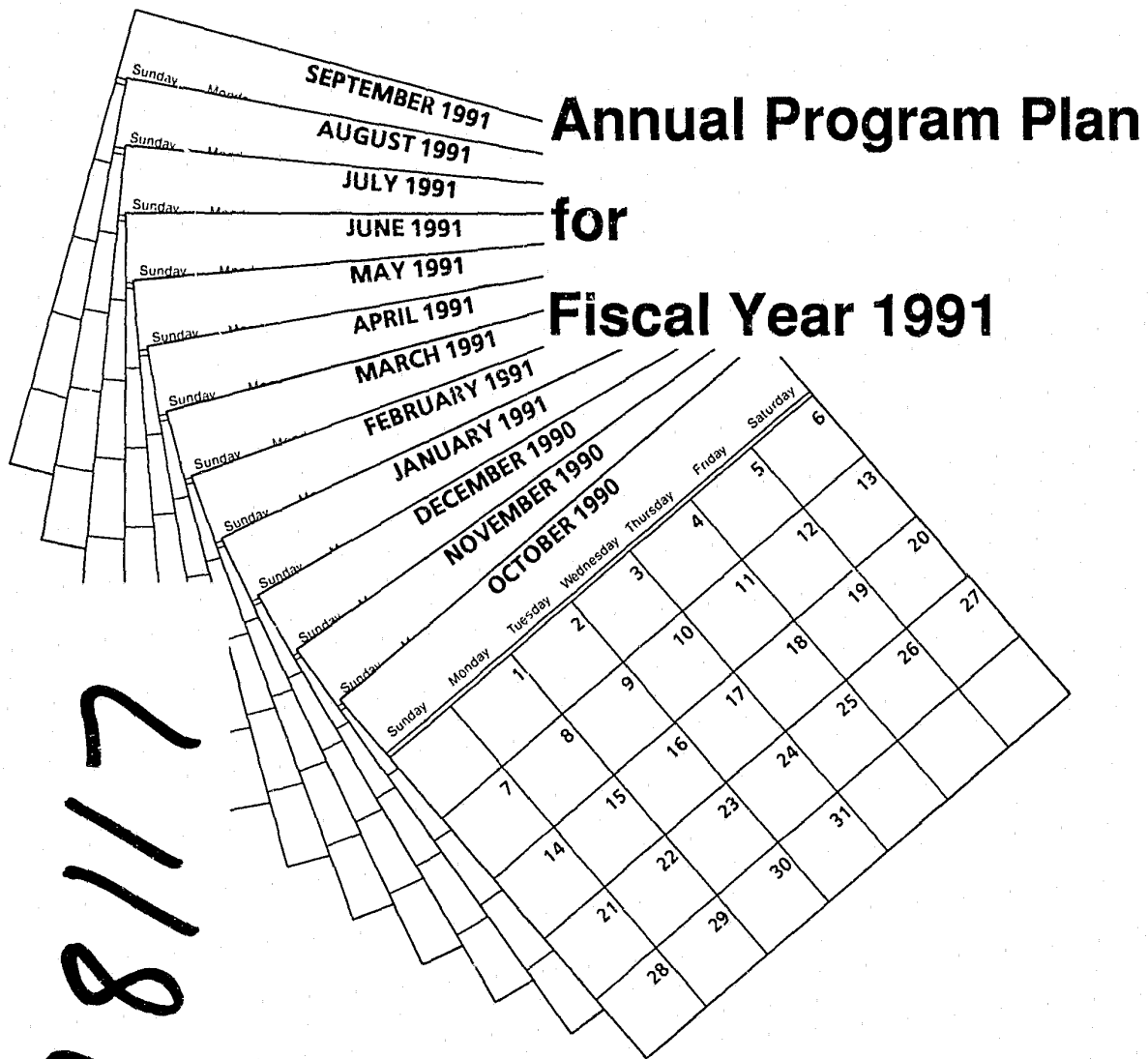


U.S. Department of Justice
National Institute of Corrections



128117

National Institute of Corrections

The National Institute of Corrections is a national center of assistance to the field of corrections. The goal of the agency is to aid in the development of a more effective, humane, constitutional, safe, and just correctional system.

The National Institute of Corrections is both a direct-service and a funding agency serving the field of corrections. Its five legislatively mandated activities are: 1) training, 2) technical assistance, 3) research and evaluation, 4) policy and standards formulation and implementation, and 5) clearinghouse. The basic objective of the Institute's program is to strengthen corrections at all levels of government, but primarily at the state and local levels.

As established by the enabling legislation, Institute policy is determined by an active 16-member nonpartisan Advisory Board appointed by the Attorney General of the United States. The Board is composed of six federal officials serving in an ex-officio capacity, five correctional practitioners, and five individuals from the private sector who have demonstrated an active interest in corrections. Through public hearings, the Advisory Board regularly solicits the opinions of correctional practitioners and others involved in the criminal justice process prior to targeting the Institute's funds.

Advisory Board

Richard Abell
Assistant Attorney General
Office of Justice Programs
Washington, D.C.

Benjamin F. Baer
Chairman
U.S. Parole Commission
Bethesda, Maryland

Norman A. Carlson
Senior Fellow
University of Minnesota
Stillwater, Minnesota

John E. Clark
Attorney-at-Law
San Antonio, Texas

John F. Duffy
Sheriff
San Diego County
San Diego, California

Newman Flanagan
District Attorney
Suffolk County
Boston, Massachusetts

Sheila Gall
Assistant Secretary for
Development
Department of Health
& Human Services
Washington, D.C.

Reuben M. Greenberg
Chief of Police
Charleston, South Carolina

Norval Morris
Professor
University of Chicago Law School
Chicago, Illinois

J. Michael Quinlan
Director
Federal Bureau of Prisons
Washington, D.C.

Ralph Rossum
Dean of the Faculty
Claremont McKenna College
Claremont, California

James Rowland
Director
Department of Corrections
Sacramento, California

Samuel Saxton
Director
Prince George's County
Correctional Center
Upper Marlboro, Maryland

William Schwarzer
Director
Federal Judicial Center
Washington, D.C.

Larry W. Stirling
Judge
San Diego Municipal Court
San Diego, California

Robert W. Sweet, Jr.
Administrator
Office of Juvenile Justice and
Delinquency Prevention
Washington, D.C.

128117

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

**Annual Program Plan
for
Fiscal Year 1991**

July 1990

128117

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

This document has been reproduced exactly as received from the person or organization originating it. Points of view or opinions stated in this document are those of the authors and do not necessarily represent the official position or policies of the National Institute of Justice.

Permission to reproduce this ~~copyrighted~~ material has been granted by

Public Domain/NIC

U.S. Department of Justice

to the National Criminal Justice Reference Service (NCJRS).

Further reproduction outside of the NCJRS system requires permission of the ~~copyright~~ owner.

CONTENTS

FOREWORD	vii
INTRODUCTION.	1
SERVICES AND APPLICATION PROCEDURES	1
Technical Assistance	1
Short-Term Technical Assistance	1
Long-Term Technical Assistance	2
Targeted Technical Assistance	2
Obtaining Short- or Long-Term Technical Assistance	3
Financial Assistance Program.	4
Application Procedures	5
State Review for Technical Assistance Financial Awards	5
Application Review Procedures	6
Training Services	6
NIC Information Center Services	7
Information Request Procedures	7
JAILS DIVISION.	9
Short- and Long-Term Technical Assistance	10
Jail Management, Operations, Services, and Programs	10
Targeted Technical Assistance.	10
Facility Development Program	10
Jail Crowding Symposiums	12
Jail Population Forecasting	13
Podular, Direct-Supervision (New Generation) Jails	13
Large Jail Network	15
Objective Jail Classification	15
Special Issue Seminars and Other Training.	16
NIC Publications of Interest to Jail Practitioners	17

PRISONS DIVISION	18
Short- and Long-Term Technical Assistance	18
Prison Management, Operations, Personnel, and Programs	18
Program Development Activities	19
The Older Inmate: An Overview.	19
Programming for Inmates with Mental Retardation	20
Corrections Internal Management and Operations Review System	21
Special Issue Seminars and Other Training.	23
NIC Publications of Interest to Prison Practitioners	24
COMMUNITY CORRECTIONS DIVISION	26
Short- and Long-Term Technical Assistance	27
Community Corrections Management, Operations, Services, and Programs	27
Targeted Technical Assistance.	28
Probation Violation and Revocation Issues	28
Building Capacity of Community Corrections Oversight Agencies.	30
Facilitating the Use of Intermediate Sanctions	30
Program Development Activities	31
Intermediate Sanctions for Female Offenders	32
Special Issue Seminars and Other Training.	33
NIC Publications of Interest to Community Corrections Practitioners	34
NATIONAL ACADEMY OF CORRECTIONS	35
Facilities, Accommodations, Transportation, and Costs	35
Application Procedures	36
Selection of Applicants	36
Cancellations	36
Seminars for Correctional Administrators	36
Seminars for Trainer Development	37
Academy Special Issue Seminars.	38
Jail Special Issue Seminars	40

Prison Special Issue Seminars	40
Community Corrections Special Issue Seminars	40
Short-Term Technical Assistance.	40
Other Academy Activities	41
Curriculum Development	41
Videotapes: Profiles of Correctional Leadership	41
National Forum for Correctional Executives	41
Audioconferences.	41
Conference Workshops	42
Regionalization	42
Federal Bureau of Prisons Co-Sponsored Courses	43
Correctional Training Network	43
STANDARD FORM 424, APPLICATION FOR FEDERAL ASSISTANCE	45
CERTIFICATION OF A DRUG-FREE WORKPLACE	53

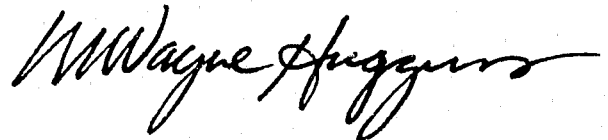
FOREWORD

As we begin the 1990s, American corrections faces critical overcrowding, serious human resource deficiencies and, in general, challenges that are described as nearly impossible to meet. These adversities also provide opportunity, however. At no time in American history has corrections received more discussion or examination--or resources--than it is receiving today. Billions of dollars have been and are being poured into our profession for facilities, equipment, staff training, education, treatment, and efforts at rehabilitation.

As quickly as these windows of opportunity opened, however, they threaten to close just as quickly. Tremendous pressures on government budgets along with fierce competition among different government services threaten to return corrections to the days of yesteryear when we were nothing other than an afterthought once politically popular services were funded.

Corrections must move ahead expeditiously but wisely so that we may take advantage of the resources currently available. To the extent possible, NIC will continue to offer the corrections community the types of effective, problem-solving services you have come to expect from us. This program plan for fiscal year 1991 has been developed at your request. These are the programs that you have told us you need to better equip yourselves to deal with your day-to-day challenges.

NIC looks forward to serving you over the next year. We will do our best to help you continue to meet the awesome and growing challenges of the 1990s.



M. Wayne Huggins, Director
National Institute of Corrections
July 1990

INTRODUCTION

This document is the National Institute of Corrections' program statement for fiscal year 1991, which begins October 1, 1990 and ends September 30, 1991. It explains the Institute's services -- technical assistance, training, and information clearinghouse -- as well as program development and evaluation projects to be conducted during the new fiscal year.

The document describes the overall services and application procedures of the National Institute of Corrections (NIC). Specific services available and ongoing activities are presented by the Institute program divisions that will coordinate the efforts: Jails, Prisons, and Community Corrections.

Training programs to be conducted by the National Academy of Corrections in Longmont, Colorado, and regionally are then described briefly in the Academy section of this document. A separate **Academy Schedule of Training and Services for Fiscal Year 1991** contains full

information, including program dates, eligibility requirements, application procedures, and an application form. That document can be obtained by contacting the Academy or any NIC office.

Practitioners are encouraged to read the Services and Application Procedures section of this document as well as the Jails, Prisons, or Community Corrections sections that are of particular interest. Practitioners should also review the National Academy of Corrections section since training described there is available to administrators, managers, and trainers in all areas of corrections. Special issue seminars of primary interest to those working in jails, prisons, and community corrections are described in those respective sections of this document.

An application form for applying for financial assistance from the Institute is included at the end of this document.

SERVICES AND APPLICATION PROCEDURES

Technical Assistance

Most of the Institute's 1991 program consists of providing technical assistance to state and local correctional agencies. The technical assistance program is administered by each of the Institute's program divisions -- Jails, Prisons, and Community Corrections. Technical assistance related to **training** is available from the National Academy of Corrections.

There are three primary types of technical assistance: **short-term** assistance, **long-term**

assistance, and **targeted** assistance. Short- and long-term technical assistance are largely responsive to critical needs and problems identified by state and local correctional agencies, while targeted assistance involves structured technical assistance/technology transfer programs. In any case, assistance is tailored to the individual requirements and needs of the state or local agency.

Short-Term Technical Assistance

Short-term, onsite technical assistance involves NIC sending a consultant to serve in an advisory capacity and/or work with staff of the state or

local agency in assessing programs and operations; implementing advanced practices; and improving overall agency management, operations, and programming.

Short-term technical assistance from the Institute is available to all adult correctional agencies in the United States and its commonwealths and territories. In some cases, it is also available to professional associations and oversight or advisory bodies that are working toward improvements in corrections.

This form of technical assistance provides expertise to respond to existing operational problems. Assistance is provided by an experienced consultant, who is selected by and sent onsite to the requesting state or local agency to work with agency staff on one or more specific problems. The assistance responds directly to the needs identified by the requesting agency. In some cases, the Institute sponsors visits by teams of individuals from a correctional agency to another jurisdiction to study and observe specific advanced practices.

Assistance is usually provided for a period of 3 to 5 days, but for no longer than can be provided within a set monetary limit. **Note:** Short-term assistance is the only form of technical assistance available from the Academy during fiscal year 1991.

All onsite technical assistance efforts result in a written report to the requesting agency with detailed recommendations for addressing the problem(s) for which assistance was provided. Examples of short-term technical assistance include sending a consultant to a local jail to evaluate its security operations; assisting a probation agency in analyzing workloads; sending several prison staff to another facility to observe improved emergency response operations; or assisting an agency in identifying its staff training needs.

Long-Term Technical Assistance

Long-term technical assistance involves providing funding to an agency, upon approval of a formal application (OMB Standard Form 424). The Institute provides monetary assistance to the requesting state or local agency to allow the agency to develop or improve systems and operations using experienced consultants and/or internal staff. The tasks to be undertaken are more complex and require more effort than can be provided through short-term technical assistance. Most of these projects are conducted over a period of 3 to 12 months.

The total cost of each long-term effort cannot exceed \$25,000 for the Prisons Division, \$15,000 for the Community Corrections Division, or \$10,000 for the Jails Division. Long-term assistance is not available from the Academy at this time.

Each project must have value in and of itself, since the Institute cannot make a commitment to fund second or subsequent phases of a single project. Examples of this form of assistance would be providing support to a probation agency to implement an intensive supervision program or to a state prison system to evaluate its classification system.

Targeted Technical Assistance

This form of technical assistance is available in specific areas in which the Institute has completed developmental work and has established a coordinated, multifaceted approach to assisting agencies in successful program implementation.

This assistance is designed to guide implementation of progressive change *before* the issue becomes a problem. Activities frequently include short-term technical assistance, training, peer

consultation, and information dissemination as the state or local agency participates in the targeted program. An example of targeted technical assistance is the Jails Division's Facility Development Program.

Obtaining Short- or Long-Term Technical Assistance

Technical assistance services that will be available in fiscal year 1991 are described in more detail in the subsequent sections of this document: Jails Division, Prisons Division, Community Corrections Division, and National Academy of Corrections. In most instances, the NIC division staff coordinating the program will determine, in consultation with the applicant, which of the above forms of assistance would be most appropriate in responding to the agency's request.

Because Institute resources are limited, each request for technical assistance will be carefully evaluated to determine the best method of meeting the needs of the correctional agency. In reviewing each request, the Institute staff will consider:

- Whether the request can be adequately handled directly by Institute staff or by sending written information from the NIC Information Center.
- Whether state or other appropriate resources are available to adequately provide the requested service.
- Whether the Institute should contract with an experienced consultant to work onsite with corrections officials to resolve the specific issues or problems.
- Whether the request is so large in scope that the Institute should consider providing funds to allow the agency to purchase assistance for a longer period of time. Financial assistance can be provided for up to 1 year through a technical assistance grant.

The criteria that will be used to determine the Institute's method of responding to the request for assistance include:

- The costs and time that would be necessary to complete the project.
- The requesting agency's history of prior requests for technical assistance services (e.g., types, number, progress made on implementing recommendations).
- The clarity of the request, including how receiving technical assistance will benefit the correctional agency, staff, and offenders.
- The consistency of the request with the appropriate role of the federal government.

Application Procedures

There are no deadlines for submitting requests for technical assistance, but, since funds are limited, it is advisable to apply for assistance soon after a need is identified. The procedures for requesting assistance follow.

1. The chief executive officer of the agency must request the assistance in writing on official stationery. The written request should:
 - Identify the problem(s) for which assistance is sought.
 - Suggest a plan or specific action(s) to meet the problem(s).
 - Explain why assistance must be obtained at the federal level.
 - State the anticipated number of days that the assistance would be needed.
 - Identify an agency contact person for the request.

Practitioners should review the technical assistance discussions in the subsequent sections of this document to determine which NIC division can best address their needs. Jail practitioners should request technical assistance by writing to the Technical Assistance Manager, Jails Division, National Institute of Corrections, 1790 30th Street, Suite 440, Boulder, Colorado 80301. Practitioners in other areas of corrections should write to the Technical Assistance Manager of the Prisons Division or the Community Corrections Division, National Institute of Corrections, 320 First Street, N.W., Washington, D.C. 20534. Requests for technical assistance related to training should be sent to the Technical Assistance Manager, NIC National Academy of Corrections, 1790 30th Street, Suite 430, Boulder, Colorado 80301.

2. Upon receipt of the written request by the Institute, an NIC staff member will be assigned to review the request and will telephone the requesting agency's contact person to discuss the need and possible Institute responses.

- If the NIC staff member determines that short-term technical assistance would be appropriate, its delivery will be arranged immediately. The Institute maintains a register of experienced consultants who are qualified to provide technical assistance in most areas of corrections. Agencies may select a consultant from this register or may request that assistance be provided by an individual who is not on the register but is deemed qualified by NIC to provide the assistance.
- If the NIC staff member believes that long-term technical assistance may be appropriate, the requesting agency will be provided with information and materials

necessary for submitting a formal application. The application must be prepared and submitted in accordance with the instructions given on the following page under **Application Procedures**. **Note:** Applications for financial assistance should not be sent to the NIC Boulder, Colorado, offices.

Upon receipt of the formal application, NIC staff members will be assigned to evaluate the application against the previously stated technical assistance criteria. If they believe that financial assistance is both possible and appropriate, the application will be presented to the Institute Director for final approval or disapproval. Once the formal assistance application has been received, a decision is normally made within 90 days.

- If funding is not recommended or the application is not approved by the NIC Director, an Institute staff member will discuss other possible options with the requesting agency. These might include the agency's modifying the application, receiving short-term technical assistance, or obtaining assistance through resources other than NIC.

Financial Assistance Program

The Institute makes financial assistance awards in three categories: 1) for long-term technical assistance to state and local agencies, as previously discussed; 2) to carry out components of the targeted technical assistance programs; and 3) to conduct policy and program development projects.

Those eligible for the first type of financial assistance award include state agencies, general units of local government, and public agencies. The other two types of awards are available to

public and private agencies, educational institutions, organizations, and individuals, as well as to the above-named agencies.

Because of limited resources, funds are directed primarily to correctional agencies at the state and local levels. All services and financial awards are provided in accordance with federal regulations. There are no costs to the state or local agency for NIC services or financial awards.

Application Procedures

To apply for financial assistance, the applicant must complete OMB Standard Form 424, Application for Federal Assistance, and the certification of a drug-free workplace. Copies of these forms are included at the end of this document.

Assistance applications must be submitted in six copies to the National Institute of Corrections, 320 First Street, N.W., Room 207, Washington, D.C. 20534. Detailed procedures for preparing financial assistance applications are given in the *NIC Guidelines Manual: Instructions for Applying for Federal Assistance*, which can be obtained by contacting the Institute.

Applications must be concisely written, typed double spaced, and received at the Institute by the deadline given in this document. Extension of the deadlines will not be permitted.

At least one of the six copies of the application must bear the **original** signature of the administrator or chief executive officer of the applicant organization. A **cover letter must identify the responsible audit agency for the applicant's financial accounts.**

Applications must detail the project, the objectives, and the plan for implementing the proposal. Projected costs and a description of the qualifications of the applicant(s) must be included. The projected cost of conducting the project is a critical element in the decisionmaking

process, and the Institute urges applicants to keep indirect costs, in particular, to a minimum.

State Review for Technical Assistance Financial Awards

In accordance with Executive Order 12372, which went into effect October 1, 1983, states have the option to establish a single point of contact to review and comment on applications for federal funding that propose to have an effect within the state. This applies to applications submitted to the federal government by state and local agencies within the state, as well as to those submitted by any organization (in-state or out-of-state) that propose to have an effect within the state. For example, if an organization located in a state that does not require state review seeks NIC funding to provide service to an agency located in a state that does require review, the applicant organization must "clear" the application through the designated agency in the state to be affected.

For the National Institute of Corrections, the Executive Order applies only to applications for technical assistance awards. The following states and jurisdictions have elected to exercise the option to review applications for technical assistance monies from the Institute.

Alabama	Montana
Arizona	Nevada
Arkansas	New Hampshire
Connecticut	New Jersey
Delaware	New Mexico
Florida	New York
Georgia	Ohio
Hawaii	Oklahoma
Indiana	Oregon
Iowa	Pennsylvania
Kentucky	South Carolina
Louisiana	Tennessee
Maine	West Virginia
Michigan	Wyoming
Mississippi	District of Columbia
Missouri	Northern Mariana Islands

public and private agencies, educational institutions, organizations, and individuals, as well as to the above-named agencies.

Because of limited resources, funds are directed primarily to correctional agencies at the state and local levels. All services and financial awards are provided in accordance with federal regulations. There are no costs to the state or local agency for NIC services or financial awards.

Application Procedures

To apply for financial assistance, the applicant must complete OMB Standard Form 424, Application for Federal Assistance, and the certification of a drug-free workplace. Copies of these forms are included at the end of this document.

Assistance applications must be submitted in six copies to the National Institute of Corrections, 320 First Street, N.W., Room 207, Washington, D.C. 20534. Detailed procedures for preparing financial assistance applications are given in the *NIC Guidelines Manual: Instructions for Applying for Federal Assistance*, which can be obtained by contacting the Institute.

Applications must be concisely written, typed double spaced, and received at the Institute by the deadline given in this document. Extension of the deadlines will not be permitted.

At least one of the six copies of the application must bear the **original** signature of the administrator or chief executive officer of the applicant organization. A **cover letter must identify the responsible audit agency for the applicant's financial accounts.**

Applications must detail the project, the objectives, and the plan for implementing the proposal. Projected costs and a description of the qualifications of the applicant(s) must be included. The projected cost of conducting the project is a critical element in the decisionmaking

process, and the Institute urges applicants to keep indirect costs, in particular, to a minimum.

State Review for Technical Assistance Financial Awards

In accordance with Executive Order 12372, which went into effect October 1, 1983, states have the option to establish a single point of contact to review and comment on applications for federal funding that propose to have an effect within the state. This applies to applications submitted to the federal government by state and local agencies within the state, as well as to those submitted by any organization (in-state or out-of-state) that propose to have an effect within the state. For example, if an organization located in a state that does not require state review seeks NIC funding to provide service to an agency located in a state that does require review, the applicant organization must "clear" the application through the designated agency in the state to be affected.

For the National Institute of Corrections, the Executive Order applies only to applications for technical assistance awards. The following states and jurisdictions have elected to exercise the option to review applications for technical assistance monies from the Institute.

Alabama	Montana
Arizona	Nevada
Arkansas	New Hampshire
Connecticut	New Jersey
Delaware	New Mexico
Florida	New York
Georgia	Ohio
Hawaii	Oklahoma
Indiana	Oregon
Iowa	Pennsylvania
Kentucky	South Carolina
Louisiana	Tennessee
Maine	West Virginia
Michigan	Wyoming
Mississippi	District of Columbia
Missouri	Northern Mariana Islands

Agencies located in the above jurisdictions, and organizations seeking an NIC technical assistance award to work in these jurisdictions, must submit one copy of their application for **technical assistance** monies (OMB Standard Form 424, Application for Federal Assistance) to the state "single point of contact" simultaneously with submitting the proposal to the Institute. The Institute should be advised in the cover letter from the applicant that a copy of the proposal was sent to the state agency. (For guidance relating to the "single point of contact" in the above-listed states, contact the NIC Grants Control Office, 202-307-0449.)

Application Review Procedures

Applications for financial assistance are reviewed by a team of Institute staff members and are subsequently approved or disapproved by the Director of the National Institute of Corrections.

Four categories of criteria are used in reviewing applications for financial assistance: programmatic, organizational, project management, and financial/administrative. Among the specific criteria used to evaluate the applications are:

- Indication of a clear understanding of the problem to be addressed, the key issues underlying the problem area, and the relevance of the proposed project.
- Well-defined project objectives, tasks, and resources necessary to meet the objectives.
- Potential for using the results of the project in other undertakings or programs.
- Background, experience, and expertise of the proposed project staff, including any subcontractors.
- Sufficient and realistic time commitments from key project staff.

- Reputation or recognized skill of the applicant organization and any proposed subcontractors.
- Description of all elements and tasks of the project, and realistic timeframes necessary to complete the tasks.
- Technical soundness of the design and methodology for achieving the project goals.
- Financial and administrative integrity of the proposal, including adherence to federal financial guidelines and processes.
- Adequate detail and narrative about the cost elements in the proposed budget.
- Provisions for adequate evaluation of the effectiveness of the project.

Other, more specific criteria are described in the project discussion when appropriate.

When the proposed cost of a project is \$100,000 or more, a panel of reviewers from outside the Institute participates in evaluating the applications. The review panels are composed of correctional practitioners, academicians, and qualified citizens who have been approved by the National Institute of Corrections Advisory Board.

Training Services

The National Academy of Corrections began operation in Boulder, Colorado, on October 1, 1981, and is in its ninth year of conducting National Institute of Corrections training for state and local correctional practitioners.

Seminars to be conducted at the Academy and/or regionally during the 1991 fiscal year are described briefly in the National Academy of Corrections section of this document. Special issue seminars of interest to jail, prison, and commu-

nity corrections practitioners are described in those respective sections.

Most seminars offered by the Academy will be conducted at the Raintree Plaza Hotel and Conference Center in Longmont, Colorado. There are no registration, tuition, or materials fees associated with Academy training. Additionally, for seminars offered by the Academy in the Longmont/Boulder area, the costs of participants' air travel, lodging, and meals will be paid by the National Institute of Corrections.

A separate **Schedule of Training and Services for Fiscal Year 1991** is available from the NIC Academy, 1790 30th Street, Suite 430, Boulder, Colorado 80301; telephone 303-939-8855, fax 303-442-8837. That document describes the training seminars more fully and contains eligibility requirements, program dates, application procedures, and an application form. Additional announcements may be issued by the Institute to advise practitioners of specific training opportunities available. See the National Academy of Corrections section of this document for more information, including a listing of scheduled courses.

NIC Information Center Services

The National Institute of Corrections Information Center services are closely related to the technical assistance and training services, but also support all other Institute programs. Practitioners, policymakers, and others with questions related to correctional programs, services, or operations anywhere in the country may request information or materials from the Information Center.

The Information Center maintains a collection of the most accurate, current, and useful materials available in corrections and related fields, and specializes in unpublished materials developed by state and local agencies. In addition to

drawing from this extensive collection, the Information Center staff interacts daily with practitioners, administrators, and field experts to monitor the latest developments and issues in corrections.

The Information Center also serves the special information needs of several groups:

- For correctional administrators, three limited-circulation quarterly reports produced by the Information Center provide up-to-date information to state directors of corrections, administrators of large jails, and community corrections administrators.
- For state and local corrections training staff, the Information Center maintains a special collection of training materials and produces an annual catalog of its contents. (See the discussion of the Correctional Training Network in the Academy section of this document.)
- For those with an interest in correctional education, the Information Center is augmenting its collection of agency-developed curriculum materials, program descriptions, and evaluations in all areas of adult correctional education.

Information Request Procedures

Information Center services are free. To request information, write or call the NIC Information Center, 1790 30th Street, Suite 130, Boulder, Colorado 80301; telephone 303-939-8877, fax 303-442-3412. Requesters should specify:

1. The materials or information they are seeking.
2. Why the information is needed (if it will help the Information Center staff gain perspective on a broad topic area).
3. How soon the information is needed.

4. In the case of requests for specific written materials, the author, title, date of publication, and publisher, if known.

In responding to requests, the Information Center necessarily gives highest priority to correctional administrators and personnel; federal, state, and local legislators and officials; and representatives of the judiciary.

NOTICE

NIC is fully committed to Equal Employment Opportunity and to ensuring representation and full utilization of minorities, women, and handicapped persons in the workforce. NIC recognizes the responsibility of every employer to have a workforce that is representative of this nation's diverse population. To this end, NIC urges agencies to provide the maximum feasible opportunity to employees to enhance their skills through on-the-job training, work-study programs, and other training measures so they may perform at their highest potential and advance in accordance with their abilities. NIC will look favorably upon applications for grants and seminars where project staff and nominees for training include fair representation of women, minorities, and handicapped persons.

JAILS DIVISION

Established in 1977 as a center of assistance for the nation's jails

The Jails Division was established in June 1977 in Boulder, Colorado, to serve as an identifiable source of assistance to the nation's jails. Creation of the "NIC Jail Center" marked the first time federal funding was specifically targeted to solving the vast number of problems in the nearly 3,316 jails throughout the country.

Jails must operate against unique requirements. Unlike prisons, jails have a 24-hour-a-day booking/release function to respond to the jurisdiction's immediate detention needs. They detain persons awaiting trial and those whose legal status has not been determined but who must be held awaiting court disposition. Like prisons, they are also responsible for the custody and care of sentenced individuals.

Many jail facilities are antiquated and poorly designed and suffer a serious shortage of space. Programs and other activities for inmates are often limited or nonexistent.

Jail crowding continues to increase as unprecedented numbers of defendants are being held before trial, sentenced offenders are backed up in local jails awaiting space at crowded state or federal prisons, and new legislation mandates jail or prison time for certain offenses. During the year ending June 30, 1988, 29% of U.S. jails held prisoners because of crowding in other institutions, according to the Bureau of Justice Statistics (BJS). One in every 12 inmates -- or 26,513 -- was in jail because of crowding elsewhere.

BJS reports that, during that same year, there were more than 19 million admissions and releases from local jails (9.7 million entries; 9.6

million exits). Over 336,017 people were incarcerated in the nation's jails on an average daily basis. Large jails held the majority of those in jail. Approximately 63% of jail inmates were held in facilities for 250 or more, including 28% in jails for 1,000 or more. Large jails housing 1,000 or more inmates were the most severely crowded, operating at 126% of rated capacity, as compared to 101% for jails overall.

To address the many diverse problems of the nation's jails, the National Institute of Corrections has provided technical assistance, training, and information services to local jurisdictions since its first year of funding. In fiscal year 1991, the Jails Division's activities will focus on technical assistance programs related to jail planning, design, and construction; coordination and information exchange among large jail systems; jail crowding and population forecasting; podular, direct-supervision jails; and objective jail classification.

Each of the three vehicles for providing technical assistance -- short-term, long-term, and targeted technical assistance -- will be used to provide services to the nation's jails. (See the earlier descriptions of these three forms of assistance.) In addition to technical assistance, special issue seminars will be presented at the National Academy of Corrections in Longmont, Colorado, on the subjects of key issues in jail administration, and administering the small jail.

For additional information about the Jails Division's programs and services, contact the Division at 1790 30th Street, Suite 440, Boulder, Colorado 80301; telephone 303-939-8866.

Short- and Long-Term Technical Assistance

Jail Management, Operations, Services, and Programs

The Jails Division's technical assistance program represents the Institute's continued support for efforts of individual sheriffs, jail administrators, city and county governing bodies, and state agencies to improve jail operations. Technical assistance will be provided to local jails and jail-related agencies to improve management, operations, services, and programs. Private agencies providing correctional services under contract to government agencies are eligible for assistance from the Institute only if their application is endorsed by and forwarded through the government agency for which they provide those services.

Assistance will be available in, but not limited to, the following areas:

- Policy and procedure development and review;
- Security;
- Food services;
- Medical services;
- Inmate programs;
- Jail industries;
- Substance abuse programs;
- Inmate classification;
- Resource allocation.

Those interested in applying for technical assistance should follow the procedures given on page 3 under **Application Procedures**.

Targeted Technical Assistance

Targeted technical assistance programs involve a coordinated, step-by-step approach to assisting a jurisdiction in developing successful solutions to

complex problems. Activities frequently involve a mix of short-term technical assistance, training, and information exchange. The following programs will be major efforts of the Jails Division during fiscal year 1991.

Facility Development Program

The past three decades have been a period of heavy litigation concerning prisoners' rights and conditions of confinement. One of the responses to this litigation was the development and promulgation of jail standards. Many states developed and adopted minimum standards for the operation of jails, and many professional groups -- including the American Medical Association and the American Correctional Association -- developed their own standards as well as procedures for certification.

The development of jail standards, coupled with rapidly increasing jail populations and the need to renovate or replace antiquated facilities, gave rise to an unprecedented level of new jail construction in the United States. In 1970, Part E of the Omnibus Crime Control and Safe Streets Act was enacted. This legislation made federal funds available for construction of new state and local correctional facilities and encouraged advanced practices in facility planning and design. Thus began the surge in correctional facility construction that continues today despite the current nonavailability of federal construction monies for the states and localities.

In response to this increase in new construction and to assist jurisdictions that were building new jails, the Institute developed a How to Open New Institutions training program in 1977. During the first year of this program, it became evident that while jurisdictions needed assistance with transitioning into their new jails, their more serious problems were related to facility design and construction. Most of the new jails differed only slightly from the facilities they were replacing. Stripped of their electronics and high-tech-

nology accoutrements, the new facilities were strikingly similar in both design and inmate management to jails of the past.

One evident problem in designing and constructing new jails is the separation of the funding body and the operating body. Most jails are funded by one group of elected officials--the county commission--but are operated by another, separately elected public official--the sheriff. Problems of coordination between the two, as well as lack of general agreement on the role of the jail in the criminal justice system or in the community, often result in less than adequate jail planning and design.

To help localities better plan and coordinate their jail construction activities, the Institute developed a Planning of New Institutions program in 1979. The program was based on the total systems planning model, which involves all related criminal justice agencies, organizations, and community leaders in defining the role of their local jail.

Scope

During fiscal year 1991, the **Facility Development Program** will consist of three components, each designed for a particular segment of the planning, design, construction, and transition continuum. These components are the Local System Assessment, the Planning of New Institutions (PONI) program, and the How to Open a New Institution (HONI) program. Jurisdictions that apply for participation in the PONI program must have completed either the first phase of the previously offered (FY 1982-1990) program or a local system assessment.

Local System Assessment -- During fiscal year 1991, local system assessments will be conducted for at least 25 jurisdictions. NIC Jails Division staff members and/or experienced consultants will spend 3 to 4 days onsite in the local jurisdictions. The main focus of the visit will be to determine

the relationship of the jail to the local criminal justice system and to assist the jurisdiction in defining options for addressing its jail needs. Activities that will occur during the visit include:

- A complete tour and assessment of the existing jail in relationship to established professional standards and sound management practices;
- Interviews with key members of the local criminal justice system;
- An analysis of the relationship of the jail to the community and the local criminal justice system;
- A community meeting of key criminal justice decisionmakers to discuss the role that incarceration plays in the community and to provide training on selected topics.

Each local system assessment will result in a full technical assistance report. This report will provide recommendations and direction for future technical assistance activities, which may include participation in the Planning of New Institutions program or jail crowding technical assistance.

Planning of New Institutions -- When a jurisdiction can demonstrate that a firm decision has been made to construct a new jail and that it is willing to undertake a major planning effort, it will be considered for participation in the PONI training program. The training consists of a 5-day session for teams of policy and decision-makers. It covers such topics as mission statement development, pre-architectural and architectural programming, site selection, design and staffing issues, financial alternatives, and construction methods.

This program is open only to jurisdictions that have completed either a local system assessment or the first phase of the Jails Division's previously offered PONI program. Additionally, for a jurisdiction to be eligible for participation,

those persons who have a key decision- and policymaking role in the planning and construction project must make a firm commitment to attend the entire 5-day training session. These individuals include the sheriff or director of corrections, the jail administrator, a county commissioner, and the county executive or planner.

The National Institute of Corrections will pay the travel and per diem expenses for four persons from the jurisdiction to attend the training. Up to three other individuals from the jurisdiction may attend at their own expense. Depending on the size of the teams, up to five jurisdictions will be invited to attend each of the four regional seminars to be conducted during fiscal year 1991.

How to Open a New Institution -- A 4-day training session presented onsite in the requesting community, this program will be provided up to ten times during fiscal year 1991. It is designed to educate local officials and key jail staff about the importance of transition planning and what is involved in the process.

The program focuses on teaching the agency's transition team the skills necessary to plan for the specific day-to-day operations of the new jail. It provides an overview of the transition process and covers such topics as working with design documents; developing the scenario, policy and procedures, and post orders; deploying staff; planning move logistics; and developing an action plan.

To be eligible for the HONI program, an agency must be within 12 to 18 months of occupying its new jail and must have established its transition team. All team members must be able to attend the entire program, and select officials must be able to attend a "transition overview" presentation. These officials include the sheriff or local department of corrections director, jail administrator, a county commissioner, and others whose support is essential to the success of the transition.

Jurisdictions planning new jails are encouraged to attend both the PONI and HONI programs, but participation in PONI is not a prerequisite for HONI. The Jails Division will also offer other transition-related technical assistance to local jails, as resources permit.

Application Procedures

To obtain more detailed information about the Facility Development Program and an application packet, contact the Institute's Jails Division.

Jail Crowding Symposiums

Jail crowding continues to present major challenges to jail managers as a new decade begins. A significant effort has been put forth by NIC and other federal agencies and professional groups to assess ways of reducing pre-trial commitments and streamline the preliminary stages of the criminal justice process. Additional effort is required, however, to assess how jail managers can better manage crowded jails while continuing to seek effective ways to reduce crowding.

The NIC Jails Division will conduct two 3-day jail crowding symposiums during fiscal year 1991, one on the East Coast and one on the West Coast. A panel of experts will be selected to present an overview on the subjects of:

- Determining jail capacity;
- Managing the crowded jail;
- Jail system modeling.

Approximately 25 jail officials who are successfully operating their facilities despite crowded conditions will be selected to participate in each program. Symposium staff will work through the topics with participants to determine the factors associated with successful management of crowded jails.

Group discussions will explore methodologies for determining the inmate ceiling for a jail; what management techniques, policies, procedures, and facility design concepts support the successful management of a crowded jail; and computer technology that models options available to jail managers in the face of inmate crowding. The results of the two symposiums will be documented and made available from the NIC Information Center.

Jail Population Forecasting

Jail population forecasting is an ongoing process that requires both an adequate data base and an understanding of forecasting techniques. Jurisdictions that have the capacity to produce inmate profiles and regular population forecasts become very skilled at not only projecting future jail populations, but also at identifying the specific causes of population increases and evaluating alternative strategies. Jail population forecasts and inmate profiles are also important to any jurisdiction seriously considering new facility construction or expansion.

The Jails Division no longer conducts population forecasting for jurisdictions, but will provide three regional 3-day training workshops on population forecasting for county jail officials and local jail planners responsible for conducting forecasts. The objectives of the program are to develop the skills required to: 1) identify and collect inmate profile information and other pertinent data, 2) process and analyze the population forecast data, and 3) properly use population forecast data in the jail planning process. The program is designed specifically for individuals who have responsibility for analyzing the data and developing population forecasts. Two- or three-person teams are encouraged to participate.

Application Procedures

Officials interested in applying for participation in this program should submit a letter of request

to the Institute's Jails Division. Letters must be prepared as described on page 3 under **Application Procedures**. Requests for participation will be accepted throughout the fiscal year. The regional workshops will be conducted as the required number of participants is identified for each. To obtain more detailed information about the Jail Population Forecasting program, contact the Institute's Jails Division.

Podular, Direct-Supervision (New Generation) Jails

In the 1960s, a new jail design began to appear in the United States based on research done in hospitals and nursing homes. In the health sector, it was found that a more open, communal living arrangement lent itself to positive interaction among patients and to more efficient and continuous delivery of care by limited staff. Both the design and the direct staff supervision philosophies that seemed to be working in health care facilities appeared transferable to jails. The new jail design featured rooms clustered around a central dayroom, instead of iron-barred cells. Self-sufficient clusters of rooms were referred to as "pods," and the architectural style as "podular."

In the mid-1970s, these concepts were first used in detention settings by the Federal Bureau of Prisons. New Metropolitan Correctional Centers (MCCs) were constructed and opened in Chicago, New York City, and San Diego using the direct-supervision concept. Direct supervision requires that correctional officers not be separated by bars or windows from the inmates they supervise. An officer is stationed in the dayroom area among the inmates, rather than in an enclosed control booth, to provide constant control and leadership. Inmates who will not follow the rules or who challenge the officer's authority are immediately removed from the pod.

The Chicago MCC represented the first time the direct-supervision management style was combined with the podular design in a detention

setting. The results of combining direct supervision and podular architectural design were dramatic. Vandalism and graffiti virtually disappeared; noise and overall tension levels dropped; assaults on staff and inmates and homosexual rapes became extremely rare. Staff and inmate morale improved.

In 1981, the first podular, direct-supervision county jail opened. Today, at least 40 local jurisdictions operate this type of jail facility, and more than 25 other localities are in various stages of planning, designing, and constructing a podular, direct-supervision jail.

The NIC Jails Division has been involved in providing information regarding podular, direct-supervision jails in a variety of ways since 1981. As a direct result of these efforts, the NIC Advisory Board, the American Jail Association, the American Correctional Association, and the American Institute of Architects' Committee on Architecture for Justice adopted policy statements endorsing this design and management concept for general population inmates. The podular, direct-supervision jail is now professionally recognized as state of the art for correctional design and inmate management.

Scope

The Jails Division's efforts in this area focus on developing and disseminating information about the direct-supervision philosophy and assisting jurisdictions that are interested in pursuing implementation of the model. Because of the growing number of jurisdictions interested in the concept for their new jails, the Institute developed a structured program in 1987 to provide a range of services, including public education, information sharing, and training programs.

Public Education and Information Sharing--The Institute has developed a number of public education materials that explain the basic concepts of podular, direct-supervision jails and how

this type of facility differs from traditional facilities. These materials are available to interested parties in jurisdictions that may be contemplating the feasibility of a podular, direct-supervision jail. Additionally, Institute staff members and experienced consultants can be requested to visit a jurisdiction to further explain the principles to county commissioners and others with decisionmaking responsibility for the new facility.

The Jails Division also maintains a centralized information file about the various podular, direct-supervision projects under way throughout the country and about the experiences of recently opened jails of this type. Such data collection enables the Jails Division to promote networking and information sharing among sites that are committed to the podular, direct-supervision concept.

Regional Training on Managing Podular, Direct-Supervision Jails--The Jails Division will coordinate and present at least three regional 5-day training programs on Managing New Generation Jails. Designed to expose key agency personnel to the basic management principles that are essential for successful operation of podular, direct-supervision facilities, the program covers the history of new generation jails and relevant design, management, staff, inmate, and legal issues. The training will be conducted at operating podular, direct-supervision jails to allow participants to observe the concepts in practice. Each program is limited to teams of two individuals from six jurisdictions.

Staff Transition Training--The Jails Division will coordinate and present at least three 5-day training programs onsite in local communities to prepare jail transition team trainers to train line staff for making the physical transition from a traditional facility to a podular, direct-supervision facility. The training provides facility trainers with a common operational framework and inmate management techniques appropriate to

this type of facility. Participation in this program is limited to jurisdictions about to open a podular, direct-supervision jail.

Interpersonal Communication Skills Training--

The Jails Division will coordinate and present at least two 5-day regional training programs to prepare jail transition team trainers and facility trainers to teach interpersonal communication techniques. The training will be conducted at an operating direct-supervision jail, and participation will be limited to jurisdictions about to open a podular, direct-supervision jail.

Information Exchange Symposium--

The Jails Division will enter into a cooperative agreement to conduct a 1-day symposium on podular, direct-supervision facilities in conjunction with a major correctional conference in fiscal year 1991. The date and location of the symposium will be announced separately. The program will present the experiences of individuals who have been involved in the operational aspects of managing these facilities and of those who have been involved in the research, planning, design, and construction processes. A summary of the symposium findings will be made available to interested parties.

Application Procedures

For more information about the services offered in the area of podular, direct-supervision jails or how to apply for participation, contact the Institute's Jails Division.

Large Jail Network

During fiscal year 1989, the Jails Division, in conjunction with the NIC Information Center, began the *Large Jail Network Bulletin* in response to recommendations emanating from a series of mega-jail seminars in earlier years. The rationale behind the *Bulletin* and the networking strategy was the assumption that the administrators of large jail systems (rated capacity of over 1,000

beds) collectively possess all of the expertise and experience necessary to deal with any issue any one of them may face. In fiscal year 1990, the Jails Division expanded this effort by hosting a series of networking sessions for the administrators of large jail systems and facilitated technology transfer among the systems through the use of short-term technical assistance.

Both the *Bulletin* and technology transfer activities will continue in fiscal year 1991. Additionally, the Jails Division will conduct two regional networking sessions. The focus of these sessions will be peer training and the development of information packages on key issues. Elected, appointed, or officially designated administrators of large jail systems (e.g., sheriffs, directors of county departments of corrections, or designated jail chiefs) will be invited to the sessions.

Objective Jail Classification

Jail classification is an extremely important and complex function of jail management and operation. A classification system must be adapted to the facility design and limitations in order to properly manage inmates.

The National Institute of Corrections has provided ad hoc technical assistance to sheriffs and jail managers since the late 1970s in the area of jail classification system development and inmate management. A 2-year financial award to the National Council on Crime and Delinquency to research the state of the art in jail classification and develop prototypical objective classification systems for small, medium, and large jails was completed in 1989. The products of the project include documentation, procedures, and sample classification forms.

Scope

Based on the prototypical objective classification systems developed, the Jails Division will provide

technical assistance to jail managers who wish to incorporate an objective classification system in their operations. Assistance will be offered to jail managers in two phases during fiscal year 1991.

Phase I assistance will be available to jurisdictions to analyze their current classification program relative to general principles of objective classification. Jails with no formal classification program can also request assistance to evaluate the potential for developing an objective classification system. Completion of Phase I will provide the jail manager with sufficient information to decide if the jurisdiction is prepared to proceed to the next phase of implementing an objective classification system.

Phase II assistance will be available to jurisdictions that are committed to implementing an objective classification system. To be eligible for participation in this phase of the program, jurisdictions must dedicate permanent, full-time staff to developing, operating, and managing the objective classification system. The time required to implement a system will range from 1 to 1-1/2 years. This phase will include both staff training and technical support.

Jails of all sizes are eligible for participation in this program. Assistance will be provided through either short- or long-term technical assistance, depending on the size of the facility or system. Services will be provided for up to ten jurisdictions under Phase I, and for up to five jurisdictions under Phase II. Completion of Phase I of the program is a prerequisite for participation in Phase II.

Application Procedures

Jurisdictions interested in participating in this program should submit a letter of request to the Institute's Jails Division. Letters must be prepared as described on page 3 under **Application Procedures**.

Special Issue Seminars and Other Training

Special issue seminars of interest to jail practitioners will be presented in cooperation with the NIC National Academy of Corrections. During fiscal year 1991, the following seminars will be conducted.

Key Issues in Jail Administration

This 36-hour seminar is designed to help administrators of medium-sized jail facilities (75 to 500 beds) develop strategies for the successful administration of key jail functions. The course focuses on such issues as medical services, food service, classification and inmate programs, staffing and resource allocation, and fiscal planning and internal controls.

Administering the Small Jail

This 36-hour seminar is similar to Key Issues in Jail Administration, but is designed specifically for administrators of jails with a rated capacity of less than 75 beds. The program recognizes the dual responsibilities of operating and administering a small jail.

See the National Academy of Corrections section of this document for brief descriptions of other seminars for which jail practitioners are eligible to apply. The seminars, eligibility requirements, and application procedures are described more fully in the Academy's **Schedule of Training and Services for Fiscal Year 1991**, which can be obtained by contacting any NIC office.

Other training programs scheduled to be conducted for jail practitioners during fiscal year 1991 are integral components of major technical assistance efforts, as previously discussed.

NIC Publications of Interest to Jail Practitioners

The following materials are available to jail practitioners from the NIC Information Center as the result of earlier Institute activities. The information packets consist of a variety of materials on specific subjects, which are continually updated by NIC Jails Division and Information Center staff. Some documents are available on a loan basis only.

- *Jail Resource Manual and Small Jail Resource Materials*, 4th Edition, 1989.
- *Public Inebriate Diversion Information Packet*, 1984.
- *Building on Experience. A Case Study of Advanced Construction and Financing Methods for Corrections*, 1987.
- *Staffing Analysis Workbook for Jails*, 1988.
- *Staffing Analysis Information Packet - "Why It's So Hard to Get to the Bottom Line,"* 1988.
- *A Transition Manual for New Correctional Facilities*, 1985 -- Draft.
- *Objective Jail Classification Information Packet*, 1989.
- *Direct Supervision/New Generation Jail Information Packet*.
- *The Nature of New Small Jails: Report and Analysis*, 1985.
- *Small Jail Special Issues*, 1986.
- *Small Jail Design Guide*, 1988.
- *National Study of Jail Suicide: Seven Years Later*, 1988.
- *Training Curriculum for Detection and Prevention of Suicide in Jails and Lockups*, 1988.
- *First/Second Line Jail Supervisor's Training Manual*, 1989.
- *Directory of Programs Serving Families of Adult Offenders*, 1990.
- *Statistical Prediction in Corrections*, 1988.
- *Pretrial Release: Risks, Restrictions, and Reform*, 1988.
- *The Cost of Corrections: In Search of the Bottom Line*, 1989.
- *The Effectiveness of the New Intensive Supervision Programs*, 1989.

The NIC Information Center can be contacted at 1790 30th Street, Suite 130, Boulder, Colorado 80301; telephone 303-939-8877.

PRISONS DIVISION

Assisting in the development of improved operations in state prisons

The Institute's Prisons Division was established in 1981 to provide assistance to departments of corrections in the 50 states, the District of Columbia, and the U.S. territories and commonwealths. The Division also works with selected large city or county departments of corrections in cooperation with the NIC Jails and Community Corrections Divisions.

Prison crowding remains one of the most difficult problems facing today's correctional agencies. Bureau of Justice Statistics studies show that 300,024 people were incarcerated in state and federal prisons in 1977, and, by the end of 1989, that figure had increased to 710,054.

State correctional systems face many challenges as they move into the 1990s. The Prisons Division will continue to focus its resources in areas that will assist correctional administrators as they oversee continued system expansion. The Division's emphasis on human resource development will be maintained to help correctional agencies develop the staff and managers necessary to operate. A new training seminar on prison system master planning will be offered to assist agencies in managing growth.

Also during fiscal year 1991, the Prisons Division will fund the development of a guide on corrections internal management and operations review systems, which encompasses the best aspects of all the internal controls systems currently being used by correctional agencies to monitor and review agency components. The Division will also continue to develop and implement programs to assist state prisons with inmate management and programming. New projects addressing the needs of older inmates and those with mental retardation will be funded.

The Prisons Division is committed to continuing its support of projects and programs that have proven effective in the management of state prisons. States will be assisted in improving security operations, implementing or evaluating objective classification systems, improving services for women offenders, developing effective treatment and supervision programs for sex offenders, enhancing prison industries, developing literacy and vocational training programs, and improving health care in prisons. Short- and long-term technical assistance, as described below, will be provided to state departments of corrections and prisons. Special issue seminars on subjects of high interest to prison officials will be presented in cooperation with the NIC National Academy of Corrections.

To obtain additional information about any of the projects or programs described in this section, contact the Institute's Prisons Division, 320 First Street, N.W., Washington, D.C. 20534; telephone 202-307-1300.

Short- and Long-Term Technical Assistance

Prison Management, Operations, Personnel, and Programs

Through its technical assistance program, the Prisons Division will work with state prison administrators in the many diverse areas that constitute prison management. Technical assistance will be provided to state departments of corrections and prisons to improve management, operations, programs, and personnel practices.

Because of the high demand for technical assistance services, the Prisons Division has estab-

lished the following priority areas. These priorities do not preclude providing assistance in other areas, however.

Prison Management and Operations

- Classification;
- Crowding;
- Prison complexes;
- Technology;
- Program-based specialized housing;
- Prison planning and design;
- Prison site selection;
- Legal services;
- Program and operations audit/evaluation.

Human Resources

- Accelerated management development;
- Affirmative action;
- Recruitment;
- Retention;
- Stress management.

Prison Programs

- Women offenders;
- Substance abuse;
- Literacy;
- Mental health;
- Parenting;
- Pre-release/life skills;
- Prison industries;
- Education and vocational training.

Those interested in applying for technical assistance should follow the instructions given on page 3 under **Application Procedures**.

Program Development Activities

The National Institute of Corrections' authorizing legislation mandates that the Institute undertake policy formulation and program development. The Prisons Division attempts to focus on areas of emerging interest and concern to practitioners

each year. During fiscal year 1991, the Prisons Division will fund projects on the topics of "older" inmates, mentally retarded inmates, and internal management and operations review systems.

The Older Inmate: An Overview

While constituting a small proportion of the total prison population, older offenders comprise one of the fastest growing segments of the inmate population. Current trends indicate that the number of older inmates will continue to grow with the overall aging of the general population, increasing rates of crime, longer mandatory sentences, and restrictive release policies.

Many prison systems have not identified this group as having needs that are different from those of the general population or have not clearly identified strategies to meet older inmates' special needs. The victimization of older inmates, greater health care requirements, and differing program needs are often not addressed in a systematic fashion. Release preparation is lacking, and parole practices often place the older offender in a disadvantageous position.

Prison crowding has exacerbated many of the problems and needs of the older inmate. Issues related to the incarceration of offenders into their later years must be identified, and humane, cost-effective strategies must be developed for the confinement and care of these offenders.

Scope

In fiscal year 1991, the National Institute of Corrections will fund the development of a bulletin that alerts correctional administrators, planners, and practitioners to the nature and needs of the older inmate population. The bulletin will provide an overview of the current thinking and collective experience of researchers and practitioners who have been active in working with this population and will draw on relevant literature as appropriate.

Because so few jurisdictions have done extensive research and programming with this group of inmates, information will be collected primarily through work sessions. The award recipient will conduct a minimum of two meetings with a work group composed of persons who have been active in assessing the needs of older inmates and designing and delivering appropriate programs. The NIC Prisons Division will participate in the selection of this work group.

The bulletin will meet the following objectives, at a minimum:

- Define the "older" inmate for the purposes of data collection and programming in the correctional system. Particular attention will be given to the age at which one is considered an "older" inmate and the extent to which age should be considered in programming when it is known, based upon the sentence and release criteria, that an inmate will be "older" when eligible for release.
- Define the primary issues that correctional administrators must address in meeting the needs of "older" inmates.
- Develop minimum components of any program, practice, or strategy designed to address the issues identified. Program costs and operational practicality must be considered in the development of such components. Existing exemplary programs, practices, or strategies will be described for illustrative or reference purposes.

The final product will be a camera-ready document that is fully edited and prepared in accordance with NIC and federal publication guidelines.

Application Procedures

Funding for this project has been set at \$50,000. This amount will support one award. Project activity must be completed within 12 months.

Applications must be prepared in accordance with the instructions given on page 5 and must be received by the National Institute of Corrections no later than 5 p.m. Eastern time, December 7, 1990.

Programming for Inmates with Mental Retardation

The precise number of inmates with mental retardation and learning disabilities is unknown, but studies have shown that a significant percentage of prison inmates are among this special needs population. Studies reveal that, without specialized programming, inmates with mental retardation commit many rule and disciplinary infractions, resulting in increased security and supervision measures. Abuse and victimization of this population by other inmates are also common. While over-represented in corrections in comparison to their representation in the general population, these offenders are under-represented in correctional programs designed to improve academic and vocational skills and in work programs designed to reduce idleness and develop good work habits.

Inmates with mental retardation often do not perform well in traditional vocational, work, and educational programs offered in state prisons, and special programs generally do not exist. These inmates present a unique set of challenges affecting virtually all personnel and levels of the correctional organization. Institutional educators, treatment personnel, security staff, and industry staff should all be involved in program development for special needs inmates. Various prison services and program components should be coordinated to allow inmates with mental retardation to become involved in productive work experiences.

Scope

In fiscal year 1991, the National Institute of Corrections will fund a demonstration project

that provides productive work experiences for inmates with mental retardation as part of a state department of corrections' industries program. The demonstration project will be based on the training, industries, and education (TIE) concept. This concept, which is rooted in the principles of cooperation and coordination among the various disciplines in corrections, should help facilitate the integration of mentally retarded offenders in the prison environment and, ultimately, their successful transition to the community.

The grantee will be required to set aside a minimum of \$6,000 from the award for an outside source approved by NIC to perform a comprehensive program audit. The auditor(s) will be involved in the initial planning stages of the project to assure appropriate data will be generated. The grantee must document project activities from conception through full implementation, maintenance, and evaluation in a report that can be made available to the field.

Application Procedures

Funding for this project has been set at \$50,000. This amount will support one award. Project activity must be completed within 18 months. Applications must be prepared in accordance with the instructions given on page 5 and must be received by the National Institute of Corrections no later than 5 p.m. Eastern time, January 4, 1991.

Corrections Internal Management and Operations Review System

The unprecedented growth of the nation's prison systems is accompanied by a demand for full accountability by correctional administrators who are entrusted with public funds and the responsibility for properly managing government programs and services. Correctional administrators are frequently required to spend disproportionate amounts of time and energy defending programs and operations before the legislature, courts,

media, unions, community organizations, and numerous special interest groups.

As a proactive management response, administrators continue to develop their organizations' system of internal administrative and accounting controls. These controls are needed to provide credible information about the seriousness of emerging problems that need remedial action by the correctional system and/or the state legislature, as well as to provide a defensible position in addressing litigation and intense public scrutiny.

A well-established internal management and operations review process provides correctional administrators an effective means for assessing operations and reasonable assurance of compliance with departmental directives and standards. A sound system of internal control could ensure: 1) compliance with laws, regulations, policies, procedures, and accepted professional standards; 2) accomplishment of goals and objectives; and 3) efficient, effective, and economical operations.

Scope

In fiscal year 1991, the Institute will fund the development of a guide to assist correctional administrators in the implementation and management of a sound internal management and operations review system. The award recipient will conduct research and study approximately three such model state corrections review systems, as well as the internal management and operations review system of the Federal Bureau of Prisons. Based on this research and analysis, the grantee will develop a comprehensive guide on the development and management of a corrections internal management and operations review system.

The guide will address the following objectives, but will also include other relevant analyses.

- Identify the scope of management and operations internal reviews conducted within corrections (i.e., effectiveness of programs and operations, economy and efficiency in the use of resources, etc.).
- Identify all functional areas and activities that would be subject to internal review; determine how the organization prioritizes functions and activities for review; and identify the essential data elements for each activity. The functional areas would include, but not be limited to, financial services (e.g., business operations, inmate trust accounts); programs (e.g., recreation, education, religion); and security (e.g., key control, tool control, count procedures).
- Describe the types of audits used in an internal management and operations review system (e.g., financial, compliance, program, security) and provide examples of review planning and audit program forms, checklists, flowcharts, etc.
- Identify professional audit standards that can be used to guide an internal review function and describe how these standards are integrated into the internal review process.
- Identify those elements of an internal management and operations review process that could be automated and considerations essential to expediting implementation.
- Provide a flowchart and timetable for the internal management and operations review process, which include, at a minimum, preparing a plan, developing audit programs, conducting the onsite verification, scheduling an exit conference, reporting results, and developing an action plan to address findings and conduct follow-up reviews.
- Recommend chain-of-command reporting responsibilities and the location of the review function within the organization. Develop recommended organizational charts for different size departments of corrections, including the number and types of auditing positions and position descriptions.
- Analyze recruitment and hiring practices, noting skills and abilities most desirable in selecting internal management and operations reviewers. Identify minimal job qualifications for entry-level positions and basic training needs.
- Recommend the appropriate level of cooperation and interaction with external auditors.
- Describe how agencies determine the relative risk of functions and activities (e.g., risk analysis, vulnerability assessments).
- Identify the process for developing and reporting action plans that address review findings.
- Recommend a process for reporting results of internal management and operations reviews (e.g., how results are reported, confidentiality of reports, distribution).
- Identify legislation enacted to provide for the internal management and operations review function, and develop a model state statute that provides for the establishment of such a corrections review program.
- Provide model policies and procedures for state department of corrections' internal management and operations review systems.
- Prepare a comprehensive, annotated bibliography of literature/video presentations available regarding government internal management and operations review processes and functions, with emphasis on criminal justice and corrections to the extent possible.

Application Procedures

Funding for this project has been set at \$100,000. This amount will support one award. Project activity must be completed within 18 months. Applications must be prepared in accordance with the instructions given on page 5 and must be received by the National Institute of Corrections no later than 5 p.m. Eastern time, December 3, 1990.

Special Issue Seminars and Other Training

This section describes the Prisons Division special issue seminars that, with the exception of one, will be conducted at the NIC Academy in Longmont, Colorado, during fiscal year 1991. Other training seminars and services to be offered are briefly described in the Academy section of this document.

Those interested in applying for participation in any of the seminars should obtain a copy of the Academy's **Schedule of Training and Services for Fiscal Year 1991** for additional information, eligibility requirements, and an application form. Participation in the Prisons Division seminars is limited to persons working for correctional systems eligible for service from the NIC Prisons Division.

Evaluating Objective Classification Systems

This 36-hour seminar trains correctional managers in designing and implementing evaluation procedures for their department's objective classification system. Participants will have an opportunity to become proficient in the organization and documentation of evaluation methodologies. The seminar covers staff involvement in the evaluation process, design of an evaluation instrument, legal ramifications of the evaluation, implementation of the evaluation process, and plans for reevaluation.

Prison System Master Planning and Development

In this 36-hour seminar, planning teams identify factors relevant to the development of a prison system master plan based on a systematic assessment of the known and projected needs of the organization, the utility of existing facilities, economic and demographic conditions, and internal and external forces. The teams review criteria for analysis of the existing system and its mission, goals, and objectives. Future population trends and their implications in planning are examined.

Prison Industries Marketing Strategies

This 36-hour seminar reviews the strategic planning process and how to best market correctional industry programs, products, and services. Teams from state correctional agencies learn to develop both a marketing plan and a sales plan, and how to analyze marketing research. The curriculum also covers marketing new products and expanding product lines.

Chronic and Traumatic Stress in the Prison Environment

This 36-hour seminar helps correctional administrators and managers identify factors in their work environment that have a negative impact on the health, performance, and job satisfaction of employees. It offers practical, non-medical methods of reducing chronic stress and its negative effects. Special emphasis is given to stress related to critical incidents such as an execution, riot, hostage situation, and staff or inmate homicide.

Recruitment Strategies for the 1990s

This 36-hour seminar examines recruitment strategies as they apply to correctional organizations. Some of the key topics covered include characteristics of the future workforce; devel-

oping recruitment plans and strategies for different size correctional organizations; alternatives to recruitment; and developing professional recruiters, recruitment materials, and resources.

Developing and Implementing an Effective Career Development Program

This 36-hour seminar examines career development strategies as they apply to correctional organizations. Some of the key topics covered include general principles of career development, essential components of a career development program, and steps needed to implement a successful program. The seminar also covers the benefits of individual assessments and job/task analysis, and development of strategies to match individual skills with future job opportunities.

Training for Deputy Directors of State Correctional Agencies

This 24-hour seminar, to be held at a centrally located training site, will provide a forum at which deputy directors of state departments of corrections can identify and discuss critical issues affecting the management and leadership of complex correctional agencies. Among the topics to be considered are the authority and responsibility of the deputy director, leadership, media relations, emergency response coordination, and managing conflicting demands of political and operational realities.

NIC Publications of Interest to Prison Practitioners

The following reports are available to prison practitioners from the NIC Information Center as the result of earlier Institute activities. Some are available on a loan basis only.

- *Management of Crowded Prisons*, 1989.

- *Programming for Mentally Retarded and Learning Disabled Inmates: A Guide for Correctional Administrators*, 1989.

- *A Practitioner's Guide to Treating the Incarcerated Male Sex Offender*, 1988. (Copies also available from U.S. Government Printing Office, Washington, D.C. 20402; stock #027-000-01333-3. Cost: \$12.)

- *An Administrator's Overview: Questions and Answers on Issues Related to the Incarcerated Male Sex Offender*, 1988.

- *Legal Issues and the Mentally Disordered Inmate*, 1988.

- *Disruptive Maximum Security Inmate Management Guide*, 1988.

- *Correctional Education: A State of the Art Analysis*, 1988.

- *Guidelines for the Development of a Security Program*, 1987.

- *A Study of Prison Industry: History, Components, and Goals*, 1986.

- *Making Literacy Programs Work. Vol. I, A Practical Guide for Correctional Educators*, 1986.

- *Making Literacy Programs Work. Vol. II, A Directory of Prison Literacy Programs in the United States*, 1986.

- *Managing Long-Term Inmates: A Guide for Correctional Administrators*, 1986.

- *Designs for Contemporary Correctional Facilities*, 1985.

- *Sourcebook on the Mentally Disordered Prisoner*, 1985.

- *Adult Female Offenders and Institutional Programs*, 1984.
- *Evaluation of Pre-Manufactured Housing for Correctional Purposes*, 1984.
- *Female Classification: An Examination of the Issues*, 1984.
- *Guidelines for Prison Industries*, 1984.
- *Managing Adult Inmates*, 1984.
- *Offender Needs Assessment: Models and Approaches*, 1984.
- *Private Sector Involvement in Prison Services and Operations*, 1984.
- *Design Guide for Secure Adult Correctional Facilities*, 1983.
- *Protective Custody*, 1983.
- *Employee Grievance Decisions in Corrections*, 1982.
- *Statistical Prediction in Corrections*, 1988.
- *The Effects of Diet on Behavior: Implications for Criminology and Corrections*, 1988.
- *The Cost of Corrections: In Search of the Bottom Line*, 1989.
- *Institutional Security: Managing Prison Gangs and Disturbances*, to be published in 1991.

The NIC Information Center can be contacted at 1790 30th Street, Suite 130, Boulder, Colorado 80301; telephone 303-939-8877. Most of the documents are also available on microfiche from the National Criminal Justice Reference Service, P.O. Box 6000, Rockville, Maryland 20850; telephone 301-251-5500.

COMMUNITY CORRECTIONS DIVISION

Promoting the effectiveness and growth of community-based sanctions

Fiscal year 1991 marks the beginning of the Community Corrections Division's second decade of operation. In 1981, the National Institute of Corrections reorganized into client-specific divisions to better serve the corrections field. The newly formed Community Corrections Division initially focused primarily on serving probation and parole agencies. This focus widened, however, as activities and agencies under the umbrella of community corrections diversified, expanded, and became more varied in organizational structure.

Of the 3.7 million offenders under correctional supervision on December 31, 1988, 74.5% were in the community. The number of offenders served by community corrections agencies increased by 38% during the preceding four years, according to the Bureau of Justice Statistics. By the end of 1988, the community supervision population grew to 2,843,688, while the state and federal prison population rose by 35.4% to 703,730 during the same period. Such growth at a time when public resources were static or declining significantly changed the business of community corrections in the 1980s. Change was also fostered by demands for greater accountability by public agencies and the accompanying need for clearly defined purposes and objectives. Uncertainty about the purposes of corrections and the goals of criminal sanctions compounded the demands placed on agency administrators.

Against this backdrop, the Community Corrections Division has sought to be responsive to the needs of the community corrections field and to provide leadership in developing new directions and approaches. In the 1980s, risk control -- or risk management -- approaches recognized a major public concern for safety and protection

from crime and led to new methods to identify, control, and better manage offenders in the community. The Division supported intensive supervision programs and similar approaches as part of this trend.

Efforts have also recognized and fostered the use of major new tools in community corrections. Perhaps most notable is the use of objective classification instruments to sort and manage offenders and focus limited resources on the most critical cases. Closely linked to this are procedures and activities that make the decision-making process more explicit and impartial.

As the 1980s redefined much of the business of community corrections, organizational structures for the delivery of services changed and expanded. The Division initiated work with the new organizations -- both public and private -- that now make up community corrections. Likewise, work was started with major urban probation departments and with paroling authorities in recognition of the critical roles they play in the criminal justice system.

As the Community Corrections Division moves into the 1990s, attention is focused on "intermediate sanctions" for offenders. While still loosely defined, the term refers to a graduated range of punishments perceived as more demanding than traditional probation, but short of prison or jail. In incremental steps of increasing control, intrusiveness in the individual's life, and cost to the community, intermediate sanctions seek a new middle ground between probation and prison. A broad array of ascending sanctions allows tailoring sentences to meet the needs of both the individual offender and the community.

During fiscal year 1991, the Community Corrections Division will continue a joint initiative with the State Justice Institute to support the use of intermediate sanctions. Funds will also be allocated to exploring the use of intermediate sanctions with female offenders.

Short- and long-term technical assistance will continue to be provided in such areas as planning, analysis, development, and implementation of policies and programs. This year special attention will be directed to helping probation agencies manage the revocation process. Also, the Division will be working with state agencies with oversight responsibilities for local correctional programs and will support networking among major urban probation departments.

As in years past, the Community Corrections Division recognizes that implementing change is neither easy nor predictable. Innovations must be carefully crafted to fit the environment of the agency implementing them and to make sense within the local criminal justice system. This requires careful planning and attention to a strategy for change over an extended period.

For additional information about the Community Corrections Division's activities and services, contact the Division at 320 First Street, N.W., Washington, D.C. 20534; telephone 202-307-3995.

Short- and Long-Term Technical Assistance

Community Corrections Management, Operations, Services, and Programs

The Community Corrections Division's technical assistance program is designed to provide specialized service in response to requests from community corrections agencies and other com-

munity-based programs. This program represents the Institute's continued commitment to support the individual efforts of administrators and policymakers to improve community-based operations and programs.

Those eligible for assistance are state and local probation and parole agencies, residential programs, and public and private community corrections agencies. In special cases, consideration will be given to requests from organizations or associations whose mission is to support and/or assist community corrections agencies. Private agencies providing correctional services (e.g., facility operations, pre-sentence report writing) under contract to government agencies are eligible for assistance from the Institute only if their application is endorsed and forwarded by the chief executive officer of the government agency to which they provide those services. The chief executive officer might be the chief probation officer, chairperson of the parole board, executive director of the agency, or director of the department of corrections.

The total cost of each long-term award cannot exceed \$15,000 and, normally, funded activities should be completed within 1 year. Generally, NIC funding is not available for agency operating expenses or for capital expenditures (including purchase of major equipment, personal computers, and other data processing equipment).

Requests for assistance should reflect a significant agency problem. Typical areas that could be addressed by either short- or long-term technical assistance include, but are not limited to, the following.

Service Delivery Activities

- Supervision strategies;
- Intermediate sanctions;
- Victims services and programs;

- Caseload management systems;
- Pre-sentence investigations;
- Pre-trial release programming;
- Post-conviction community-based programming;
- Probation and parole decisionmaking;
- Community-based residential programming;
- Services for female offenders;
- Services for families of offenders;
- Services for specific offender groups (e.g., sex offenders, substance abusers).

Organizational/Environmental Issues

- Organizational development;
- Influencing criminal justice system decisionmaking;
- Employee safety and awareness;
- Accountability measures;
- Civil liability;
- Privatization/contracting for services;
- Improving management practices;
- Community corrections act legislation;
- Automation and management information systems;
- Policy development and implementation;
- Marketing of effective programming.

Those interested in applying for short- or long-term technical assistance should follow the instructions given on page 3 under **Application Procedures**.

Targeted Technical Assistance

Targeted technical assistance involves a coordinated approach to assisting jurisdictions and agencies in developing solutions to complex problems. Activities frequently include a mix of short-term technical assistance, training, and information exchange.

Earlier targeted technical assistance efforts related to community corrections oversight agencies, residential community corrections,

parole decisionmaking, and probation/parole classification system maintenance will be continued through the Division's established procedures for providing short- and long-term technical assistance. During fiscal year 1991, probation violation and revocation issues, intermediate sanctions, and an urban probation network will be the focuses.

Probation Violation and Revocation Issues

For probation and parole to be effective, reasonable controls must be placed on the behavior of offenders. Such controls take the form of either general or special conditions, and there must be certainty of a timely consequence when an offender violates these conditions. "Technical" violations are breaches of conditions of supervision, rather than new violations of criminal law. For either technical or new violations, two responses commonly occur: either violators stay on probation or parole with a "slap on the wrist," or probation or parole is revoked, resulting in a commitment to jail or prison.

Available data suggests that revocation practices directly influence the number of offenders in custody. In 1987, nearly 15% of all admissions to prison in the United States were conditional release violators who did not receive a new sentence; this figure does not even include probation violators who were incarcerated for the first time on their original charge, according to the Bureau of Justice Statistics. A preliminary review of the most recent data suggests that probation revocations during the first six months of 1989 may have exceeded the total number of probation revocations for the entire preceding year.

Policymakers and correctional administrators are expressing concern over the effect of probation and parole revocations on institutional crowding. Concurrently, increased use is being made of innovative sanctioning responses designed to

address the needs of the offender and protection of the public. Experience indicates that judicious use of intermediate sanctions can provide speedy and appropriate administrative action for violations while addressing public safety, offender needs, and institutional crowding.

Scope

Last year NIC funded a technical assistance project that focused on parole violation and revocation issues. That project is currently delivering technical assistance to five paroling authorities, gathering data, and documenting issues and options about how to respond to violations short of incarceration.

During fiscal year 1991, NIC will address violation and revocation issues in probation. Emphasis will be on delivery of technical assistance to agencies wanting to develop or improve a program of community-based intermediate sanctions for offenders who violate conditions of supervision. Examples of structured community-based sanctions include intensive supervision, home confinement, reassignment among different levels of supervision, economic penalties, supervised community service, and frequent substance-abuse screening.

The Institute will award a cooperative agreement to an organization to provide technical assistance to probation agencies, or combined statewide probation and parole agencies, that are willing to use intermediate sanctions to reduce the reliance on jail or prison as the primary consequence of technical violations. The technical assistance will help selected probation agencies to: 1) assess their current violation practices; 2) identify agency-specific options and a range of potential sanctions and programs; 3) examine the potential effect of those options on probation revocation patterns; and 4) either assist in actual implementation of the sanctions or help the agency develop a realistic implementation plan.

The primary intent of this project is to deliver effective technical assistance to as many probation agencies as possible. It may be necessary to collect and analyze some agency data, but this should occur only to the degree necessary to support the technical assistance plan. A final report to NIC will describe project activities, issues, and results, but will not be published for wide dissemination.

It is essential that top administrators of participating agencies be committed to active involvement in the project and that they be open to potential policy change in the handling of violators. Additionally, an effective effort addressing this theme must not ignore the "external environment" comprised of judges, policymakers, institutions, and providers of community-based residential and other services.

Application Procedures

Funding for this effort has been set at \$180,000. This amount will support one cooperative agreement award. Project activity must be completed within 18 months. Those eligible to apply for the award include both public and private organizations capable of providing the required services.

Applications must be prepared in accordance with the instructions given on page 5 and must be received by the National Institute of Corrections no later than 5 p.m. Eastern time, March 1, 1991. Applications must specify the number of jurisdictions to receive technical assistance, how agencies will be identified, and the type and level of assistance proposed. Selection of agencies to receive assistance will be subject to NIC concurrence after the award is made.

This is a technical assistance award. Applicants must submit a copy of their proposal to the state "single point of contact," where applicable, simultaneously with submitting six copies to the Institute.

Building Capacity of Community Corrections Oversight Agencies

For the past several years, the Community Corrections Division has worked with state agencies that have oversight responsibilities for community corrections activities conducted by local jurisdictions. The Institute has sponsored an annual meeting and workshops and has provided technical assistance and grants.

This fiscal year, the Division will sponsor a 4-day conference to bring together administrators of these oversight agencies. To be held in September 1991, the meeting will provide an opportunity for networking and sharing of information, ideas, and concerns related to the oversight function.

A workshop will be held earlier in the year in support of this meeting. The workshop will deal in depth with issues of current interest to oversight administrators and will help define the topics to be covered at the fall conference. Dates and locations for these events will be announced. Participation will be by invitation of the Institute's Community Corrections Division.

Facilitating the Use of Intermediate Sanctions

Interest in intermediate sanctions and their potential role in providing judges with more effective sentencing options has increased enormously in the past two years. Many judges have expressed the need for more knowledge about the range and nature of intermediate sanctions available in their jurisdictions or used elsewhere. Specifically, they need information regarding the actual supervision techniques employed, the means for enforcing the sanctions, which sanctions work for what kinds of offenders, how to use the sanctions appropriately and monitor offenders subject to them, and how to increase support for the programs. Corrections officials are concerned about these same issues, as well

as the under use or inappropriate use of intermediate sanctions.

In a cooperative effort begun in 1989, the National Institute of Corrections and the State Justice Institute (SJI) co-sponsored a two-phased project to facilitate the use of intermediate sanctions. A 2-year effort, the project promoted more effective use of intermediate sanctions in 12 large jurisdictions by improving the dialogue between the courts and those criminal justice agencies that have key roles in the adjudication process and in the design, implementation, and management of community corrections programs. The project provided practical information through training and technical assistance to teams of judges, chief probation officers, prosecutors, and other key officials in the 12 jurisdictions to help them build a more credible, effective range of sanctions.

The project was jointly funded and managed by NIC and SJI, a private non-profit corporation established by Congress to improve the administration and quality of justice in state courts. Design and administration of a symposium and technical assistance services were a collaborative effort of the Center for Effective Public Policy and the Institute for Court Management of the National Center for State Courts, operating under a cooperative agreement with NIC.

Scope

NIC and SJI plan to co-sponsor and cooperatively manage a second, two-phased project to provide assistance to another 12 jurisdictions to improve the use of intermediate sanctions. The project will be carried out through information sharing and program design, implementation, and assessment in the selected jurisdictions. The funds available in fiscal year 1991 will support a 15-month Phase I of the project. The Center for Effective Public Policy will continue to administer the project and provide information, training, and technical assistance services.

In this project, "intermediate sanctions" means the graduated array of penalties and programs that do not involve total confinement and are intended primarily for felony offenders who may pose a risk to public safety. While probation remains the most common community sanction, of particular interest here are penalties such as fines, restitution, community service orders, house arrest (with or without electronic monitoring), placement in community residential facilities, intensive supervision probation, split sentencing, and boot camps. The use of these sanctions has grown significantly in the past ten years, and experience shows they hold promise for effective management of offenders in the community.

The Center for Effective Public Policy will work with teams of judges and high-level officials from up to 12 jurisdictions. While large cities and counties will continue to be a primary focus, it is anticipated that several less populated, rural jurisdictions and state-administered probation systems will be selected to participate in the project. The Center will also work with four or five teams from jurisdictions that participated in the earlier (1989-1990) project, are making long-term changes in their intermediate sanctions systems, and require ongoing technical assistance.

Each team must include the presiding judge of the general jurisdiction court or criminal division of that court, the community corrections director or chief probation officer, and the district attorney. Other team members will be key policy officials whose participation is critical to effective use of intermediate sanctions in the jurisdiction. They might include another sitting judge, the chief public defender, court administrator, chief law enforcement officer, state and local legislators, and state corrections director.

The Phase I effort will consist of five components: 1) announcement of the program and selection of 12 participating jurisdictions; 2) the design and conduct of a symposium (or two seminars) for four- or five-person teams from

the jurisdictions; 3) technical assistance to the teams that attend the symposium; 4) intensive technical assistance to four or five teams from the earlier, 1989-1990 project; and 5) documentation.

The Phase II effort will consist of providing technical assistance tailored to the needs of each jurisdiction participating in the project through 1992, including intensive assistance to up to six of those jurisdictions, special topic workshops, and documentation. The second phase will be carried out over a subsequent 12-month period with additional funding at approximately the same level. Subject to satisfactory performance in Phase I, approval of a plan for Phase II, and availability of funds, a continuation award will be made to the Center for Effective Public Policy.

Judges, community corrections directors, prosecutors, and other officials interested in participating in the program and obtaining a copy of the program announcement should contact Kathy Schwartz, State Justice Institute, 120 South Fairfax Street, Alexandria, Virginia 22314, telephone 703-684-6100; or Phyllis Modley, NIC Community Corrections Division, telephone 202-307-3995.

Program Development Activities

The Community Corrections Division has sponsored program development activities over the years that subsequently led to a capacity to deliver technical assistance in areas such as probation and parole risk classification systems, workload management, executive clemency processes, system automation, residential programming, and parole decisionmaking. During fiscal year 1991, the Division will sponsor a program that will enable two jurisdictions to develop viable plans for expanding the range of intermediate sanctions available to female offenders.

Intermediate Sanctions for Female Offenders

In 1989, the Community Corrections Division conducted a workshop on female offenders supervised in the community. Experienced practitioners and researchers helped focus attention on emerging trends in background and offense characteristics of female offenders, supervision practices, and the special needs that female offenders present to the corrections field.

One of the major findings was a serious lack of carefully designed and effective programs for women supervised in the community. Given the enormous growth in probation and parole case-loads and the climate of crisis management in many jurisdictions, little attention has been directed to the special circumstances of female offenders, despite the fact that their numbers have increased significantly in the past decade. Further, in very few jurisdictions have female offenders been targeted for inclusion in the variety of intermediate sanctions programs being implemented throughout the country. Workshop participants also noted the confusion over the various purposes of sentencing women, and the need to carefully consider their circumstances within the frameworks of both a range of sanctions and a continuum of services.

Scope

In fiscal year 1991, the Community Corrections Division will support a program to stimulate expansion of a range of intermediate sanctions and services for female offenders and to learn more about how this work can best be accomplished. The Division will work intensively with two sites that demonstrate a strong commitment to the project goals and are willing to enter into a collaborative program development effort with NIC and its consultants.

Financial awards will be made to two community corrections agencies from state or large jurisdictions (over 200,000 population) to expand direct sentencing options and programs for women on **probation**. Although the Division recognizes that frequently programs serve both probation and parole populations, these projects will address probationers only.

Participating agencies will use the funding to support a policy and program development effort to include:

- Convening a working group of individuals with strong interest in and responsibility for the development of an effective range of sanctions for women in the community. The group will include representatives of key public and private agencies in the criminal justice system.
- Developing a sound information base regarding the offense and background characteristics of female offenders, and current sentencing practices and responses by community corrections agencies in the jurisdiction.
- Using the data base and the experience of the work group members and others to explore the existing community sanction options for female offenders, identify gaps in the range of sanctions and services, develop a sound conceptual plan for desired sanctions in that jurisdiction, and develop a plan for implementing selected elements of the desired range of sanctions.
- Documenting the program development process, with assistance from the Community Corrections Division and a core team of consultants.
- Collaborating extensively with the Division and the consultants, including participating in two or three meetings during the course of the project in which the two grantee agencies will

also work with each other on a variety of critical issues and tasks. These tasks will include clarifying project objectives, exploring sanctioning purposes and options, and designing the documentation process.

At a minimum, each project should achieve: 1) a sound information base on female offenders under community supervision in the jurisdiction and current supervision processes and programs, and 2) a plan for developing a range of intermediate sanctions, which includes both concrete action steps for implementing the plan within the next 6 months and a statement of where the community corrections system should be within the next 3 to 5 years with regard to sanctions and services for female offenders.

Application Procedures

Funding for this effort has been set at \$60,000. This amount will support two awards of up to \$30,000 each. Project activity must be completed within 15 months. (An additional \$20,000 in short-term technical assistance resources has been reserved and will be administered by NIC to support the activities of the core consultant team that will work with the two jurisdictions.)

Public community corrections agencies are eligible to apply for the program. Agencies may collaborate with other public and private agencies, organizations, or universities. In addition to the application review criteria described on page 6, applications will be evaluated based on the extent to which they can demonstrate sufficient leadership, commitment, and experience in the jurisdiction to accomplish the project goals.

Applications must be prepared in accordance with the instructions given on page 5 and must be received by the National Institute of Corrections no later than 5 p.m. Eastern time, January 18, 1991.

Special Issue Seminars and Other Training

Special issue seminars of interest to community corrections practitioners will be provided in cooperation with the NIC National Academy of Corrections. During fiscal year 1991, the following seminars will be conducted.

Orientation for Parole Board Members

This 36-hour seminar for full- and part-time parole board members with little formal parole training provides an orientation to various aspects of paroling policy. The seminar explores the technology, responsibilities, and implications of risk-based parole decisionmaking and community supervision, and defines structured decision-making, its rationale, justification, and application in parole.

Offender Treatment in an Era of Risk Control and Public Protection

This 36-hour seminar helps community corrections administrators examine policies and activities related to the role of treatment interventions in today's correctional environment. The seminar covers the melding of risk control and treatment interventions, and developing appropriate policies and practices for implementing and maintaining treatment interventions.

Other training seminars and services to be offered by the Academy are briefly described in the Academy section of this document. All of the seminars, eligibility requirements, and application procedures are fully described in the Academy's **Schedule of Training and Services for Fiscal Year 1991**, which can be obtained by contacting any NIC office.

NIC Publications of Interest to Community Corrections Practitioners

The following reports are available to community corrections practitioners from the NIC Information Center as the result of earlier Institute activities. Some are available on a loan basis only.

- *Worker Safety in Probation and Parole*, 1990.
- *Managing the Development of Community Corrections*, to be published in 1990.
- *Legal Issues in Drug Testing Probation and Parole Clients and Employees*, 1989.
- *Potential Liabilities of Probation and Parole Officers*, Revised 1985.
- *Handbook for New Parole Board Members*, Second Edition, 1989.
- *Management Strategies for Probation in an Era of Limits*, 1986.
- *Directory of Programs Serving Families of Adult Offenders*, revised 1989.
- *Fees for Probation Services*, 1986.
- *Liability Issues in Community Service Sanctions*, 1986.
- *Contracting for Community Corrections Services*, 1988.
- *Marketing Community Corrections*, 1988.
- *Civil Liabilities of Parole Personnel for Release, Non-Release, Supervision, and Revocation*, 1988.

- *What if Something Happens? A Guide to Risk Management and Insurance Options for Community Service Programs*, 1988.
- *Economic Sanctions in Community Corrections*, 1988.
- *Guide to Executive Clemency Among the American States*, 1988.
- *Current Issues in Parole Decisionmaking: Understanding the Past; Shaping the Future*, 1988.
- *Statistical Prediction in Corrections*, 1988.
- *Pretrial Release: Risks, Restrictions, and Reform*, 1988.
- *The Cost of Corrections: In Search of the Bottom Line*, 1989.
- *The Effectiveness of the New Intensive Supervision Programs*, 1989.

In addition to these publications, the Community Corrections Division sponsored development of a software package, *Community Corrections Planning Model*, to assess the impact of policy and population changes on agency budgets. Available from the NIC Information Center, the software package is for use on IBM-PC or compatible computers with Lotus 1-2-3.

The NIC Information Center can be contacted at 1790 30th Street, Suite 130, Boulder, Colorado 80301; telephone 303-939-8877. Most of the documents are also available on microfiche from the National Criminal Justice Reference Service, P.O. Box 6000, Rockville, Maryland 20850; telephone 301-251-5500.

NATIONAL ACADEMY OF CORRECTIONS

Training today's correctional leaders to meet tomorrow's challenges

The National Academy of Corrections, the training division of the National Institute of Corrections, began operation in Boulder, Colorado on October 1, 1981, to provide training for state and local correctional practitioners. By developing and delivering training to prison, jail, and community corrections practitioners, the Academy serves as a catalyst for interaction among correctional agencies, other components of the criminal justice system, public policy-makers, and concerned public and private organizations. Through training, the Institute promotes constructive organizational change and full use of resources to maximize corrections' ability to operate in a fair, safe, efficient, humane, and constitutional manner.

Public hearings, needs assessments, analyses of technical assistance and information requests, and discussions with correctional practitioners led to the identification of three areas toward which Academy training is directed. These include:

- **Seminars for correctional administrators** to improve administrative and managerial knowledge, skills, and practices that advance the operation of correctional agencies and programs.
- **Seminars for trainer development** to enhance the capabilities of state and local correctional agencies to deliver training through improving skills of trainers, providing curriculum materials to use in training, and transferring training technology.
- **Special issue seminars** to focus on unique problems facing correctional administrators, the resolution of which can be assisted by

training or an integrated approach that includes training.

Each seminar provides several days of intensive training, led by professionals with practical experience in corrections. In most cases, participants develop individual action plans or initiate projects for implementation when they return home.

The state-of-the-art seminars conducted by the Academy increase participants' effectiveness on the job and contribute to their continued professional development. The seminars are designed specifically for correctional practitioners and decisionmakers, and classes are composed of a national cross-section of participants with similar interests and needs.

Facilities, Accommodations, Transportation, and Costs

Seminars offered by the Academy are conducted at the Raintree Plaza Hotel and Conference Center in Longmont, Colorado. Occasionally a seminar might be conducted at another hotel or conference center in the Boulder/Longmont area or at a regional location. All participants in Academy-based programs are required to reside at the training site for the duration of the program, regardless of the proximity of their homes to the training site.

There are no registration, tuition, or materials fees associated with Academy training. Additionally, for seminars offered by the Academy in Longmont, Colorado, the costs of participants' air travel, lodging, and meals will be paid by the National Institute of Corrections. Those traveling by means other than air will be reimbursed up

to an amount that would have been incurred for economy airfare. Participants are responsible for the costs of ground transportation to and from their point of departure and to and from Denver.

Application Procedures

Those interested in participating in an Academy training program should obtain a copy of the NIC Academy's **Schedule of Training and Services for Fiscal Year 1991** for more information about the seminars to be offered, eligibility criteria, application procedures, and an application form. To obtain this document, contact the National Academy of Corrections, 1790 30th Street, Suite 430, Boulder, Colorado 80301; telephone 303-939-8855, TDD: 202-307-3156, fax: 303-442-8837.

Selection of Applicants

In selecting participants, the NIC Academy tries to achieve a geographic balance and, for the management and trainers seminars, a balance between state and local practitioners and among applicants from jails, prisons, and community corrections programs. Academy training is available to correctional personnel from the 50 states, the District of Columbia, and U.S. territories and commonwealths.

The National Institute of Corrections has a policy to ensure that no individual is discriminated against on the basis of race, color, national origin, gender, or handicap in programs or activities funded or conducted by the Institute. Further, NIC will look favorably upon training applications from qualified individuals and teams that reflect fair representation of women, minorities, and handicapped persons.

The Academy will select and assign applicants to seminars based on their meeting the individual eligibility criteria and based on the Institute's desire to maintain a broad cross-representation of men and women, racial and ethnic minorities,

geographical locations, and all components of the corrections field.

Cancellations

The Academy reserves the right to cancel seminars because of insufficient enrollment, with reasonable notice to applicants.

Seminars for Correctional Administrators

Current Issues for Executives

This 30-hour seminar provides an opportunity for correctional executives to meet and explore problems of current concern in the field of corrections. The seminar uses readings and videotapes, and consultants serve as resources to provide information, rather than as instructors. A combination of small and large work groups is used to achieve an end result, such as a position paper, policy draft, or journal article.

The Changing Correctional Organization

This 36-hour seminar focuses on the theories, skills, tools, and strategies needed to manage change. Key topics covered include fundamental concepts in the management of change, organizational factors that affect change, tools for diagnosing an organization's readiness for change, and planning and implementing the change process. Participants develop action plans that address changing issues in their organizations.

Enhancing Human Resource Systems

This 36-hour seminar explores ways to integrate all aspects of human resource management into an effective system for hiring, developing, supervising, and retaining staff. The seminar covers job/task analysis processes; effective personnel evaluation, recruitment, and selection techniques; training programs that systematically evaluate and

train employees; and objective employee evaluation systems.

Public and Media Relations

This advanced 36-hour seminar helps correctional administrators and managers refine their skills and capabilities to deal effectively with the media and the general public. It emphasizes the leadership, management, and communication skills needed to work cooperatively and constructively with others who may not understand the demands of corrections. Extensive practical experience on videotape is provided to assist participants in developing and refining their presentation skills.

Correctional Leadership Development

This 82-hour seminar is designed to enhance the leadership qualities correctional administrators must have to meet the challenges of the 1990s. Elements of the program include an assessment of individual leadership styles, a problem analysis model that can be applied to agency and personal dilemmas, management/leadership modules, individual research or self-study projects, and discipline-specific small work groups. Each participant will work on a project to benefit his/her agency during the seminar.

Management Development for Women and Minorities

This 36-hour seminar focuses on women and minorities who currently occupy or have been identified as moving into mid-management positions in corrections. Through simulations, self-diagnostic instruments, and other activities, participants are provided with opportunities to look at their roles and relationships, management styles, and career goals.

Seminars for Trainer Development

Training for Trainers of Small Agencies

This 38-hour seminar is an introductory course designed for full- or part-time trainers in small agencies who need the skills and knowledge to deliver training. Participants learn to assess training needs, prepare performance objectives, develop instructional strategies, evaluate student performance, and present a short lesson plan to their peers.

Advanced Training for Trainers: Needs Assessment and Evaluation

This 36-hour seminar provides experienced trainers with an indepth examination of methods and considerations related to training needs assessment, job/task analysis, test design and validation, and program evaluation. It covers cost-effective training methods, classroom training and assessment strategies, and maximizing training resources.

Advanced Training for Trainers: Learning Styles and Teaching Strategies

This 36-hour seminar for experienced trainers explores adult learning styles and methods of incorporating them into the training design. It shows trainers how to create a learning environment rich in stimuli and safe for learners to try new behaviors. Participants learn how to develop and use such interactive strategies as case studies, small group activities, practical exercises, and simulations.

Regional Training Meetings

To increase opportunities for training managers and trainers to share resources and network with

their peers, the National Academy of Corrections is assisting in sponsoring eight training meetings, two in each region of the United States. These meetings are designed to foster development of a network of agency trainers throughout each region and to provide greater access to training. Each meeting will consist of workshops and networking projects. A major focus will be the sharing of training materials developed by participants and the Academy.

The regional meetings will be held at various locations. Correctional training agencies, universities, colleges, and other appropriate entities can apply to host the meetings. Agencies will be responsible for participant travel and per diem costs. The Academy will supply materials, trainers, and, if necessary, meeting facilities.

Academy Special Issue Seminars

Cognitive Approaches to Changing Offender Behavior

This intensive 40-hour seminar is based on the Reasoning and Rehabilitation Program developed by Canadian criminologist Dr. Robert Ross and his colleagues for use with offenders. Designed for use by corrections staff who are not necessarily specialized professionals, the program focuses on social skills, interpersonal problem solving, cognitive styles, social perspective-taking, critical reasoning, values, meta-cognition, and self-control.

The seminar is presented in two parts. During the first, 3-day session, participant teams learn the primary methods for implementing the program in their agencies. After several months of practice with the methods, participants return for the second, 2-day session to learn how to train others in these methods.

Managing Gangs and Deviant Groups

This 36-hour seminar is designed to increase correctional managers' understanding of gangs, terrorist organizations, satanic groups, cults, and extremist groups. It covers sociological bases of groups, major deviant groups in the U.S., intelligence tracking models that can be adapted for local agency use, and strategies for managing members of formal gangs or deviant groups.

Problem Analysis for Effective Management Decisions

This intensive 36-hour seminar provides correctional administrators with a proven, systematic method of communicating and solving problems. It focuses on the sequential stages of effectively studying an issue to aid decisionmaking, identifying specific problems, coordinating facts, obtaining staff input at various organizational levels, reviewing available alternatives, and concisely communicating a recommended solution.

Working with Female Offenders

This 36-hour seminar provides correctional personnel who manage or train staff with an instructional package on working with adult female offenders. It focuses on the historical perspective and theories of female criminality, a profile of the female offender, current inadequacies of the correctional system, future trends, and the acknowledgement that correctional systems must be guided by the principles of parity as they respond to the needs of this offender group.

Jail Security

This 36-hour seminar focuses on security as an integral element in all aspects of jail planning, design, and operation. Emphasis is placed on

demonstrating how security is achieved through appropriate inter-relationships among the design features of the physical plant, high-technology security components, staff training, and operational policies and procedures.

Prison Security

This 36-hour seminar focuses on improving the security operations in adult prisons and emphasizes developing sound management principles for prison security. Integration of all services and operations is stressed as a means of maintaining a safe and secure institution. Some key issues covered include physical plant security, staffing analysis, roster management, legal issues, classification, management of prison gangs, and use of high technology.

Statewide Coordination of Community Services for Substance-Abusing Offenders

This 20-hour seminar is designed to enhance the planning and management of statewide services for substance-abusing offenders. It assists teams of directors from state substance abuse agencies and community corrections agencies in developing a clear sense of each other's mission, formulating common mission statements for both treatment and community corrections agencies, and beginning to develop interagency agreements that will improve their joint efforts.

A Systems Approach for Managing Substance-Abusing Offenders

This 36-hour seminar focuses on improving coordination among the many agencies and institutions that share responsibility for managing and treating substance-abusing offenders. Teams representing both community corrections and institutions assess the effectiveness of substance abuse programming within their systems and formulate plans to improve coordination of programs and continuity of services.

Treatment Skills for Professionals Working with Sex Offenders

This 36-hour seminar trains teams of correctional mental health professionals in methods of treating sex offenders and provides them with a specialized curriculum and training materials with which to train others. The seminar covers difficulties in treating sex offenders, offender characteristics, philosophy of treatment, program structure, offender assessment techniques and treatment strategies, and measurement of treatment progress.

Managing Medical Services in Corrections

This 36-hour seminar is designed for health care managers in prisons and jails who are new to the manager's role and/or to the correctional environment. It enhances participants' management, supervisory, and leadership skills, and presents a systems perspective on planning, managing, and budgeting correctional health care services. Legal and ethical issues that may confront the health care manager are covered also.

A Systems Approach to Working with Mentally Ill Offenders

This 36-hour seminar assists administrators of both corrections and mental health agencies in assessing the management of mentally ill offenders in their jurisdictions. Model programs and systems are presented for comparison purposes. Teams examine all aspects of their current approach to managing mentally ill offenders and develop realistic and workable strategies for improving services.

A Systems Approach to Managing Chronically Ill Inmates

This 36-hour seminar trains teams of state corrections officials to implement or manage institutional programs for inmates with severe, long-term medical conditions. The seminar

covers legal issues related to standards of health care for the chronically ill, alternative approaches to providing health care services, model programs in corrections, environmental considerations, and developing helpful relationships with community health care facilities.

Jail Special Issue Seminars

Seminars to be conducted by the Academy in cooperation with the NIC Jails Division are described in the Jails Division section of this document. The seminars include:

- Key Issues in Jail Administration;
- Administering the Small Jail.

Prison Special Issue Seminars

Seminars to be conducted by the Academy in cooperation with the NIC Prisons Division are described in that section of this document. The seminars include:

- Evaluating Objective Classification Systems;
- Prison System Master Planning and Development;
- Prison Industries Marketing Strategies;
- Chronic and Traumatic Stress in the Prison Environment;
- Recruitment Strategies for the 1990s;
- Developing and Implementing an Effective Career Development Program;
- Training for Deputy Directors of State Correctional Agencies.

Community Corrections Special Issue Seminars

Seminars to be conducted by the Academy in cooperation with the NIC Community Corrections Division are described in that section of this document. The seminars include:

- Orientation for Parole Board Members;
- Offender Treatment in an Era of Risk Control and Public Protection.

Short-Term Technical Assistance

The National Academy of Corrections will continue to provide short-term technical assistance in areas related to training. Assistance will be provided to state and local training systems to improve the design, delivery, operation, and evaluation of their training programs. Special emphasis will be placed on training that has regional impact or builds inter-/intra-agency capacity to deliver training. Typical areas that could be addressed by technical assistance include, but are not limited to, the following.

Identification of Training Needs

- Designing and/or conducting a needs assessment;
- Responding to training mandates;
- Developing the agency's capability to conduct a job/task analysis.

Strategies for Training Development and Delivery

- Curriculum development;
- Modifying existing curriculums;
- Developing competency-based training programs;
- Acquiring or maximizing the use of training technologies;
- Designing or developing alternatives to formal classroom training.

Evaluation of Training Programs

- Evaluating a training program or series;
- Evaluating individual curriculum modules;
- Assessing the impact of training on the target population;
- Evaluating instructional strategies.

Management of the Training System

- Evaluating the role of training in the organization;
- Assessing the use of training staff;
- Developing methods to manage the training budget;
- Designing a record-keeping/management information system;
- Assessing the use of resources and materials;
- Evaluating the present capacity to train.

Training for Trainers: Capacity Building

- Building system capacity through train-the-trainer programs;
- Delivering Academy programs through consultant trainers collaborating with agency trainers.

Those interested in applying for technical assistance should follow the instructions given on page 3 under **Application Procedures**. Note that only short-term assistance is available from the Academy at this time.

Other Academy Activities

Curriculum Development

Each year the Academy sponsors the development of new curriculum packages that will be made available to practitioners and trainers in the corrections field. During the 1991 fiscal year, a jail administration course will be developed, based on the "profile" of the jail administrator's job developed previously by the Academy. Additionally, smaller curriculum components on other topics will be developed to augment and update existing packages.

Videotapes: Profiles of Correctional Leadership

The Academy will continue to develop a series of videotaped vignettes to demonstrate skills

possessed by successful correctional leaders. The vignettes will be composed of several interviews with current or past leaders in corrections who have been at the forefront of issues such as massive organizational change, implementation of a systemwide strategic planning process, or development of new managers and leaders within their agencies. These video profiles will be used in Academy programs and will be available from the NIC Information Center in late 1991.

National Forum for Correctional Executives

The Academy will invite 30 correctional executives to participate in a 2-day forum to address critical issues facing corrections today. The objective is to provide top-level administrators the opportunity to generate new directions and recommendations for changes in corrections nationally. The proceedings will be recorded and synthesized in a videotape or publication that will be available to the field.

Audioconferences

During fiscal year 1991, the Academy will offer agencies the opportunity to participate in audioconferences for both meetings and training. Audioconferences will be used for:

- Meetings among the regional field coordinators in each of the four training regions;
- Meetings among graduates of an Academy seminar to follow up on outcomes of action plans developed during the seminar;
- Training sessions on topics that do not require face-to-face participation, such as legal issues or recent research on correctional topics.

In some cases, agencies participating in the audioconferences will be asked to cover their long-distance telephone costs. In other cases, such as a training session, the Academy will

cover all costs for telephone time, electronic bridging among participants, and participant materials. In all cases, participating agencies will need to provide speakerphones or other appropriate receiving equipment.

Conference Workshops

The Academy will continue to host training workshops before and after conferences of national significance. Topics are determined by the expressed needs of the special-interest groups attending the conferences. Examples of the workshops to be held in fiscal year 1991 follow.

- **Curriculum Fair** -- an 8-hour workshop to be held in conjunction with the American Association of Correctional Training Personnel's Conference in Albany, New York, in October 1990. The workshop provides participants with curriculum packages that can be used in their home agencies. The packages include lesson plans and training aids, and participants receive several hours of instruction in the use of the materials.
- **Administrators Workshop** -- an 8-hour workshop to be held immediately prior to the American Correctional Association's 1991 summer congress. The topic will be selected based on input from agency administrators, but might be:
 - Leadership development or management techniques to enhance individual effectiveness;
 - Current issues facing corrections: overcrowding, long-term health care for inmates, and substance abuse programming; or
 - New data or research that has major implications for corrections.

The Academy will announce additional workshops in conjunction with other national meetings

during the year. Workshops are typically one day in length and are limited to either 12 or 24 participants. To participate, individuals must submit applications and be accepted by the Academy. Participants are responsible for their own travel and per diem expenses.

Regionalization

The Academy's regionalization effort is a cost-efficient means of increasing training opportunities for correctional trainers throughout the country, while creating networks of professional trainers and promoting the sharing of training resources.

The goals of regionalization are to:

- Maximize the use of federal funds available for training trainers from state and local prisons, jails, and community corrections agencies;
- Increase regional input, based on regional needs and interests, in providing training for trainers;
- Provide opportunities for more trainers to participate in training programs and access training resources;
- Increase the dissemination, use, and impact of Academy-designed curriculum packages and training technologies;
- Develop coordinated communications within each region and with the Academy through designated Academy staff and regional field coordinators.

The Academy has divided the nation into four geographic training regions, each approximately the size of two regions designated by the American Association of Correctional Training Personnel. Each region has six volunteer regional field coordinators (two each from prisons, jails, and community corrections) who

plan Academy-sponsored regional meetings and coordinate the training network.

Academy program specialists work with each region to facilitate the planning and organization of regional training activities. For fiscal year 1991, \$6,000 has been reserved for each region to provide technical assistance for seminars and other activities to build the training capacity within the region.

Federal Bureau of Prisons Co-Sponsored Courses

The Federal Bureau of Prisons, in cooperation with the Academy, will make available a limited number of positions in its specialized management training programs to participants from state and local correctional agencies. These courses are usually held at the Bureau's Management and Specialty Training Center in Aurora, Colorado. The National Institute of Corrections covers costs associated with travel and per diem for state and local Academy-sponsored participants. For more information about these courses, contact the Academy.

Correctional Training Network

The Correctional Training Network (CTN) makes it possible for federal, state, and local agencies that conduct training for correctional staff to share training materials. The CTN serves as a coordination point for collecting and disseminating staff training curriculums and materials developed by the Academy and by state and local correctional agencies.

Through the CTN collection at the NIC Information Center, correctional trainers have access to instructor guides and lesson plans, student manuals, and accompanying materials such as discussion guides, tests, additional readings, and audiovisual training materials. Materials are solicited from all segments of the corrections field and are included in the CTN collection only after review and approval by a panel based at the Academy.

Numerous Academy-developed training materials are available through the CTN on a loan basis. They include: *Working with the Female Offender* (revised 1989), *Changing Workforce in Corrections*, *Correctional Leadership Development*, and *Substance Abuse Programming in Community Corrections*. These curriculum packages contain participant and instructor manuals and, where appropriate, audiovisual aids. The materials can be duplicated and/or adapted by state and local agencies for internal training purposes.

State and local correctional agencies are strongly encouraged to submit curriculum packages for possible inclusion in the CTN collection. If selected, the materials will be distributed for use by other agencies through the NIC Information Center.

All CTN services are free of charge. For more information or to obtain a copy of the *Correctional Training Network Catalog*, contact the NIC Information Center, 1790 30th Street, Suite 130, Boulder, Colorado 80301; telephone 303-939-8877; fax 303-442-3412.

Additional information about these training opportunities and services, as well as seminar dates, eligibility requirements, application procedures, and an application form, are contained in the Academy's *Schedule of Training and Services for Fiscal Year 1991*. Contact any NIC office for a copy of this document.

Previous Editions Not Usable

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: |
|---|---|
| <ol style="list-style-type: none"> 1. Self-explanatory. 2. Date application submitted to Federal agency (or State if applicable) & applicant's control number (if applicable). 3. State use only (if applicable). 4. If this application is to continue or revise an existing award, enter present Federal identifier number. If for a new project, leave blank. 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. 6. Enter Employer Identification Number (EIN) as assigned by the Internal Revenue Service. 7. Enter the appropriate letter in the space provided. 8. Check appropriate box and enter appropriate letter(s) in the space(s) provided: <ul style="list-style-type: none"> — "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. | <ol style="list-style-type: none"> 12. List only the largest political entities affected (e.g., State, counties, cities). 13. Self-explanatory. 14. List the applicant's Congressional District and any District(s) affected by the program or project. 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. 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. 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. 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.) |

BUDGET INFORMATION — Non-Construction Programs

OMB Approval No. 0348-0044

SECTION A — BUDGET SUMMARY

Grant Program Function or Activity (a)	Catalog of Federal Domestic Assistance Number (b)	Estimated Unobligated Funds		New or Revised Budget		
		Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)	Total (g)
1.		\$	\$	\$	\$	\$
2.						
3.						
4.						
5. TOTALS		\$	\$	\$	\$	\$

SECTION B — BUDGET CATEGORIES

6 Object Class Categories	GRANT PROGRAM, FUNCTION OR ACTIVITY				Total (5)
	(1)	(2)	(3)	(4)	
a. Personnel	\$	\$	\$	\$	\$
b. Fringe Benefits					
c. Travel					
d. Equipment					
e. Supplies					
f. Contractual					
g. Construction					
h. Other					
i. Total Direct Charges (sum of 6a - 6h)					
j. Indirect Charges					
k. TOTALS (sum of 6i and 6j)	\$	\$	\$	\$	\$
7. Program Income	\$	\$	\$	\$	\$

Authorized for Local Reproduction

Standard Form 424A (4-88)
Prescribed by OMB Circular A-102

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.

ASSURANCES — NON-CONSTRUCTION PROGRAMS

Note: Certain of these assurances may not be applicable to your project or program. If you have questions, please contact the awarding agency. Further, certain Federal awarding agencies may require applicants to certify to additional assurances. If such is the case, you will be notified.

As the duly authorized representative of the applicant I certify that the applicant:

1. Has the legal authority to apply for Federal assistance, and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project costs) to ensure proper planning, management and completion of the project described in this application.
2. Will give the awarding agency, the Comptroller General of the United States, and if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
3. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.
4. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
5. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. §§ 4728-4763) relating to prescribed standards for merit systems for programs funded under one of the nineteen statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).
6. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§ 1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. § 794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. §§ 6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) §§ 523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. 290 dd-3 and 290 ee-3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. § 3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.
7. Will comply, or has already complied, with the requirements of Titles II and III of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.
8. Will comply with the provisions of the Hatch Act (5 U.S.C. §§ 1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.
9. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. §§ 276a to 276a-7), the Copeland Act (40 U.S.C. § 276c and 18 U.S.C. §§ 874), and the Contract Work Hours and Safety Standards Act (40 U.S.C. §§ 327-333), regarding labor standards for federally assisted construction subagreements.

10. Will comply, if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.
11. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §§ 1451 et seq.); (f) conformity of Federal actions to State (Clear Air) Implementation Plans under Section 176(c) of the Clear Air Act of 1955, as amended (42 U.S.C. § 7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended, (P.L. 93-523); and (h) protection of endangered species under the Endangered Species Act of 1973, as amended, (P.L. 93-205).
12. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. §§ 1271 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.
13. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. 470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. 469a-1 et seq.).
14. Will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.
15. Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89-544, as amended, 7 U.S.C. 2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.
16. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. §§ 4801 et seq.) which prohibits the use of lead based paint in construction or rehabilitation of residence structures.
17. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act of 1984.
18. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations and policies governing this program.

SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL	TITLE	
APPLICANT ORGANIZATION		DATE SUBMITTED



U.S. DEPARTMENT OF JUSTICE
NATIONAL INSTITUTE OF CORRECTIONS

CERTIFICATION REGARDING
DRUG-FREE WORKPLACE REQUIREMENTS
GRANTEES WHO ARE INDIVIDUALS

This certification is required by the regulations implementing the Drug-Free Workplace Act of 1988, 28 CFR Part 67, Subpart F. The regulations, published in the January 31, 1989 Federal Register, require certification by grantees, prior to award, that their conduct of grant activity will be drug-free. The certification set out below is a material representation of fact upon which reliance will be placed when the agency determines to award the grant. False certification or violation of the certification shall be grounds for suspension of payments, suspension or termination of grants, or government-wide suspension or debarment (see 28 CFR Part 67, Sections 67.615 and 67.620).

The grantee certifies that, as a condition of the grant, he or she will not engage in the unlawful manufacture, distribution, dispensing, possession or use of a controlled substance in conducting any activity with the grant.

Organization Name (As Appropriate)

Application Number

Printed Name

Signature

Date



U.S. DEPARTMENT OF JUSTICE
NATIONAL INSTITUTE OF CORRECTIONS

CERTIFICATION REGARDING DRUG-FREE WORKPLACE REQUIREMENTS
GRANTEES OTHER THAN INDIVIDUALS

This certification is required by the regulations implementing the Drug-Free Workplace Act of 1988, 28 CFR Part 67, Subpart F. The regulations, published in the January 31, 1989 Federal Register, require certification by grantees, prior to award, that they will maintain a drug-free workplace. The certification set out below is a material representation of fact upon which reliance will be placed when the agency determines to award the grant. False certification or violation of the certification shall be grounds for suspension of payments, suspension or termination of grants, or government-wide suspension or debarment (see 28 CFR Part 67, Sections 67.615 and 67.620).

The grantee certifies that it will 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 a 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 of any criminal drug statute conviction for a violation occurring in the workplace no later than five days after such conviction;
- (e) Notifying the agency within ten days after receiving notice under subparagraph (d)(2) from an employee or otherwise receiving actual notice of such conviction;
- (f) Taking one of the following actions, within 30 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; 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 paragraph (a), (b), (c), (d), (e) and (f).

Place(s) of Performance: The grantee shall insert in the space provided below the site(s) for the performance of work done in connection with the specific grant (street address, city, county, state, zip code):

Organization Name

Application Number

Name and Title of Authorized Representative

Signature

Date

National Institute of Corrections

320 First Street, N.W.
Washington, D.C. 20534

Administrative Offices: 202-307-3106
Fax: 202-307-3361
TDD: 202-307-3156
Financial Management Offices: 202-307-3110
Grants Control: 202-307-0449
Prisons Division: 202-307-1300
Community Corrections Division: 202-307-3995

National Institute of Corrections

1790 30th Street
Boulder, Colorado 80301
Fax: 303-442-8837
Jails Division, Suite 440: 303-939-8866
National Academy of Corrections, Suite 430: 303-939-8855

NIC Information Center

1790 30th Street, Suite 130
Boulder, Colorado 80301
Telephone: 303-939-8877
Fax: 303-442-3412

The National Institute of Corrections Information Center interacts with all Institute program areas. Practitioners, policymakers, and others with questions about correctional programs, services, or operations anywhere in the country may request information or materials from the Information Center.

The Information Center maintains a computerized bibliographic data base of its library, which specializes in unpublished materials developed by state and local agencies. The Information Center also works closely with other organizations, clearinghouse services, and operating agencies to find the most accurate, current, and useful information.

The information service is free to practitioners. When writing or calling the Information Center, requesters should indicate:

- The materials or information they are seeking.
- Why the information is needed (if it would help the Information Center staff gain perspective on a broad topic area).
- How soon the information is needed.
- In the case of requests for specific publications, the author, date, title, and publisher, if known.

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

Washington, D.C. 20534

**Official Business
Penalty for Private Use \$300**

**FIRST CLASS
POSTAGE & FEES PAID
U.S. Department of Justice
Permit No. G-231**