In FY 1993 NIJ requests proposals for research that will provide basic knowledge for correctional officials to deal effectively with special needs of this inmate population in prisons and jails.

Use of Intermediate Sanctions in Courts

Jurisdictions that have chosen to implement intermediate sanctions have found themselves addressing issues associated with communication between the judges who impose community sanctions and the criminal justice officials who design, implement, and manage the community corrections programs to

Notes

12. *Journal of Contemporary Criminal Justice*, 6:4 (December 1990).

13. "Trends and Patterns for Elderly Offenders." *Journal of Offender Counseling*, 13 (1989).

14. Walsh, C.E. "Aging Inmate Offenders: Another Perspective." In *Correctional Theory and Practices*, ed. Clayton A. Hartjen and Edward E. Rhine. Chicago: Nelson Hall Publishers, 1992.

which offenders are assigned. Adequately resolving the issues and facilitating communication at this critical juncture can be a key step in achieving more rational sentencing practices and more effectively meeting the goals of sentencing.

Traditionally, the courts have perceived themselves as dispensers of justice, evaluating cases through adversarial proceedings, and not as being involved in the operation of criminal sanctions. However, faced with increasing caseloads and frustrated by the lack of sentencing sanctions other than parole and probation, judicial leaders have begun to seek out and develop intermediate sanction programs. As a result, some courts have taken on a new, different role by directly administering, supervising, enforcing, and evaluating the intermediate punishments they impose. What are the effects of these changes on the criminal justice system? What is the effect on the relationship between the courts and corrections?

In FY 1993 NIJ seeks studies of local jurisdictions with innovative strategies for court involvement in the implementation and administration of intermediate sanction programs.

General Solicitations

Community Policing

Given the relative newness of the community policing movement, it is not surprising that few impact evaluations have been conducted in this area. Those that have been done have focused on a specific program or strategy currently associated with community policing such as neighborhood watch, mini-stations, aggressive patrols, and foot patrols. Accordingly, NIJ will now concentrate support for evaluations on process and implementation issues.

Although it is premature to attempt a comprehensive impact evaluation of a department's community policing program, it is appropriate to assess the impact of specific strategies that under certain circumstances might prove effective in dealing with specific types of problems. Below are examples of strategies some departments claim are effective, but for which far more evidence is needed about the nature and degree of their effectiveness. In addition, the circumstances conducive to implementing community policing strategies have been insufficiently described.

Aggressive Patrolling

What is the impact of aggressive order maintenance and enforcement patrol on crime and disorder in predominantly residential neighborhoods? What are the short- and long-term effects of this strategy? What are the consequences of employing this strategy within the context of an effort to establish a strong police-community partnership with residents of the neighborhood? What, if any, are the negative side effects of this approach? Does this approach increase or reduce conflicts between the police department and community groups?

Evaluation: 1993

Conflict Resolution

Police must cope with a variety of racial, ethnic, social, and cultural conflicts in their communities. These conflicts are played out daily in many small-scale interpersonal encounters among citizens of different groups; occasionally they escalate into major civil conflagrations. How do police departments identify, monitor, and understand the important conflicts among groups of citizens in their community? What internal and external conflict resolution resources are available to local police, and how often are they employed to prevent, regulate, and cope with these conflicting forces? What evidence is there that one type of conflict resolution technique is more effective than another?

NIJ solicits proposals that address these issues. Applicants may propose research projects that are not included in the above topics but that do address the general goals and objectives of this program area. Applicants uncertain about whether a given project idea falls within the program's scope are encouraged to consult the appropriate Program Manager.

Intensive Prosecution and Adjudication Programs

Evaluations of prosecutorial and court programs that assist the courts in coping with increased caseloads are solicited. The evaluation of expedited drug case management programs, for example, has produced promising results. NIJ has found that one such program in Philadelphia has reduced the time from arraignment to disposition from 158 to 113 days while increasing guilty pleas by 18 percent and reducing jury trials by 42 percent. The net effect on the criminal justice system has been a reduction in court backlogs and an increase in the availability of jail space by up to 400 beds per day.

For FY 1993 NIJ solicits proposals to evaluate emerging prosecutorial and court programs. For example, the idea of community-based prosecution, where district attorneys use vertical prosecution and other techniques to focus their attention on neighborhoods or communities, is emerging in a number of jurisdictions. Similarly, judges are developing community courts—that is, courtrooms located in neighborhoods where community members can participate in the administration of justice more easily. What are the impact of these types of programs on caseloads and dispositions? How do the outcomes affect the community? How do they affect the criminal justice system as a whole?

Corrections and Intermediate Sanctions

Treatment Programs for Ex-Offenders

In cooperation with the Center on Addiction and Substance Abuse (CASA) at Columbia University, NIJ is developing an integrated treatment and rehabilitation program for ex-offenders. Recent releasees from prisons and jails who have undergone some form of treatment while incarcerated will receive sustained services while on probation or parole. Community service providers will structure programs for drug treatment, employment skills development,

family and parent counseling, and health services to be offered by trained social case workers. Probation and parole officers will ensure compliance through drug testing and the use of graduated sanctions. The program will operate in multiple locations. A separate solicitation for an impact evaluation will be issued in the spring of 1993.

Intermediate Sanctions Programs

During the past decade, prison and jail populations have more than doubled, resulting in higher correctional costs, crowded facilities, and constrained inmate-programming budgets. Yet, during most of this time, Federal, State, and local criminal justice agencies have employed a number of approaches other than incarceration for dealing with adjudicated offenders. These include boot camp programs, aftercare programs designed to reduce recidivism, work release, and a variety of specialized approaches to probation.

In addition, some jurisdictions have developed educational, training, drug treatment, and other programs for inmates in custody. These programs require significant cooperative efforts among corrections, court, and prosecution and probation officials. Some may reduce the inmate population because of the reduced length of incarceration.

Evaluations of these innovative sanctions are a priority of NIJ's Evaluation Division. Process and impact evaluations are encouraged.

Criminal Justice Training Assessments

A tremendous amount of public resources is devoted to training criminal justice practitioners every year. Whenever a problem, crisis, or lawsuit occurs, the remedy of choice is nearly always training. Although training is undoubtedly necessary and beneficial, it is not always as effective as it might be.

A number of questions need to be answered in this much-ignored area of criminal justice. For example, what is the quality and preparation of trainers and training facilities? How effective are the pedagogical techniques used by trainers? Are the right people receiving training at the right time in their careers? Was the curriculum relevant to practitioner needs? Based on subsequent experience, NIJ plans to launch a long-term evaluation process in four training areas:

- Police personnel.
- Prosecutors and public defenders.
- Judges and other court staff.
- Corrections, probation, and parole officials.

NIJ solicits proposals that assess new model training programs developed for use in the basic or preliminary training in each of these areas.

General Solicitations

Science and technology programs at NIJ cut across the whole range of criminal justice issues and are aimed at providing a firm scientific foundation for the development of tools that aid the criminal justice community by improving the effectiveness of law enforcement. Any application of technology that can improve the efficiency and effectiveness of law enforcement personnel is of interest. For example, a system that could automatically identify links among criminal associations could greatly increase the ability of investigators to handle more cases by reducing the time they spend researching those links. Similarly, an inexpensive computer that could guide inexperienced investigators through the intricacies of money laundering, environmental crime, or other white-collar crime could help provide capabilities rarely available at the State and local level. Research into technologies to improve command and control of police and other emergency personnel could add greatly to their effectiveness in disasters.

The Science and Technology Division solicits research proposals that would improve the effectiveness of the criminal justice system.

Additional Research and Evaluation Topics

NIJ recognizes that applicants might want to structure and pose their own research and evaluation questions, study designs, and analysis plans for research and evaluation related to system responses to offenses, offenders, and victims. Applicants may propose research and evaluation projects that are not included in the preceding discussion but that do address the general objectives of Goal V.

If there is a question of whether a given project idea falls within the program's scope, applicants are encouraged to seek advice from the Program Manager responsible for the particular area of interest.

Application Information

Application Requirements. See page 10 for general application requirements, eligibility requirements, and selection criteria. *Proposals not conforming to these application procedures will not be considered.* In FY 1993 NIJ's Program Plan contains both general and specific solicitations. The **general solicitations** discussed under Goal V ask the applicant to describe the goals, objectives, and strategies of the proposed research within the context of NIJ's 1993 Program Plan.

Award Amount. Up to \$1.5 million may be available for research projects under Goal V. It is anticipated that this amount will support 8 to 10 awards. Up to \$600,000 may be available for evaluation projects under this goal. It is anticipated that this amount will support two to three awards. Up to \$400,000 may be available for science and technology projects under this goal. It is anticipated that this amount will support two to three awards. Actual funding allocations are based on the quality of the proposals received.

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

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

National Institute of Justice
633 Indiana Avenue NW., Room 866
Washington, DC 20531

Completed proposals must be received at the National Institute of Justice by the close of business on: Research—June 8, 1993, Evaluation—June 2, 1993, and Science and Technology—June 8, 1993. Extension of these deadlines will not be permitted.

Contact. Applicants are encouraged to contact NIJ Program Managers to discuss topic viability, data availability, or proposal content before submitting proposals. To obtain specific information on the research programs described under this goal area, potential applicants may contact:

- George Shollenberger at 202-307-2967 or Craig D. Uchida at 202-307-0141 for **Community Policing**.
- Bernard Auchter at 202-307-0154 for **Prosecution and Adjudication**.
- Voncile Gowdy at 202-307-2951 for **Intermediate Sanctions and Consequences**.
- David Hayeslip at 202-307-2962 for **Evaluating Community Policing, Evaluating Intermediate Sanctions Programs, and Evaluating Criminal Justice Training Assessments**.
- Laurie Bright at 202-616-3624 for **Evaluating Intensive Prosecution and Adjudication Programs**.
- Edwin Zedlewski at 202-307-2953 for **Evaluating Treatment Programs for Ex-Offenders**.
- Richard Laymon at 202-307-0652 for **Science and Technology**.

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Section II

Goal VI:

**Develop and Evaluate
Information for Criminal
Justice Responses to
Changing and Emerging
Crime Patterns and for
Utilization of New
Technologies**

Develop Responses to Emerging Crime Patterns

One goal of the National Institute of Justice is to develop and evaluate information to improve the criminal justice response to major changes in crime patterns and the emergence of new crime patterns. While the basic types of crime such as murder, robbery, and theft remain much the same, the forms and patterns that they take may change quite rapidly in a short period of time. The development of automated banking machines, for example, led to a new form of robbery and posed the problem of how to prevent it. The development of medicare and medicaid benefit programs introduced a new form of fraud in the sale of prostheses and prescriptions by unscrupulous services and businesses. Law enforcement and criminal justice agencies are expected to respond to these changes in patterns of crime. Yet they often lack relevant information about appropriate responses or the means to respond effectively. NIJ seeks to aid the criminal justice system in several important ways.

Among the emerging and evolving crime patterns that NIJ has identified as significant and deserving of special attention are **changes in organized and white-collar crime and patterns of illegal marketing of drugs and weapons.**

In implementing this goal, NIJ will develop and disseminate information on ways that law enforcement and criminal justice agencies are currently responding to changing crime patterns. Examples of major innovations in law enforcement and criminal justice in recent years include community policing, criminal career prosecution, sentencing guidelines, and boot camps, all of which are used in different ways in different communities and jurisdictions. Recently funded work on the nature of environmental crime, the characteristics of offenders, and current techniques for investigating and prosecuting cases also falls under this category.

New methods of crime prevention and control or the introduction of new technologies often mean that criminal justice agencies must develop new training manuals and procedures and methods of training practitioners. Accordingly, NIJ seeks to develop and evaluate new methods of practitioner training.

The Institute also seeks to develop new information systems that monitor crime patterns and criminal justice responses to them. For example, NIJ pioneered collecting information on trends in drug use among arrested offenders through its Drug Use Forecasting (DUF) program, which now monitors drug use among booked arrestees in 24 sites.

NIJ also seeks to develop and test new technologies that will prevent and more effectively control crime. The Institute, for example, has supported the development and testing of new technologies such as soft body armor to protect law enforcement officers from gunfire; has continued to investigate hair analysis as a more valid and reliable measure to detect past drug use; and has helped develop new procedures for DNA testing. NIJ supports innovative projects in the forensic sciences such as latent fingerprint, trace evidence, and weapons identification as well as the restoration and enhancement of photographic images.

NIJ is interested in adapting existing technologies to criminal justice needs. Most recently, the Institute has supported development of a computerized mapping system to pinpoint drug markets as an aid to drug enforcement in five cities. This program focuses on utilizing both hardware and software to map information on a location-specific basis to aid strategic planning and tactical enforcement.

These examples illustrate ways that NIJ is continuing to foster and extend the development of information systems and technologies and to adapt them for purposes of law enforcement and criminal justice strategic planning, tactical assignment, and administrative management of resources and personnel.

General Solicitations

In FY 1993 NIJ is particularly interested in research that addresses the following issues and concerns in the areas of white-collar and organizational crime and organized crime networks, although other proposals related to changing and emerging patterns in crime will be considered.

White-Collar and Organizational Crime: Systemic Factors in Fraud

The complexities of certain industries and regulatory systems, as well as the variety of possible offenses, pose special problems for law enforcement and prosecution. Crimes are difficult to detect, and investigations often require the coordinated efforts of technical specialists from several agencies. Prosecution is further complicated by the difficulties of identifying individual offenders. Further compounding enforcement and investigative problems is the multijurisdictional nature of offenses, which can span not only jurisdictional boundaries within countries, but are also often international in scope.

One example of particular complexity is insurance fraud. Insider fraud has been cited as a major contributing factor in many recent insurance company insolvencies, with estimates ranging from 20 percent (by A.M. Best, a leading insurer-rating organization) to 67 percent (in a 1990 report of the American Council of Life Insurance Task Force on Solvency Concerns). The complexity of the industry and its regulatory systems and the varieties of insurance fraud offenses pose special problems for law enforcement and require the coordinated efforts of technical specialists and a range of criminal justice and regulatory agencies for effective monitoring, investigation, and prosecution.

Research: 1993

Fraud and abuse in health care have also emerged as serious problems, victimizing both individuals (especially such vulnerable groups as the elderly and the poor) and government benefit programs such as medicaid and medicare. These crimes contribute greatly to the Nation's spiraling health care costs, which reached more than \$700 billion in 1992 and are expected to exceed a trillion dollars by 1995.¹ While NIJ funded research on medicaid and medicare fraud² and health care fraud in the late 1970's and early 1980's, new types of abuse have emerged in recent years; and law enforcement and regulatory strategies have also changed. Studies are needed on the nature and patterns of current offenses by health care providers and the situational factors creating opportunities for abuses.

In FY 1993 NIJ is giving priority to two white-collar and organizational crimes that are described below, although other topics will be considered. Researchers proposing work in the study of fraud should pay special attention to the systemic and organizational factors that provide opportunities for insider fraudulent behavior and to the regulatory (both government and industry) and legislative contexts in which these crimes occur. Administrative, civil, and criminal responses to offenses should also be addressed, and recommendations should be made for improved prevention and control of insider fraud in the future.

Insider Insurance Fraud

Questions to be considered include: What regulatory and industry characteristics facilitate opportunities for insider fraud? What legislative remedies, including structural changes and revised sanctioning policies, are likely to deter offenders? What regulatory practices increase the chances of preventing and detecting offenses? How can regulatory, investigative, and prosecutorial resources be better focused and coordinated?

Health Care Fraud

Issues to be addressed include: What are the nature and patterns of current offenses in health care fraud? What situational factors create opportunities for abuses? What are current legislative, regulatory, and law enforcement responses to these crimes, and how effective are they? What remedies might correct weaknesses in current industry practices and regulatory systems to prevent and detect these abuses? What innovative strategies for investigation, prosecution, and sanctioning should be proposed for demonstration and testing?

Organized Crime Networks

The existence of highly organized, complex criminal networks engaged in a wide variety of legal and illegal enterprises, both internationally and throughout the United States, seriously threatens the stable and orderly functioning of our society. For example, the size and profitability of the drug trafficking industry have motivated large-scale criminal organizations to become involved in the importation, distribution, and sale of illegal drugs and to establish sophisticated money laundering networks to conceal illicit income earned from

Notes

1. General Accounting Office. *Draft Report*. Washington, D.C.: General Accounting Office, 1992. (Quoted in Associated Press and *Baltimore Sun*.)

2. Gardiner, John, and Theodore Lyman. *Responses to Fraud and Abuse in AFDC and Medicaid Programs*. Menlo Park, California: SRI International, 1983.

See also:

Pontell, Henry, Gilbert Geis, and Paul Jesilow. "Practitioner Fraud and Abuse in Government Medical Benefit Programs." Unpublished Report, 1982.

Lange, Andrea, and Robert Bowers. *Fraud and Abuse in Government Benefit Programs*. Washington, D.C.: Government Printing Office (DOJ, LEAA, NILECJ), 1979.

these enterprises. Because of their immense profits, such high-level drug trafficking operations have virtually unlimited resources to use in evading or corrupting law enforcement. These criminal organizations are also engaged in other illegal activities such as gambling, prostitution, and extortion as well as violent crimes, including murder.

Equally damaging to the safety and security of our society is the fact that many of these criminal networks use their illegal monetary gains and coercive power to enter the legitimate economy, to corrupt public institutions and government, to dominate certain industries, and to control certain labor unions. The complex and covert nature of these activities poses special problems for regulatory and law enforcement agencies responsible for safeguarding the efficient and effective functioning of our economic and social institutions.

The dominant organized criminal networks in the past were sophisticated traditional syndicates such as Cosa Nostra families. More recently, however, the profitability of illegal drug trafficking has given rise to many new criminal networks. Many of these emerging groups are now expanding beyond drug trafficking and extortion and are becoming multi-enterprise networks.

Increasingly, the economies of individual countries are interdependent, thus creating a truly global economy. This economy is in turn accompanied by the growing internationalization of organized crime and cooperative relationships among organized criminal groups that take advantage of the profits from international markets. As one of the world's largest markets for both legal and illegal goods and services, the United States is seriously menaced by large-scale organized criminal networks. For this reason, law enforcement has placed high priority on targeting international syndicates and their operations.

NIJ seeks to expand research on these emerging groups by focusing on the various types of networks and structures, the increase in power and wealth as they expand into multiple legal and illegal enterprises that are mutually supportive, and the growing threat they pose by their national and international connections with other criminal groups in drug trafficking and other cooperative ventures.

In FY 1993 the following topics are of particular importance because they deal with organized crime problems that are of particular import to the U.S. and global economies. Research may focus on examining the possibilities for criminal involvement and the means criminal groups may use to infiltrate and corrupt legitimate industries and markets.

International Organized Crime Networks and Enterprises

Questions to be considered include: What conditions facilitate the emergence of these international organized criminal networks and enterprises? What are the characteristics of these networks and enterprises, and how are they organized? How effective are current national and international responses, including cooperative criminal justice task forces and initiatives and multinational law enforcement treaties and legislation? What types of legislative, regulatory, and criminal justice remedies might be proposed?

Science and Technology: 1993

Organized Crime Corruption of Legitimate Industry

Emerging economic and social problems and conditions create new markets and lucrative opportunities for organized crime. How do organized criminal networks infiltrate legitimate industries such as legalized gambling, specialized industries such as hazardous waste disposal, or deregulated industries? What is the extent of recent corruption in the transportation industry? Are new, increased Federal funds for mass transit and highway construction projects vulnerable to organized crime corruption and abuse? To what extent do recent disasters such as the Los Angeles riots, the Oakland fires, and Hurricane Andrew (and the subsequent huge insurance settlements) create opportunities for corrupt organized criminal enterprises?

General Solicitations

NIJ anticipates funding one or more projects in each of the following areas.

Forensic Sciences

The role of the forensic scientist is to apply scientific ideas, procedures, and technologies to find or develop new evidence for use in criminal investigations. NIJ has supported a wide range of research to uncover new evidence in fingerprints, blood, semen, DNA, trace evidence, skin and bite marks, and documents that have been forged or altered. NIJ currently supports extensive research to perfect the use of DNA testing, to develop new reagents for fingerprint identification, and to produce a new technique to identify gunshot residue patterns. Further research and development in the forensic sciences is needed, particularly in DNA testing, weapon identification, fingerprinting, and trace evidence.

Topics of interest include, but are not limited to, the following subjects.

DNA Technology Development

NIJ is interested in research that significantly advances DNA technology for use in criminal investigations. Studies might include improving the ability of the criminal justice system to obtain DNA specimens from unusual evidence sources and examining new technologies within the biotechnology field that might augment or replace the RFLP- and PCR-based approaches with a simpler, more economical, effective, and reliable method.

Latent Fingerprint Identification

Latent fingerprints remain the most frequently used evidence in criminal cases today. Several major technological advances have occurred in recent years that have revolutionized the field, but research and development are still needed to improve and assess their effectiveness. Possibilities include adapting laser technologies for highlighting fingerprints, developing applications

for cyanoacrylate (vaporized super glue), developing new reagents for highlighting and lifting the prints, and improving the efficiency and effectiveness of automatic fingerprint identification systems.

Trace Evidence Identification

Trace evidence continues to be a major source for linking suspects with crime scenes. Identification of trace substances is used to tie suspects and victims to specific crime scenes or to each other. There is a need to develop new and improved laboratory techniques and procedures to identify trace samples (for example, human and animal hair, new plastics, and rapidly emerging new chemical materials used in cloth, rugs, and furniture). Once the samples are identified, laboratories need to develop ways to scientifically link these materials to items or persons at specific scenes. The importance of research and development on trace substances has increased with the availability of computer and high-pressure liquid chromatography technologies.

Additional Research, Evaluation, and Science and Technology Topics

NIJ recognizes that applicants might want to structure and pose their own research, evaluation, or science and technology questions, study designs, and analysis plans related to changing and emerging crime patterns and the utilization of new technologies. Applicants may propose research and evaluation projects that are not included in the preceding discussion but that do address the general objectives of Goal VI.

If there is a question as to whether a given project idea falls within the program's scope, applicants are encouraged to seek advice from the Program Manager responsible for the particular area of interest.

Application Information

Application Requirements. See page 10 for general application requirements, eligibility requirements, and selection criteria. *Proposals not conforming to these application procedures will not be considered.* In FY 1993 NIJ's Program Plan contains both general and specific solicitations. The **general solicitations** discussed under Goal VI ask the applicant to describe the goals, objectives, and strategies of the proposed research within the context of NIJ's FY 1993 Program Plan.

Award Amount. Up to \$600,000 is available for research projects under this goal. NIJ anticipates that this amount will support two to three awards. Up to \$500,000 is available for science and technology projects under this goal. It is anticipated that this amount will support two to three awards. Actual funding allocations are based on the quality of the proposals received.

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

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

National Institute of Justice
633 Indiana Avenue NW., Room 866
Washington, DC 20531

Completed proposals must be received at the National Institute of Justice by the close of business on: Research—June 8, 1993, and Science and Technology—June 8, 1993. Extension of these deadlines will not be permitted.

Contact. Applicants are encouraged to contact NIJ Program Managers to discuss topic viability, data availability, or proposal content before submitting proposals. To obtain specific information on the research programs described under this goal area, prospective applicants may contact:

- Lois Mock, 202-307-0693, for **White-Collar and Organizational Crime: Systemic Factors in Fraud and Organized Crime Networks.**
- Richard Laymon, 202-307-0652, for **DNA Technology Development.**
- Richard Rau, 202-307-0648, for **Latent Fingerprint Identification and Trace Evidence Identification.**

Section III

Directed Solicitations

Directed Solicitations

In addition to the general solicitations described in Goals I through VI of this Program Plan, the National Institute of Justice seeks proposals on a number of specific topics, all of which relate to the Institute's long-range goals. Thus, for example, NIJ is requesting proposals for research on the use of hair testing to detect juvenile drug use, which falls under the general scope of Goal II; proposals for a study of the relationship between police pursuit driving and the use of excessive force, which relates to Goal I; proposals for an evaluation of Federal- and State-supported drug enforcement projects which relates to Goal VI. Descriptions of the Institute's directed solicitations are contained in this section.

Applicants are encouraged to review the relevant goal in preparing proposals in response to these directed solicitations and are further encouraged to contact NIJ Program Managers to discuss topic viability, data availability, and proposal content before submitting proposals. The name, address, and telephone number of the appropriate Program Manager can be found at the end of each directed solicitation. Program Managers are also identified by interest area in Goals I through VI.

Police Pursuit Driving and the Use of Excessive Force

This solicitation requests proposals for a research study to explore the relationship between police pursuit driving and use of excessive force and to identify how pursuit policy and internal police department controls affect pursuit behavior.

Background

For at least 30 years, policymakers, law enforcement personnel, members of the community, and researchers have been concerned about the serious injuries and loss of life that result from police pursuits. However, little research has been conducted, and most of what is known comes from fairly recent studies. Additional research is needed to inform legally sound policy and to develop procedures that weigh the benefits of apprehending criminals against the risks of pursuit driving.

It is estimated that 50,000 police pursuits occur annually. In 1990 approximately 20,000 pursuits resulted in injury, and 314 persons died as a result of police pursuits.¹ Some researchers suggest that injuries and fatalities have been underestimated because of the measurement problems associated with data collection techniques. One fairly consistent finding from studies that examine pursuit initiation and outcome variables is that approximately 70 percent of pursuits result in arrests, but only a small percentage are initiated in response to felony crimes. However, these studies have not examined the use of excessive force as an outcome of police pursuits.

On a continuum of police force, pursuit chases have been linked with deadly force more frequently than with excessive force, leading some researchers to view the police vehicle as a potentially lethal weapon. Although police abuse of citizens has been alleged following high-speed chases, the relative frequency of such incidents is not known because it has not been systematically assessed in research protocols.

High-profile incidents such as the 1991 beating of Rodney King in Los Angeles and the 1980 killing of Alfred McDuffie in Miami highlight issues regarding allegations of excessive use of force, as do studies that question the reliability of outcome measures, because some injuries reported as accidents may have actually occurred after the pursuit. Further questions derive from an examination of communications conducted by the Independent Commission To Study the Los Angeles Police Department. The Commission's analysis of randomly selected radio transmissions led it to conclude that for some officers a pursuit may represent an opportunity for violence against fleeing offenders.²

Currently, the absence of a multijurisdictional information base that takes into account variability of department size, location, and type of policing precludes accurate estimates of pursuit outcomes, particularly the frequency and severity of excessive force that may follow police pursuits. There is no national statistical reporting of pursuits, and the incidence and prevalence of police actions—beyond arrest—is not consistently documented. More information is needed about use of excessive force as an outcome of police pursuits and about how police policy affects pursuit behavior.

The National Institute of Justice seeks to continue its examination of the factors that contribute to police use of excessive force. Previous NIJ research assessed the nature, extent, and measures to control of use of force by the Nation's police officers. A potential correlate of use of force is police pursuit driving, but little is known about this relationship. Several questions need attention:

- To what extent do police pursuits culminate in the use of excessive force?
- How do variations in restrictions governing police pursuit affect pursuit behavior?
- How can the effectiveness of pursuit policies and officer actions, both during and after pursuits, best be measured?

***This solicitation
relates to Goal I:
Reduce Violent
Crimes and Their
Consequences***

Notes

1. Charles, M.T., D.N. Falcone, and E. Wells. *Police Pursuit in Pursuit of Policy: The Pursuit Issue, Legal and Literature Review, and an Empirical Study*. Washington, D.C.: AAA Foundation for Traffic Safety, 1992.

2. *Report of the Independent Commission on the Los Angeles Police Department*, 1991.

Because pursuits can be emotionally laden, more information is also needed on the attitudes of police officers, the decisionmaking processes they use, the actions they take to evaluate risks both during and after pursuits, and the best way to capture these data.

Because the same methodological problems that have limited the development of reliable data on police pursuits will also apply in this line of research, different data collection and measurement techniques need to be explored. Researchers need to develop reliable empirical data that can assist police practitioners in determining the parameters of acceptable risk decisions.

Based on an analysis of departments with recently adopted restrictive pursuit policies, a 1990 NIJ study recommended that the major elements in a police pursuit policy include such conditions as when pursuits should be authorized, how they can be conducted safely, who should have the decisionmaking authority to initiate and terminate pursuits, and what guidelines should be applied in making these decisions. This type of research needs to be extended to inform policies that balance risk to public safety against effective police work, that can be supported by training and supervisory controls, and that strengthen police accountability and conformity with State statutes.

Goals

- To develop a better understanding of the problem of pursuit driving and use of excessive force.
- To communicate information to policymakers about practices and strategies that may restrict unnecessary pursuits and use of force.
- To develop a research agenda that identifies basic questions for future research.

Objectives

- Collect information on the extent to which police pursuits culminate in the use of excessive force.
- Identify variations in the restrictiveness of police pursuit policies and procedures and determine their effect on pursuit behavior.
- Determine how best to measure the effectiveness of pursuit policies and officer actions during and after pursuits.
- Produce for publication a report on police pursuit and excessive force that will assist policymakers and police professionals.

Program Strategy

Collect information on the extent to which police pursuits culminate in the use of excessive force.

The applicant should design a pilot study of the prevalence of pursuits resulting in the use of excessive force. Cross-site comparisons should be considered. The proposal should specify how the applicant plans to collect and

analyze data from police departments to assess if police pursuits are a correlate of excessive force. The field research strategy should include a sampling plan, an outline of the data collection instruments and procedures, and a plan for analysis of the data.

Formal data collection techniques and measurement instruments should be specified. These may include convening a panel of experts to explore the dimensions of the problem, conducting focus group sessions with police officers and administrators on strategies to balance good police work with safety concerns, and discussing measurement issues with experts, particularly if new instruments will be developed for the project. It is highly recommended that data from police officers be included because previous research has demonstrated that police officers and administrators respond differently to the same questions.

Because of the sensitivity of the information, the proposal must offer evidence from the selected site showing its intention to participate in all facets of the study.

Identify variations in the restrictiveness of police pursuit policies and procedures and determine their effect on pursuit behavior.

The proposal should specify how the relationship of policy, pursuit, and the use of force may be examined and describe the methods that may be used to identify variations in pursuit policies. The applicant is expected to formulate a strategy for identifying departments that have implemented risk assessment decision frameworks and that have developed promising policies. Of particular interest are departments that have reduced the number of excessive force complaints.

Determine how best to measure the effectiveness of pursuit policies and officer actions during and after pursuits.

The proposal should show knowledge of fundamental problems with current measurement methodology and identify measurement instruments that reliably assess the effectiveness of pursuit policies. Of particular interest are measurement approaches, both quantitative and qualitative, that will produce empirical knowledge with direct practical utility to police practitioners.

The applicant will be expected to determine the fundamental measurement issues that require immediate attention, identify measurement issues that need further study, and formulate research questions that address these issues.

Produce for publication a report on police pursuit and excessive force that will assist policymakers and police professionals.

In addition to interim reports throughout the project, the grantee must produce a final report for possible NIJ publication that can be distributed to professionals and researchers. The report should discuss the dimensions of the problem of pursuit driving and excessive force, describe alternatives to help police professionals better manage the problem, and present a concrete research agenda that identifies specific questions for future study. The report should demonstrate how the pilot study findings may relate to recommendations for improving police pursuits and reducing excessive force.

The program strategy outlined in this solicitation is the suggested method for conducting a project that will meet the goals of both the solicitation and the broader program area. NIJ will consider other strategies that address the goals of the solicitation if the applicant can fully justify the proposed alternative strategy in the proposal.

Application Information

Application Requirements. See page 10 for application procedures, eligibility requirements, and selection criteria. *Proposals not conforming to these application procedures will not be considered.*

Award Requirements. See page 14 for requirements for award recipients, including products, standards of performance, and monitoring.

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

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

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

Police Pursuit Driving
and Use of Excessive Force
National Institute of Justice
633 Indiana Avenue NW., Room 866
Washington, DC 20531

Completed proposals must be received at the National Institute of Justice by the close of business on June 3, 1993. This deadline will not be extended.

Contact. Applicants are strongly encouraged to contact NIJ to discuss topic viability, data availability, or proposal content before submitting proposals. To obtain specific information, prospective applicants may contact George Shollenberger, Program Manager, at 202-307-2967.

Consequences of Child Victimization

This solicitation, which responds to a directive from Congress, requests proposals for research on the relationship between child victimization and the development and continuation later in life of drug abuse and other emotional and behavioral problems.

Background

A study in a medium-sized metropolitan area in the Midwest concluded that being abused or neglected during childhood increased the likelihood of the subsequent arrest of the victimized individual. The likelihood increased 53 percent among juveniles and 38 percent among adults. Those victimized during childhood were also more likely than those who were not (by 38 percent) to be arrested subsequently for violent crime.³ These findings from a recent study by the National Institute of Justice confirmed those of earlier retrospective studies of juvenile delinquents that consistently found that "these youths experienced maltreatment at rates much higher than the general population."⁴

The NIJ study that identified the cycle of violence also uncovered outcomes other than crime and delinquency. Preliminary findings of the study's second phase, which is based on followup interviews with the subjects, indicate manifestation of long-term consequences such as depression, suicide attempts, educational problems, alcohol and drug problems, and employment difficulties.

These findings about other consequences of childhood abuse also confirm earlier research indicating that depression, anxiety, fear, sexual disturbance or dysfunction, suicidal ideas and behavior, anger and hostility, low self-esteem, substance abuse, and a tendency toward revictimization are among the short- and long-term problems that can be traced to abuse and neglect in childhood.⁵ One of the studies suggests the gravity of the problem by concluding that despite the need for more research, it is safe to say that "untreated trauma arising from abuse in childhood constitutes a major risk factor for a variety of mental health and social problems later in life."⁶

In its report on appropriations for the Department of Justice and several other Federal agencies for FY 1993, the U.S. Senate Committee on Appropriations acknowledged the body of research on child abuse and neglect and indicated its interest in further research:

The Committee is concerned about the escalating level of violence against children in our country. Recent studies indicate that sexual and physical victimization affects a large proportion of American children and is associated with the development and maintenance of drug abuse and other emotional and behavioral problems. Unfortunately, while research points to the general relationship between victimization and drug abuse among children, the specific nature of this relationship is unknown, as are effective interventions that can break this dysfunctional cycle.⁷

Goal

■ To produce research results and recommendations that will lead to the development of more effective policies and programs designed to reduce the level of child victimization in our society.

Notes

3. Widom, Cathy S. *The Cycle of Violence*. Research in Brief. Washington, D.C.: U.S. Department of Justice, National Institute of Justice, October 1992.

4. A synthesis of earlier research is presented in National Committee for Prevention of Child Abuse. *Child Abuse: Prelude to Delinquency?* Washington, D.C.: U.S. Department of Justice, Office of Juvenile Justice and Delinquency Prevention, September 1986.

5. See Beitchman, Joseph H., et al. "A Review of the Long-Term Effects of Child Sexual Abuse." In *Child Abuse Trauma: Theory and Treatment of the Lasting Effects*. Newbury Park, California: Sage Publications, Inc., 1992.

See also:

Crowin, David L. "Sexually Abused Children's Symptoms and Disorders of Extreme Stress Not Otherwise Specified: Does This Proposed Psychiatric Diagnosis Fit?" In *Child Trauma I: Issues and Research*, ed. Ann Burgess Wolbert. New York: Garland Publishing, Inc., 1992.

Finkelhor, David. *A Sourcebook on Child Sexual Abuse*. Newbury Park, California: Sage Publications, Inc., 1986.

Greven, Philip. *Spare the Child*. New York: Vintage Books, 1992.

6. Briere, John N. *Child Abuse Trauma: Theory and Treatment of the Lasting Effects*. Newbury Park, California: Sage Publications, Inc., 1992.

7. S. Rep. No. 1920331, 102d Congress 2d Sess. (July 25, 1992). Report on Public Law 102-395 (October 6, 1992).

See also Conf. Rep. No. 102-918, 102d Congress 2d Sess. (September 28, 1992). Report on Public Law 102-395 (October 6, 1992), Department of Justice Appropriations Act for FY 1993.

Objectives

- Review and synthesize the research literature on the relationship between child victimization and the development and maintenance of drug abuse and other emotional and behavioral problems.
- Design and conduct a major research project focusing on the relationship between victimization during childhood and the development and maintenance of drug abuse and other emotional and behavioral problems.
- Prepare a comprehensive report and policy-oriented summaries on both the results and the implications of the project for publication by the National Institute of Justice.

***This solicitation
relates to Goal II:
Reduce Drug-
Related Crimes***

Program Strategy

Review and synthesize the research literature on the relationship between child victimization and the development and maintenance of drug abuse and other emotional and behavioral problems.

The applicant should outline a strategy to conduct a critical, state-of-the-art review and synthesis of the relevant literature. The review and synthesis should be drawn from a variety of disciplines, and the product should be a report, produced in the first phase of the project, for possible NIJ publication. The audience for this publication will be professionals working in the justice system as well as in mental health and social service fields. This initial effort should be ongoing and guide the substantive work of the rest of the project.

Design and conduct a major research project focusing on the relationship between victimization during childhood and the development and maintenance of drug abuse and other emotional and behavioral problems.

The applicant should provide the specific research strategy for addressing the stated program goal, a detailed rationale for the proposed research strategy, and a detailed presentation of the various elements of the proposed research design. Prospective research designs are especially encouraged.

The proposed research strategy will be assessed by a panel of experts who will determine its potential to achieve the stated goal. Guided by criteria of efficiency and effectiveness, the panel will also provide direction to the selected applicant for proposal revisions. NIJ will be involved in the project on an ongoing basis and will integrate it into the broader program area.

Prepare a comprehensive report and policy-oriented summaries on both the results and the implications of the project for publication by the National Institute of Justice.

The grantee will produce a final report and policy-oriented summaries directed to professionals and researchers. The reports will include recommendations on developing intervention demonstrations and will be aimed at criminal justice practitioners, mental health workers, social service providers, and other professional groups.

Application Information

Application Requirements. As stated in Senate Report No. 102-331 mentioned above:

The Committee [on Appropriations] directs the National Institute of Justice to provide a \$900,000 grant to a university-based crime victims center to conduct a 2-year national study examining the prevalence, nature, effects, and relationship of childhood criminal victimization to drug abuse. The recipient center should have specific expertise and experience that include:

- (1) conducting large-scale epidemiological research on the criminal victimization of children and adults and its mental health impact,
- (2) training professionals in the implementation of effective mental health interventions with child and adult crime victims,
- (3) delivering mental health services to child and adult crime victims, and
- (4) consulting with policymakers and program administrators about how best to provide services to child and adult crime victims.⁸

Respondents should explain in detail how they meet these eligibility requirements. See page 10 for application procedures and selection criteria. ***Proposals not conforming to these application procedures will not be considered.***

Award Period. The award period for this project will be 24 months.

Award Amount. The award amount for the first phase of this project in FY 1993 will be up to \$450,000. The total grant amount for the entire project including FY 1994 will be up to \$900,000.

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

Child Abuse Research Program
National Institute of Justice
633 Indiana Avenue NW., Room 866
Washington, DC 20531

Completed proposals must be received by the National Institute of Justice by the close of business on June 2, 1993. This deadline will not be extended.

Contact. Applicants are strongly encouraged to contact the Institute to discuss topic viability, data availability, or proposal content before submitting proposals. To obtain specific information, prospective applicants may contact Bernard Auchter, Program Manager, 202-307-0154.

Use of Hair Testing To Detect Juvenile Drug Use

This solicitation requests proposals to utilize hair analysis to measure the extent of illicit drug use among juveniles detained for criminal and status offenses.

Notes

8. S. Rep. No. 1920331, 102d Congress 2d Sess. (July 23, 1992). Report on Public Law 102-395 (October 6, 1992).

Background

Current knowledge of the extent of drug use among juvenile populations has been largely derived from self-reports⁹ and, for juvenile offenders, from urine testing.¹⁰ The inherent limitations of both methods may have produced underestimates of juvenile drug use, at least for those juveniles at risk of becoming offenders. Self-reports from offender populations are particularly inaccurate,¹¹ by comparison, urine tests are highly accurate, but detect use only within the previous day or two for most of the commonly abused drugs.¹²

Hair analysis has the potential to provide additional information since it can detect drug use over much longer periods of time and is limited only by the length of hair available for testing: a segment of hair 1.3 centimeters long contains approximately one month's worth of drug use information. Furthermore, by comparing concentration levels in individual segments of hair for specific substances, a picture of periodic drug consumption can be constructed—an important consideration when attempting to distinguish between habitual and infrequent users.

The potential of hair analysis in measuring drug use among adults has been established. In a study of 256 adult males arrested in Pinellas County, Florida, only 11.2 percent admitted having used cocaine in the preceding 30 days. Urine tests revealed that almost twice as many, 20.4 percent, had actually used cocaine within the preceding 2 days. However, the results of hair analysis, with its wider window of detection, revealed that 46.5 percent had used cocaine within the preceding 30 days.¹³

The most recent Drug Use Forecasting (DUF) urinalysis data for juveniles, from 10 sites in the last quarter of 1991, showed that 5 percent to 36 percent had recently used drugs.¹⁴ This figure would probably be higher if hair analysis results were available. To date, however, only one study of juvenile drug use utilizing hair analysis has been completed.

A recent NIJ study of hair testing of juveniles in Cleveland demonstrated the importance of gaining a longer historical record of drug use. Of 88 juvenile offenders tested for cocaine use, 7 (8 percent) had positive **urine test results**, but 50 (56.8 percent) tested positive by **hair analysis**. Only six (7.4 percent) reported that they had ever used cocaine. For the Cleveland sample, the period of detection measured by hair analysis extended from approximately 3 months prior to the sample collection. In the 2-year period prior to the study, 15.3 percent of 800 juvenile arrestees who provided urine specimens in Cleveland tested positive for cocaine.¹⁵

Goals

- To collect data on drug use among juvenile populations, both criminal and status offenders.
- To collect information on the differences among three methods of detecting drug use among juvenile populations: self-report, urinalysis, and hair analysis.

Notes

9. Johnston, L.D., P.M. O'Malley, and J.G. Bachman. "Drug Use Among American High School Seniors, College Students, and Young Adults, 1975-1990." *National Household Survey on Drug Abuse*. Rockville, Maryland: U.S. Department of Health and Human Services, 1991.

10. National Institute of Justice. *Drug Use Forecasting: Fourth Quarter 1991*. Research in Brief. Washington, D.C.: U.S. Department of Justice, National Institute of Justice, March 1993.

11. Weisheit, Ralph A. *Drugs, Crime, and the Criminal Justice System*. Cincinnati, Ohio: Anderson Publishing Company, 1990.

12. Visher, Christy A. *A Comparison of Urinalysis Technologies for Drug Testing in Criminal Justice*. Research in Brief. Washington, D.C.: U.S. Department of Justice, National Institute of Justice, June 1991.

13. Mieczkowski, Tom, Harvey T. Landress, Richard Newel, and Shirley D. Coletti. "The Concordance of Drug Use Indicators: Urine, Hair, and Self-Report in an Arrestee Population." Unpublished Report, 90-IJ-CX-0023, 1991.

14. National Institute of Justice. *Drug Use Forecasting: Fourth Quarter 1991*.

15. Feucht, Thomas E., Richard C. Stephens, and Michael L. Walker. 1992. "Drug Use Among Juvenile Arrestees: A Comparison of Self-Report, Urinalysis, and Hair Assay." Unpublished Report, 91-IJ-CX-0014, 1992.

Objectives

- Collect self-reports, urine samples, and hair specimens from juveniles in one site.
- Measure the differences among self-reports, urinalysis, and hair analysis detecting use of specific drugs.
- Prepare a report of the findings for publication by the National Institute of Justice.
- Develop recommendations for further research in the utility of urinalysis, hair analysis, and self-reports in measuring juvenile drug use.

Program Strategy

NIJ seeks to award a single grant or cooperative agreement to collect and analyze data from one site that affords a broad spectrum of juvenile subjects, including status offenders, in numbers sufficient to conduct statistical analyses.

Applicants are advised that the drugs of investigation must include marijuana, opiates, and cocaine. All urine and hair specimens will be analyzed at a single laboratory selected by NIJ; urine specimens will be analyzed by EMIT™, hair specimens by RIAH.

Collect self-reports, urine samples, and hair specimens from juveniles in one site.

Applicants responding to this solicitation should describe the intended data collection methodology. Applicants are encouraged to choose a site that has a diverse drug problem. Sites that have readily available information about the drug use of juvenile populations, such as the Drug Use Forecasting sites that test juveniles, may be particularly appropriate for this research. The following information should be provided for the site chosen for the proposal:

- Expected number of juveniles available to be tested, both male and female.
- Legal definition of minor in the jurisdiction.
- Description of local juvenile processing, particularly arrest and detention policies such as precinct release or other practices that affect the characteristics or result in systematic bias in the population to be tested.
- Data on juvenile offenses or behavior that result in juvenile detention. **Status offenders must be included in the population to be tested.**
- Information on parental consent or State or local legal requirements relevant to interviewing and testing of juveniles.
- Letters from site officials agreeing to participate in this study.
- Procedures to be used to ensure anonymity of participants or to comply with human subjects' requirements. (See Section I, Requirements for Award Recipients.)

***This solicitation
relates to Goal II:
Reduce Drug-
Related Crimes***

Applicants are requested to include drafts of their self-report instrument in their proposal.

Measure the differences among self-reports, urinalysis, and hair analysis in detecting use of specific drugs.

Submitted proposals should include a discussion of how the data will be analyzed and how the three methods will be compared.

Prepare a report of the findings for publication by the National Institute of Justice.

The final report should contain discussions of: (1) project design and data collection methodology; (2) the incidence of drug use among the three juvenile populations; and (3) a comparison of the capabilities and limitation of self-reports, urinalysis, and hair analysis in detecting drug use. The report should be written for criminal justice practitioners and policymakers.

Develop recommendations for further research in the utility of urinalysis, hair analysis, and self-reports in measuring juvenile drug use.

In addition to the final report, and under separate cover, the recipient of this award will prepare a concept or discussion paper on future directions for research into juvenile drug use using self-reports, urinalysis, and hair analysis.

The objective listed above shall be completed within 18 months following award.

Application Information

Application Requirements. See page 10 for application procedures, eligibility requirements, and selection criteria. *Proposals not conforming to these application procedures will not be considered.*

Award Requirements. See page 14 for requirements for award recipients, including products, standards of performance, and monitoring.

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

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

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

Use of Hair Testing To Detect Juvenile Drug Use
National Institute of Justice
633 Indiana Avenue NW., Room 866
Washington, DC 20531

Completed proposals must be received at the National Institute of Justice by the close of business on June 3, 1993. This deadline will not be extended.

Contact. Applicants are strongly encouraged to contact the Institute to discuss topic viability, data availability, or proposal content before submitting proposals. To obtain specific information, prospective applicants may contact John Spevacek, Program Manager, 202-307-0466.

Program Development Assessments

This solicitation seeks to find new, innovative programs in the criminal justice field and enable researchers and practitioners to explore possibilities in evaluation.

Background

Program Development Assessments (PDA's) are formative studies that draw on knowledge from many sources to develop promising anti-drug approaches. PDA's seek insight into the strengths and weaknesses of existing solutions and conceive of new ways to use existing resources to reduce violence and drug-related crime. Short-term projects lasting 6 to 9 months, PDA's examine issues in a variety of programs and extrapolate from past experience to inform program formulation.

The final report should recommend how the objectives under study might better be achieved through new approaches or modifications of existing practices. The report should clearly articulate the need under study, the potential value of new approaches, and the steps needed to implement these approaches.

PDA's normally require evidence derived from currently available data. Grantees are encouraged to explore a variety of practices within their scope of study and acquire data on effectiveness, efficiency, equity, and accountability. The information should be used to propose new concepts and program initiatives.

Goals

- To find innovative programs for evaluation purposes.
- To develop innovative programs from existing knowledge.

Objectives

- Critically assess the merits of a specific program within the scope of the goals discussed in the FY 1993 Program Plan.
- Assess the likelihood of success if the program were to be evaluated rigorously.
- Make recommendations for future research and program needs.

Program Strategy

Critically assess the merits of a specific program within the scope of the goals discussed in the FY 1993 Program Plan.

***This solicitation
relates to Goal VI:
Emerging Crime
Patterns***

Topic areas of interest are suggested below. However, because the questions are far ranging and do not exhaust the important issues in each area, applicants should propose a research plan that addresses a limited, feasible subset of the questions posed. The National Institute of Justice will consider multiple assessments within each topic area.

Drug Enforcement

What types of offenders are conventional police practices most (and least) effective against in terms of both community safety and subsequent prosecution? What are the comparative benefits of police strategies that target individual offenders, special groups of offenders (such as juveniles or casual drug users), or drug trafficking locations? How can police best mobilize community resources? What nonarrest activities, including cooperative efforts with community offices such as schools or housing, zoning, and health agencies, will produce the greatest benefits?

Graduated Sanctions

Corrections practitioners have been concerned about the ability of an essentially one-option system—revocation and imprisonment—to satisfy the diverse needs for offender supervision and control. Many systems have added new practices such as fines, drug testing, house arrest, short jail terms, and halfway houses to their inventory of ways to control probation and parole conduct. Some jurisdictions have adopted policies that dictate how and when persons under community supervision should move from one level of supervision to another. NIJ is soliciting an assessment of existing graduated sanctions for community supervision. Some of the questions that need to be addressed are given below.

What types of sanctions do probation and parole systems now use in lieu of revocation to prison, and how frequently are the sanctions applied? What are the primary motivations for using these options? Are there written guidelines for applying the sanctions? Are the sanctions applied in progressive severity? Have judges endorsed the sanctions and cooperated in their use? What problems have been encountered in the use of alternative sanctions?

Monitoring drug offenders

What policies should officials pursue to minimize the risks of offenders in the community and maximize compliance with the conditions of release? How should pretrial and corrections officials interact with the courts to ensure that credible deterrents to violations exist? What kinds of offender supervision—including all ranges of surveillance and services—mitigate against future criminal activity? Do technical violations indicate criminal activity, and if so, how should they be used by criminal justice officials?

Because Program Development Assessments are exploratory research projects, the methods they employ depend on the topic chosen and the opportunities

available for obtaining data on relevant programs. Data collection efforts should be limited to field research during site visits and existing program data.

Assess the likelihood of success if the program were to be evaluated rigorously.

All Program Development Assessments must include a clear description of the underlying theoretical model of how a particular program should work. This should be accompanied by a review of the relevant supporting research and program literature.

Make recommendations for future research and program needs.

What are the implications of the current state of knowledge for future research and program development? What issues should be given priority? What types of evaluations are needed? What methods seem most promising? What populations need to be studied?

Application Information

Application Requirements. NIJ awards grants to or enters into cooperative agreements with educational institutions, nonprofit organizations, public agencies, individuals, and profitmaking organizations that are willing to waive their fees. See page 10 for application procedures and selection criteria. ***Proposals not conforming to these application procedures will not be considered.***

Award Period. This grant or cooperative agreement may not exceed 12 months.

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

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

Program Development Assessments
National Institute of Justice
633 Indiana Avenue NW., Room 866
Washington, DC 20531

Completed proposals must be received by the National Institute of Justice by the close of business on June 2, 1993. This deadline will not be extended.

Contact. Applicants are strongly encouraged to contact the Program Manager to discuss topic viability, data availability, or proposal content before submitting proposals. To obtain specific information, prospective applicants may contact Laurie Bright, Program Manager, at 202-616-3624.

State Evaluation Capacity Building

Federal and State Drug Enforcement and Violence Reduction Projects

This solicitation relates to Goal VI: Emerging Crime Patterns

This solicitation requests proposals to conduct evaluations of Federal- and State-supported drug enforcement and violence reduction projects. The solicitation is intended to strengthen the evaluation capacity of State criminal justice agencies, provide an incentive to complete the evaluation component required by section 501(c) of the Anti-Drug Abuse Act of 1988, and create a series of evaluation findings about State-level programs for dissemination.

Background

Created under the Anti-Drug Abuse Act of 1988, the Federal drug control and system improvement grant program provides Federal aid to State and local drug control programs. Section 501(c) of the act states:

Each program funded under this section shall contain an evaluation component developed pursuant to guidelines established by the National Institute of Justice (NIJ), in consultation with the Bureau of Justice Assistance (BJA).

In addition, section 520 of the act states:

The National Institute of Justice shall conduct a reasonable number of comprehensive evaluations of programs funded under section 506 (formula grants) and section 522 (discretionary grants) of this part.

Under this act, evaluations are to provide information to Federal, State, and local governments on the following topics:

- New and innovative approaches to drug and crime control.
- Costs of the program compared to similar programs.
- Potential for replication in other jurisdictions.
- Public awareness of and community involvement in the program.

Although these mandates apply to State programs funded by the Federal Government, NIJ is interested in State-funded programs as well.

To address these mandates and to learn about State programs, the National Institute of Justice has undertaken several steps to improve evaluation capacity in the States. With the assistance of BJA, NIJ has conducted a needs assessment in several States. Interviews with State administrators and evaluators documented their experience with program evaluations and revealed expectations about the process. In addition, panel discussions at NIJ's 1992 National Drug Evaluation Conference and a focus meeting with State criminal justice planning agencies emphasized the uses of evaluation findings.

The needs assessment revealed that States differed in their ability to conduct evaluations, their commitment to the evaluation process, and their use of

evaluation data. In addition, problems often arose because staff and other resources allocated for program evaluation were severely limited. As a result, interest in, accuracy of, and potential uses of evaluation findings were negatively affected.

Recently a two-stage review of the program planning process found that States wanted BJA to "provide relevant research and evaluation results [and] specific suggestions for the project and evaluation design...."¹⁶ The review points out that "some of the program's most important goals—coordination, planning, learning 'what works'..." are not being accomplished because of information management problems.

As the agency responsible for evaluation of criminal justice and law enforcement-related research and development, NIJ is developing this program, which includes a series of coordinated State-based evaluations, NIJ technical assistance to State and local agencies in the evaluation process, and a coordinated approach to State and local evaluation efforts.

This solicitation is limited to **State criminal justice agencies** that plan to conduct evaluations of drug and violence reduction projects supported either by BJA or a State. Applicants should note that evaluations of projects developed without Federal support are encouraged.

Goals

- To develop State and local evaluation capacities that can be sustained.
- To help State and local criminal justice agencies conduct process and impact evaluations of their programs.
- To incorporate the findings of national and State evaluations into State-level planning efforts.
- To improve drug and violence control efforts by sharing lessons learned from the evaluation experience.

Objectives

- Work closely with the NIJ technical assistance team to develop the capacity of State agencies to engage in process and impact evaluations of programs.
- Integrate agencies' evaluation personnel into the broader organizational effort to plan for drug and violence reduction programs.
- Document agencies' organization and process for using evaluation results for planning.
- Work with NIJ's technical assistance staff to formulate lessons learned from the pilot evaluation project and improve planning by incorporating evaluation results.

Notes

16. Dunworth, Terence, and Aaron Saiger. *Guidelines for State Monitoring Under the Drug Control Formula Grant Program*. Washington, D.C.: U.S. Department of Justice, National Institute of Justice, June 1992.

Program Strategy

Work closely with the NIJ technical assistance team to develop the capacity of State agencies to engage in process and impact evaluations of programs.

The applicant should be a State planning agency with the potential to successfully implement evaluation projects of its programs. NIJ will provide up to \$50,000 that can be used with State funds or in-kind support to complete State-level evaluation projects of drug and violence reduction programs. The applicant should provide detailed information about the source and expectations for the State funds or in-kind support. NIJ suggests that funds from the block grant program be used, as required by section 501(c), if the project to be evaluated is federally funded.

When the grant is awarded to the agency, NIJ will provide technical assistance to the grantee to help determine which programs to evaluate and what research methods to use. For example, the NIJ technical assistance team could determine the feasibility of a particular type of research design, assist with the development of the data collection instruments, and conduct periodic site visits to assist with issues throughout the project.

The applicant's proposal should clearly describe the resources of the department and the personnel who will work with the NIJ technical assistance team and who will directly oversee the project. It is recommended that applicants involve a key member of the policymaking divisions in developing the proposal.

Integrate agencies' evaluation personnel into the broader organizational effort to plan for drug and violence reduction programs.

NIJ is seeking to integrate the findings of evaluations into the planning of Federal, State, and local drug and violence reduction programs. Therefore, the evaluation unit should work closely with planning and policy decisionmakers in creating and evaluating programs.

The proposal should fully explain the current organizational layout of the agency and planning and operational processes. The proposal should demonstrate how coordination and cooperation will be accomplished in integrating evaluation findings into State strategic plans and, if changes must be made, should provide specific plans, actions, and timelines.

Document agencies' organization and process for using evaluation results for planning.

The State agency must ensure that the organization and process of the project's efforts are fully documented. This documentation will become part of the final report to NIJ. In addition, throughout the project NIJ will coordinate a cross-site analysis for all sites to use in planning. Interim reports will be required; the final report will be derived from these interim reports.

The reports should describe the following elements in detail:

- The process undertaken to conduct the evaluation.
- The organization and staffing of the project.

- The methodology and findings of the evaluation.
- The integration process.
- The lessons learned about integrating evaluation findings into programs.

Work with NIJ's technical assistance staff to formulate lessons learned from the pilot evaluation project and improve planning by incorporating evaluation results.

NIJ will provide technical assistance to support the State planning agency in developing products for dissemination. The reports, which may be published by NIJ, should include the following:

- A detailed description of the findings of the evaluation of the program.
- A discussion of lessons learned such as what is working, what is not, and how that information can be used.
- An assessment of how the agency's evaluation capacity was enhanced and integrated into the planning process.
- Questions for future research and evaluation.

Additional proposed products should be described and audiences for the products defined.

Application Information

Application Requirements. At a minimum, the grant application should include the following elements:

- Statement of organizational capabilities.
- Suggested areas for evaluation.
- Staff qualifications for conducting research and evaluations.
- Existing capacity to conduct evaluations, including a description of data analysis capabilities.

See page 10 for application procedures, other eligibility requirements, and selection criteria. ***Proposals not conforming to these application procedures will not be considered.***

Award Requirements. See page 14 for requirements for award recipients, including products, standards of performance, and monitoring.

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

Award Amount. Multiple awards up to \$50,000 each are available; matching funds or in-kind support are strongly encouraged. NIJ encourages applicants to develop a reasonable budget that will adequately cover the costs of the proposed project.

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

State Evaluation Capacity Building
National Institute of Justice
633 Indiana Avenue NW., Room 866
Washington, DC 20531

Completed proposals must be received at the National Institute of Justice by the close of business on June 3, 1993. This deadline will not be extended.

Contact. Applicants are strongly encouraged to contact NIJ to discuss topic viability, data availability, or proposal content before submitting proposals. To obtain specific information, potential applicants may contact Shellie Solomon, Program Manager, at 202-307-2955.

*This solicitation
relates to Goal VI:
Emerging Crime
Patterns*

DNA Testing Statutory and Case Review Program

Purpose

The purpose of this solicitation is to review Federal, State, and local statutes and cases that address DNA testing, including statutes or cases dealing with standards for DNA testing, and to examine the development and operation of DNA data bases.

Background

The value of DNA testing as a criminal justice tool is considerable. When accepted by the courts, DNA testing evidence can have a decisive impact in criminal prosecutions, establishing identification with a certainty similar to that of fingerprint evidence. Since its first use in a British murder prosecution in 1987, DNA profile evidence has been used in 45 States and 15 foreign countries, according to a survey by the Office of Technology Assessment (OTA).

However, some courts have been reluctant to accept DNA testing evidence. Whenever a new form of physical evidence is introduced, courts require extensive hearings to establish its relevance and validity. In the case of DNA testing evidence, issues raised include: (1) assurance that the DNA profiling was properly performed; (2) evidence of acceptance of the DNA profiling methodology by the scientific community; and (3) general agreement among the scientific community on the statistical procedures for assessing the probability of DNA profiles from different samples matching.

Separate studies by OTA and by the National Academy of Sciences (NAS), supported in part by NIJ, concluded that DNA testing was a valid scientific tool.¹⁷ Both studies recommended development of DNA testing standards to achieve the reliability required by the courts. Although neither study resolved questions within the scientific community concerning an acceptable statistical procedure for assessing match probability, the NAS report did recommend that a ceiling for computing these probabilities be established.

The potential value of DNA testing as an identification tool in criminal prosecutions raises two other significant issues: the question of privacy if DNA data bases were to be developed and maintained by law enforcement, and the possibility of an error in a DNA test resulting in the conviction of an innocent person.

The possibility that an innocent person might be convicted of a crime because of the failure of a laboratory to follow reliable procedures in DNA profiling has led some State legislatures to consider statutes that would impose mandatory DNA testing standards for crime laboratories and that would establish compliance and inspection procedures.

Both the New York State legislature and the U.S. Congress are considering bills that would establish and regulate DNA testing standards and would regulate the storage and maintenance of files in DNA data bases. In addition, 13 States have passed laws requiring certain suspects, chiefly in cases involving violence, to provide blood samples from which DNA profiles can be obtained.¹⁸ The suspect's DNA profile is then numbered and sent to the Federal Bureau of Investigation for retention in its files.

Goals

- To review existing and pending statutes and case law addressing DNA testing, standards for DNA testing, and establishment of DNA profile data files.
- To review the issues that generated the need for the statutes and summarize the conclusions to be drawn from the case law.

Objectives

- Produce a review of the status of and trends in DNA testing case law that will assist courts in determining the admissibility of DNA testing evidence in future cases.
- Develop a model statute for States that would facilitate regulation of their DNA profiling standards.

Program Strategy

Produce a review of the status of and trends in DNA testing case law that will assist courts in determining the admissibility of DNA testing evidence in future cases.

The number of Federal and State court cases in which DNA testing evidence has been admitted, at both the trial and appellate levels, has mushroomed since DNA testing evidence was first introduced in 1987. However, no objective national review has been made of these cases. Both the OTA and NAS study reports can augment the legal review. This solicitation seeks a comprehensive and systematic review of these cases, including the current status of case law and trends in the law. The result should be an objective report on the status of

Notes

17. Other agencies involved in the NAS study included the Federal Bureau of Investigation, the Department of Health and Human Services, the National Science Foundation, and the State Justice Institute.

18. California, Colorado, Florida, Iowa, Kansas, Michigan, Minnesota, Missouri, Nevada, Oklahoma, Oregon, Tennessee, and Virginia.

and trends in DNA testing case law that would assist courts in determining the admissibility of DNA testing evidence in future cases.

Develop a model statute for States that would facilitate regulation of their DNA profiling standards.

The regulation of DNA profiling standards would provide a valuable resource for criminal justice investigators in identifying suspects. But the regulation and maintenance of DNA profile information raises privacy questions that must be addressed.

Thirteen States require certain suspects, chiefly in cases involving violence, to provide blood samples from which DNA segments can be obtained. However, the types of crime for which States require blood samples from suspects for data files vary from State to State. There is a need for a review of existing and pending statutes concerning DNA testing and the issues that have generated the need for these statutes. There is also a need to provide States considering such statutes with reliable information to ensure consistency in DNA testing. Thus, a model statute is needed for States that wish to maintain a State data file and to regulate DNA profiling standards. Development of the model statute will be coordinated through NIJ with the Technical Working Group on DNA Analysis Methods.

Products

The final products of this solicitation will include a model statute, which will include sections addressing each of the issues stated above, and a report on the status and trends in DNA testing case law.

Application Information

Application Requirements. See page 10 for general application requirements, eligibility requirements, and selection criteria. *Proposals not conforming to these application procedures will not be considered.*

Award Requirements. See page 14 for requirements for award recipients, including standards of performance and monitoring.

Award Period. NIJ limits its grants and cooperative agreements; this project is limited to a period of 12 months.

Award Amount. NIJ encourages applicants to develop a reasonable budget that will adequately cover the costs of the proposed project. Funding of this topic has been tentatively set at \$75,000.

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

Forensic Sciences and Criminal
Justice Technology Program
National Institute of Justice
633 Indiana Avenue NW., Room 866
Washington, DC 20531

Completed proposals must be received at the National Institute of Justice by

the close of business on June 2, 1993. Extension of this deadline will not be permitted.

Contact. Applicants are strongly encouraged to contact NIJ to discuss topic viability, data availability, or proposal content before submitting proposals. To obtain specific information on this topic, prospective applicants may contact Richard Rau at 202-307-0648.

References

Alpert, G.P., and R.G. Dunham. "Research on Police Pursuits: Applications for Law Enforcement." *American Journal of Police*, 7 (1988):123-131.

Alpert, G.P., and R.G. Dunham. "Police Hot Pursuits: The Discovery of Aleatory Elements." *Journal of Criminal Law and Criminology*, 80 (1989): 521-539.

Alpert, G.P., and L.A. Fridell. *Police Vehicles and Firearms*. Prospect Heights, Illinois: Waveland Press, Inc., 1992.

Charles, M.T., D.N. Falcone, and E. Wells. *Police Pursuit in Pursuit of Policy: The Pursuit Issue, Legal and Literature Review, and an Empirical Study*. Washington, D.C.: AAA Foundation for Traffic Safety, 1992.

Nugent, H., E.F. Connors, J.T. McEwen, and L. Mayo. *Restrictive Policies for High-Speed Police Pursuits*. Issues and Practices. Washington, D.C.: National Institute of Justice, 1990.

Section IV

Other Solicitations

Other Solicitations

The National Institute of Justice offers individual criminal justice professionals and researchers the opportunity to undertake independent projects that advance the body of knowledge in the field, inform public policy, and improve law enforcement practice.

Through a program of **visiting fellowships**, criminal justice practitioners, senior researchers (drawn largely from college and university faculties), and recent graduates of doctoral programs work onsite at NIJ on topics that can have major implications for public policy development.

NIJ promotes career development in criminal justice and related fields through its program of **graduate research fellowships**. These awards, made through the candidate's sponsoring institution, are available to students who are pursuing doctoral degrees, with smaller grants made to those working on master's or law degrees. Career development for minority students is particularly encouraged through special fellowships awarded to graduate students at historically black colleges and universities.

The John B. Pickett Fellowship, offered by NIJ in concert with Harvard University's John F. Kennedy School of Government, supports mid-career professionals in public service, who wish to pursue a master's degree in public administration. The fellowship also provides intensive 3-week education sessions for senior police executives.

Researchers are able to draw on the resources of previous NIJ studies through access to the data on which these studies were based. NIJ's **Data Resources Program** permits qualified researchers to use these data, which are located in a central repository and are in machine-readable form. Among the advantages of using existing data are the opportunity to compare and contrast information obtained at different times or sites and to apply new techniques and methods of analysis. Awards are made to applicants who propose original research projects that have implications for criminal justice policy and practice.

In granting these awards, NIJ particularly encourages projects that address the six long-range goals in research, evaluation, and technology elaborated in Section II of this document.

Visiting Fellowship Program

The purpose of the Visiting Fellowship Program is to support policy-relevant research on high-priority topics that enhance the capabilities of law enforcement and criminal justice to combat crime and substance abuse.

Background

The Visiting Fellowship Program offers criminal justice professionals and researchers an opportunity to undertake independent research on criminal justice issues that have relevance for public policy. The program provides a path to investigate new approaches for resolving operational problems and for becoming involved in a national program of criminal justice research directed at meeting the needs of Federal, State, and local agencies.

Goals

- To conduct research on criminal justice issues of immediate practical utility.
- To encourage the use of National Institute of Justice resources for direct assistance to State and local justice officials.

Objectives

- Enhance the capabilities of the criminal justice system by assisting criminal justice professionals.
- Provide technical assistance to State and local law enforcement and criminal justice agencies.
- Promote criminal justice research and development by scholars.
- Encourage criminal justice professionals to conduct practical studies on criminal justice issues.

Program Strategy

Visiting Fellows study a topic of mutual interest to the Fellow and the Institute while in residence at NIJ for 6 to 18 months. At the Institute, the Fellows also participate in developing plans for criminal justice research programs national in scope, interact with Institute staff and other Fellows, and present their work at seminars. As part of their fellowship, Fellows may be asked by NIJ to provide technical assistance in the Institute's program areas and to assist in the development of training materials for new or existing projects.

Fellows receive full financial and logistical support from NIJ as well as access to the abundant criminal justice resources of the Nation's Capital.

In FY 1993 NIJ is particularly interested in applications from candidates who are working in areas related to the long-range goals of the Institute's research, evaluation, and technology program.

In FY 1993 NIJ is particularly seeking fellowship candidates who are working in areas related to the Institute's long-range goals

Emphasizing the nexus of research and practice, the Visiting Fellowship Program solicits proposals from three groups of criminal justice specialists.

Criminal Justice Professionals. Individuals at the middle or upper level of their profession in the field of criminal justice, usually drawn from employees of State or local governments, who demonstrate potential for future leadership. The candidates should have earned a bachelor's degree and have a working knowledge of the way local communities function, of the policy development and command structures of the justice system, and of innovations introduced at the local level. Police departments, courts, corrections and probation agencies, and victims services are among the organizations from which candidates have been selected. The studies they propose have usually focused on policy-relevant issues that may require technical assistance from NIJ in design and analysis.

Senior Researchers. Individuals with broad and extensive experience in criminal justice research, usually from college and university faculties. Most often the research topics they propose are ones in which findings could improve either the assumptions on which criminal justice operations are based or actual field operations.

Postdoctoral Researchers. Recent doctoral graduates who have completed research dissertations required for the doctorate or law school graduates with research interests who wish to continue their research or expand into a related criminal justice field. Candidates are drawn from universities and should propose research that closely follows what is suggested above for senior researchers.

Some examples of previous Visiting Fellows and their research topics are listed on page 116.

NIJ awards grants to or enters into cooperative agreements with educational institutions, nonprofit organizations, public agencies, individuals, and profitmaking organizations that are willing to waive their fees. Questions about eligibility requirements should be directed to the Program Manager.

Selection Criteria

The selection process for the Visiting Fellowship Program is highly competitive. Candidates are chosen based on their background and experience and on the quality and viability of their proposed projects. In most instances submissions to the Visiting Fellowship Program are reviewed by panels of NIJ professional staff.

Products

Final research products for the Visiting Fellowship Program will include, at minimum:

- A full technical report, which includes a discussion of the research question, a review of the literature, a description of project methodology, detailed findings and policy recommendations.

■ An executive summary, approximately 2,500 words long, that highlights the research findings and the policy issues the findings will inform. It should be written in a way that makes it accessible to policy officials and practitioners and it should be suitable for possible publication in the National Institute of Justice Research in Brief series.

■ Clean copies of all automated data sets developed during the research and full documentation, prepared in accordance with the instructions in the National Institute of Justice's *Data Resources Manual*.

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

Application Information

Award Period. Visiting fellowships last from 6 to 18 months.

Award Amount. Funding allocations for this program are based on the quality of the proposals received and the extent to which they are related to ongoing research, evaluation, or technology programs at NIJ.

■ The fellowship covers salary, fringe benefits, reasonable costs of relocation, travel essential to the project, and office costs (telephone, computers, supplies, furniture, and the like). NIJ recognizes that in extraordinary cases a move to the Washington, D.C., area could impose a financial hardship. Hence, salary may be adjusted on the basis of the difference in cost of living between the applicant's residence and the Washington, D.C., area. This differential is not to exceed 20 percent of current salary. An allocation for relocation costs may be approved to supplement the cost of temporary housing in or commuter travel from the Fellow's permanent residence to Washington, D.C.

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

Visiting Fellowship Program
National Institute of Justice
633 Indiana Avenue NW., Room 866
Washington, DC 20531

Completed proposals must be received by the National Institute of Justice by the close of business, June 15, 1993, September 15, 1993, and December 15, 1993. These deadlines will not be extended.

Contact. Applicants are strongly encouraged to contact the Institute to discuss topic viability and proposal content before submitting proposals. To obtain further information regarding the Visiting Fellowship Program, potential applicants may contact Richard M. Rau, 202-307-0648 or Christy A. Visher, 202-307-0694, Visiting Fellowship Program.

Selected Current and Past Fellows and Study Topics

Dr. Neil A. Weiner, University of Pennsylvania. Topic: Identifying Serious and Violent Criminal Careers: Early Warning, Rapid Intervention, Optimal Control.

William D. Kelley, Jr., Georgia State Board of Pardons and Paroles. Topic: Intermediate Sanctions and Corrections: An NIJ Policy Guidance Initiative.

Carole Knapel, former Director, Justice Projects Divisions, Santa Clara, California. Topic: Post-Occupancy Evaluation of Correctional Facilities.

Dr. Joseph F. Ryan, New York Police Department. Topic: A Search for a Definition of Community Policing.

Dr. Stephen D. Mastrofski, Pennsylvania State University. Topic: The Impact of Community Policing at the Street Level: An Observational Study.

Dr. Ellen Scrivner, former Police Psychologist, Prince George's County, Maryland. Topic: Police Psychology and Excessive Force.

Dr. Ernesto U. Savona, University of Trento (Italy). Topic: International Prevention and Control of Money Laundering.

Paula N. Rubin, former Legal Counsel, Texas Employment Commission. Topic: Americans With Disabilities Act: Implications for Criminal Justice.

Michael E. Buerger, University of Wisconsin at Oshkosh. Topic: Defining the Characteristics and Role of the Community in Community-Oriented Policing Initiatives.

Dr. Robert A. Fein, Clinical and Forensic Psychologist, Cambridge, Massachusetts. Topic: Secret Service Exceptional Case Study Project.

Ann Taylor, former County Prosecutor, Fairfield County (Des Moines), Iowa. Topic: Prosecution of Domestic Violence in Rural Areas.

Graduate Research Fellowship Program

The purpose of the Graduate Research Fellowship Program is to support research that enhances the capabilities of law enforcement and criminal justice to combat crime and substance abuse.

Background

The Graduate Research Fellowship Program offers promising graduate and law students an opportunity to undertake independent research on issues that relate to policy and practice in the criminal justice field. The program provides a path for investigating new approaches to resolving operational problems and

for becoming involved in a national program of research directed at meeting the needs of Federal, State, and local law enforcement and criminal justice agencies.

The Graduate Research Fellowship Program also supports career development for graduate students at historically black colleges and universities who wish to pursue academic or professional careers in criminal justice research or administration. Under this program, the National Institute of Justice encourages academic partnerships between universities with doctoral programs in criminal justice and historically black colleges and universities.

Goals

- To develop a continuing and capable cadre of individuals who conduct research directed at resolving critical issues in the field of criminal justice.
- To conduct research on issues that have relevance for policies and practices in law enforcement and criminal justice.
- To encourage the use of National Institute of Justice resources for direct assistance to State and local justice officials.

Objectives

- Assist promising graduate research scholars in enhancing the capabilities of the criminal justice system.
- Provide technical assistance to State and local law enforcement and criminal justice agencies.
- Encourage graduate research scholars to conduct applied criminal justice research.

Program Strategy

The NIJ Graduate Research Fellowship Program encourages scholars at the graduate level who are advanced in their field to undertake research in law enforcement and criminal justice or related fields. Individuals eligible for a Graduate Research Fellowship include:

- Advanced doctoral-level criminal justice and criminology students who are completing their dissertation.
- Outstanding master's degree or law degree students who are required to conduct an original criminal justice or criminological research study as part of their degree program.
- Outstanding master's degree students at historically black colleges and universities.

The awards are made through the students' sponsoring universities. The proposed research for this fellowship may be part of the doctoral dissertation or may focus on a related topic that reflects the goals and objectives of the Graduate Research Fellowship Program.

Smaller awards may be available for some students pursuing a master's degree or a law degree whose proposed research projects, required for the degree, are outstanding in quality and relevant to issues of criminal justice policy and practice.

Research resulting from this program should demonstrate a potential for direct contribution to criminal justice policies and practices and should advance the body of knowledge on important criminal justice issues.

Onsite Requirement

Recipients of graduate research fellowships are asked to visit and work with NIJ research staff for 2 or 3 months. While at NIJ a graduate scholar has the opportunity to participate in criminal justice research programs national in scope, interact with Institute staff and other Fellows, and present seminars on work in progress. NIJ provides full financial and logistical support as well as access to the abundant criminal justice resources of the Nation's Capital for this graduate internship.

The application must describe the project the candidate wishes to pursue while a Graduate Fellow. Agreement on the activities involved in the project will be reached through coordination with the NIJ Program Manager at least 30 days before onsite work begins at the Institute. To the extent possible, the Graduate Fellow will work with a senior member of the NIJ staff whose area of interest is similar.

Graduate Research Fellowships at Historically Black Colleges and Universities

A recent national survey found that the number of African-American faculty members with completed doctoral degrees in the fields of criminology and criminal justice is extremely small. For example, by 1987 African-American men and women comprised only 3.8 percent of the membership of the Academy of Criminal Justice Sciences. These low numbers persist despite increasing enrollments of minorities in graduate programs, a situation that has led some African-American scholars to raise the issue of mentorship for minority graduate students in criminal justice studies.¹

The aim of this program, specially designed for students enrolled at historically black institutions, is to promote criminological research and the advancement of knowledge about the causes and control of crime as well as to expand the pool of African-American and other minority scholars in the fields of criminology and criminal justice.

Accordingly, NIJ provides fellowships to support research undertaken by master's degree students in criminal justice who are enrolled at historically black colleges and universities.

Under the program, NIJ will consider proposals to conduct strong policy-relevant, theoretical, or historical studies related to the Institute's goals and priorities. Applicants may apply through sponsoring universities. Proposals must

Notes

1. Berg, Bruce L., and Robert L. Bing III. "Mentoring Members of Minorities: Sponsorship and 'the Gift'." *Journal of Criminal Justice Education*, 1:2 (Fall 1990).

meet the criteria specified in the "Application Requirements" and "Requirements of Award Recipients" in Section I.

Selection Criteria

Selection for the Graduate Research Fellowship Program is competitive. The review criteria are based on the background and experience of the individual candidate as well as the quality and viability of the proposed project. Submissions to the Graduate Research Fellowship Program will in most instances be reviewed by panels of NIJ professional staff.

The essential question asked regarding each application is, "If this line of research were successful, how would criminal justice policies or practices be improved?" Four criteria are applied in the reviewing applications: technical merit, understanding of the problem, importance of the research, and qualifications of the applicant.

Products

To more effectively address the issues of crime in our society, criminal justice professionals, citizen groups, and policymakers must be well informed. The six research priorities outlined above are designed to address this need by providing guidance based on well-developed research and program evaluations. The proposals should highlight the policy and practice issues that the research will inform as well as the products that will provide information and assistance.

Application Requirements

Graduate Student Status

The Graduate Research Fellowship Program awards are designed primarily to support advanced doctoral students who are engaged in researching and writing a dissertation. However, outstanding applications from law degree or master's degree program students will be considered. Before the award is granted, applicants must have completed all degree requirements other than the dissertation. The proposals must meet the criteria specified in the "Application Requirements" and "Requirements of Award Recipients" in Section I.

Student Background Statement

A statement describing the candidate's background must accompany the proposal. The statement should include information about the candidate's education, employment experience, and publications. It should also indicate whether the candidate, if a doctoral student, has met all requirements for the doctoral degree other than the dissertation and, if not, when they will be met.

Graduate Adviser/Sponsoring Institution Requirements

The candidate must submit a letter of support from his or her academic adviser that includes an evaluation of both the proposed project and the potential of the candidate to succeed in the program.

To be eligible to administer a Graduate Research Fellowship Program grant on behalf of a doctoral candidate, an institution must be fully accredited by one of the regional institutional accrediting commissions recognized by the Secretary of the U.S. Department of Education and the Council on Post Secondary Accreditation.

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

Application Information

Award Period. Graduate research fellowships are generally made for 1 year or less, although awards for as long as 18 months will be considered. Two to three months must be scheduled for participating in NIJ research activities onsite.

Award Amount. Total funding of this program has been tentatively set at \$180,000. It is anticipated that this amount will support 8 to 10 awards during the year. The maximum amount of any fellowship is \$20,000. The grant may include the Fellow's stipend (prorated on the basis of \$10,000 for full-time study for a 12-month period); allowances for certain types of dependents; and allowances for certain expenses connected with the candidate's university affiliation, including continuing registration, library, and matriculation fees. Major project costs are also included. Examples include limited clerical assistance; special supplies; reproduction costs; computer time; and necessary local and out-of-town travel (reimbursed at the sponsoring university's rate), which includes transportation to Washington, D.C. for the onsite visit to NIJ. Costs incurred before the formal grant award are not reimbursable. Indirect costs incurred by the sponsoring university are not covered by this program.

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

Reimbursement for travel to and from Washington, D.C., and for living in the Washington, D.C., metropolitan area while working onsite at NIJ can include the cost of round-trip coach airfare (or its equivalent) to Washington and housing. The total cost of this component of the fellowship program may not exceed \$5,000.

Please contact the Program Manager for details about allowable expenses.

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

Graduate Research Fellowship Program
National Institute of Justice
633 Indiana Avenue NW., Room 866
Washington, DC 20531

Completed proposals must be received at the National Institute of Justice by close of business on June 15, 1993, September 15, 1993, and December 15, 1993. Extensions of these deadlines will not be granted.

Contact. Applicants are strongly encouraged to contact the Institute to discuss topic viability and proposal content before submitting proposals. To obtain

further information about the Graduate Research Fellowship Program, potential applicants may contact Shellie Solomon, Program Manager, 202-307-2955.

John B. Pickett Fellowship in Criminal Justice Policy and Management

The purpose of the John B. Pickett Fellowship in Criminal Justice Policy and Management is to assist experienced professionals and senior government executives who seek to expand their knowledge in the field. These fellowships, awarded for study at Harvard University's John F. Kennedy School of Government, are available for both the 1-year Master in Public Administration Program (Mid-Career Program) and the 3-week Program for Senior Executives in State and Local Government (Executive Program).

Background

The John B. Pickett Fellowship in Criminal Justice Policy and Management was established in memory of John B. Pickett, the first Director of Planning and Management at the National Institute of Justice. During his 20-year career at NIJ, John B. Pickett made many significant contributions to the administration of criminal justice. He was instrumental in establishing the Executive Session on Policing at Harvard University's John F. Kennedy School of Government. He also helped develop the management and administrative policies of the State Justice Institute, where he served as Acting Director on assignment from NIJ. The recipient of Justice Department outstanding performance and special achievement awards, John B. Pickett also received a presidential certificate of appreciation in 1978. He died in 1990.

Goals

- To increase expertise in criminal justice policy and management among experienced professionals working in public service (law enforcement, corrections, courts, or other criminal justice professions) and among senior police executives in State and local government.
- To promote leadership in the field of criminal justice policy and management.
- To meet society's need for excellence in government.

Objectives

- Provide mid-career professionals who are working in public service the opportunity to learn new management, policymaking, and analytic skills that are practical and immediately useful in criminal justice policy and management.
- Offer mid-career professionals in public service the opportunity to engage in scholarly activities and discussion.

- Offer intensive training in criminal justice policy and management to senior police executives in State and local government.
- Develop a cadre of mid-career public service professionals and senior-level police executives who have expertise in criminal justice policy and management.

Program Strategy: Mid-Career MPA Program

This fellowship will provide full tuition for a student pursuing a 1-year master's degree in public administration. The Master in Public Administration Program aims to assist experienced mid-career professionals working in public service who seek to expand their knowledge of criminal justice policy and management. It provides the opportunity to learn new management, policymaking, and analytic skills that are practical and immediately useful as well as to engage in scholarly activities and discussion.

Applicants must demonstrate the qualities of integrity, professionalism, and dedication to public service exemplified in John Pickett's character and distinguished career and must have the motivation and values to lead in their fields and to meet society's need for excellence in government.

Eligibility Requirements

- Applicants must have an outstanding academic or professional record.
- Applicants must be enrolled in or admitted to Harvard University's John F. Kennedy School of Government.
- Applicants should have at least 7 years of experience in law enforcement, corrections, courts, or other criminal justice professions.
- Preference will be given to applicants who demonstrate a desire to continue in the field of criminal justice policy and management, although not necessarily in their current capacity.

Application Information

Award Period. The award is for the 1-year master's degree program.

Award Amount. The fellowship award will cover the cost of tuition for the 1-year master's degree in public administration.

Due Date. The deadline for receipt of applications is May 14, 1993.

Application Procedure. Applicants must submit: (1) a statement of proposed graduate study and career plans, (2) a detailed resume, and (3) three letters of reference. Applicants who wish to discuss fellowship requirements and proce-

dures should contact Dr. Brenda White, Assistant Dean for Enrollment Services, at 617-495-1153 or at the address below.

Applications and further information are available from:

Mid-Career Admissions
John F. Kennedy School of Government
Harvard University
79 John F. Kennedy Street
Cambridge, MA 02138

Program Strategy: Executive Program

The Program for Senior Executives in State and Local Government offers an intensive 3 weeks of executive education for key public managers. It is specially designed for senior-level executives from State, county, and municipal government and their elected counterparts who seek to expand their knowledge of criminal justice policy and management.

Fellowship applicants must demonstrate the qualities of integrity, professionalism, and dedication to public service exemplified in John Pickett's character and distinguished career. A candidate's admission to the Program (as distinct from eligibility for the fellowship) will be determined by examining his or her current responsibilities, substantive achievements and challenges faced, and potential for future contribution.

Eligibility Requirements

- Applicants must be senior-level police executives.
- Applicants must be admitted to the Program for Senior Executives in State and Local Government.

Application Information

Award Period. The award covers the 3-week session.

Award Amount. This fellowship will provide the full cost of tuition, lodging, meals, and instructional materials for the 3-week session.

Due Date. The deadline for receipt of applications is May 1, 1993.

Application Procedure. Applicants may request one of two sessions: June 13 to July 2, 1993, or July 11 to 30, 1993. Applicants who wish to discuss fellowship requirements and procedures should contact Dr. Brenda White, Assistant Dean for Enrollment Services, at 617-495-1153 or at the address below.

Applications and further information about the Executive Program are available from:

Program for Senior Executives in
State and Local Government
John F. Kennedy School of Government
Harvard University
79 John F. Kennedy Street
Cambridge, MA 02138

Data Resources Program

Purpose

This solicitation requests proposals to explore topical policy questions through the analysis of data deposited by the National Institute of Justice's Data Resources Program in the National Archive of Criminal Justice Data, Inter-university Consortium for Political and Social Research, University of Michigan. Of particular interest are studies using NIJ-funded data sets containing similar information collected at different times or sites, applications of alternative or emerging statistical techniques and methodologies to extend the understanding of criminal justice processes and criminal behavior, and research that explores the development of applications of direct benefit to criminal justice professionals.

Background

Since 1976 it has been NIJ's policy to ensure that all data collected by its grantees and contractors are available to the public. NIJ established a formal program, the Data Resources Program, in 1984 to ensure that all data were fully documented and deposited in the National Archive of Criminal Justice Data. More than 200 data sets covering a wide range of criminal justice issues are currently available through the Archive. These data sets are described in *Data Resources of the National Institute of Justice, Fifth Edition*, available from the National Institute of Justice/NCJRS, Box 6000, Rockville, MD 20850, 800-851-3420.

Data collection is a time-consuming and expensive process. NIJ's policy of archiving data is founded on the recognition that data collected for one purpose can often provide the answers to new research and policy questions. Of particular value can be studies that address data sets containing similar information that were collected at different times or sites. These quasi-time series or cross-sectional studies may bring fresh insights not previously gained from earlier independent studies. New statistical techniques and methodologies (for example, expert systems and neural networks) can also be applied in a cost-effective manner to existing data to test the validity of these new methods. Finally, existing data, while collected for research purposes, provide a resource for developing applications of direct benefit to practitioners.

This solicitation is for original research using existing data. The applicant's proposal should develop the research question(s) and issue(s) to be examined, based on a critical review of the literature and of the existing data resources that will be used for the research. The purpose of the research should be concisely stated with particular emphasis on the implications of the research for policy and criminal justice practice. The research should be designed to produce a final product within 9 months of the award.

NIJ is particularly interested in receiving proposals that address the six long-range research, evaluation, and technology goals (see Section II). The program also encourages proposals that focus on the following specific criminal justice areas:

- Domestic violence, including the efficacy of criminal justice system responses and the role of other social system responses (for example, shelters) to violence among household members.
- Drug testing at all stages of the criminal justice process, including the application and role of sanctions and indicators of program success.
- Intermediate sanctions, including shock incarceration, electronic monitoring, and intensive supervision.
- Outcome measures, including the implications of technical parole and probation violations.
- Policing, including community policing and problem-oriented policing.
- Violence, including examination of the correlates of violent criminal behavior and the influences of drugs and gangs.

Exceptional proposals addressing any topic of concern to criminal justice practitioners and policymakers will be considered. Awards of up to \$25,000 to support investigators conducting original research using existing data will be made under this program.

Goals

- To address and answer research and policy questions using existing data resources.
- To disseminate the results of these original research projects to practitioners and policymakers.

Objectives

- Develop and execute a research design that uses existing data to answer specific research and policy questions pertinent to current NIJ goals.
- Prepare a written report describing the research and results that would be appropriate for dissemination to criminal justice practitioners and policymakers.

Program Strategy

Develop and execute a research design that uses existing data to answer specific research and policy questions pertinent to current NIJ goals.

To accomplish this objective, the applicant is expected to identify one or more research or policy questions related to a current priority and one or more archived data sets that will be used to address the research or policy question(s). The specific objectives of the proposed research and the potential implications of findings for practitioners and policymakers should be clearly described in the proposal. The applicant should summarize previous research in the respective research or policy area, describe previous analyses that have been conducted with the proposed data set(s), and clearly delineate how the proposed research extends previous uses of the data.

The proposal should include a complete research design that specifies the analytic method(s) proposed for the research and the variables to be addressed by the analyses.

Prepare a written report describing the research and results that would be appropriate for dissemination to criminal justice practitioners and policymakers.

A written report describing the research and findings must be prepared and submitted at the end of the award period. The report should be suitable for dissemination to criminal justice practitioners and policymakers.

Products

A 2,500-word description of the research findings and policy implications that will be considered for publication as an NIJ Research in Brief. Additional materials such as technical descriptions of analyses may be required, as appropriate.

Eligibility Requirements

Institutional affiliations of investigators are encouraged to waive (or reduce) indirect and overhead fees. Awards will not be made to individuals to conduct additional analyses on data they collected under a previous NIJ grant or contract.

Application Requirements

The applicant should confine the technical proposal (excluding references and appendices) to no more than 15 pages. See page 10 for general application and eligibility requirements and selection criteria. ***Proposals not conforming to these application procedures will not be considered.***

Award Period. Awards under this program will be limited to 9 months.

Award Amount. NIJ encourages applicants to develop a reasonable budget that will adequately cover the costs of the proposed project. Awards of up to \$25,000 will be provided. Funding of this topic has been tentatively set at \$150,000. It is anticipated that this will support six awards. Actual funding allocations are based on the quality of proposal received.

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

Data Resources Program
National Institute of Justice
633 Indiana Avenue NW., Room 866
Washington, DC 20531

Completed Data Resources Program proposals must be received by the National Institute of Justice by close of business on June 15, 1993, and September 15, 1993. Extensions will not be granted.

Contact. Applicants are encouraged to contact the Institute to discuss topic viability, data availability, or proposal content before submitting proposals. To obtain further information, potential applicants may contact Pamela K. Lattimore, Program Manager, at 202-307-2961.

Section V

**National Institute of
Justice Awards, Fiscal
Years 1991 and 1992**

National Institute of Justice Awards, Fiscal Years 1991 and 1992

The National Institute of Justice granted the following awards during the previous two fiscal years. They are categorized according to the research and evaluation priorities established by NIJ for each of these years.

Fiscal Year 1991 Awards

Awards are listed alphabetically in each of the categories. Each listing gives the title of the project, organizational name and address of recipient, project director or principal investigator, and amount of award. All awards are grants unless indicated as follows: • = Interagency agreement; + = Contract; * = Cooperative agreement.

Community-Based Programs

Anticipating and Combating Community Decay and Crime: A Comprehensive Analysis*

Urban Institute, 2100 M Street NW., Washington, DC 20037

Adele Harrell

\$156,207

Community Anti-Drug Initiatives: A National Assessment

Institute for Social Analysis, 201 North Union Street, Suite 360, Alexandria, VA 22314

Janice Roehl

\$149,155

Current Practice in Designing Crime-Free Environments: Documentation and Synthesis*

University of Southern California Social Science Research Institute, 1014 Childs Way Two, MCO 591, Los Angeles, CA 90089

Marcus Felson

\$185,047

Developing a Practitioner's Guide to Security by Design*

AIA/ACSA Council on Architectural Research, 1735 New York Avenue NW., Washington, DC 20006

Deane Evans

\$155,570

Security by Design: A Review and Synthesis*

Rutgers State University of New Jersey, Administrative Services Building, Room 3, New Brunswick, NJ 08855

David Weisburd

\$155,159

Community-Oriented Policing and Law Enforcement Programs

Community-Policing Strategies: A Comprehensive Analysis*

Police Foundation, 1001 22nd Street NW., Suite 200, Washington, DC 20037

Mary Ann Wycoff

\$246,345

Comprehensive Analysis of Community-Policing Strategies*

Police Executive Research Forum, 2300 M Street NW., Suite 910, Washington, DC 20037

John E. Eck

\$231,776

Evaluating New York City Police Departments: Model Precinct Program*

Police Foundation, 1001 22nd Street NW., Suite 200, Washington, DC 20037

Antony Pate

\$125,202

**Impact of Community Policing at the Street Level:
An Observational Study**

Pennsylvania State University Institute for Policy
Research, 207 Old Main, State College, PA 16802
Stephen D. Mastrofski
\$213,225

**Legal Authorities of Citizens, Community Groups,
and Private Security**

St. Louis University, 221 North Grand Boulevard,
St. Louis, MO 63103
Steven Puro
\$37,285

Police Killings: A Comprehensive Analysis*

Police Foundation, 1001 22nd Street NW., Suite 200,
Washington, DC 20037
Antony Pate
\$172,672

Police Use of Excessive Force

Police Executive Research Forum, 2300 M Street
NW., Suite 910, Washington, DC 20037
William Geller
\$150,000

Police Use of Excessive Force

Police Foundation, 1001 22nd Street NW., Suite 200,
Washington, DC 20037
Antony Pate
\$250,000

Reanalysis of Minneapolis RECAP Experiment

Rutgers State University of New Jersey,
Administrative Services Building, Room 3,
New Brunswick, NJ 08855
Michael E. Buerger
\$10,636

Search for a Definition of Community Policing

Joseph F. Ryan, Ph.D., New York City Police
Department, 1 Police Plaza, New York, NY 10038
Joseph F. Ryan
\$136,660

**What Works: Effective Initiatives in Urban
Policing**

U.S. Conference of Mayors, 1620 Eye Street NW.,
Washington, DC 20006
Laura Dekoven Waxman
\$150,404

Criminal Behavior Programs

**Developmental Models of Young Adult
Criminality**

Columbia University, Box 6, Central Mail Room,
New York, NY 10027
Ora Simcha-Fagan
\$38,832

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

RAND Corporation, 1700 Main Street, Santa Monica,
CA 90406
Bruce Hoffman
\$149,981

**Estimation of the Termination Rate of Criminal
Careers**

Carnegie-Mellon University, Research Contracts Office,
Pittsburgh, PA 15213
Andrew Golub
\$11,000

**Panel on the Understanding and Control of Violent
Behavior**

National Academy of Sciences, 2101 Constitution
Avenue NW., Washington, DC 20418
Jeffrey Roth
\$84,000

**Program on Human Development and Criminal
Behavior***

Harvard University, 1350 Massachusetts Avenue,
Cambridge, MA 02138
Felton J. Earls
\$2,614,310

**Criminal Justice Technology and Forensic
Science**

**Cognitive Mapping and Temporal Sequencing of
Serial Rape•**

Federal Bureau of Investigation, Washington, DC 20530
Roland Reboussin
\$129,190

**Development of Methods and Standards for the
Analysis of Human Hair for Drug Abuse•
(Supplemental)**

National Institute of Standards and Technology,
Gaithersburg, MD 20899
Michael Welch
\$223,000

Experimental Comparison of Vascular Unloading and Cardiographic Methods for the Detection of Deception•

Federal Bureau of Investigation, Washington,
DC 20530

John A. Podlesny
\$28,800

Identification and Measurement of Carbon Monoxide and Inorganic Cyanide

University of Washington, 3917 University Way NE.,
Seattle, WA 98195

Barry Kerr Logan
\$41,548

Multianalytical Technique Approach to the Dating of Writing

University of Illinois-Chicago, P.O. Box 6998, Office
of Grants and Contracts 551, Chicago, IL 60680

Ian R. Tebbett
\$42,955

Narrow-Band Light Source for Fluorescent Photography of Patterned Injuries on Skin

Louisiana State University Medical Center, Dentistry,
1100 Florida Avenue, Box 140, New Orleans,
LA 70119

Robert E. Barsley
\$18,345

NSA/NIJ Dissemination Project for NIJ Technology and Jail Industries Development Programs

National Sheriffs' Association, 1450 Duke Street,
Alexandria, VA 22314

Charles B. Meeks
\$152,340

Technology Assessment Program Information Center*

Aspen Systems Corporation, 1600 Research Boulevard,
Rockville, MD 20850

Candace McIlhenny
\$457,017

Drug Enforcement

Assessing the Need for Treatment: Developing a Model for Policy

St. Louis, Missouri, Board of Police, 1200 Clark Street,
St. Louis, MO 63103

Scott H. Decker
\$14,300

Changes in Criminal Careers of Drug Offenders*

Carnegie-Mellon University, Research Contracts
Office, Pittsburgh, PA 15213

Jacqueline Cohen
\$187,297

Drug Treatment Within the Criminal Justice System: A Comprehensive Analysis*

Public Health Foundation of Los Angeles County, Inc.,
13200 Crossroads Parkway North, Suite 135, City
of Industry, CA 91746

M. Douglas Anglin
\$249,629

Hartford Drug Market Analysis Program*

Hartford Police Department, 50 Jennings Road,
Hartford, CT 06120

James Donnelly
\$201,801

Jersey City Drug Market Analysis Program*

Jersey City Police Department, 280 Grove Street,
Jersey City, NJ 07302

Frank Gajewski
\$346,794

Kansas City Drug Market Analysis Program: Dragnet Phase II*

Kansas City Police Department, 1125 Locust Street,
Kansas City, MO 64106

Dennis Shreve
\$399,990

Pittsburgh Drug Market Analysis Program, Phase II*

Pittsburgh Department of Public Safety, 1600 West
Carson Street, Pittsburgh, PA 15219

Earl Buford
\$337,489

Drug Testing

Drug Testing for Youthful Offenders on Parole: An Experimental Study*

California Youth Authority, 4241 Williamsborough
Drive, Sacramento, CA 95823

Rudy Haapanen
\$377,689

Hair Analysis for Drugs of Abuse
University of California-Davis, Accounting Office,
Extramural Funds, Davis, CA 95616
Gary Henderson
\$345,154

Drug Use Forecasting (DUF)

**Analysis of Statewide DUF Data Collected From
Illinois Arrestees**
TASC, Inc., of Illinois, 1500 North Halsted, Chicago,
IL 60622
Melody Heaps
\$24,373

**Demonstrating the Use of DUF Findings: Portland,
Oregon, and Denver, Colorado***
LINC, P.O. Box 406, Lincoln, MA 01773
Marcia R. Chaiken
\$195,658

**Drug Use Forecasting: Atlanta, Georgia•
(Supplemental)**
City of Atlanta, Office of Corrections, 236 Peachtree
Street SW., Atlanta, GA 30303
Thomas Pocock
\$25,320

**Drug Use Forecasting: Birmingham, Alabama•
(Supplemental)**
City of Birmingham, Finance Department,
3015 Seventh Avenue South, Birmingham,
AL 35203
Foster Cook
\$119,384

**Drug Use Forecasting: Chicago, Illinois•
(Supplemental)**
TASC, Inc., of Illinois, 1500 North Halsted, Chicago,
IL 60622
Melody Heaps
\$155,241

**Drug Use Forecasting: Cleveland, Ohio•
(Supplemental)**
Cleveland Department of Public Safety, 501 Lakeside
Avenue, Room 230 City Hall, Cleveland,
OH 44114
Mitchell Brown
\$124,068

**Drug Use Forecasting: Denver, Colorado•
(Adult and Juvenile Programs)
(Adult Program Supplemental)**
County Division of Criminal Justice, 700 Kipling Street,
Suite 1000, Denver, CO 80215
Mary Mande
\$117,641

**Drug Use Forecasting: Fort Lauderdale, Florida•
(Supplemental)**
Broward County Sheriff's Office, 2600 SW. Fourth
Avenue, Fort Lauderdale, FL 33315
Bruce Hamersley
\$122,364

**Drug Use Forecasting: Houston, Texas•
(Supplemental)**
Houston-Galveston Area Council, P.O. Box 22777,
Houston, TX 77227
Margie Quince
\$107,210

**Drug Use Forecasting: Kansas City, Missouri•
(Supplemental)**
Kansas City Missouri Police Department, 1125 Locust
Street, Kansas City, MO 64106
David Bremson
\$94,813

Drug Use Forecasting: Los Angeles, California•
Public Health Foundation of Los Angeles County, Inc.,
13200 Crossroads Parkway North, Suite 135, City of
Industry, CA 91746
Gayle Chapman
\$172,612

**Drug Use Forecasting: Miami, Florida•
(Supplemental)**
Metropolitan Dade County, 111 NW. First Street,
Suite 2620, Miami, FL 33128
Martha Lide
\$79,540

**Drug Use Forecasting: New Orleans, Louisiana•
(Supplemental)**
Office of the Orleans Parish, Sheriff's Office, 2800
Gravier Street, New Orleans, LA 70119
Peggy Sullivan
\$41,760

Drug Use Forecasting: New York•
New York Division of Criminal Justice Services,
Executive Park Tower, Albany, NY 12203
Bruce Johnson
\$145,014

Drug Use Forecasting: Philadelphia, Pennsylvania•
Philadelphia District Attorney's Office, 1421 Arch Street,
Philadelphia, PA 19102
Willie Williams
\$123,654

Drug Use Forecasting: Phoenix, Arizona•
(Supplemental)
TASC, Inc., of Arizona, 2234 North Seventh Street,
Phoenix, AZ 85006
Barbara Zugor
\$66,011

Drug Use Forecasting: Portland, Oregon•
(Supplemental)
TASC, Inc., of Oregon, 1727 NE. 13th Street, Room 202,
Portland, OR 97212
Linda Tyon
\$79,496

Drug Use Forecasting: San Antonio, Texas•
(Supplemental)
San Antonio Police Department, 214 West Nueva,
San Antonio, TX 78207
Dale Jacobs
\$97,839

Drug Use Forecasting: San Diego, California•
(Supplemental)
San Diego Association of Governments, 401 B Street,
Suite 800, San Diego, CA 92101
Susan Pennell
\$72,287

Drug Use Forecasting: San Jose, California•
(Supplemental)
Santa Clara County Executive, 70 West Hedding,
11th Floor, San Jose, CA 95110
Trudy Kilian
\$182,032

DUF-Related Research
Task Force on Violent Crime, 300 Rockefeller Building,
614 Superior, Cleveland, OH 44113
Michael L. Walker
\$15,532

Expanding the Applications of DUF Data
Urban Institute, 2100 M Street NW., Washington,
DC 20037
Adele Harrell
\$84,144

**Expanding the Applications of DUF Data in New
York City***
Narcotic and Drug Research, Inc., 251 New Karner
Road, Albany, NY 12205
Mokkerum Hossain
\$184,367

**Laboratory Analysis of Approximately 42,000
Urine Specimens+**
PharmChem Laboratories, Inc., 3925 Bohannon
Drive, Menlo Park, CA 94025
Keith W. Patten
\$313,602

**Maximizing Use of DUF Results for Planning and
Policymaking**
San Diego Association of Governments, 401 B Street,
Suite 800, San Diego, CA 92101
Susan Pennell
\$30,165

**Prostitution and Cocaine: Analysis and Extension
of DUF Data**
Cleveland State University, Department of Sociology,
Cleveland, OH 44115
Thomas E. Feucht
\$10,240

Evaluation

**Anti-Drug Abuse Act of 1988: A Program
Assessment**
RAND Corporation, 1700 Main Street, Santa Monica,
CA 90406
Terry Dunworth
\$499,990

**Anti-Drug Initiatives in Small Cities and Towns:
Program Assessment***
Southern Illinois University, General Accounting,
Carbondale, IL 62901
James Garofalo
\$147,492

**Baltimore County Police Department's
Community-Oriented Drug Enforcement
Program• (Supplemental)**

University of Baltimore, 1304 St. Paul Street,
Baltimore, MD 21202

Larry Thomas

\$72,226

**Boot Camp, Drug Treatment, and Aftercare:
An Evaluation Review***

Southern Illinois University, General Accounting,
Carbondale, IL 62901

Ernest Cowles

\$49,820

**Community Effects of Street-Level Narcotics
Enforcement**

Vera Institute of Justice, 377 Broadway, New York,
NY 10013

Susan Sadd

\$150,000

**1991 Conference on Evaluating Drug Control
Initiatives***

Justice Research and Statistics Association, 444
North Capitol Street, Washington, DC 20001

Joan C. Weiss

\$272,980

**Drug Testing Throughout the Criminal Justice
System: An Intensive Impact Evaluation***

Botec Analysis Corporation, 1698 Massachusetts
Avenue, Cambridge, MA 02138

David P. Cavanagh

\$199,997

**Emerging Drug Enforcement Tactics: A Program
Assessment**

Police Executive Research Forum, 2300 M Street
NW., Suite 910,

Washington, DC 20037

Deborah Weisel

\$99,749

**Evaluation of Drug Offender Treatment in Local
Corrections***

National Council on Crime and Delinquency,
685 Market Street, Suite 620, San Francisco,
CA 94105

James Austin

\$346,020

**Evaluation of the Application of DNA Technology in
Forensic Science**

National Academy of Sciences, 2101 Constitution
Avenue NW., Washington, DC 20418

Oskar Zaborsky

\$25,000

**Experimental Evaluation of Drug Testing and Inter-
ventions***

RAND Corporation, 1700 Main Street, Santa Monica,
CA 90406

Peter Greenwood

\$499,646

**Implementation and Impacts of Innovative
Neighborhood Policing**

Vera Institute of Justice, 377 Broadway, New York,
NY 10013

Sally T. Hillsman

\$399,920

**Improving the Court Response to Drug Cases:
A Program Assessment**

National Center for State Courts, 300 Newport Avenue,
Williamsburg, VA 23187

Thomas A. Henderson

\$150,806

Innovative Neighborhood Policing in Rural Areas*

Queues Enforth Development, 432 Columbia Street,
Cambridge, MA 02141

Richard Larson

\$400,000

**Multiagency Approach to Drug and Gang
Enforcement**

San Diego Association of Governments, 401 B Street,
Suite 800, San Diego, CA 92101

Susan Penneil

\$177,294

**Past and Future Directions of the Drug Abuse Resis-
tance Education (DARE) Program***

Research Triangle Institute, 3040 Cornwallis Road,
Durham, NC 27709

Christopher Ringwalt

\$300,000

Postoccupancy Evaluation of Correctional Facilities
Carole Knapel, 15 Pinkney Street, Annapolis, MD 21401
Carole Knapel
\$212,761

Prosecuting Complex Drug Cases: A Program Assessment*
Jefferson Institute, 1910 K Street NW., Suite 601,
Washington, DC 20006
Joan E. Jacoby
\$144,348

Prosecution of Drug Cases: A National Assessment
American Prosecutors Research Institute, 1033 North
Fairfax Street, Suite 200, Alexandria, VA 22314
James C. Shine
\$149,659

Sentencing Practices for Drug Offenders: A National Assessment
Lazar Institute, 6726 Lucy Lane, McLean, VA 22101
Raymond Milkman
\$148,827

Structured Fines: An Impact Evaluation
RAND Corporation, 1700 Main Street, Santa Monica,
CA 90406
Joan Petersilia
\$299,942

Study of Less-Than-Lethal-Force Weapons*
Institute for Law and Justice, Inc., 1018 Duke Street,
Alexandria, VA 22314
Frank J. Leahy
\$149,828

Weed and Seed in Kansas City: Evaluation Design for a Multiagency Crackdown on Drugs*
University of Maryland, 3121 Blair Lee Building,
Room 2103, College Park, MD 20742
Lawrence Sherman
\$197,640

Gangs and Violence

Criminal Behavior of Gangs*
Ohio State University Research Foundation, 1960 Kenny
Road, Columbus, OH 43210
C. Ronald Huff
\$228,001

Gangs in Correctional Facilities: A National Assessment
American Correctional Association, 8025 Laurel
Lakes Court, Laurel, MD 20707
Dennis G. Baugh
\$148,621

Impact of Gang Migration: Developing Effective Responses*
University of Southern California Social Science
Research Institute, 1014 Childs Way Two,
MCO 591, Los Angeles, CA 90089
Cheryl Maxson
\$249,999

National Assessment of Law Enforcement Anti-Gang Information*
West Virginia University Research Corporation,
Department of Sociology, 213 Glenlock Hall,
Morgantown, WV 26505
G. David Curry
\$141,988

National Conference on Youth Gangs and Violent Juvenile Crime
National Criminal Justice Association, 444 North
Capitol Street NW., Washington, DC 20001
Gwen Holden
\$18,000

Patterns of Organized Crime in Asian Businesses
Rutgers University of New Jersey, P.O. Box 1089,
New Brunswick, NJ 08855
Jeffrey Fagan
\$125,000

Street Gangs and Drug Sales*
University of Southern California Social Science
Research Institute, 1014 Childs Way Two,
MCO 591, Los Angeles, CA 90089
Malcolm Klein
\$179,531

Corrections and Intermediate Sanctions

Adult Local Detention Facilities Project
American Correctional Association, 8025 Laurel
Lakes Court, Laurel, MD 20707
Jeffrey Washington
\$182,097

Boot Camps for Juvenile Offenders: Constructive Intervention*

Rutgers State University of New Jersey,
Administrative Services Building, Room 3,
New Brunswick, NJ 08855
Jackson Toby
\$234,015

Inmate Assaults on Correctional Officers in California Prisons*

California Department of Corrections,
P.O. Box 942883, Sacramento, CA 94283
Robert Dickover
\$24,500

Intermediate Sanctions and Corrections: An NIJ Policy Guidance Method

State Board of Pardon and Parole, 2 Martin Luther
King Drive, Fifth Floor, E Tower, Atlanta,
GA 30334
William D. Kelly
\$201,176

Jail Industries Technical Assistance

National Institute of Corrections, 320 First Street
NW., Washington, DC 20534
M. Wayne Huggins
\$50,000

Prevention and Education

AIDS/HIV Education in Lockup and Booking Facilities: Phase II

Abt Associates, Inc., 55 Wheeler Street, Cambridge,
MA 02138
Michael Gross
\$1,000,000

Dissemination of SMART Program*

Anaheim Union High School District, 501 Crescent
Way, Anaheim, CA 92803
Leroy L. Kellogg
\$80,000

Electronic Benefit Transfer Pilot Project, Phase II*

Abt Associates, Inc., 55 Wheeler Street, Cambridge,
MA 02138
Joan Mullen
\$48,000

Prevalence of Drug Abuse and Addiction in South Carolina Black Communities

University of South Carolina, 516 1/2 South Main
Street, Columbia, SC 29208
Andrew J. Chishom
\$50,580

SMART Program, Phase II: Model Dissemination to Urban School Districts*

Robert W. Long, 3770 Torrey Pines Boulevard,
Sarasota, FL 34238
Robert W. Long
\$270,000

Prosecution and Adjudication

Assessing the Impact of Dade County Drug Court on Drug-Related Felons*

State Justice Institute, 120 South Fairfax Street,
Alexandria, VA 22314
Richard Vanduizend
\$114,172

Chemical Action Task Force*

U.S. Department of State, Washington, DC 20530
Dennis Linskey
\$70,000

Development and Dissemination of a Model Drug Precursor Act*

American Prosecutors Research Institute, 1033 North
Fairfax Street, Suite 200, Alexandria, VA 22314
Don Rebovich
\$18,378

Environmental Crime Prosecution

American Prosecutors Research Institute, 1033 North
Fairfax Street, Suite 200, Alexandria, VA 22314
James C. Shine
\$207,550

Management of Probation Case Loads for Drug Offenders: A National Assessment*

National Council on Crime and Delinquency, 685 Market
Street, Suite 620, San Francisco, CA 94105
Christopher Baird
\$149,957

Money Laundering: A National Assessment*

Police Executive Research Forum, 2300 M Street NW.,
Suite 910, Washington, DC 20037
Clifford Karchmer
\$149,482

New Model for Organized Crime Control in Public Schools

Harvard University, 1350 Massachusetts Avenue,
Holyoke Center 466, Cambridge, MA 02138
Mark Moore
\$56,547

Prosecuting Gang Crime: A National Assessment*

Institute for Law and Justice, Inc., 1018 Duke Street,
Alexandria, VA 22314
Thomas J. McEwen
\$140,000

Securities Fraud: A National Assessment*

Indiana University, Poplars Building, Bloomington,
IN 47402
Kip Schlegal
\$145,796

Victims

Determinants of Fear-Induced School Avoidance Behaviors

Research Triangle Institute, 3040 Cornwallis Road,
Durham, NC 27709
Christopher Ringwalt
\$49,988

Perceived and Actual Risks of School-Related Victimization

Rutgers State University of New Jersey, Administrative
Services Building, Room 3, New Brunswick, NJ 08855
Jackson Toby
\$49,978

School Environment and School Crime: Causes and Consequences

Bowling Green State University, Grants Office,
Room 319, Administration Building, Bowling Green,
OH 43403
Stephen P. Lab
\$48,814

Sexual Assault Evidence: National Assessment and Guidebook

University of New Haven, Division of Criminal Justice,
300 Orange Avenue, West Haven, CT 06516
R.E. Gaensslen
\$74,816

Research Applications, Conferences, and Technical Support

1991 Administration of Justice Seminar

Brookings Institution, 1775 Massachusetts Avenue
NW., Washington, DC 20036
Warren I. Cikins
\$20,000

Data Resources Program of NIJ+

Sociometrics Corporation, 170 State Street, Suite 260,
Los Altos, CA 94022
James Peterson
\$352,638

National Criminal Justice Reference Service+

Aspen Systems Corporation, 1600 Research
Boulevard, Rockville, MD 20850
Richard Rosenthal
\$6,328,081

Professional Conference Series*

Institute for Law and Justice, Inc., 1018 Duke Street,
Alexandria, VA 22314
Edward F. Conners
\$1,758,124

Professional Conference Series+

URSA Institute, 185 Berry Street, Suite 6600,
San Francisco, CA 94107
Robert Soady
\$22,439

Research Application Support: Criminal Justice Issues and Practices+

Abt Associates, Inc., 55 Wheeler Street, Cambridge,
MA 02138
Joan Mullen
\$1,000,000

Technical Assistance and Support to NIJ+

KOBA Associates, Inc., 1156 15th Street NW.,
Washington, DC 20005
June B. Kress
\$962,649

Technical Assistance to NIJ+

KOBA Associates, Inc., 1156 15th Street NW.,
Washington, DC 20005
Charlotte Reid
\$761,277

Fiscal Year 1992 Awards

Awards are listed alphabetically in each of the categories. The list that follows gives the name of award and its award number, the name and address of the organization to whom awarded, the program director or principal investigator, and the amount applicable to fiscal year 1992. In addition, the listings under "Fellowship Programs" give the start and finish dates for the award. The listed dollar amounts represent only the amounts awarded in fiscal year 1992, not moneys awarded for grants begun in earlier years; (the first two digits of the award number indicate the year the grant was awarded).¹

Community Policing

Assessing the Impact of Community Policing on the Criminal Justice System (92-IJ-CX-K033)
Jefferson Institute for Justice Studies, 1910 K Street NW., Suite 601, Washington, DC 20006
Joan E. Jacoby
\$275,000

Community Policing and Accreditation (92-IJ-CX-K038)

Eastern Kentucky University, 521 Lancaster Avenue, Richmond, KY 40475
Gary W. Cordner
\$187,386

Community Policing: Personnel Issues for Patrol Officers (92-IJ-CX-K003)

Michigan State University, Contract and Grant Administration, East Lansing, MI 48824
Robert C. Trojanowicz
\$235,918

Community Policing: Planning To Learn From Implementation (92-IJ-CX-K004)

President and Fellows of Harvard, 1350 Massachusetts Avenue, Holyoke Center 466, Cambridge, MA 02138
Francis X. Hartmann
\$473,041

The Impact of Policing on Social Disorder (92-IJ-CX-0008)
Northwestern University, 633 Clark Street, Room G547, Evanston, IL 60208
Wesley G. Skogan
\$24,928

Implementing Public Safety Improvement in America's Cities (91-IJ-CX-0004)

U.S. Conference of Mayors, Research and Education Foundation, 1620 Eye Street NW., Washington, DC 20006
Laura Dekoven Waxman
\$150,756 (Supplement)

National Overview of Existing Cultural/Value Education Programs for African-American Youth (89-IJ-CX-K002)

National Trust of African-American Men, 908 Pennsylvania Avenue SE., Washington, DC 20003
Garry A. Mendez
\$146,257 (Supplement)

Partnerships for Community Policing (92-IJ-CX-K039)

City of Los Angeles, 200 North Spring Street, Room M-10, Los Angeles, CA 90012
Ronald C. Banks
\$379,000

Transferring Community-Oriented Policing: Alternate Strategies (90-IJ-CX-0031)

International City Management Association, 777 North Capitol Street NE., Suite 500, Washington, DC 20002
E. Roberta Lesh
\$138,000 (Supplement)

Police Effectiveness

Analyzing Police/Citizen Encounters (92-IJ-CX-K019)
Police Foundation, 1001 22d Street NW., Suite 200, Washington, DC 20037
Antony Pate
\$148,035

¹These awards are designated as follows: Grant award numbers end in four digits, zero-filled. Interagency agreement numbers include A and three digits. Cooperative agreement numbers end in K and three digits. Contracts are represented by C and three digits.

Developing a Strategic Plan for Security at the Olympic Games (92-IJ-CX-A033)

Georgia Criminal Justice Coordinating Council,
503 Oak Place, Suite 540, Atlanta, GA 30349
Sidney Miles
\$1,000,000

Measuring the Use of Force by Police

(92-IJ-CX-K028)
Phoenix Police Department, 620 West Washington,
Phoenix, AZ 85003
John Buchanan
\$94,393

Police Killings: A Comprehensive Analysis

(91-IJ-CX-K025)
Police Foundation, 1001 22d Street NW., Suite 200,
Washington, DC 20037
Antony M. Pate
\$20,655 (Supplement)

Police Use of Excessive Force (91-IJ-CX-0027)

Police Executive Research Forum, 2300 M Street NW.,
Suite 910, Washington, DC 20037
William A. Geller
\$27,559 (Supplement)

Police Use of Excessive Force (91-IJ-CX-0028)

Police Foundation, 1001 22d Street NW., Suite 200,
Washington, DC 20037
Hubert Williams
\$52,944 (Supplement)

Policing in Rural Areas (92-IJ-CX-K012)

Illinois State University, Department of Criminal Justice
Science, Normal, IL 61761
Ralph A. Weisheit
\$248,643

Research and Development for Sheriffs—the Triad Concept to Reduce Criminal Victimization of the Elderly (92-IJ-CX-K001)

National Sheriffs' Association, 1450 Duke Street,
Alexandria, VA 22314
Charles B. Meeks
\$217,288

Research Application for Sheriffs

(92-IJ-CX-K002)
National Sheriffs' Association, 1450 Duke Street,
Alexandria, VA 22314
A.N. Moser
\$151,291
\$49,917 (Rural Policing)

Violence Against Police Officers (92-IJ-CX-A015)

Federal Bureau of Investigation, Washington,
DC 20530
J. Harper Wilson
\$106,569

Drug Prevention

Distinguishing Between Effects of Criminality and Drug Use (92-IJ-CX-0010)

Carnegie-Mellon University, Pittsburgh, PA 15213
Jacqueline Cohen
\$162,049

San Diego Drug Market Analysis and Street-level Enforcement (90-IJ-CX-K006)

City of San Diego, 202 C Street, 7th Floor,
San Diego, CA 92101
Kimberly Glenn
\$300,000 (Supplement)

SMART Program, Phase II—Model Dissemination to Urban Schools (91-IJ-CX-K019)

Robert W. Long, 3770 Torrey Pines Boulevard,
Sarasota, FL 34238
Robert W. Long
\$800,000 (Supplement)

Jersey City Drug Market Analysis Program (91-MU-CX-K005)

Jersey City Police Department, 280 Grove Street,
Jersey City, NJ 07302
Frank Gajewski
\$106,754 (Supplement)

Colombian Drug Trafficking Organizations (92-IJ-CX-K013)

Police Executive Research Forum, 2300 M Street
NW., Suite 910, Washington, DC 20037
Clifford Karchmer
\$220,266

Data, Research, and Analysis for Geographic Narcotic Enforcement Targets: DRAGNET, Phase III (92-IJ-CX-K035)

Kansas City (Missouri) Police Department,
1125 Locust Street, Kansas City, MO 64106
William Trimble
\$90,037

Drug Testing

Criminal Justice System Testing Programs in DUF Cities: Preliminary Survey (92-IJ-CX-K005)

Institute for Behavior and Health, Inc.,
6191 Executive Boulevard, Rockville, MD 20852
Robert L. DuPont
\$137,692

Drug Testing Technology/Focused Offender Disposition Program (92-IJ-CX-0004)

Wayne Johnston Enterprises, Inc., 6621 West
Happy Valley Road, Glendale, AZ 85310
John R. Hepburn
\$60,797

Drug Use Forecasting, Birmingham (92-DD-CX-A030)

City of Birmingham Finance Department,
3015 Seventh Avenue South, Birmingham,
AL 35203
Foster Cook
\$67,316

Drug Use Forecasting, Dallas (92-DD-CX-A029)

Dallas County Sheriff's Department,
P.O. Box 222138, Dallas, TX 75222
Pat McMillan
\$29,368

Drug Use Forecasting, Detroit (89-DD-CX-A011)

Wayne State University, Department of Criminal
Justice, 710 MacKenzie Hall, Detroit, MI 48202
Tom Mieczkowski
\$57,559 (Supplement)

Drug Use Forecasting, Indianapolis (92-DD-CX-A032)

Marion County Prosecutor, City-County Building,
Room 560, Indianapolis, IN 46204
Paul Galloway
\$44,272

Hair Analysis for Drugs of Abuse

(90-IJ-CX-0012)
University of California at Davis, Davis CA 95616
Gary L. Henderson
\$200,000 (Supplement)

Hair Assays for Drugs of Abuse in a Probation Population (92-IJ-CX-K010)

Operation PAR, Inc., 10901-C Roosevelt Boulevard,
Saint Petersburg, FL 33716
Harvey J. Landress
\$187,407

Laboratory Analysis of Approximately 42,000 Urine Specimens (91-IJ-CX-C004)

Pharmchem Laboratories, Inc., 3925 Bohannon Drive,
Menlo Park, CA 94025
Keith W. Patten
\$340,986 (Supplement)

Study of Impacts in the States of Implementing Drug Testing (90-IJ-CX-0028)

National Criminal Justice Association, 444 North Capitol
Street NW., Washington, DC 20001
Gwen A. Holden
\$23,679 (Supplement)

Use of Drug Use Forecasting (DUF) Results To Inform and Shape Weeding and Seeding Efforts (92-IJ-CX-K011)

San Diego Association of Government, 401 B Street,
Suite 800, San Diego, CA 92101
Susan Pennell
\$162,396

Evaluation

Boys and Girls Clubs in Public Housing (92-DD-CX-K038)

University of Wisconsin at Milwaukee, P.O. Box 340,
Milwaukee, WI 53201
Carl E. Pope
\$199,998

Community Performance Measures (92-IJ-CX-K037)

Portland City Bureau of Fire, Grant Division,
1120 Southwest Fifth Avenue, #1250, Portland,
OR 97204
Dave Williams
\$366,358

Drug Market Analysis: An Enforcement Model

(92-DD-CX-K031)

Institute for Law and Justice, Inc., 1018 Duke Street,
Alexandria, VA 22314

J. Thomas McEwen

\$200,000

Evaluation of Boot Camps for Juvenile Offenders

(92-DD-CX-K043)

American Institutes For Research, 3333 K Street NW.,
Washington, DC 20007

Blair B. Bourque

\$649,710

Evaluation of Correctional Options Demonstration Program (92-DD-CX-K037)

National Council on Crime and Delinquency,

685 Market Street, Suite 620, San Francisco, CA 94105

James Austin

\$399,904

Evaluation of the Family Violence Prevention and Service Act (92-IJ-CX-K009)

Urban Institute, 2100 M Street NW., Washington,
DC 20037

Adele Harrell

\$208,825

Evaluation of Minnesota's Intensive Community Supervision (ICS) (90-DD-CX-0062)

RAND Corporation, 1700 Main Street, Santa Monica,
CA 90406

Joan Petersilia

\$126,000 (Supplement)

Evaluation of Violence Prevention Programs in Middle Schools (92-IJ-CX-K030)

Victim Services Agency, 2 Lafayette Street, New York,
NY 10007

Ellen Brickman

\$215,378

Field Evaluation: Prison Setting (92-IJ-CX-K031)

American Correctional Association, 8025 Laurel Lakes
Court, Laurel, MD 20707

John J. Greene

\$244,022

Longitudinal Impact Evaluation of the Strategic Intervention for High-Risk Youth

(92-DD-CX-0031)

Urban Institute, 2100 M Street NW., Washington,
DC 20037

Adele Harrell

\$581,952

National Evaluation of the Weed and Seed Program (92-DD-CX-K044)

Institute for Social Analysis, 201 North Union Street,
Suite 360, Alexandria, VA 22314

Royer F. Cook

\$549,458

Fellowship Programs

Americans With Disabilities Act: Implications for Criminal Justice (92-IJ-CX-0009)

Paula N. Rubin, 3801 Connecticut Avenue NW.,
#511, Washington, DC 20008

Paula N. Rubin

June 1, 1992—April 30, 1994

\$168,606

Defining Community Policing (91-IJ-CX-0025)

Joseph F. Ryan, New York City Police Department,
1 Police Plaza, New York, NY 10036

Joseph F. Ryan

October 1, 1991—September 30, 1993

\$168,581 (Supplement)

Defining the Characteristics and Role of the Community in Community-Oriented Policing (92-IJ-CX-0011)

University of Wisconsin at Oshkosh, 800 Algona
Boulevard, Oshkosh, WI 54901

Michael E. Buerger

January 1, 1993—December 31, 1994

\$192,611

Identifying Serious and Violent Criminal Careers: Early Warning, Rapid Intervention, Optimal Control (90-IJ-CX-0065)

Neil Alan Weiner, 2205 Mount Vernon Street,
Philadelphia, PA 19130

Neil Alan Weiner

October 1, 1990—March 31, 1993

\$13,800 (Supplement)

International Prevention and Control of Money Laundering (92-IJ-CX-0005)

Ernesto U. Savona, University of Trento,
Via Resmini 33, Taranto, Italy

Ernesto U. Savona

November 1, 1992—October 31, 1994

\$99,629

John B. Pickett Fellowship in Criminal Justice Policy and Management (92-IJ-CX-0012)

President and Fellows of Harvard College,
1350 Massachusetts Avenue, Holyoke Center 466,
Cambridge, MA 02138

Frank Dwyer and Roy Hechavarria

\$72,841

Police Psychology and Excessive Force (92-IJ-CX-0002)

Ellen Scrivner, 4900 Sedgwick Street NW.,
Washington, DC 20016

Ellen Scrivner

March 30, 1992—August 30, 1993

\$148,762

Post-occupancy Evaluation of Correctional Facilities (91-IJ-CX-9912)

Carole Knapel, 15 Pinkney Street, Annapolis,
MD 21401

Carole Knapel

September 1, 1991—November 30, 1993

\$246,721 (Supplement)

Secret Service Exceptional Case Study Project (92-IJ-CX-0013)

Robert A. Fein, 39 Linnaean Street, Cambridge,
MA 02138

Robert A. Fein

July 1, 1992—December 31, 1993

\$255,720

Gangs and Violent Offenders

Delinquent Networks in Philadelphia: Policing Gangs (92-IJ-CX-K008)

Temple University, Broad Street and Montgomery
Avenue, Philadelphia, PA 19122

Joan McCord

\$174,990

Gangs and Organized Crime Groups

(92-IJ-CX-K036)

Police Executive Research Forum, 2300 M Street NW.,
Suite 910, Washington, DC 20037

Deborah Weisel

\$199,518

Gangs and Targets of Intervention (92-IJ-CX-K022)

Cosmos Corporation, 1735 I Street NW., Suite 613,
Washington, DC 20006

Peter G. Bateman

\$249,943

Gangs in Correctional Facilities: A National Assessment (91-IJ-CX-0026)

American Correctional Association, 8025 Laurel Lakes
Court, Laurel, MD 20707

Dennis G. Baugh

\$99,957 (Supplement)

Group Offending and Criminal Careers: Violence Among Juveniles (92-IJ-CX-0007)

Kent State University, Kent, OH 44242

Pamela Tontodonato

\$22,296

Corrections and Intermediate Sanctions

AIDS/HIV Education in Lockups and Booking Facilities, Phase III (89-IJ-CX-0060)

Abt Associates, Inc., 55 Wheeler Street, Cambridge,
MA 02138

Michael Gross

\$1,000,000 (Supplement)

AIDS in Correctional Facilities (92-IJ-CX-K016)

Abt Associates, Inc., 55 Wheeler Street, Cambridge,
MA 02138

Theodore Hammett

\$49,974

Application/Evaluation in Jails and Patrol Situations of Less-Than-Lethal Weapons (92-IJ-CX-K017)

National Sheriffs' Association, 1450 Duke Street,
Alexandria, VA 22314

Charles B. Meeks

\$249,738

**Assessing Current Prisoner Classification Systems,
Legal Environments, and Technological Developments
(92-IJ-CX-K014)**

Sam Houston State University, SHSU Box 2027,
Huntsville, TX 77341
Billy Covington
\$226,059

**Boot Camp Prisons: Coordination of Research and
Development (92-IJ-CX-A027)**

University of Maryland at College Park, 3121 Blair Lee
Building, Room 2103, College Park, MD20742
Doris MacKenzie
\$206,138

**Continuation of NIJ's Jail Industries Program
(90-MU-CX-0003)**

Community Resource Services, P.O. Box 234, Kents Hill,
ME 04349
Rodney Miller
\$148,737 (Supplement)

**Criminal Justice Drug Treatment Program for Female
Offenders (92-IJ-CX-K018)**

Public Health Foundation of Los Angeles County, Inc.,
13200 Crossroads Parkway N., #135, City of Industry,
CA 91746
Gayle Chapman
\$190,814

**Identifying Effective Strategies of Managing Female
Offenders (92-IJ-CX-K027)**

Michigan State University, Contract and Grant
Administration, East Lansing, MI 48824
Merry Morash
\$199,965

**Management of Special Populations: Mentally
Disabled Offenders (92-IJ-CX-K020)**

Policy Research Associates, 262 Daleware Avenue,
Delmar, NY 12054
Henry J. Steadman
\$219,308

**National Survey of Probation and Parole
Departments' Management of Sex Offenders
(92-IJ-CX-K021)**

Colorado Division of Criminal Justice, 700 Kipling
Street, Suite 1000, Denver, CO 80215
Kim English
\$199,344

**Private Sector Prison Industries: Study of Impact
on Costs (90-MU-CX-0004)**

Criminal Justice Associates, 48 East Chestnut Hill
Avenue, Philadelphia, PA 19118
George E. Sexton
\$55,210 (Supplement)

**Proposal to Develop National Standards for Adult
and Juvenile Corrections (92-DD-CX-K039)**

American Correctional Association, 8025 Laurel
Lakes Court, Laurel, MD 20707
Hardy Rauch
\$249,931

**Sexual Violence: Utility of Rapist Classification for
Criminal Justice Applications (92-IJ-CX-K032)**

Forensic Training and Research Associates,
22 Mill Street, Suite 208, Arlington, MA 02174
Robert Prentky
\$258,608

**Information Systems, Statistics,
and Technology**

**Analysis of DNA Profiling Locations
(92-IJ-CX-K024)**

University of Texas Health Center, P.O. Box 20036,
Houston, TX 77225
Stephen P. Daiger
\$155,339

**Ballistic Research Laboratory Technical Support
(92-IJ-CX-A023)**

U.S. Department of the Army, Pentagon, Arlington,
VA 20530
Russell N. Prather
\$11,794

Comparative Mace Study (92-IJ-CX-K026)

International Association of Chiefs of Police,
515 North Washington Street, Alexandria,
VA 22314
Daniel Rosenblatt
\$240,688

A Computer Sourcebook of Forensic Serology, Fingerprint Information, and Trace Evidence Information (92-IJ-CX-K006)

Regents of University of California, Berkeley,
Accounting Office, 481 University Hall, Berkeley,
CA 94704

John I. Thornton
\$193,823

The Cutting Edge of Technology: An Information Campaign (92-IJ-CX-0003)

International Association of Chiefs of Police,
515 North Washington Street, Alexandria,
VA 22314

Charles E. Higginbotham
\$198,382

Design of a DNA Profile System Using STRs [Short Tandem Repeats] (92-IJ-CX-K042)

Baylor College of Medicine, 1 Baylor Plaza, Houston,
TX 77030

C. Thomas Caskey
\$160,592

Development of Specialty Examinations Leading to Certification in Criminalistics (92-IJ-CX-K007)

American Board of Criminalistics, P.O. Box 209,
Greenlawn, NY 11740

Richard E. Tontarski, Jr.
\$37,643

DNA Performance Standards Development (92-IJ-CX-A024)

National Institute of Standards and Technology,
Gaithersburg, MD 20899

Dennis Reeder
\$30,000

Gunshot Residue Detection and Interpretation (92-IJ-CX-K043)

New York Research Foundation, CUNY-John Jay
College, 79 Fifth Avenue, New York, NY 10003

Peter R. Deforest
\$93,902

The Influence of Population Subdivision on the Use of Mitochondrial DNA Typing in Forensics

(92-IJ-CX-K040)

Pennsylvania State University, Institute for Policy
Research, 207 Old Main, State College, PA 16802

Paul M. Antolosky
\$116,453

Law Enforcement Standards Laboratory and Support Services (73-NI-99-A021)

National Institute of Standards and Technology,
Gaithersburg, MD 20899

Lawrence Eliason
\$664,700 (Supplement)

Less-Than-Lethal Weapons Program

(92-IJ-CX-A037)

Department of Energy, Lawrence Livermore National
Laboratories, P.O. Box 808 L 407, Livermore CA94550

Richard Emmert
\$357,700

Less-Than-Lethal Weapons Program

(92-IJ-CX-A035)

U.S. Department of Energy, Sandia National
Laboratories, Albuquerque Operations Office,
P.O. Box 5400, Albuquerque, NM 87111

H. Tony Davidson
\$461,000

Less-Than-Lethal Weapons Program

(91-IJ-CX-A017)

University of Baltimore, 1304 St. Paul Street, Baltimore,
MD 21202

Larry Thomas
\$74,000 (Supplement)

Less-Than-Lethal Weapons Program, Technical Support (92-IJ-CX-A016)

Department of Energy, Office of Intelligence,
1000 Independence Avenue SW., Washington,
DC20585

Robert W. Daniel
\$171,210

New Reagents for the Development of Fingerprints (92-IJ-CX-K015)

University of Pennsylvania, 133 South 36th Street,
Suite 300, Philadelphia, PA 19104

Madeleine Joullie
\$140,667

Technology Assessment Program Information Center
(90-IJ-CX-K009)
Aspen Systems Corporation, 1600 Research Boulevard,
Rockville, MD 20850
Candace McIlhenny
\$321,270 (Supplement)

Typing of DNA in Sperm Evidence (92-IJ-CX-K029)
Regents of the University of California, Berkeley,
Accounting Office, 481 University Hall, Berkeley,
CA 94704
Neil Maxwell
\$79,929

Prosecution and Adjudication

Development and Dissemination of a Model Drug Precursor Act (91-IJ-CX-K002)
American Prosecutors Research Institute, 1033 North
Fairfax Street, Suite 200, Alexandria, VA 22314
Don Rebovich
\$13,947 (Supplement)

Probation Risk Assessment Project, Florida
(92-IJ-CX-A014)
Florida Department of Corrections, 2601 Blairstone Road,
Tallahassee, FL 32399
William D. Bales
\$24,203

Weed and Seed Prosecutors Information System
(92-IJ-CX-K023)
American Prosecutors Research Institute, 1033 North
Fairfax Street, Suite 200, Alexandria, VA 22314
Cabell Cropper
\$98,231

Research Applications, Conferences, and Technical Support

1992 Administration of Justice Seminar
(92-IJ-CX-0001)
Brookings Institution, 1775 Massachusetts Avenue NW.,
Washington, DC 20036
Warren I. Cikins
\$10,000

Annual Review of Justice Research
(92-IJ-CX-K044)
Castine Research Corporation, Main Street,
P.O. Box 549, Castine, ME 04421
Michael Tonry
\$151,605

Criminal Justice Research Training Program
(92-IJ-CX-A006)
University of Maryland at College Park, 3121 Blair
Lee Building, Room 2103, College Park, MD20742
Charles Wellford
\$23,593

Data Resources Program of the National Institute of Justice (92-IJ-CX-C004)
University of Michigan, P.O. Box 1248, Ann Arbor,
MI 48106
Victoria Schneider
\$250,754

FEDLINK Fiscal Year 1992 (92-IJ-CX-A005)
Library of Congress, LA 1026C, Washington,
DC 20540
John O. Hemperley
\$4,590

The National Assessment Survey (92-IJ-CX-C005)
Institute for Law and Justice, Inc., 1018 Duke Street,
Alexandria, VA 22314
J. Thomas McEwen
\$171,522

National Criminal Justice Reference Service
(90-MU-CX-C005)
Aspen Systems Corporation, 1600 Research
Boulevard, Rockville, MD 20850
Richard Rosenthal
\$4,407,960 (Supplement)

NIJ Computer Support for Data Analysis
(91-IJ-CX-A009)
University of Maryland at College Park, 3121 Blair
Lee Building, Room 2103, College Park,
MD 20742
Ira Gold
\$20,000 (Supplement)

Professional Conference Series (91-IJ-CX-C005)
Institute for Law and Justice, Inc., 1018 Duke Street,
Alexandria, VA 22314
Edward F. Conners
\$1,199,310 (Supplement)

**Research Application Support: Criminal Justice
Issues and Practices (89-IJ-CX-C009)**
Abt Associates, Inc., 55 Wheeler Street, Cambridge,
MA 02138
Joan Mullen
\$1,138,150 (Supplement)

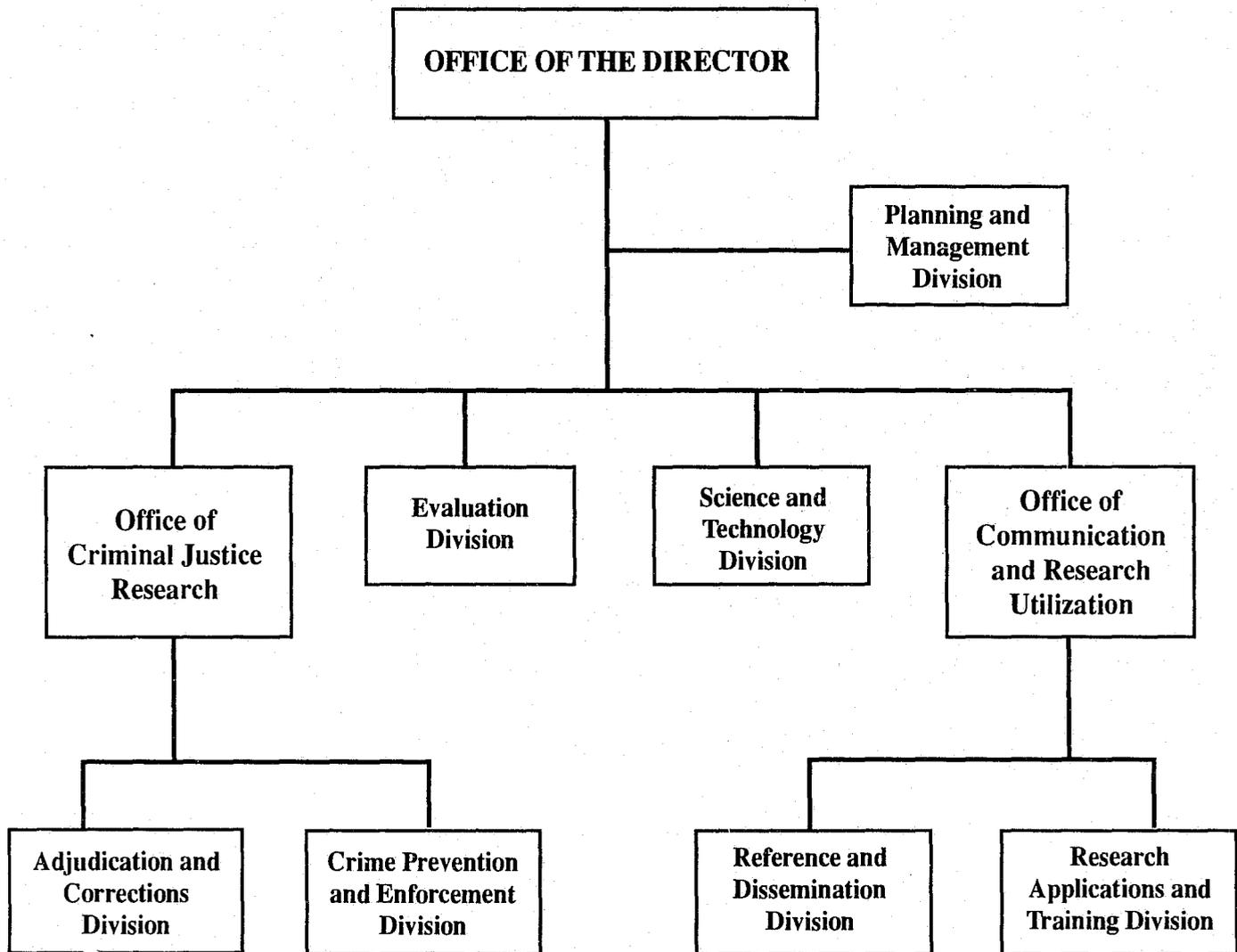
**Technical Assistance and Support to NIJ
(91-MU-CX-C008)**
KOB Associates, Inc., 1156 15th Street, NW.,
Washington, DC 20005
June B. Kress
\$1,007,029 (Supplement)

Section VI

NIJ Organization and Staff

National Institute of Justice

Organization Chart



National Institute of Justice

Staff

Michael J. Russell
Acting Director

Office of the Director

Cheri Dea
Charles Lauer (on detail)
Christy Visher

Planning and Management Division

Carol Petrie, Director
Denise Gadson
Phyllis Poole
Carrie L. Smith
Shellie Solomon

Office of Criminal Justice Research

Craig Uchida, Acting Director
Louise Lofton
Chevelle Tilghman

Adjudication and Corrections Division

Edwin Zedlewski, Acting Director
Bernard Auchter
Voncile Gowdy
Pamela Lattimore

Crime Prevention and Enforcement Division

Fred Heinzelmann, Director
Lois Mock
George Shollenberger
Richard Titus

Evaluation Division

Winifred Reed, Acting Director
Laurie Bright
David Hayeslip
Rosemary Murphy

Science and Technology Division

David Boyd, Director
Audrey Blankenship
Ray Downs (Visiting Scientist)
Richard Laymon
Richard Rau

Office of Communication and Research Utilization

Paul Cascarano, Director
Tamara Ross

Reference and Dissemination Division

Paul Estaver, Director
Mary Graham
Eugene Hebert
G. Martin Lively
Daniel Tompkins

Research Applications and Training Division

Virginia Baldau, Director
Jonathan Budd
Cheryl Crawford
Marilyn Moses
Joyce O'Neil
Carolyn Peake
Carol Putnam
John Spevacek
John Thomas

Section VII

Application Forms

APPLICATION FOR FEDERAL ASSISTANCE

1. TYPE OF SUBMISSION: <i>Application</i> <input type="checkbox"/> Construction <input type="checkbox"/> Non-Construction <i>Preapplication</i> <input type="checkbox"/> Construction <input type="checkbox"/> Non-Construction		2. DATE SUBMITTED	Applicant Identifier
		3. DATE RECEIVED BY STATE	State Application Identifier
		4. DATE RECEIVED BY FEDERAL AGENCY	Federal Identifier
5. APPLICANT INFORMATION			
Legal Name:		Organizational Unit:	
Address (give city, county, state, and zip code):		Name and telephone number of the person to be contacted on matters involving this application (give area code)	
6. EMPLOYER IDENTIFICATION NUMBER (EIN): [] [] - [] [] [] [] [] [] [] []		7. TYPE OF APPLICANT: (enter appropriate letter in box) <input type="checkbox"/> <ul style="list-style-type: none"> A. State B. County C. Municipal D. Township E. Interstate F. Intermunicipal G. Special District H. Independent School Dist. I. State Controlled Institution of Higher Learning J. Private University K. Indian Tribe L. Individual M. Profit Organization N. Other (Specify): _____ 	
8. TYPE OF APPLICATION: <input type="checkbox"/> New <input type="checkbox"/> Continuation <input type="checkbox"/> Revision If Revision, enter appropriate letter(s) in box(es): <input type="checkbox"/> <input type="checkbox"/> A. Increase Award B. Decrease Award C. Increase Duration D. Decrease Duration Other (specify): _____		9. NAME OF FEDERAL AGENCY:	
10. CATALOG OF FEDERAL DOMESTIC ASSISTANCE NUMBER: [] [] [] [] [] [] [] [] [] [] TITLE: _____		11. DESCRIPTIVE TITLE OF APPLICANT'S PROJECT:	
12. AREAS AFFECTED BY PROJECT (cities, counties, states, etc.):			
13. PROPOSED PROJECT:		14. CONGRESSIONAL DISTRICTS OF:	
Start Date	Ending Date	a. Applicant	b. Project
15. ESTIMATED FUNDING:		16. IS APPLICATION SUBJECT TO REVIEW BY STATE EXECUTIVE ORDER 12372 PROCESS?	
a. Federal	\$.00	a. YES. THIS PREAPPLICATION/APPLICATION WAS MADE AVAILABLE TO THE STATE EXECUTIVE ORDER 12372 PROCESS FOR REVIEW ON: DATE _____	
b. Applicant	\$.00	b. NO. <input type="checkbox"/> PROGRAM IS NOT COVERED BY E.O. 12372	
c. State	\$.00	<input type="checkbox"/> OR PROGRAM HAS NOT BEEN SELECTED BY STATE FOR REVIEW	
d. Local	\$.00		
e. Other	\$.00		
f. Program Income	\$.00	17. IS THE APPLICANT DELINQUENT ON ANY FEDERAL DEBT?	
g. TOTAL	\$.00	<input type="checkbox"/> Yes If "Yes," attach an explanation. <input type="checkbox"/> No	
18. TO THE BEST OF MY KNOWLEDGE AND BELIEF, ALL DATA IN THIS APPLICATION/PREAPPLICATION ARE TRUE AND CORRECT, THE DOCUMENT HAS BEEN DULY AUTHORIZED BY THE GOVERNING BODY OF THE APPLICANT AND THE APPLICANT WILL COMPLY WITH THE ATTACHED ASSURANCES IF THE ASSISTANCE IS AWARDED			
a. Typed Name of Authorized Representative		b. Title	c. Telephone number
d. Signature of Authorized Representative		e. Date Signed	

INSTRUCTIONS FOR THE SF 424

This is a standard form used by applicants as a required facesheet for preapplications and applications submitted for Federal assistance. It will be used by Federal agencies to obtain applicant certification that States which have established a review and comment procedure in response to Executive Order 12372 and have selected the program to be included in their process, have been given an opportunity to review the applicant's submission.

- | Item: | Entry: | Item: | Entry: |
|-------|--|-------|--|
| 1. | Self-explanatory. | 12. | List only the largest political entities affected (e.g., State, counties, cities). |
| 2. | Date application submitted to Federal agency (or State if applicable) & applicant's control number (if applicable). | 13. | Self-explanatory. |
| 3. | State use only (if applicable). | 14. | List the applicant's Congressional District and any District(s) affected by the program or project. |
| 4. | If this application is to continue or revise an existing award, enter present Federal identifier number. If for a new project, leave blank. | 15. | Amount requested or to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions should be included on appropriate lines as applicable. If the action will result in a dollar change to an existing award, indicate <u>only</u> the amount of the change. For decreases, enclose the amounts in parentheses. If both basic and supplemental amounts are included, show breakdown on an attached sheet. For multiple program funding, use totals and show breakdown using same categories as item 15. |
| 5. | Legal name of applicant, name of primary organizational unit which will undertake the assistance activity, complete address of the applicant, and name and telephone number of the person to contact on matters related to this application. | 16. | Applicants should contact the State Single Point of Contact (SPOC) for Federal Executive Order 12372 to determine whether the application is subject to the State intergovernmental review process. |
| 6. | Enter Employer Identification Number (EIN) as assigned by the Internal Revenue Service. | 17. | This question applies to the applicant organization, not the person who signs as the authorized representative. Categories of debt include delinquent audit disallowances, loans and taxes. |
| 7. | Enter the appropriate letter in the space provided. | 18. | To be signed by the authorized representative of the applicant. A copy of the governing body's authorization for you to sign this application as official representative must be on file in the applicant's office. (Certain Federal agencies may require that this authorization be submitted as part of the application.) |
| 8. | Check appropriate box and enter appropriate letter(s) in the space(s) provided:
— "New" means a new assistance award.
— "Continuation" means an extension for an additional funding/budget period for a project with a projected completion date.
— "Revision" means any change in the Federal Government's financial obligation or contingent liability from an existing obligation. | | |
| 9. | Name of Federal agency from which assistance is being requested with this application. | | |
| 10. | Use the Catalog of Federal Domestic Assistance number and title of the program under which assistance is requested. | | |
| 11. | Enter a brief descriptive title of the project. If more than one program is involved, you should append an explanation on a separate sheet. If appropriate (e.g., construction or real property projects), attach a map showing project location. For preapplications, use a separate sheet to provide a summary description of this project. | | |

BUDGET INFORMATION — Non-Construction Programs

SECTION A — BUDGET SUMMARY

Grant Program Function or Activity (a)	Catalog of Federal Domestic Assistance Number (b)	Estimated Unobligated Funds		New or Revised Budget		
		Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)	Total (g)
1.		\$	\$	\$	\$	\$
2.						
3.						
4.						
5. TOTALS		\$	\$	\$	\$	\$

SECTION B — BUDGET CATEGORIES

6 Object Class Categories	GRANT PROGRAM, FUNCTION OR ACTIVITY				Total (5)
	(1)	(2)	(3)	(4)	
a. Personnel	\$	\$	\$	\$	\$
b. Fringe Benefits					
c. Travel					
d. Equipment					
e. Supplies					
f. Contractual					
g. Construction					
h. Other					
i. Total Direct Charges (sum of 6a - 6h)					
j. Indirect Charges					
k. TOTALS (sum of 6i and 6j)	\$	\$	\$	\$	\$
7. Program Income	\$	\$	\$	\$	\$

SECTION C - NON-FEDERAL RESOURCES

(a) Grant Program	(b) Applicant	(c) State	(d) Other Sources	(e) TOTALS
8.	\$	\$	\$	\$
9.				
10.				
11.				
12. TOTALS (sum of lines 8 and 11)	\$	\$	\$	\$

SECTION D - FORECASTED CASH NEEDS

13. Federal	Total for 1st Year	1st Quarter	2nd Quarter	3rd Quarter	4th Quarter
	\$	\$	\$	\$	\$
14. NonFederal					
15. TOTAL (sum of lines 13 and 14)	\$	\$	\$	\$	\$

SECTION E - BUDGET ESTIMATES OF FEDERAL FUNDS NEEDED FOR BALANCE OF THE PROJECT

(a) Grant Program	FUTURE FUNDING PERIODS (Years)			
	(b) First	(c) Second	(d) Third	(e) Fourth
16.	\$	\$	\$	\$
17.				
18.				
19.				
20. TOTALS (sum of lines 16 -19)	\$	\$	\$	\$

SECTION F - OTHER BUDGET INFORMATION

(Attach additional Sheets if Necessary)

21. Direct Charges:	22. Indirect Charges:
23. Remarks	

INSTRUCTIONS FOR THE SF-424A

General Instructions

This form is designed so that application can be made for funds from one or more grant programs. In preparing the budget, adhere to any existing Federal grantor agency guidelines which prescribe how and whether budgeted amounts should be separately shown for different functions or activities within the program. For some programs, grantor agencies may require budgets to be separately shown by function or activity. For other programs, grantor agencies may require a breakdown by function or activity. Sections A,B,C, and D should include budget estimates for the whole project except when applying for assistance which requires Federal authorization in annual or other funding period increments. In the latter case, Sections A,B, C, and D should provide the budget for the first budget period (usually a year) and Section E should present the need for Federal assistance in the subsequent budget periods. All applications should contain a breakdown by the object class categories shown in Lines a-k of Section B.

Section A. Budget Summary Lines 1-4, Columns (a) and (b)

For applications pertaining to a *single* Federal grant program (Federal Domestic Assistance Catalog number) and *not requiring* a functional or activity breakdown, enter on Line 1 under Column (a) the catalog program title and the catalog number in Column (b).

For applications pertaining to a *single* program *requiring* budget amounts by multiple functions or activities, enter the name of each activity or function on each line in Column (a), and enter the catalog number in Column (b). For applications pertaining to multiple programs where none of the programs require a breakdown by function or activity, enter the catalog program title on each line in *Column* (a) and the respective catalog number on each line in Column (b).

For applications pertaining to *multiple* programs where one or more programs *require* a breakdown by function or activity, prepare a separate sheet for each program requiring the breakdown. Additional sheets should be used when one form does not provide adequate space for all breakdown of data required. However, when more than one sheet is used, the first page should provide the summary totals by programs.

Lines 1-4, Columns (c) through (g.)

For *new applications*, leave Columns (c) and (d) blank. For each line entry in Columns (a) and (b), enter in Columns (e), (f), and (g) the appropriate amounts of funds needed to support the project for the first funding period (usually a year).

Lines 1-4, Columns (c) through (g.) (continued)

For *continuing grant program applications*, submit these forms before the end of each funding period as required by the grantor agency. Enter in Columns (c) and (d) the estimated amounts of funds which will remain unobligated at the end of the grant funding period only if the Federal grantor agency instructions provide for this. Otherwise, leave these columns blank. Enter in columns (e) and (f) the amounts of funds needed for the upcoming period. The amount(s) in Column (g) should be the sum of amounts in Columns (e) and (f).

For *supplemental grants and changes* to existing grants, do not use Columns (c) and (d). Enter in Column (e) the amount of the increase or decrease of Federal funds and enter in Column (f) the amount of the increase or decrease of non-Federal funds. In Column (g) enter the new total budgeted amount (Federal and non-Federal) which includes the total previous authorized budgeted amounts plus or minus, as appropriate, the amounts shown in Columns (e) and (f). The amount(s) in Column (g) should not equal the sum of amounts in Columns (e) and (f).

Line 5 — Show the totals for all columns used.

Section B Budget Categories

In the column headings (1) through (4), enter the titles of the same programs, functions, and activities shown on Lines 1-4, Column (a), Section A. When additional sheets are prepared for Section A, provide similar column headings on each sheet. For each program, function or activity, fill in the total requirements for funds (both Federal and non-Federal) by object class categories.

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

Line 6j — Show the amount of indirect cost.

Line 6k — Enter the total of amounts on Lines 6i and 6j. For all applications for new grants and continuation grants the total amount in column (5), Line 6k, should be the same as the total amount shown in Section A, Column (g), Line 5. For supplemental grants and changes to grants, the total amount of the increase or decrease as shown in Columns (1)-(4), Line 6k should be the same as the sum of the amounts in Section A, Columns (e) and (f) on Line 5.

INSTRUCTIONS FOR THE SF-424A (continued)

Line 7 - Enter the estimated amount of income, if any, expected to be generated from this project. Do not add or subtract this amount from the total project amount. Show under the program narrative statement the nature and source of income. The estimated amount of program income may be considered by the federal grantor agency in determining the total amount of the grant.

Section C. Non-Federal-Resources

Lines 8-11 - Enter amounts of non-Federal resources that will be used on the grant. If in-kind contributions are included, provide a brief explanation on a separate sheet.

Column (a) - Enter the program titles identical to Column (a), Section A. A breakdown by function or activity is not necessary.

Column (b) - Enter the contribution to be made by the applicant.

Column (c) - Enter the amount of the State's cash and in-kind contribution if the applicant is not a State or State agency. Applicants which are a State or State agencies should leave this column blank.

Column (d) - Enter the amount of cash and in-kind contributions to be made from all other sources.

Column (e) - Enter totals of Columns (b), (c), and (d).

Line 12 - Enter the total for each of Columns (b)-(e). The amount in Column (e) should be equal to the amount on Line 5, Column (f), Section A.

Section D. Forecasted Cash Needs

Line 13 - Enter the amount of cash needed by quarter from the grantor agency during the first year.

Line 14 - Enter the amount of cash from all other sources needed by quarter during the first year.

Line 15 - Enter the totals of amounts on Lines 13 and 14.

Section E. Budget Estimates of Federal Funds Needed for Balance of the Project

Lines 16 - 19 - Enter in Column (a) the same grant program titles shown in Column (a), Section A. A breakdown by function or activity is not necessary. For new applications and continuation grant applications, enter in the proper columns amounts of Federal funds which will be needed to complete the program or project over the succeeding funding periods (usually in years). This section need not be completed for revisions (amendments, changes, or supplements) to funds for the current year of existing grants.

If more than four lines are needed to list the program titles, submit additional schedules as necessary.

Line 20 - Enter the total for each of the Columns (b)-(e). When additional schedules are prepared for this Section, annotate accordingly and show the overall totals on this line.

Section F. Other Budget Information

Line 21 - Use this space to explain amounts for individual direct object-class cost categories that may appear to be out of the ordinary or to explain the details as required by the Federal grantor agency.

Line 22 - Enter the type of indirect rate (provisional, predetermined, final or fixed) that will be in effect during the funding period, the estimated amount of the base to which the rate is applied, and the total indirect expense.

Line 23 - Provide any other explanations or comments deemed necessary.

SPECIAL INSTRUCTIONS

Applicants must provide on a separate sheet a budget narrative which will detail by budget category, the Federal and non-Federal (in-kind and cash) share. The grantee cash contribution should be identified as to its source, i.e., funds appropriated by a State or local government or donation from a private source. The narrative should relate the items budgeted to project activities and should provide a justification and explanation for the budgeted items including the criteria and data used to arrive at the estimates for each budget category.

INSTRUCTIONS

PROGRAM NARRATIVE

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

1. OBJECTIVES AND NEED FOR THIS ASSISTANCE.

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

2. RESULTS OR BENEFITS EXPECTED.

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

3. APPROACH.

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

show the schedule of accomplishments and their target dates.

- c. Identify the kinds of data to be collected and maintained and discuss the criteria to be used to evaluate the results and successes of the project. Explain the methodology that will be used to determine if the needs identified and discussed are being met and if the results and benefits identified in item 2 are being achieved.
- d. List organizations, cooperators, consultants, or other key individuals who will work on the project along with a short description of the nature of their effort or contribution.

4. GEOGRAPHIC LOCATION.

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

5. IF APPLICABLE, PROVIDE THE FOLLOWING INFORMATION:

- a. For research or demonstration assistance requests, present a biographical sketch of the program director with the following information; name, address, phone number, background, and other qualifying experience for the project. Also, list the name, training and background for other key personnel engaged in the project.
- b. Discuss accomplishments to date and list in chronological order a schedule of accomplishments, progress or milestones anticipated with the new funding request. If there have been significant changes in the project objectives, location approach, or time delays, explain and justify. For other requests for changes or amendments, explain the reason for the change(s). If the scope or objectives have changed or an extension of time is necessary, explain the circumstances and justify. If the total budget items have changed more than the prescribed limits contained in the Uniform Administrative Requirements for Grants and Cooperative Agreements - 28 CFR, part 66, Common Rule (or Attachment J to OMB Circular A-110, as applicable), explain and justify the change and its effect on the project.
- c. For supplemental assistance requests, explain the reason for the request and justify the need for additional funding.

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

ASSURANCES

The Applicant hereby assures and certifies compliance with all Federal statutes, regulations, policies, guidelines and requirements, including OMB Circulars No. A-21, A-110, A-122, A-128, A-87; E.O. 12372 and Uniform Administrative Requirements for Grants and Cooperative Agreements - 28 CFR, Part 66, Common Rule, that govern the application, acceptance and use of Federal funds for this federally-assisted project. Also the Applicant assures and certifies that:

1. It possesses legal authority to apply for the grant; that a resolution, motion or similar action has been duly adopted or passed as an official act of the applicant's governing body, authorizing the filing of the application, including all understandings and assurances contained therein, and directing and authorizing the person identified as the official representative of the applicant to act in connection with the application and to provide such additional information may be required.
2. It will comply with requirements of the provisions of the Uniform Relocation Assistance and Real Property Acquisitions Act of 1970 P.L. 91-646) which provides for fair and equitable treatment of persons displaced as a result of Federal and federally-assisted programs.
3. It will comply with provisions of Federal law which limit certain political activities of employees of a State or local unit of government whose principal employment is in connection with an activity financed in whole or in part by Federal grants. (5 USC 1501, et seq.)
4. It will comply with the minimum wage and maximum hours provisions of the Federal Fair Labor Standards Act if applicable.
5. It will establish safeguards to prohibit employees from using their positions for a purpose that is or gives the appearance of being motivated by a desire for private gain for themselves or others, particularly those with whom they have family, business, or other ties.
6. It will give the sponsoring agency or the Comptroller General, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the grant.
7. It will comply with all requirements imposed by the Federal sponsoring agency concerning special requirements of law, program requirements, and other administrative requirements.
8. It will insure that the facilities under its ownership, lease or supervision which shall be utilized in the accomplishment of the project are not listed on the Environmental Protection Agency's (EPA) list of Violating Facilities and that it will notify the Federal grantor agency of the receipt of any communication from the Director of the EPA Office of Federal Activities indicating that a facility to be used in the project is under consideration for listing by the EPA.
9. It will comply with the flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973, Public Law 93-234, 87 Stat. 975, approved December 31, 1976. Section 102(a) requires, on and after March 2, 1975, the purchase of flood insurance in communities where such insurance is available as a condition for the receipt of any Federal financial assistance for construction or acquisition purposes for use in any area that has been identified by the Secretary of the Department of Housing and Urban Development as an area having special flood hazards. The phrase "Federal financial assistance" includes any form of loan, grant, guaranty, insurance payment, rebate, subsidy, disaster assistance loan or grant, or any other form of direct or indirect Federal assistance.
10. It will assist the Federal grantor agency in its compliance with Section 106 of the National Historic Preservation Act of 1966 as amended (16 USC 470), Executive Order 11593, and the Archeological and Historical Preservation Act of 1966 (16 USC 569a-1 et seq.) by (a) consulting with the State Historic Preservation Officer on the conduct of investigations, as necessary, to identify properties listed in or eligible for inclusion in the National Register of Historic Places that are subject to adverse effects (see 36 CFR Part 800.8) by the activity, and notifying the Federal grantor agency of the existence of any such properties, and by (b) complying with all requirements established by the Federal grantor agency to avoid or mitigate adverse effects upon such properties.
11. It will comply, and assure the compliance of all its subgrantees and contractors, with the applicable provisions of Title I of the Omnibus Crime Control and Safe Streets Act of 1968, as amended, the Juvenile Justice and Delinquency Prevention Act, or the Victims of Crime Act, as appropriate; the provisions of the current edition of the Office of Justice Programs Financial and Administrative Guide for Grants, M7100.1; and all other applicable Federal laws, orders, circulars, or regulations.
12. It will comply with the provisions of 28 CFR applicable to grants and cooperative agreements including Part 18, Administrative Review Procedure; Part 20, Criminal Justice Information Systems; Part 22, Confidentiality of Identifiable Research and Statistical Information; Part 23, Criminal Intelligence Systems Operating Policies; Part 30, Intergovernmental Review of Department of Justice Programs and Activities; Part 42, Nondiscrimination/Equal Employment Opportunity Policies and Procedures; Part 61, Procedures for Implementing the National Environmental Policy Act; Part 63, Floodplain Management and Wetland Protection Procedures; and Federal laws or regulations applicable to Federal Assistance Programs.
13. It will comply, and all its contractors will comply, with the non-discrimination requirements of the Omnibus Crime Control and Safe Streets Act of 1968, as amended, 42 USC 3789(d), or Victims of Crime Act (as appropriate); Title VI of the Civil Rights Act of 1964, as amended; Section 504 of the Rehabilitation Act of 1973, as amended; Subtitle A, Title II of the Americans with Disabilities Act (ADA) (1990); Title IX of the Education Amendments of 1972; the Age Discrimination Act of 1975; Department of Justice Non-Discrimination Regulations, 28 CFR Part 42, Subparts C, D, E, and G; and Department of Justice regulations on disability discrimination, 28 CFR Part 35 and Part 39.
14. In the event a Federal or State court or Federal or State administrative agency makes a finding of discrimination after a due process hearing on the grounds of race, color, religion, national origin, sex, or disability against a recipient of funds, the recipient will forward a copy of the finding to the Office for Civil Rights, Office of Justice Programs.
15. It will provide an Equal Employment Opportunity Program if required to maintain one, where the application is for \$500,000 or more.
16. It will comply with the provisions of the Coastal Barrier Resources Act (P.L. 97-348) dated October 19, 1982 (16 USC 3501 et seq.) which prohibits the expenditure of most new Federal funds within the units of the Coastal Barrier Resources System.



U.S. DEPARTMENT OF JUSTICE
OFFICE OF JUSTICE PROGRAMS
OFFICE OF THE COMPTROLLER

CERTIFICATIONS REGARDING LOBBYING; DEBARMENT, SUSPENSION AND OTHER RESPONSIBILITY MATTERS; AND DRUG-FREE WORKPLACE REQUIREMENTS

Applicants should refer to the regulations cited below to determine the certification to which they are required to attest. Applicants should also review the instructions for certification included in the regulations before completing this form. Signature of this form provides for compliance with certification requirements under 28 CFR Part 69, "New Restrictions on Lobbying" and 28 CFR Part 67, "Government-wide Debarment and Suspension (Nonprocurement) and Government-wide Requirements for Drug-Free Workplace (Grants)." The certifications shall be treated as a material representation of fact upon which reliance will be placed when the Department of Justice determines to award the covered transaction, grant, or cooperative agreement.

1. LOBBYING

As required by Section 1352, Title 31 of the U.S. Code, and implemented at 28 CFR Part 69, for persons entering into a grant or cooperative agreement over \$100,000, as defined at 28 CFR Part 69, the applicant certifies that:

(a) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the making of any Federal grant, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal grant or cooperative agreement;

(b) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal grant or cooperative agreement, the undersigned shall complete and submit Standard Form - LLL, "Disclosure of Lobbying Activities," in accordance with its instructions;

(c) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subgrants, contracts under grants and cooperative agreements, and subcontracts) and that all sub-recipients shall certify and disclose accordingly.

2. DEBARMENT, SUSPENSION, AND OTHER RESPONSIBILITY MATTERS (DIRECT RECIPIENT)

As required by Executive Order 12549, Debarment and Suspension, and implemented at 28 CFR Part 67, for prospective participants in primary covered transactions, as defined at 28 CFR Part 67, Section 67.510—

A. The applicant certifies that it and its principals:

(a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, sentenced to a denial of Federal benefits by a State or Federal court, or voluntarily excluded from covered transactions by any Federal department or agency;

(b) Have not within a three-year period preceding this application been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a

public (Federal, State, or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;

(c) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State, or local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and

(d) Have not within a three-year period preceding this application had one or more public transactions (Federal, State, or local) terminated for cause or default; and

B. Where the applicant is unable to certify to any of the statements in this certification, he or she shall attach an explanation to this application.

3. DRUG-FREE WORKPLACE (GRANTEES OTHER THAN INDIVIDUALS)

As required by the Drug-Free Workplace Act of 1988, and implemented at 28 CFR Part 67, Subpart F, for grantees, as defined at 28 CFR Part 67 Sections 67.615 and 67.620—

A. The applicant certifies that it will or will continue to provide a drug-free workplace by:

(a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;

(b) Establishing an on-going drug-free awareness program to inform employees about—

(1) The dangers of drug abuse in the workplace;

(2) The grantee's policy of maintaining a drug-free workplace;

(3) Any available drug counseling, rehabilitation, and employee assistance programs; and

(4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;

(c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);

(d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will—

(1) Abide by the terms of the statement; and

(2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;

(e) Notifying the agency, in writing, within 10 calendar days after receiving notice under subparagraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to: Department of Justice, Office of Justice Programs, ATTN: Control Desk, 633 Indiana Avenue, N.W., Washington, D.C. 20531. Notice shall include the identification number(s) of each affected grant;

(f) Taking one of the following actions, within 30 calendar days of receiving notice under subparagraph (d)(2), with respect to any employee who is so convicted—

(1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or

(2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;

(g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e), and (f).

B. The grantee may insert in the space provided below the site(s) for the performance of work done in connection with the specific grant:

Place of Performance (Street address, city, county, state, zip code)

Check if there are workplaces on file that are not identified here.

Section 67, 630 of the regulations provides that a grantee that is a State may elect to make one certification in each Federal fiscal year. A copy of which should be included with each application for Department of Justice funding. States and State agencies may elect to use OJP Form 4061/7.

Check if the State has elected to complete OJP Form 4061/7.

DRUG-FREE WORKPLACE (GRANTEES WHO ARE INDIVIDUALS)

As required by the Drug-Free Workplace Act of 1988, and implemented at 28 CFR Part 67, Subpart F, for grantees, as defined at 28 CFR Part 67; Sections 67.615 and 67.620—

A. As a condition of the grant, I certify that I will not engage in the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance in conducting any activity with the grant; and

B. If convicted of a criminal drug offense resulting from a violation occurring during the conduct of any grant activity, I will report the conviction, in writing, within 10 calendar days of the conviction, to: Department of Justice, Office of Justice Programs, ATTN: Control Desk, 633 Indiana Avenue, N.W., Washington, D.C. 20531.

As the duly authorized representative of the applicant, I hereby certify that the applicant will comply with the above certifications.

1. Grantee Name and Address:

2. Application Number and/or Project Name

3. Grantee IRS/Vendor Number

4. Typed Name and Title of Authorized Representative

5. Signature

6. Date

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

National Institute of Justice
National Criminal Justice Reference Service
Box 6000
Rockville, MD 20850
800-851-3420

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

U.S. Department of Justice
Office of Justice Programs
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