

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



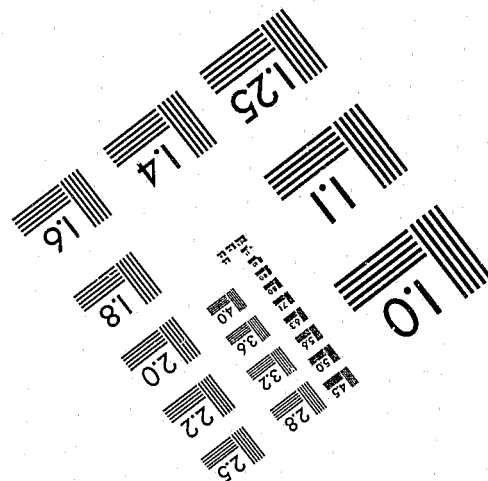
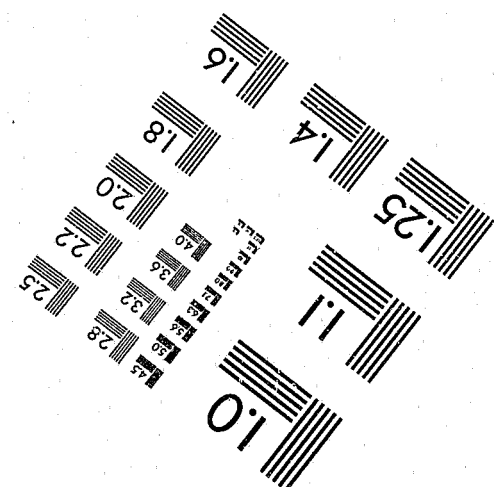
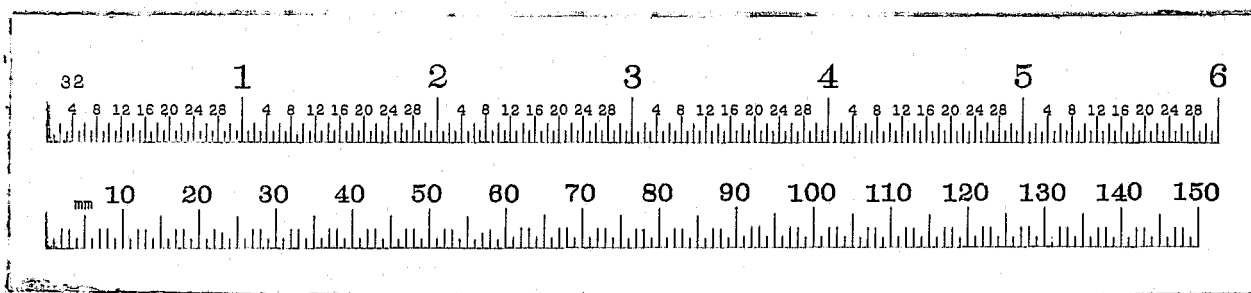
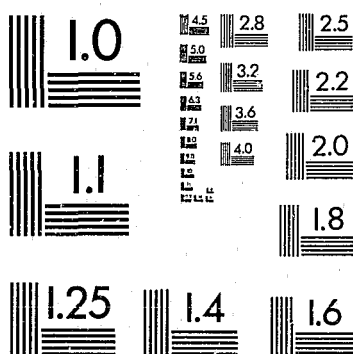
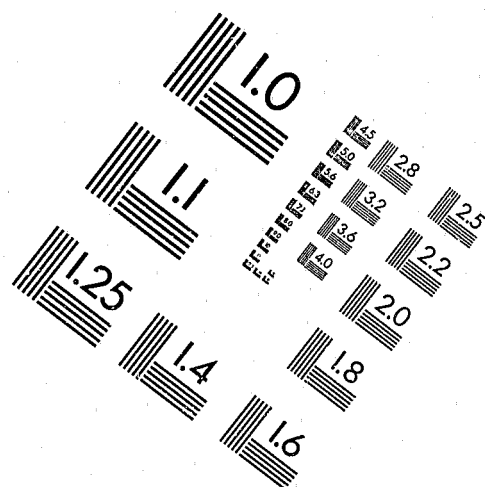
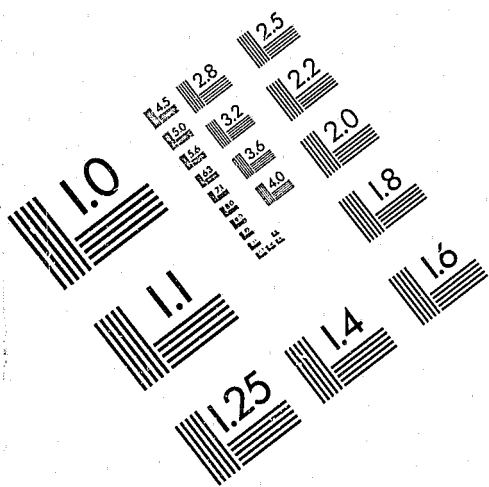
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Evaluation Plan: 1991

130410

Deadline for receipt of proposals: August 20, 1991

About the National Institute of Justice

The National Institute of Justice is the research and development agency of the U.S. Department of Justice established to improve the criminal justice system and to prevent and reduce crime.

Specific mandates established by Congress in the Omnibus Crime Control and Safe Streets Act of 1968, as amended, and the Anti-Drug Abuse Act of 1988 (Public Law 100-690) direct the National Institute of Justice to:

- Sponsor special projects and research and development programs that will improve and strengthen the criminal justice system and reduce or prevent crime;
- Conduct national demonstration projects that employ innovative or promising approaches for improving criminal justice;
- Develop new technologies to fight crime and improve criminal justice;
- Evaluate the effectiveness of criminal justice programs, identify programs that promise to be successful if continued or repeated, and recommend actions that can be taken by Federal, State, and local governments, and private organizations and individuals to improve criminal justice;
- Develop new methods for the prevention and reduction of crime and delinquency, and test and demonstrate new and improved approaches to strengthen the justice system;
- Provide to the Nation's justice agencies information from research, demonstration, evaluations, and special projects;
- Serve as a domestic and international clearinghouse of justice information for Federal, State, and local government; and
- Deliver training and technical assistance to justice officials about new information and innovations developed as a result of Institute programs.

The Director of the Institute is appointed by the President and confirmed by the Senate. The Director establishes the objectives of the Institute, guided by the priorities of the Department of Justice and the needs of the criminal justice field. The Institute actively solicits the views of criminal justice professionals to identify the most critical problems confronting them and to develop projects that can help resolve them. Through research and development, the National Institute of Justice will search for answers to what works and why in the Nation's war on drugs and crime.

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NATIONAL INSTITUTE OF JUSTICE

Evaluation Plan: 1991

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National Institute of Justice

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June 1991

National Institute of Justice

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

Foreword

Four years ago, the U.S. Congress enacted comprehensive legislation to prevent and control drug abuse in America. As the Nation continues to fight crime and drugs, the need to learn what works and what does not work has never been greater. National leaders now ask critical questions of those on the front lines: Reflecting on the past 4 years, Congress asks what has been the result of Federal programs. The U.S. Department of Justice has awarded more than \$1 billion for State and local anti-drug initiatives, and Federal officials ask what impact these grants have had on crime and drugs in America. Across the Nation, officials are asking whether new programs work. More than ever before, criminal justice leaders at all levels of government need reliable information to guide the investment of these resources.

Evaluation is the tool for obtaining answers to these questions. The Anti-Drug Abuse Act of 1988 directed the National Institute of Justice to evaluate anti-drug programs, particularly those funded by the Bureau of Justice Assistance (BJA). The Act authorized the National Institute of Justice (NIJ) to "evaluate the effectiveness of projects and programs carried out under this title" (Public Law 690-100, Section 202(C)(3)). This specific mandate from the Congress supports the Institute's mission: To serve as the research and development center for criminal justice.

With the publication of NIJ's *Evaluation Plan: 1991*, the National Institute of Justice is outlining for the first time a systematic program of evaluation studies for funding this year. The *Evaluation Plan* complements NIJ's *Research Plan: 1991*; together, these documents represent a new

direction for the National Institute of Justice. NIJ is committed to focused research and evaluation targeted on the critical needs of the criminal justice field.

The *NIJ Evaluation Plan* is structured to provide:

- A balanced series of programs and subjects for evaluation.
- Specialized evaluation designs that accommodate the broad range of goals and issues.

Since the passage of the 1988 Anti-Drug Abuse Act, NIJ has awarded \$7.5 million for evaluation of BJA-funded State and local projects. These funds have supported more than 30 evaluation efforts that are yielding results to support the National Drug Control Strategy.

As this plan indicates, NIJ's approach is to examine all aspects of the war on drugs, covering strategies such as street-level drug enforcement, drug testing, and drug abuse education. At the same time, the Institute will begin gathering information on a broad range of emerging new drug control concepts and tactics such as asset forfeiture, civil penalties, financial investigations, and drug night courts.

As the research is completed, NIJ will publish information that the criminal justice community can put to immediate, practical use. NIJ now looks to the field to respond and welcomes your proposals for well-designed evaluation projects.

Charles B. DeWitt
Director
National Institute of Justice



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Introduction

For more than 20 years, the National Institute of Justice (NIJ) has been providing timely, relevant information to criminal justice officials and leaders in State and local government. Rather than combating drugs and crime on their own, these officials and leaders have been aided by the success of their colleagues, as documented through NIJ research and evaluation.

From the very beginning, the mandate to NIJ stressed the importance of evaluations in determining the effectiveness of anti-crime efforts nationwide:

The Institute shall undertake, where possible, to make evaluations and to receive and review the results of evaluations of the various programs and projects carried out under this title to determine their impact upon the quality of law enforcement and criminal justice and the extent to which they have met or failed to meet the purposes and policies of this title, and shall disseminate such information. . . .

The Congress established NIJ in the Crime Control and Safe Streets Act of 1968 and over the years has reinforced and expanded its mission in a series of major crime bills. Today, the Institute functions as the principal research,

development, and evaluation arm of the Department of Justice.

Congress expanded NIJ's mission in the Anti-Drug Abuse Act of 1988, specifically directing the Institute to conduct comprehensive evaluations of drug control programs funded by the Bureau of Justice Assistance (BJA).

NIJ now examines a wide variety of criminal justice policies, conducts demonstration projects, tests new crime-fighting technology, and disseminates its findings across the Nation. NIJ publications are designed to provide new approaches of practical utility to criminal justice officials at the Federal, State, and local levels.

When criminal justice leaders know what works and why, they can repeat a success story and *not* repeat mistakes. NIJ evaluations examine promising crimefighting approaches and ensure that successful criminal justice programs are replicated.

With the publication of this *Evaluation Plan: 1991*, and its companion document, NIJ's *Research Plan: 1991*, the Institute this year will focus to an unprecedented degree on priority topics that will provide practical, useful information for State and local criminal justice agencies.

The NIJ Evaluation Program: An Overview

With the publication of this Evaluation Plan, the first of its kind issued by the National Institute of Justice, the Institute has initiated a comprehensive planning process that begins to build a clear structure for research and evaluation to meet the critical needs of criminal justice agencies nationwide. In 1991, the products of this new planning effort are:

- *NIJ's Research Plan: 1991*, which presents a blueprint for studies that will both summarize what has been learned in critical policy areas and launch new explorations of emerging issues that will challenge the criminal justice community in the 1990's.
- *NIJ's Evaluation Plan: 1991*, which offers a clear framework for learning what works in crime control, why it works, and how the lessons learned can be integrated into more effective policies to prevent and reduce crime and drug abuse.

NIJ views evaluation as part of the developmental framework that Congress established. It is a planning process that begins with research, proceeds to program design and experimentation, and ultimately results in documenting the lessons learned by criminal justice agencies across the Nation. NIJ expects the evaluations it funds to provide sound, timely findings to guide new approaches to persistent problems. (See figure A.)

To this end, NIJ has proposed the parameters set forth in this Plan to describe the nature of the research to be performed, the level of effort contemplated, and the validity and reliability of findings expected.

The Research/Evaluation Cycle

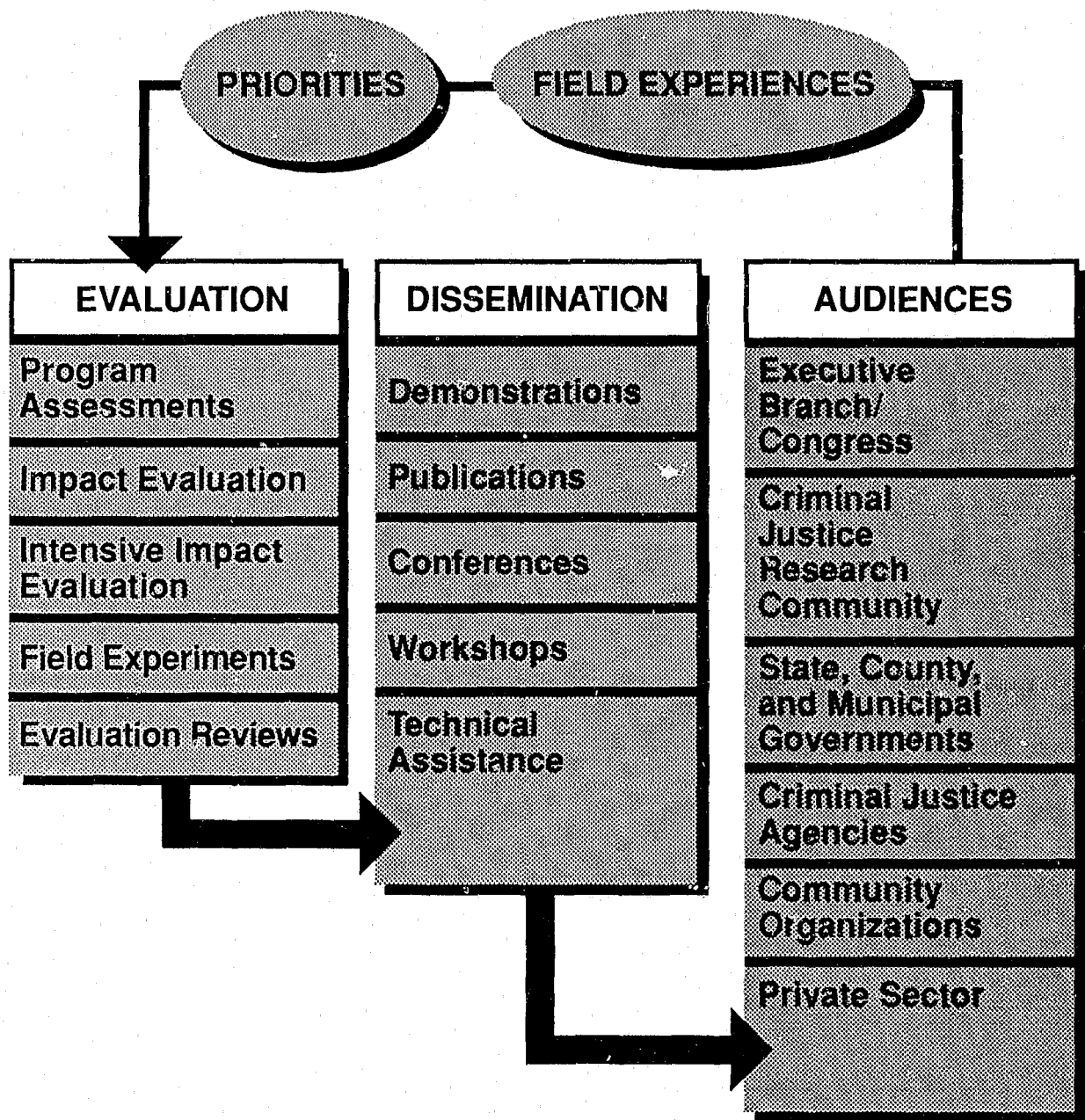
Effective programs begin with the objective information that research provides on a given problem. Program designers use research findings to construct experimental programs, which then require testing before widespread use. As a program is tested in a demonstration project, an evaluator enters the picture to appraise the validity of the program and its usefulness. Using results from the evaluation, program designers can then refine and redirect their original efforts. In this way, research and evaluation provide creativity for program development.

NIJ's Congressional Mandate

NIJ's evaluation role, a central part of its mission, expanded considerably under the Anti-Drug Abuse Act of 1988. Congress directly charged the Institute with conducting evaluations of drug control programs according to these criteria:

- Whether the program establishes a new and innovative approach to drug or crime control.

Figure A
From Research to Action



- Cost of the program to be evaluated and the number of similar programs funded (by BJA).
- Whether the program has a high potential to be replicated in other jurisdictions.
- Whether there is substantial public awareness of and community involvement in the program.

Under this mandate, the Institute has supported a broad program of evaluation studies on key issues in drug control, as outlined in figure B. In fiscal year 1989, the first year of funding these targeted drug control evaluations, a total of \$3.2 million was awarded for 14 grants. Emphasis was placed on examining programs to apprehend and sentence drug offenders. In the second year, funds awarded totaled \$4.3 million, and corrections issues

moved to the forefront of evaluation efforts. In the current year, fiscal 1991, with more than \$5 million in funds, the Institute balances its coverage of issues to target concerns of criminal justice agencies as well as specific topics of interest to citizens and local governments.

In selecting topics for both research and evaluation in fiscal 1991, the National Institute of Justice has been guided by the priorities outlined in the Office of Justice Programs (OJP) fiscal year 1991 Program Plan:

- Intermediate Sanctions (User Accountability)
- Gangs and Violence
- Evaluation
- Multijurisdictional Task Forces

Figure B Evaluation Topics Fiscal Years 1989–1991

Fiscal 1989	Fiscal 1990	Fiscal 1991
Community Anti-Drug Initiatives	Community Policing	Rural Drug Programs
Police Crackdowns	Problem-Oriented Policing	New Police Tactics
Public Housing	Intensive Community Supervision	Community Policing
Task Forces	Youth Challenge Camp	DARE Programs
User Sanctions	Urban Boot Camp	Community-Based Youth Programs
Assets Seizure	Therapeutic Drug Communities	Prosecuting Complex Drug Cases
Expediting Drug Cases	Prison Work Release	Systemwide Drug Testing
Shock Incarceration	State Formula Grant Monitoring	Structured Fines
State Drug Strategies		Drug Case Management
Drug Testing and Community Control		Treatment in Local Confinement

- Community-Based Policing
- Community-Based Programs
- Drug Testing
- Victims of Crime

Elements of NIJ's Evaluation Plan

No single method of evaluation is suited to all topics or goals. Thus, the NIJ evaluation framework sets forth four types of research with methodologies of corresponding rigor and complexity.

- **Program Assessments** answer the following: *What* are the salient features of a program? Such assessments represent a critical analysis of both positive and negative attributes.
- **Impact Evaluations** answer the following: *How* does a program have impact on crime? They are scientific studies of program operations and outcomes.
- **Intensive Impact Evaluations** answer the following: *Why* is a program effective? They are controlled experiments that may reveal specific causes and results.
- **Evaluation Reviews** answer the following: *What* did previous studies show and *what* are the future directions?

Program Assessments describe *what* a program's strengths and weaknesses may be; they synthesize and measure the progress made in solving certain classes of problems. They involve the critical examination of the elements of existing

solutions and an assessment of their strengths and weaknesses. Extant data, field observations, and available evaluation findings combine to inform expert judgment on the efficacy of various approaches and to develop recommendations for future programs in the topic area. In this way, Program Assessments are descriptive and retrospective.

Program Assessments include:

- Assessment through extant data of recent attempts to solve the problem.
- Isolation of key dimensions (e.g., effectiveness, fairness, cost control) of apparently successful programs.
- Recommendations for program change and experimentation.
- Predicted impediments to implementation of new solutions.

Impact Evaluations describe *how* a program has impact; they are rigorous evaluations that provide compelling scientific evidence of program effectiveness and a thorough understanding of the processes that are critical to success. These areas are typically in a mature phase of development where goals can be specified clearly and program elements have evolved from lengthy experimentation.

Impact Evaluations focus on outcomes. They usually examine similar programs in multiple sites and devote limited resources to understanding program structure and implementation. These evaluations develop broad descriptions of cross-site differences and experiences, discussing how sites compared.

Impact Evaluations include:

- Sound scientific information on program effectiveness.
- Identification of mechanisms that link program activities to stated objectives.
- Verified degrees of program implementation.
- Assessment of program effectiveness in terms of multiple indexes of performance.
- Relationship of differences in site environments and implementation to differences in outcome.
- Summary of findings across sites.
- Identification of program development implications.

Intensive Impact Evaluations explain *why* a program has impact; they expend considerable resources on *why* a program is effective as well as on whether the program has had a significant impact. These evaluations are characterized by the depth of their examination rather than by the breadth of program experiences. They examine how a program produced results—typically through rigorous experimental design and multiple measures of results. These evaluations also depict the specific processes to which outcomes may be attributed. Intensive Impact Evaluations may involve one site or several sites, depending upon the funds allocated to the study.

Intensive Impact Evaluations include:

- Rigorous design with process and impact components.
- Evidence on causal links between program activities and stated objectives.

- Detailed scientific information on program effectiveness.
- Extrapolated findings to national significance.
- Identified program development implications.
- Summary of findings across sites.
- Identification of program development implications.

Field Experiments, one way of conducting Intensive Impact Evaluations, provide rigorous tests of new but promising solutions to important problems. Recent examples include NIJ programs in the areas of spouse abuse, market-based drug enforcement, and drug treatment with testing surveillance. Field experiments are meant to provide solid empirical evidence of the effectiveness of an approach as well as guidance to practitioners on the structure of operational programs.

Field experiments include:

- Lengthy planning and design periods.
- Involvement of NIJ staff, the research community, and the practitioner community in the design process.
- Prior specification of all major research hypotheses.
- Rigorous design and implementation plans.
- Intensive collaboration between participating sites and evaluators in program implementation.
- Detailed reports on study methodology and findings.

Readers may consult NIJ's *Research Plan: 1991* for a description of a current

field experiment: Drug Testing in Community Corrections.

Evaluation Reviews examine topics where a number of evaluations are already complete but have never been synthesized for use by the criminal justice system. Evaluation Reviews examine findings as objectively as possible, explain inconsistencies, and suggest conclusions based on the evidence reviewed. Reviews generate original knowledge about program effectiveness or operations. They also distill and synthesize what has already been found in individual studies in an effort to form consensus.

Evaluation Reviews include:

- Documented scope and extent of existing program activity and antecedent programs.
- Assessment of the quality and credibility of prior research.
- Identified limitations in existing evaluations such as unique site circumstances or the scope of issues addressed.
- Summary of knowledge of program practice and effectiveness.
- Recommendations for future research and program needs.

Communicating Evaluation Results

Evaluation is necessarily a time-consuming process, but the criminal justice community needs to know results as soon as they offer reliable direction for action. To balance these concerns, NIJ has established a continuum of communi-

cation activities to give State and local officials reliable information as promptly as possible.

Evaluation information must serve many needs. Legislators and Governors want to know about successful policy initiatives. Justice system planners and managers want to understand the scope and level of effort required for innovative approaches. Police, prosecutors, and corrections professionals want training in new approaches as well as publications that clearly explain how to adopt promising programs.

To communicate effectively with these audiences, NIJ employs a variety of dissemination approaches.

Publications. In addition to its existing publications—research reports, *Research in Brief*, Program Models, and others—NIJ is launching a number of new series specifically focused on evaluations. These include:

Focus on Programs will report on specific cases of innovative programs and practices that show signs of success in improving criminal justice. As new and innovative criminal justice programs emerge, these publications will quickly disseminate information on the new programs so that other jurisdictions can benefit from the experience of those involved in the implementation and evaluation of the new program.

Evaluation Bulletins will communicate the results of individual evaluations quickly and cost-effectively to large audiences and present information on evaluation methods and strategies.

National Evaluation Conference, an annual event jointly hosted by NIJ and BJA. The second annual National Evaluation Conference, scheduled for July 1991, is designed to explain results and evaluations in progress and provide valuable assistance to members of State and local law enforcement and criminal justice communities as they measure the impact of crime control efforts.

Future Directions

In 1992, NIJ will release a combined *Research and Evaluation Plan* that will carefully allocate available resources on continuing critical issues for the field, such as intermediate sanctions, violence, child abuse, community policing, and drug control approaches. In addition, NIJ will stay abreast of emerging new issues that warrant careful study. This kind of systematic planning helps ensure that State and local officials, who must invest their resources wisely, will have objective, reliable, and timely information to guide their decisions.

NIJ Drug Program Evaluation Funding 1991

Program Area Specific Topic	Funding (in Thousands)	Type
Community-Based Policing		
Innovative Neighborhood-Oriented Policing in Rural Areas	400	Impact Evaluation
Community-Based Programs		
Past and Future Directions of the DARE Program	300	Evaluation Review
Anti-Drug Initiatives in Small Cities and Towns	150	Program Assessment
Community-Based Drug Use Prevention Programs	100	Program Assessment
Prosecution and Adjudication		
Prosecuting Complex Drug Cases	150	Program Assessment
Improving the Court Response to Drug Cases	150	Program Assessment
The Civil Penalty Demonstration Program	50	Impact Evaluation
Drug Testing		
Drug Testing Throughout the Criminal Justice System	200	Intensive Impact Evaluation
Corrections and Intermediate Sanctions		
Drug Offender Treatment in Local Corrections	350	Impact Evaluation
User Accountability Programs	350	Impact Evaluation
Structured Fines	300	Impact Evaluation
Aftercare for Offenders in Boot Camp Prisons	50	Evaluation Review
Systemwide Programs		
The Anti-Drug Abuse Act of 1988	500	Program Assessment
Emerging Drug Enforcement Tactics	100	Program Assessment
Study of Less-Than-Lethal-Force Weapons Practices and Policies of Police Agencies in the United States	150	Program Assessment
Special Emphasis Programs: OJP Priorities	350	Open
Evaluation Capacity Building		
National Evaluation Conference	250	—
Evaluation Workshops/Seminars for States/Localities	150	—
"How To" Guidelines for Performing Evaluations	50	—
Continuation Reserve	150	—
Total \$4,250		

Application Procedures

Projects should have a national impact or have potential relevance to a number of jurisdictions. Because of the National Institute of Justice's (NIJ) broad national mandate, projects that address only the unique concerns of single jurisdictions will not receive consideration.

Projects that contemplate the provision of services in addition to evaluation are eligible for support, but only for the resources necessary to conduct the evaluation tasks outlined in the proposal.

How To Apply

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

Standard Form 424

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

Certification

In addition to SF 424, recent requirements involve certification regarding (1) debarment, (2) drug-free workplace, and (3) lobbying. A certification form is attached to SF 424. Note that there are separate debarment sections for direct recipients and for subrecipients, and separate drug-free workplace sections for individuals and other applicants.

Budget Narrative

Budget narratives should list all planned expenditures and detail the salaries, materials, and cost assumptions used to estimate project costs. Narratives and cost estimates should be presented under the following standard budget categories: personnel, fringe benefits, travel, equipment, supplies, contracts, other, and indirect costs. The total amount requested must include the full amount of NIJ funding for this project.

One-Page Abstract

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

Program Narrative

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

- A clear, concise statement of the problem, goals, and objectives of the project, and related questions to be explored. A discussion of the relationship of the proposed work to the existing literature is expected.
- A statement of the project's anticipated contribution to criminal justice policy and practice. It is important that applicants briefly cite those particular issues and concerns of present-day criminal justice policy that

stimulate the proposed line of inquiry and suggest what their own investigation would contribute to current knowledge.

- A detailed statement of the proposed evaluation/study design and analytical methodologies. Delineate carefully and completely the proposed data sources, data collection strategies, variables and issues to be examined, and procedures of analysis to be employed.
- A wide range of research designs and methodologies, including simple descriptive studies, secondary data analysis, and, when appropriate, experimental designs because of their potential relevance to policymaking and the strength of the evidence they can produce.
- A thorough description of the expected evaluation products (reports, journal articles, data sets, etc.).
- A description of the organizational capability of the potential grantee.
- An organization and management plan to conduct the evaluation. Include a list of major milestones of events, activities, and products; and a timetable for completion, including the time commitments to individual project tasks. All grant activities, including writing the final report, should be completed within the duration of the fellowship.
- The author of the proposal should be clearly identified.

Copies of Curriculum Vitae

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

Coordination

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

Deadlines

Proposal deadlines are indicated in the separate solicitations.

Page Limit

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

Legibility

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

Peer Review

After all applications for a competition have been received, the Institute selects three or more criminal justice professionals and researchers to serve on the review panel for the program.

The panel members read each proposal and meet to assess the technical merits and the policy relevance of the evaluation

proposed. Their assessment of each submission is forwarded to the Director of the Institute.

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

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

Review Criteria

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

Five criteria are applied in the evaluation process: understanding of the problem, importance of the evaluation or study, technical merit, qualifications of the applicant, and project costs.

Applicants bear the responsibility of demonstrating to the panel that the evaluation or study proposed is a contribution to current knowledge in a given field and that study findings could contribute to a practical application in law enforcement or criminal justice. Reviewers will assess the applicants' awareness of related research or studies and their ability to direct their research or studies toward answering questions of policy or improving the state of criminal justice operations.

Proposals are judged by their technical merit: is the evaluation design adequate and reasonable? Reviewers take into account the logic and timing of the evaluation or study plan, the validity and reliability of measures proposed, the appropriateness of statistical methods to be used, and the applicants' awareness of factors that might dilute the credibility of the findings.

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

Program Announcement

Community-Based Policing

Innovative Neighborhood-Oriented Policing in Rural Areas: An Impact Evaluation

Purpose. The purpose of this solicitation is to evaluate innovative neighborhood-oriented policing projects that are operating in small cities and rural settings. For purposes of this solicitation, a small city or rural jurisdiction has a population of fewer than 50,000 residents, is not contiguous to an urban area, and has a lower population size and density than both urban and suburban areas. Projects of interest are those funded by the Innovative Neighborhood-Oriented Policing program of the Bureau of Justice Assistance (BJA). BJA's projects are designed to develop innovative community policing programs that target demand reduction at the neighborhood levels in small cities and rural areas.

Background. The rise of crime and drug abuse, combined with the limited resources of police departments, have led communities to search for innovative ways of responding to crime. Neighborhood organizations have sprung up throughout the Nation to formulate programs that might combat and curtail rises in drug sales and use and the crime that is associated with such illicit activity. Police have also been seeking alternatives to traditional methods in which they merely react to calls for service.

Across the Nation, cooperative efforts are being formed that involve police, community groups, and other public and

private agencies. Such efforts have been named "community policing" or "innovative neighborhood-oriented policing," depending on the scope of the partnerships. These projects are designed to integrate police and other public and private resources in the identification of and response to drug and crime problems. Police are being encouraged to coordinate their efforts with neighborhood organizations, schools, private security firms, and business groups. These community partnerships focus on preventive or proactive efforts to control crime and drug abuse, and thus augment the traditional reactive responses of police to 911 calls for service.

This solicitation is to support an Impact Evaluation. Some program areas in criminal justice are amenable to rigorous evaluation that provides convincing assessments of program effectiveness and a sound understanding of the processes that are critical to success. Such programs are typically in a mature phase of their development, where goals have been clearly specified and program elements have evolved from lengthy experimentation.

The Institute's Impact Evaluations attempt to generalize across experiences at several sites rather than in the depth of analysis that might be conducted at each site. Descriptions of cross-site differences are typically limited to overview descrip-

tions of how sites delivered their programs and confirmation of the fact that program activities were performed. The bulk of the grant funds are directed toward impact assessment and the generalization of results. (See "The NIJ Evaluation Program: An Overview" for details on what an Impact Evaluation entails.)

Goals

- To understand the costs and value of innovative neighborhood-oriented policing projects and strategies operated in small cities and rural settings.
- To inform policymakers, program developers, and police departments about new and promising innovative neighborhood-oriented policing projects and strategies for small towns and rural settings and make recommendations for program development.

Objectives

- Collect and analyze data regarding the implementation of small-city and rural innovative neighborhood-oriented policing projects and their elements.
- Collect and analyze data regarding the costs and value of small-city and rural innovative neighborhood-oriented policing projects and their elements.
- Prepare a comprehensive user-oriented report and executive summary of this evaluation for distribution to police departments, community groups, and policymakers who are concerned with small-city and rural crime and drug abuse.

Program Strategy

Collect and analyze data regarding the implementation of small-city and rural innovative neighborhood-oriented policing projects and their elements.

To accomplish this objective, the grantee must collect data that will provide other jurisdictions with technical information to assist them in implementing a similar neighborhood-oriented policing project. Special attention shall be given to identifying the lessons learned at the various sites and the guidance those lessons can provide to other jurisdictions in developing neighborhood-oriented policing. The following questions suggest the kind of information that will be useful:

- What is the target population to be served by the neighborhood policing project?
- When was the project initiated? What were the project goals and objectives and the expectations of project management? What was the plan of implementation and what problems were experienced in implementation? What lessons were learned? Were there unintended impacts?
- Was there an evaluation plan prior to implementation of the project? What was to be measured and how were the measurements made? What were defined as the gauges of project success and failure? What gauges were used for decisionmaking associated with project changes?
- Was there a management information system and/or a special information system associated with the project implementation? How were they used to organize the project into effective and efficient operation?

- What is the context of the neighborhood-oriented policing project in terms of geography, drug abuse and crime rate, police resources, community organizations, economic and social conditions, etc.?
- What kinds of police, community, and joint police-community efforts constituted the neighborhood-oriented policing project, and how did they operate?
- What were the project expenditures for police resources, community resources, and other public agency resources? Were any funds from businesses or other private sources involved? What level of resources were accounted for by volunteers?
- How were the project resources organized in the community, the police department, or other support agencies? What community organizations were involved? How were any organizational and personnel conflicts resolved?
- What were the attitudes of the police and the public and private sectors toward the project?
- What was the locus of project control and responsibility? What were the nature and extent of resource coordination and personnel interaction, of project monitoring and evaluation, of training provided for project personnel, and of management and organization skills?
- What technology was associated with the project, and what was its cost?
- What other anti-drug or crime control project efforts have been carried out in the neighborhood study setting in the past, and what were the results?

How much have these experiences encouraged or dampened support for the neighborhood-oriented policing project? In addition, what other anti-drug and crime control strategies are currently operating in the study setting in addition to the neighborhood-oriented policing project (for example, police sweeps, citizen patrols, etc.)?

Collect and analyze data regarding the costs and value of small-city and rural innovative neighborhood-oriented policing projects and their elements.

To accomplish this objective, the grantee must collect data that provide management information for small-city and rural government officials and community leaders who are involved in policy funding decisions regarding community and police projects that relate to drug sales, drug abuse, drug-related crime, and all other crime.

The evaluation shall distill the impacts observed in all projects to assess the effect of neighborhood-oriented policing on drugs and crime. Attention shall be given to the effects of neighborhood-oriented policing on community security as well as other quality-of-life issues. These issues include citizen mobilization and responsiveness to broader community problems, economic viability of the area, housing stability, sense of order in the neighborhood, and project effects in relation to other social problems such as alcohol abuse, truancy, etc. There is also a need to determine whether a general form (or forms) of neighborhood-oriented policing appears that models the particularities of all projects in a meaningful way.

The evaluation shall also provide a comparative assessment of neighborhood-oriented policing with other anti-drug and crime control strategies in small cities and rural areas. Widely accepted assessments of other competing strategies should be employed for this comparison. This assessment should focus on two separate comparisons involving (1) those factors relating to community safety and security and (2) those broader factors that relate to the quality of life of neighborhood residents.

The evaluation shall also compare the actual impacts of each project with the expectations of the project managers and those initial community leaders and police personnel who conceived and planned the project.

Prepare a comprehensive user-oriented report and executive summary of this evaluation for distribution to police departments, community groups, and policymakers who are concerned with small-city and rural crime and drug abuse.

To accomplish this objective, the grantee is expected to prepare a report that includes (1) a review and synthesis of the existing literature, (2) a description of each project evaluated, (3) a description of the evaluation design, (4) information regarding the costs and value of each project evaluated, (5) recommendations for program development, and (6) additional research needs. The executive summary should inform practitioners, policymakers, and researchers of the results of the project.

Application Requirements. All applicants must submit a completed SF 424, Application for Federal Assistance, including a program narrative, a detailed

budget, and a budget narrative. In addition to the requirements specified in the instructions for the preparation of SF 424, the following information should also be included:

- **Program Goals.** The application should also contain discussion of each objective to be met and the potential contribution of the proposal to the field.
- **Program Strategy.** Applicants should describe the proposed approach for achieving the goals and objectives of the program. Applicants should include a discussion of how an objective would be achieved.
- **Program Implementation Plan.** Applicants should provide a plan that outlines the major activities involved in implementing the program, describes how they will allocate resources to implement the program, and explains how the program will be managed.
- **Products.** Applicants should concisely describe the interim and final products under each objective of the program, and address the purpose, audience, and usefulness of each product to the field.
- **Program Budget.** Applicants should provide an appropriate budget with a detailed justification for all costs including the basis for computation of these costs.

Additional Products. At a minimum, the following products are to be delivered in addition to those designated in the paragraph on Program Strategy:

- An executive summary of approximately 2,500 words highlighting the

findings of the research and the policy issues those findings will inform, written to be accessible to policy officials and practitioners and suitable for possible publication as an *NIJ Research in Brief*.

- Cleaned copies of all automated data sets developed during the research and full documentation prepared in accordance with the instructions in the *NIJ Data Resources Manual*.

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

Eligibility Requirements. NIJ awards grants to, or enters into cooperative agreements with, educational institutions, nonprofit organizations, public agencies, individuals, and profitmaking organizations that are willing to waive their fees.

Monitoring. Each grant awarded under this solicitation will be monitored according to OJP Handbook 4500.2C (Revised Chapter 7, Monitoring). More specifically, prior to the grant award, the following areas will be defined:

- Statement of goals, objectives, tasks, program activities, and products.
- Program implementation plan and budget that schedules program expenditures.
- Monitoring plan.
- Schedule of monitoring activities.
- Delineation of monitoring products (i.e., progress reports, timeline and task updates, product and activity updates, and draft products).

- The process used by NIJ to review and respond to monitoring findings and recommendations.
- An executive summary of subsequent program activities in response to implementing the monitoring recommendations. These monitoring efforts will be determined by NIJ and the grantee.

Selection Criteria. All applications will be reviewed by a peer review panel of three to five persons from the research and practitioner communities, selected for their research experience and operational expertise as well as their knowledge in the substantive areas covered by this solicitation. Five criteria are applied in the evaluation process: technical merit of the proposal, understanding of the problem, importance of the research questions addressed, qualifications of the applicant, and project costs.

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

Award Amount. NIJ encourages applicants to develop a reasonable budget that will adequately cover the costs of the proposed project. Up to \$400,000 is tentatively budgeted to support awards under this solicitation. It is anticipated this amount will support one award. Actual funding allocations are based on the quality of proposal received.

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

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

Completed proposals must be received at the National Institute of Justice by the close of business on August 20, 1991. Extension of this deadline will not be permitted.

Contact. Applicants are strongly encouraged to contact the Institute to discuss topic viability, data availability, or proposal content before submitting proposals. To obtain further information, potential applicants may write to George Shollenberger, Program Manager, at the above address, or contact him at 202-307-2967.

Program Announcement
Community-Based Programs

Past and Future Directions of the DARE Program: An Evaluation Review

Purpose. The purpose of this solicitation is to conduct an Evaluation Review of the DARE program to learn how school-based drug prevention and education programs can be better structured in the future.

Background. The National Institute of Justice is soliciting evaluation of the criminal justice experience with the Drug Abuse Resistance Education (DARE) Program. The evaluation should address how drug education programs like DARE could be expanded and what new needs they might address. Questions exist also about how well drug education programs are integrated with the entire spectrum of juvenile anti-drug use programs.

This solicitation invites qualified researchers to propose an Evaluation Review of the DARE program nationwide together with recommendations for its future program directions. The project scope is outlined in the issues below, which are a representative, but by no means a required or exhaustive list of questions that might be addressed. Applicants should feel free to enhance or reorganize the issues listed. Proposals will be judged in terms of the particular issues selected for study, how well the study plan integrates these issues, and the feasibility of obtaining meaningful, valid, and reliable answers to the questions raised.

Goals

- To examine the organizational issues that determine DARE's effectiveness.
- To examine current evaluations of DARE as a drug prevention strategy.
- To examine program issues that relate to specific needs in various locations.
- To recommend specific improvements and expansion of DARE nationwide.

Objectives

- Conduct an assessment of the organizational structure and operation of representative DARE programs nationwide to learn what factors are associated with greater effectiveness.
- Conduct a review and assessment of DARE evaluations nationwide to learn what they tell of DARE's effectiveness and the factors that determine it.
- Determine the program identification issues that reveal how well DARE is tailored to the specific needs of a given location.
- Recommend new structures and operations that will improve and expand existing drug prevention and education programs.

Program Strategy

Conduct an assessment of the organizational structure and operation of representative DARE programs nationwide to learn what factors are associated with greater effectiveness.

To accomplish this objective the grantee will conduct statistical and field studies of representative DARE programs to determine:

- How extensively is DARE implemented nationwide in terms of geography, target populations, and expenditures? What are the basic features common to most DARE programs?
- How do other juvenile anti-drug programs compare with DARE and DARE with them? What mechanisms coordinate them with DARE? How do these programs relate to juvenile drug involvement in each jurisdiction? If juvenile programs in the jurisdiction deal with other substances such as alcohol or tobacco, do they coordinate with DARE efforts?
- How well have the local media been brought into the effort?
- What have been the local funding arrangements for DARE? How do these arrangements and available resources impact implementation?
- Who usually manages DARE and what typical forms of organization support help implement it? How do program implementation levels vary, as well as program responsibility, training in program content, classroom management, and organization skills?

- How successful have the DARE training centers been? What can be done to improve them?
- How involved in the program are classroom teachers and the schools? Are churches involved? Boy Scouts? Little League?
- How does DARE relate to a treatment-referral component for youth who appear already to have a substance-abuse problem?
- How well does DARE in each jurisdiction respond to drug availability, social and/or economic problems?

The products of this objective will be reports and documentation on such questions as the above.

Conduct a review and assessment of DARE evaluations nationwide to learn what they tell of DARE's effectiveness and the factors that determine it.

To accomplish this objective the grantee will obtain all evaluations and assessments of DARE programs nationwide and all reports based on such evaluations and assessments.

Issues to be considered include the following: What were the scope, reliability, and technical quality of DARE assessments? What gaps in them merit attention, such as variations in the risk of drug use in various neighborhoods or school settings where the program is being implemented? What are the intended and unintended consequences of this approach to drug abuse prevention? What overall assessment of DARE do these findings suggest? How well does DARE

address adolescent drug involvement in general?

The product of this objective will be a report that documents the information used, indicates the forms of analysis employed with them, and provides the basis for the conclusions reached.

Determine the program identification issues that reveal how well DARE is tailored to the specific needs of a given location.

To accomplish this objective, the grantee will examine issues such as these: How available at present are DARE and other drug resistance methods at various school grade levels? How adequate is this relative to today's drug threats? Does drug resistance education today respond to the culturally varied experiences of different ethnic groups, economic strata, or urban and suburban settings? What procedural improvements can enable us to (1) identify causes of drug involvement, (2) design an adequate range of programs (including DARE) in response, (3) monitor the results of these programs, and (4) implement necessary changes?

The product of this objective will be a report on the factors relevant to tailoring a DARE program to the needs of a particular population in a particular location.

Recommend new structures and operations that will improve and expand existing drug prevention and education programs.

To accomplish this objective the grantee will distill and synthesize the products from the three previous objectives to yield recommendations on organization and procedures.

The report resulting from this objective will recommend directions for future drug abuse prevention education. Among steps that should be considered are revisions of DARE curriculums, designation of new educational target populations, variations in instructional personnel, suggestions for new delivery strategies, and recommendations for future assessment research.

Application Requirements. All applicants must submit a completed SF 424, Application for Federal Assistance, including a program narrative, a detailed budget, and a budget narrative. In addition to the requirements specified in the instructions for the preparation of SF 424, the following information should also be included:

- **Program Goals.** The application should also contain discussion of the problem and the potential contribution of this program to the field.
- **Program Strategy.** Applicants should describe the proposed approach for achieving the goals and objectives of the program. Applicants should include a discussion of how each of the objectives would be accomplished.
- **Program Implementation Plan.** Applicants should provide a plan that outlines the major activities involved in implementing the program and describe how they will allocate resources to implement the program and how the program will be managed.
- **Products.** Applicants should concisely describe the interim and final products under each objective of the program, and address the purpose, audience, and usefulness of each product to the field.
- **Program Budget.** Applicants should provide an appropriate budget with a

detailed justification for all costs including the basis for computation of these costs.

Products. At a minimum, final products of the evaluation project must include:

- A full technical report, including a discussion of the evaluation questions, a review of the literature, a description of project methodology, detailed review of project findings, and conclusions and policy recommendations.
- A summary of approximately 2,500 words highlighting the findings of the research and the policy issues those findings will inform, written to be accessible to policy officials and practitioners, and suitable for possible publication as an NIJ *Research in Brief*.
- Cleaned copies of any automated data sets developed during the research and full documentation prepared in accordance with the instructions in the *NIJ Data Resources Manual*.

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

Eligibility Requirements. NIJ awards grants to, or enters into cooperative agreements with, educational institutions, nonprofit organizations, public agencies, individuals, and profitmaking organizations willing to waive their fees.

Monitoring. Each grant awarded under this solicitation will be monitored according to OJP Handbook 4500.2C (Revised

Chapter 7, Monitoring). More specifically, prior to the grant award, the following areas will be defined:

- Statement of goals, objectives, tasks, program activities, and products.
- Program implementation plan and budget that schedules program expenditures.
- Monitoring plan.
- Schedule of monitoring activities.
- Delineation of monitoring products (i.e., progress reports, timeline and task updates, product and activity updates, and draft products).
- The process used by NIJ to review and respond to findings and recommendations.
- A summary of subsequent program activities in response to implementing the recommendations. These monitoring efforts will be determined by NIJ and the grantee.

Selection Criteria. All applications will be reviewed by a peer review panel of three to five persons from the research and practitioner communities, selected for their research experience and operational expertise as well as their knowledge in the substantive areas covered by this solicitation. Five criteria are applied in the evaluation process: technical merit of the proposal, understanding of the problem, importance of the research questions addressed, qualifications of the applicant, and project costs.

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

Award Amount. NIJ encourages applicants to develop a reasonable budget that will adequately cover the costs of the project. The level of funding for this review will be up to \$300,000. One (1) grant award will be made. It is anticipated that this amount will support one award, for an assessment effort of 15- to 18-month duration. Actual funding allocations are based on the quality of proposal received.

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

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

Completed proposals must be received at the National Institute of Justice by the close of business on August 20, 1991. Extension of this deadline will not be permitted.

Contact. Applicants are strongly encouraged to contact the Institute to discuss topic viability, data availability, or proposal content before submitting proposals. To obtain further information, potential applicants may write to Richard M. Titus, Ph.D., Program Manager, or contact him at 202-307-0695.

Anti-Drug Initiatives in Small Cities and Towns: A Program Assessment

Purpose. The purpose of this solicitation is to provide a Program Assessment of community and law enforcement initiatives directed against drug abuse and drug-related crime in small cities and towns; to synthesize what is known about the nature and effectiveness of these ongoing efforts; and to develop recommendations for future programs that will provide guidance to these areas throughout the United States in combating drug abuse in their communities.

Background. Recent polls indicate that drug use, drug trafficking, and drug-related crime are major concerns of citizens throughout the United States. In response to these problems, community groups and organizations and local police and sheriffs departments have become more actively involved in anti-drug programs and initiatives.

Citizens have become more active in dealing with the problems of drugs and crime for several reasons. First, citizens correctly recognize that police departments cannot realistically be expected to solve these problems alone; citizen involvement is also needed. In addition, evaluations have demonstrated that community programs based on the active participation of citizens can help to reduce crime and the level of fear.

Consequently, the Administration and its National Drug Control Strategy seek to mobilize citizen assistance and support in

the prevention and control of drug abuse and related crimes. Community efforts have included neighborhood drug-watch programs; the use of zoning ordinances and other regulations to control drug abuse and crime; the modification of the physical environment to reduce the opportunities for drug sales and abuse; and the provision of recreational programs for youth that provide alternatives to drugs.

Similarly, local law enforcement agencies have expanded their range of anti-drug prevention and control activities and have greatly increased the amount of resources devoted to these operations. Local police throughout the country are engaging in such activities as buy-and-bust operations, drug sweeps and crackdowns, enforcement and prevention activities against drug hotspots, and innovative tactics against both sellers and buyers.

While it is widely recognized that drug abuse is an alarming problem in the Nation's larger cities and urban areas, little attention has been given to the substance abuse problem existing in small cities and towns. A recent study by the General Accounting Office, however, reports that a national survey of high school and college students and other young adults found that the annual prevalence of use of illegal drugs among 18- to 30-year-olds in small towns (less than 50,000 population) was 34 percent, only slightly less than that of large (35.9 percent) or very large (39.1 percent) cities.

The National Institute of Justice (NIJ) has funded many studies that have examined community and law enforcement initiatives to prevent and control drug abuse. Most of these studies have dealt with medium-sized and large cities and metropolitan areas. In order to fulfill its plan for a comprehensive response to the drug problem in this country, NIJ has decided to fill this gap by sponsoring a study specifically targeting drug abuse and its prevention and control in small cities and towns: those that have a population of fewer than 50,000 and are not contiguous to an urban area. The need is for research that will examine local residents' perceptions of the problem, describe and assess current community-based and law enforcement efforts to prevent and control drug use and related crimes, and recommend potentially effective strategies to guide future program implementation in small cities and towns.

This solicitation is for a Program Assessment of community and law enforcement anti-drug initiatives in cities and towns with a population of fewer than 50,000 persons. A Program Assessment is intended to accelerate understanding of the emerging state of the art in a problem area. It asks "what is happening?" in a topic area, describes programmatic developments, and aids in the design of new programs; but makes no statement about program effectiveness. (See "The NIJ Evaluation Program: An Overview" for details on what a Program Assessment entails.)

Goals

- To determine the nature and extent of the drug abuse problem in small cities and towns as perceived by local community leaders and law enforcement officials.

- To conduct a national overview of current community and law enforcement programs in small cities and towns to prevent and control drug abuse and to assess their strengths and weaknesses.
- To disseminate the results of this Program Assessment and recommend potentially effective strategies to assist small cities and towns in implementing future programs.

Objectives

- Describe the nature and extent of drug abuse in small cities and towns as perceived by local community leaders and law enforcement officials.
- Examine and describe the types of community and law enforcement anti-drug programs and strategies currently being implemented in small cities and towns, including goals, operational characteristics, implementation processes, and potential costs and benefits.
- Identify and develop model programs for future implementation by small cities and towns.
- Prepare a comprehensive report and executive summary of the results of this assessment and program development for nationwide distribution to local community groups and organizations, law enforcement agencies, and policymakers in small cities and towns.

Program Strategy

Describe the nature and extent of drug abuse in small cities and towns as perceived by local community leaders and law enforcement officials.

To accomplish this objective, the grantee is expected to describe a sampling plan for surveying or interviewing a representative sample of community leaders, local law enforcement officials, and other knowledgeable individuals in selected cities and towns with a population of fewer than 50,000. A site-selection rationale should also be provided in the applicant's proposal.

After reviewing relevant literature and statistics, the proposal should outline the questions and issues to be included in the data collection instrument and should provide a data analysis plan for translating the responses to these questions into a description of the perceived nature and extent of the drug abuse problem.

Of particular interest are the differences, if any, in the types and characteristics of drug problems experienced in small versus large cities, in different geographical areas of the Nation, and in areas that differ in types of populations and other characteristics.

Products for this objective shall include copies of all data collection instruments, data tapes and documentation, and reports or articles describing the findings on the extent and nature of the drug problem in small cities and towns, as perceived by local community leaders and law enforcement officials.

Examine and describe the types of community and law enforcement anti-drug programs and strategies currently being implemented in small cities and towns, including goals, operational characteristics, implementation processes, and potential costs and benefits.

To accomplish this objective, the grantee is expected to collect descriptive data on the key components of each program or strategy. These data shall include the purpose of the program in terms of its goals and objectives, and the means by which these are being carried out; the methods used to mobilize and encourage citizens to become involved; the organizational arrangements and roles and functions of program staff and volunteers; the personnel, equipment, and other resource needs; coordination between police and community and/or between local police and other law enforcement agencies; liaison with other public and private agencies; and potential costs and benefits. The grantee should also collect information on special strengths and weaknesses of the program implementation and impacts. To the extent possible, the various programs and/or strategies should be assessed regarding their effectiveness in achieving their goals and in reducing the particular drug problem(s) addressed. In general, the information obtained on each project shall be sufficient to guide the development and implementation of similar programs in other communities.

The proposal should describe in detail the data collection plan, including the rationale for selecting particular sites and programs or strategies for study; onsite, survey, and/or case study data-collection procedures; data collection instruments; and an analysis plan. Questions to be addressed should be discussed in detail and their importance to the overall program assessment should be justified. A research management plan and schedule should also be provided.

Products for this objective shall include copies of all data collection instruments,

data tapes and documentation, and reports and articles on the findings of this examination and assessment of community and law enforcement anti-drug programs and strategies in small cities and towns.

Identify and develop model programs for future implementation by small cities and towns.

Based on a review of relevant research and operational literature and the findings of the examination and assessment of existing programs, the grantee is expected to identify current programs and/or design new programs that can be recommended as model initiatives for future implementation by small cities and towns nationwide. These programs should be discussed in the same detail and with attention paid to the same characteristics as were described for the previous objective. Special attention should be paid to coordinated efforts with public and private agencies and to interjurisdictional or regional cooperation. Guidelines for program implementation should also be included.

Prepare a comprehensive report and executive summary of the results of this assessment and program development for nationwide distribution to local community groups and organizations, law enforcement agencies, and policymakers in small cities and towns.

The comprehensive report should include a thorough discussion of the problem, a review of existing research and operational literature, a description of data collection methodologies and findings of the research tasks specified in the previous objectives, and recommendations for

the design and implementation of model anti-drug programs and strategies for adoption by small cities and towns. Also to be produced is an executive summary that will inform local community groups and organizations, law enforcement agencies, and policymakers and researchers of the results and implications of the study.

Application Requirements. All applicants must submit a completed SF 424, Application for Federal Assistance, including a program narrative, a detailed budget, and a budget narrative. In addition to the requirements specified in the instructions for the preparation of SF 424, the following information should also be included:

- **Program Goals.** The application should also contain discussion of each objective to be met and the potential contribution of the proposal to the field.
- **Program Strategy.** Applicants should describe the proposed approach for achieving the goals and objectives of the program. Applicants should include a discussion of how an objective would be achieved.
- **Program Implementation Plan.** Applicants should provide a plan that outlines the major activities involved in implementing the program, describes how they will allocate resources to implement the program, and explains how the program will be managed.
- **Products.** Applicants should concisely describe the interim and final products under each objective of the program, and address the purpose, audience, and usefulness of each product to the field.

- **Program Budget.** Applicants should provide an appropriate budget with a detailed justification for all costs including the basis for computation of these costs.

Products. At a minimum, final products of the evaluation projects must include:

- A full technical report, including a discussion of the evaluation questions, a review of the literature, a description of project methodology, a detailed review of project findings, and conclusions and policy recommendations.
- An executive summary of approximately 2,500 words highlighting the findings of the research and the policy issues that those findings will inform, written to be accessible to policy officials and practitioners, and suitable for possible publication as an *NIJ Research in Brief*.
- Cleaned copies of all automated data sets developed during the research and full documentation prepared in accordance with the instructions in the *NIJ Data Resources Manual*.

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

Eligibility Requirements. NIJ awards grants to, or enters into cooperative agreements with, educational institutions, nonprofit organizations, public agencies, individuals, and profitmaking organizations that are willing to waive their fees.

Monitoring. Each grant awarded under this solicitation will be monitored according to OJP Handbook 4500.2C (Revised Chapter 7, Monitoring). More specifically, prior to the grant award, the following areas will be defined:

- Statement of goals, objectives, tasks, program activities, and products.
- Program implementation plan and budget that schedules program expenditures.
- Monitoring plan.
- Schedule of monitoring activities.
- Delineation of monitoring products (i.e., progress reports, timeline and task updates, product and activity updates, and draft products).
- The process used by NIJ to review and respond to findings and recommendations.
- A summary of subsequent program activities in response to implementing the monitoring recommendations. These monitoring efforts will be determined by NIJ and the grantee.

Selection Criteria. All applications will be reviewed by a peer review panel of three to five persons from the research and practitioner communities, selected for their research experience and operational expertise as well as their knowledge in the substantive areas covered by this solicitation. Five criteria are applied in the evaluation process: technical merit of the proposal, understanding of the problem, importance of the research questions addressed, qualifications of the applicant, and project costs.

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

Award Amount. NIJ encourages applicants to develop a reasonable budget that will adequately cover the costs of the project. Up to \$150,000 is tentatively budgeted to support awards under this solicitation. It is anticipated that this amount will support one award. Actual funding allocations are based on the quality of proposal received.

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

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

Completed proposals must be received at the National Institute of Justice by the close of business on August 20, 1991. Extension of this deadline will not be permitted.

Contact. Applicants are strongly encouraged to contact the Institute to discuss

topic viability, data availability, or proposal content before submitting proposals. To obtain further information, potential applicants may write to Lois Mock, Program Manager, at the above address, or contact her at 202-307-0693.

References

Searching for Answers, Research and Evaluation on Drugs and Crime, Washington, D.C., National Institute of Justice, July 1990.

Dennis P. Rosenbaum, ed., *Community Crime Prevention: Does It Work?* Beverly Hills, Sage Publications: 294-308, 1986.

Office of National Drug Control Policy, *National Drug Control Strategy*, Washington, D.C., Executive Office of the President, February 1991.

U.S. General Accounting Office, *Rural Drug Abuse: Prevalence, Relation to Crime, and Programs*, Washington, D.C., U.S. General Accounting Office: 51, September 1990.

Community-Based Drug Use Prevention Programs: A Program Assessment

Purpose. The purpose of this solicitation is to provide a national overview and description of community-based drug use prevention programs that target specific populations at risk. It will synthesize what is known about the nature and effectiveness of these programs and develop recommendations for designing and implementing effective community-based prevention programs in the future.

Background. Despite encouraging findings that overall drug use among adolescents and youths is declining, the problem of drug abuse among specific populations of youths, particularly minority youths residing in urban, inner-city neighborhoods, remains critical. In an effort to inform children and youths about the dangers of drug use, many communities have initiated prevention programs in cooperation with law enforcement agencies, the best known of which is the cooperative police-school Drug Abuse Resistance Education (DARE) program conducted in elementary and junior high schools.

In many communities, other models of prevention programs have been developed that use the services and facilities of local organizations rather than law enforcement agencies, organizations such as churches, civic associations, business groups, and public-service organizations

such as the YMCA and Big Brothers. These programs employ differing strategies and target differing groups of high-risk children and youths. Little is known about the number, types, and effectiveness of these community-based programs.

This solicitation is for a Program Assessment of community-based drug-prevention programs targeting high-risk populations. Police-school programs modeled along the lines of DARE or SPECDA (New York's School Program To Educate and Control Drug Abuse) are not the subject of this solicitation. A Program Assessment synthesizes and critically assesses the progress made in solving certain classes of problems. It involves the critical examination of the elements of existing solutions and an assessment of their strengths and weaknesses. Extant data, field observation, and available evaluation findings combine to inform expert judgment on the efficacy of various approaches and to develop recommendations for future programs in the topic area. (See "The NIJ Evaluation Program: An Overview" for details of what a Program Assessment entails.) A Program Assessment involves:

- A focus on broad, persistent problems.
- Assessment through extant data of recent attempts to solve the problem.

- Isolation of key dimensions (e.g., effectiveness, fairness, cost avoidance) of apparently successful programs.
- Extrapolation to new solutions (programs).
- Expected impediments to implementation of new solutions.

Goals

- To conduct a national overview of existing community-based alternative drug-prevention programs that target high-risk populations and to assess their strengths and weaknesses.
- To disseminate the results of this Program Assessment and recommend potentially effective strategies to community-based organizations, groups, and agencies for future implementation.

Objectives

- Describe and assess the various types of community-based drug-prevention programs and strategies currently existing nationwide, including their implementing organizations, goals, operational characteristics, implementation processes, and potential costs and benefits.
- Develop potentially effective or model programs for future implementation by community-based groups and agencies.
- Prepare a comprehensive report and executive summary on the results of this Program Assessment for dissemination to community-based groups and organizations, policymakers, and other interested parties.

Program Strategy

Describe and assess the various types of community-based drug-prevention programs and strategies currently existing nationwide, including their implementing organizations, goals, operational characteristics, implementation processes, and potential costs and benefits.

To accomplish this objective, the grantee is expected to collect descriptive data on a representative sample of alternative drug-prevention programs being implemented by different types of community-based groups, organizations, and agencies. These data will include the goals and objectives of each program, including the high-risk population being targeted; the means by which these programs are being implemented; the organizational arrangements and roles and functions of program staff and volunteers; the manpower, equipment, and other resource needs; liaison with other public and private agencies and groups; and potential costs and benefits. Information should also be collected on special strengths and weaknesses of the program.

To the extent possible, and following a thorough review of existing research and operational literature, the various programs should be assessed as to their effectiveness in achieving their goals and in preventing drug abuse and promoting socially positive behavior among the populations targeted.

The proposal should describe in detail the data collection plan, including the rationale for selecting the particular sites and programs or strategies for study; onsite, survey, or case study data collection procedures; data collection instruments; and data analysis plan. Questions to be

addressed should be discussed in detail and their importance to the overall program assessment should be justified. A research management plan and schedule should also be described.

Products for this objective will include copies of all data collection instruments, data tapes and documentation, and reports and articles on the findings of this overview and assessment of community-based alternative drug-prevention programs.

Develop potentially effective or model programs for future implementation by community-based groups and agencies.

Based on a review of relevant research and operational literature and the findings of the overview and assessment of existing programs (described above), the grantee is expected to identify current programs and/or design new programs that can be recommended as potentially effective or model initiatives for future implementation by community-based groups and agencies. These programs should be discussed in the same detail, with attention paid to the same characteristics, as described for the previous objective. Guidelines for program implementation should also be provided, including any special problems to be confronted as the program is carried out.

Prepare a comprehensive report and executive summary on the results of this Program Assessment for dissemination to community-based groups and organizations, policymakers, and other interested parties.

The comprehensive report should include a thorough discussion of the problem; a

review of existing research and operational literature; a description of data collection methodologies and findings of the research tasks specified in the previous objectives; and recommendations for the design and implementation of potentially effective or model alternative drug-prevention programs for adoption by community-based groups, organizations, and agencies. Also to be produced is an article-length summary suitable for publication that informs community groups, policymakers, and researchers of the results and implications of the study.

Application Requirements. All applicants must submit a completed SF 424, Application for Federal Assistance, including a program narrative, a detailed budget, and a budget narrative. In addition to the requirements specified in the instructions for the preparation of SF 424, the following information should also be included:

- **Program Goals.** The application should also contain discussion of each objective to be met and the potential contribution of this proposal to the field.
- **Program Strategy.** Applicants should describe the proposed approach for achieving the goals and objectives of the program. Applicants should include a discussion of how an objective will be achieved.
- **Program Implementation Plan.** Applicants should provide a plan that outlines the major activities involved in implementing the program, describes how they will allocate resources to implement the program, and explains how the program will be managed.

- **Products.** The applicants should concisely describe the interim and final products under each objective of the program and address the purpose, audience, and usefulness of each product to the field.

- **Program Budget.** The applicants should provide an appropriate budget with a detailed justification for all costs, including the basis for computation of these costs.

Products. At a minimum, final products of the research project must include:

- A full technical report, including a discussion of the research question, a review of the literature, a description of project methodology, a detailed review of project findings, and conclusions and policy recommendations.
- An executive summary of approximately 2,500 words highlighting the findings of the research and the policy issues those findings will inform, written to be accessible to policy officials and practitioners, and suitable for possible publication as an *NIJ Research in Brief*.
- Cleaned copies of all automated data sets developed during the research and full documentation prepared in accordance with the instructions in the *NIJ Data Resources Manual*.

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

Eligibility Requirements. NIJ awards grants to, or enters into cooperative agreements with, educational institutions, nonprofit organizations, public agencies,

individuals, and profitmaking organizations that are willing to waive their fees.

Monitoring. Each grant awarded under this solicitation will be monitored according to OJP Handbook 4500.2C (Revised Chapter 7, Monitoring). More specifically, prior to the grant award, the following areas will be defined:

- Statement of goals, objectives, tasks, program activities, and products.
- Program implementation plan and budget that schedules program expenditures.
- Monitoring plan.
- Schedule of monitoring activities.
- Delineation of monitoring products (i.e., progress reports, timeline and task updates, product and activity updates, and draft products).
- The process used by NIJ to review and respond to findings and recommendations.
- A summary of subsequent program activities in response to implementing the recommendations. These monitoring efforts will be determined by NIJ and the grantee.

Selection Criteria. All applications will be reviewed by a peer review panel of three to five persons from the research and practitioner communities selected for their research experience and operational expertise, as well as their knowledge in the substantive areas covered by this solicitation. Five criteria are applied in the evaluation process: technical merit of the proposal, understanding of the problem, importance of the research questions addressed, qualifications of the applicant, and project costs.

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

Award Amount. NIJ encourages applicants to develop a reasonable budget that will adequately cover the costs of the project. Up to \$100,000 is tentatively budgeted to support awards under this solicitation. It is anticipated that this amount will support one award. Actual funding allocations are based on the quality of proposal received.

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

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

Completed proposals must be received at the National Institute of Justice by the close of business on August 20, 1991. Extension of this deadline will not be permitted.

Contact. Applicants are strongly encouraged to contact the Institute to discuss topic viability, data availability, or proposal content before submitting proposals. To obtain further information, potential applicants may write to Lois Mock, Program Manager, at the above address, or contact her at 202-307-0693.

References

National Institute of Justice, *Searching for Answers: Research and Evaluation on Drugs and Crime*, July 1990.

Rosenbaum, Dennis P., ed., *Community Crime Prevention: Does It Work?*
Beverly Hills, Sage Publications:
294-308, 1986.

Office of National Drug Control Policy, *National Drug Control Strategy*, Washington, D.C., Executive Office of the President, February 1991.

U.S. General Accounting Office, *Rural Drug Abuse: Prevalence, Relation to Crime, and Programs*, September 1990.

Program Announcement
Prosecution and Adjudication

Prosecuting Complex Drug Cases: A Program Assessment

Purpose. The purpose of this solicitation is to evaluate current programs and strategies used by prosecutors to address complex and sophisticated cases associated with drug trafficking, and to help develop more effective programs to investigate and prosecute offenders involved in complex cases. This evaluation shall identify and synthesize newly emerging tactics that are used when prosecuting complex drug trafficking cases.

Background. Certain drug crimes are especially complex and sophisticated and require equal sophistication by criminal justice and regulatory officials for effective response. Unfortunately, law enforcement agencies and prosecutors' offices often lack the information and tools that would enable them effectively to address such technologically or operationally intricate offenses as financial fraud, computer and telecommunications abuses, money laundering, and complex drug trafficking conspiracies. Research is essential to advance understanding of these complex crimes and to develop effective strategies for investigation and prosecution.

To address this problem, investigation and prosecution efforts have included a variety of coordination strategies. For example, multijurisdictional task forces have emerged to assist law enforcement and prosecutors in handling cases involving money laundering, asset seizure

and forfeiture, and drug trafficking conspiracies.

This solicitation is for a Program Assessment that includes a synthesis and critical assessment of the progress made in investigating and prosecuting complex financial and drug trafficking cases. This project involves the critical examination of the elements of existing solutions and an assessment of their strengths and weaknesses. Extant data, field observation, and available literature and evaluation findings should be combined to inform expert judgment on the efficacy of various approaches and to develop recommendations for future programs. The major features of a Program Assessment include (1) focus on a broad and persistent problem; (2) assessment through extant data of recent attempts to solve the problem; (3) isolation of key dimensions (e.g., effectiveness, fairness, costs) of apparently successful solutions; (4) creation of new solutions that should be successful if set into operation; and (5) forecasting impediments to implementation of currently operating or new solutions.

Goals

- To understand the nature and purposes of newly developing investigative and prosecutorial programs and strategies and how they are operated with regard to complex cases.

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- To inform policymakers, program developers, and police departments about new and promising strategies and make recommendations for program development.

Objectives

- Identify new, innovative programs and strategies for investigating and prosecuting complex drug cases.
- Develop descriptive and evaluation information regarding these new and innovative strategies that have recently emerged as part of Federal, State, and local prosecutorial programs or that can be synthesized from these programs.
- Prepare a comprehensive management- and practitioner-oriented report and executive summary of this Program Assessment.

Program Strategy

Identify new, innovative programs and strategies for investigating and prosecuting complex drug cases.

To accomplish this objective, the grantee is expected to identify a representative sample of new and innovative drug prosecution programs and strategies directed at complex cases. The proposal should include a sampling plan and rationale for selecting programs and strategies for study and a preliminary classification scheme for understanding these new responses. A data collection plan should also be included.

Applicants should address the following types of questions: What types of skills

and resources are required for the effective investigation and prosecution of complex crimes? What types of interagency coordination currently exist among various criminal justice agencies in responding to these especially complex crimes? What coordination policies are recommended for these agencies that would facilitate more efficient and effective prosecution and control of these offenses?

The grantee shall also conduct a critical review and synthesis of the literature relevant to this area. To the extent possible, this review and synthesis shall include a systematic assessment of the pros and cons of specific programs and strategies and should provide the basis for a classification scheme.

Products shall include (1) copies of all data collection instruments; (2) an inventory and classification of representative new, innovative programs and strategies; (3) a literature review and synthesis report; and (4) data tapes.

Develop descriptive and evaluative information regarding these new and innovative strategies that have recently emerged as part of Federal, State, and local prosecutorial programs or that can be synthesized from these programs.

To accomplish this objective, the grantee is expected to collect detailed descriptive and evaluation data covering each program and strategy identified in the representative sample. These data shall include the purpose, goals, and objectives of the programs and strategies and the means by which specific goals and objectives are addressed. Special attention should be given to multiagency and multijurisdictional task forces and coordinated efforts

to investigate and prosecute complex drug-crime cases.

The grantee should also develop information regarding implementation. For example, information is needed on organizational, management, and operational arrangements; roles and functions of personnel; information systems used; manpower and equipment needs; funding requirements; interaction with any private and public agencies; and lessons learned, problems encountered, and outstanding issues. Recommendations (with their rationale) shall be provided for future program development.

Products shall include a data collection plan, data collection instruments, evaluation analyses, and data tapes.

Prepare a comprehensive management- and practitioner-oriented report and executive summary of this Program Assessment.

To accomplish this objective, the grantee is expected to prepare a report that includes (1) the critical review and synthesis of the current literature; (2) a classification and general discussion of those representative programs and strategies that were sampled; (3) detailed descriptions and assessment of each program and strategy; and (4) recommendations as to which strategies merit consideration in future development and implementation of new and innovative programs nationwide. The executive summary shall be suitable for publication to inform practitioners, policymakers, and researchers of the result of the project.

Application Requirements. All applicants must submit a completed SF 424, Application for Federal Assistance, including a program narrative, a detailed budget, and a budget narrative. In addition to the requirements specified in the instructions for the preparation of SF 424, the following information should also be included:

- **Program Goals.** The application should also contain discussion of the problem and the potential contribution of this program to the field.
- **Program Strategy.** Applicants should describe the proposed approach for achieving the goals and objectives of the program. Applicants should include a discussion of how each of the objectives would be accomplished.
- **Program Implementation Plan.** Applicants should provide a plan that outlines the major activities involved in implementing the program and describe how they will allocate resources to implement the program and how the program will be managed.

Products. The applicants should concisely describe the interim and final products under each objective of the program, and address the purpose, audience, and usefulness of each product to the field.

- **Program Budget.** The applicants should provide an appropriate budget with a detailed justification for all costs including the basis for computation of these costs.

Products. At a minimum, final products of the research projects must include:

- A full technical report, including a discussion of the research question, a review of the literature, a description of project methodology, detailed review of project findings, and conclusions and policy recommendations.
- An executive summary of approximately 2,500 words highlighting the findings of the research and the policy issues those findings will inform, written to be accessible to policymakers and practitioners, and suitable for possible publication as an *NIJ Research in Brief*.
- Cleaned copies of all automated data sets developed during the research and full documentation prepared in accordance with the instructions in the *NIJ Data Resources Manual*.

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

Eligibility Requirements. NIJ awards grants to, or enters into cooperative agreements with, educational institutions, nonprofit organizations, public agencies, individuals, and profitmaking organizations that are willing to waive their fees.

Monitoring. Each grant awarded under this solicitation will be monitored according to OJP Handbook 4500.2C (Revised Chapter 7, Monitoring). More specifically, prior to the grant award, the following areas will be defined:

- Statement of goals, objectives, tasks, program activities, and products.
- Program implementation plan and budget that schedules program expenditures.
- Monitoring plan.
- Schedule of monitoring activities.
- Delineation of monitoring products (i.e., progress reports, timeline and task updates, product and activity updates, and draft products).
- The process used by NIJ to review and respond to monitoring findings or recommendations.
- A summary of subsequent program activities in response to implementing the monitoring recommendations. These monitoring efforts will be determined by NIJ and the grantee.

Selection Criteria. All applications will be reviewed by a peer review panel of three to five persons from the research and practitioner communities, selected for their research experience and operational expertise as well as their knowledge in the substantive areas covered by this solicitation. Five criteria are applied in the evaluation process: technical merit of the proposal, understanding of the problem, importance of the research questions addressed, qualifications of the applicant, and project costs.

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

Award Amount. NIJ encourages applicants to develop a reasonable budget that will adequately cover the costs of the project. Up to \$150,000 is tentatively

budgeted to support awards under this solicitation. It is anticipated that this amount will support one award. Actual funding allocations are based on the quality of proposal received.

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

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

Completed proposals must be received at the National Institute of Justice by the close of business on August 20, 1991. Extension of this deadline will not be permitted.

Contact. Applicants are strongly encouraged to contact the Institute to discuss topic viability, data availability, or proposed content before submitting proposals. To obtain further information, potential applicants may contact Lois Mock, Program Manager, at 202-307-0693.

Improving the Court Response to Drug Cases: A Program Assessment

Purpose. The purpose of this solicitation is to provide a synthesis and critical assessment of the progress made by courts in responding to the increasing drug caseloads through the various case management, resource enhancement, and diversion programs.

Background. With some major cities reporting more than 70 and 80 percent of arrestees testing positive for drugs, many of these cases make their way to the courts and, with drug trafficking cases, continue to increase criminal court caseloads. A recent survey reported that 92 percent of trial court administrators and 89 percent of superior court judges said drug cases have increased. The same survey reports that 73 percent of the administrators and 71 percent of the judges express a need for drug diversion programs.

Various mechanisms to apply court resources more effectively or accelerate drug case dispositions are currently being used and studied. Some jurisdictions operate court facilities beyond the normal workday and use volunteer lawyers as judges. Jurisdictions are increasing the pace of drug case processing through expedited drug case management, having drug courts focus exclusively on drug cases, and having lower courts accelerate handling of felony drug cases. Some courts include the diversion of drug users to other mechanisms. The National Institute of Justice (NIJ), the State Justice Institute, and the Bureau of Justice Assis-

tance (BJA) have supported demonstrations and assessments of these management innovations.

Respondents are encouraged to submit proposals to synthesize and critically assess the progress made in improving court responses to drug cases. The assessment involves a critical examination of the elements of existing solutions and an assessment of their strengths and weaknesses. See "The NIJ Evaluation Program: An Overview" for details of what a Program Assessment entails.)

Goals

- To gain a comprehensive understanding and assessment of the various case management, capacity enhancement, and effective diversion efforts currently in operation in local courts.
- To produce a report that synthesizes and critically assesses the progress made by courts in responding to the increasing drug caseloads through the various case management, resource enhancement, and diversion efforts.

Objectives

- Synthesize and critically assess current drug case programs and practices operating in courts that are directed toward improvements in handling drug cases.

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- Provide a critical analysis of the relevant evaluation literature on court responses to the increase in drug cases.
 - Identify directions for future programmatic and research efforts on drug cases and the courts.
 - Prepare a comprehensive report and executive summary for policymakers and practitioners describing and assessing the current programs and practices in handling drug cases.

Program Strategy

Synthesize and critically assess current drug case programs and practices operating in courts that are directed toward improvements in handling drug cases.

In Cook County, Illinois, nearly half the 15,000 felony cases pending in criminal court involve drug offenses. Cook County has established a drug court to address the problem. The number of drug cases filed in New York courts increased 270 percent between 1985 and 1989. New York City has also established a drug court. Philadelphia and Middlesex County, New Jersey, are fast-tracking drug cases.

To address this objective, the grantee should consider conducting phone surveys or interviews with appropriate Federal sources, national organizations, and selected State and local jurisdictions.

Provide a critical analysis of the relevant evaluation literature on court responses to the increase in drug cases.

Evaluation studies have been conducted or are nearing conclusion in regard to

several court drug programs. The grantee will compile and synthesize this and related literature as part of the overall effort.

Identify directions for future programmatic and research efforts on drug cases and the courts.

Given the understanding gained through the review and synthesis conducted, the grantee will identify promising areas for future programs, including recommendations for expanded use of current programs, for modifications of current strategies, or for new directions. Research and evaluation recommendations will also be identified.

Prepare a comprehensive report and executive summary for policymakers and practitioners describing and assessing the current programs and practices in handling drug cases.

The final research objective is to produce a comprehensive report and executive summary that will describe the results of the research. The final report should include a thorough discussion of the problems, a review of existing research, findings of the project, and recommendations for developing and implementing improved court responses to drug cases.

An article-length summary also should be prepared, suitable for publication, to inform practitioners, policymakers, and researchers of the results of the project.

Application Requirements. All applicants must submit a completed SF 424, Application for Federal Assistance, including a program narrative, a detailed budget, and a budget narrative. In addition to the requirements specified in the instructions for the preparation of SF 424,

the following information should also be included:

- **Program Goals.** The application should also contain discussion of the problem and the potential contribution of this program to the field.
- **Program Strategy.** Applicants should describe the proposed approach for achieving the goals and objectives of the program. Applicants should include a discussion of how each of the objectives would be accomplished.
- **Program Implementation Plan.** Applicants should provide a plan that outlines the major activities involved in implementing the program, describes how they will allocate resources to implement the program, and explains how the program will be managed.
- **Products.** Applicants should concisely describe the interim and final products under each objective of the program and address the purpose, audience, and usefulness of each product to the field.
- **Program Budget.** Applicants should provide an appropriate budget with a detailed justification for all costs including the basis for computation of these costs.

Products. At a minimum, final products of the evaluation projects must include:

- A full technical report, including a discussion of the evaluation questions, a review of the literature, a description of project methodology, detailed review of project findings, and conclusions and policy recommendations.
- An executive summary of approximately 2,500 words highlighting the

findings of the research and the policy issues those findings will inform, written to be accessible to policy officials and practitioners, and suitable for possible publication as an *NIJ Research in Brief*.

- Cleaned copies of all automated data sets developed during the research and full documentation prepared in accordance with the instructions in the *NIJ Data Resources Manual*.

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

Eligibility Requirements. NIJ awards grants to, or enters into cooperative agreements with, educational institutions, nonprofit organizations, public agencies, individuals, and profitmaking organizations that are willing to waive their fees.

Monitoring. Each grant awarded under this solicitation will be monitored according to OJP Handbook 4500.2C (Revised Chapter 7, Monitoring). More specifically, prior to the grant award, the following areas will be defined:

- Statement of goals, objectives, tasks, program activities, and products.
- Program implementation plan and budget that schedules program expenditures.
- Monitoring plan.
- Schedule of monitoring activities.
- Delineation of monitoring products (i.e., progress reports, timeline and task updates, product and activity updates, and draft products).

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- The process used by NIJ to review and respond to findings and recommendations.
 - A summary of subsequent program activities in response to implementing the monitoring recommendations. These monitoring efforts will be determined by NIJ and the grantee.

Selection Criteria. All applications will be reviewed by a peer review panel of three to five persons from the research and practitioner communities, selected for their research experience and operational expertise as well as their knowledge in the substantive areas covered by this solicitation. Five criteria are applied in the evaluation process: technical merit of the proposal, understanding of the problem, importance of the research questions addressed, qualifications of the applicant, and project costs.

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

Award Amount. NIJ encourages applicants to develop a reasonable budget that will adequately cover the costs of the project. Up to \$150,000 is tentatively budgeted to support awards under this solicitation. It is anticipated that this amount will support one award. Actual funding allocations are based on the quality of proposal received.

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

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

Completed proposals must be received at the National Institute of Justice by the close of business on August 20, 1991. Extension of this deadline will not be permitted.

Contact. Applicants are strongly encouraged to contact the Institute to discuss topic viability, data availability, or proposal content before submitting proposals. To obtain further information, potential applicants may write to Bernard Auchter, Program Manager, at the above address, or contact him at 202-307-0154.

References

National Assessment Program: Survey Results for Trial Court Administrators, and National Assessment Program: Survey Results for Superior Court Judges, J. Thomas McEwen and Elaine Nugent, Institute for Law and Justice, Inc., November 26, 1990. (Report submitted to the National Institute of Justice.)

"Drug Use Forecasting," *Research in Action*, National Institute of Justice, April 1991.

"Special Report: Trends in the State Courts," *State Court Journal*, 15, 1, Winter 1991.

Searching for Answers, Research and Evaluation on Drugs and Crime, National Institute of Justice, 1990.

The Civil Penalty Demonstration Program: An Impact Evaluation

Purpose. The purpose of this solicitation is to provide program evaluation planning for an evaluation of a five-site demonstration program that will impose civil penalties for possession of small amounts of controlled substances.

Background. Section 6486 of the Anti-Drug Abuse Act of 1988 (21 U.S.C. 844a) provides a new civil penalty provision that imposes noncriminal money fines not to exceed \$10,000 on first- or second-time offenders who possess "personal use amounts" of controlled substances. The Act authorizes the Attorney General to assess such a civil penalty in an administrative proceeding that includes the opportunity for a hearing on the record. The imposition of a civil penalty under this provision would involve a cooperative effort with a local or State prosecutor, working with local law enforcement agencies. The local or State prosecutor would identify, document, and present appropriate drug offenders to the U.S. Attorney's Office for imposition of the civil penalties.

A demonstration program is planned for five sites: Boston, Buffalo, Harrisburg, Philadelphia, and Pittsburgh. The Bureau of Justice Assistance (BJA) will provide funding to the local prosecutor's office to support personnel assigned to this effort. Applicants are advised that this program is in its formative stage, and a number of administrative and legal issues remain to be resolved. Applicants should plan their project milestones, staff workloads,

and budgets with the knowledge that definite dates for project start and direction remain to be determined.

This solicitation is for the planning phase of an Impact Evaluation that will develop broad descriptions of cross-site differences and experiences, and discuss how the five sites delivered their programs. (See "The NIJ Evaluation Program: An Overview" for details about what an Impact Evaluation entails.)

Goal

- To provide a descriptive analysis and assistance in planning for an impact evaluation of the civil penalty demonstration program.

Objectives

- Provide technical assistance to local site and Federal program personnel in specifying criterion variables, developing an evaluation design, and collecting and reporting data.
- Develop a descriptive analysis of the operations of the civil penalty demonstration program in each site.
- Develop a plan for an impact evaluation of the five-site civil penalty demonstration program.

Program Strategy

Provide technical assistance to local site and Federal program personnel in speci-

fying criterion variables, developing an evaluation design, and collecting and reporting data.

To accomplish this objective the grantee must first develop an understanding of current data collection and reporting of the U.S. Attorney's Office and gain an understanding of operations and capabilities in each of the five sites. Then the grantee shall make recommendations for measuring program impact and for the use and collection of specific data elements and interviews. The implementing regulations that suggest deterrence and cost-effectiveness goals will be a guide to the development of criteria for implementing the program.

The grantee will demonstrate expertise in program evaluation and will provide needed assistance to site and Department of Justice personnel in regard to what case data to collect and how to compile and report the data for programmatic evaluation purposes. After the program administrators determine specific data elements for evaluative purposes in consultation with the evaluator, the evaluator will provide a written description of the data to be collected and the reporting plans.

Develop a descriptive analysis of the operations of the civil penalty demonstration program in each site.

One of the two primary products of this project is a report describing the operation of the program in each site. This report will provide the context in which the program was initiated and will describe areas such as case processing, intergovernmental relations, the program

management context, and relevant local drug issues. The descriptive analysis will provide a record of program implementation in each site. In terms of the larger evaluation effort, it will introduce the demonstration program and discuss implementation issues, problems, and methods used to address the problems.

Develop a plan for an impact evaluation of the five-site civil penalty demonstration program.

After dialog with key program personnel regarding the possible designs for an impact evaluation, including the implications of various designs for the local resources, the grantee will develop an evaluation plan. This grant product will present the plan for a multimethod impact evaluation to be carried out over a 2-year period. It will offer, where appropriate, evaluation options and their implications.

Application Requirements. All applicants must submit a completed SF 424, Application for Federal Assistance, including a program narrative, a detailed budget, and a budget narrative. In addition to the requirements specified in the instructions for the preparation of SF 424, the following information should also be included:

- **Program Goals.** The application should also contain discussion of the problem and the potential contribution of this program to the field.
- **Program Strategy.** Applicants should describe the proposed approach for achieving the goals and objectives of the program. Applicants should include a discussion of how each of the objectives would be accomplished.

■ **Program Implementation Plan.**

Applicants should provide a plan that outlines the major activities involved in implementing the program, describes how they will allocate resources to implement the program, and explains how the program will be managed.

- **Products.** The applicants should concisely describe the interim and final products under each objective of the program, and address the purpose, audience, and usefulness of each product to the field.

- **Program Budget.** The applicants should provide an appropriate budget with a detailed justification for all costs including the basis for computation of these costs.

Products. At a minimum, final products of the research projects must include:

- A full technical report, including a discussion of the research question, a review of the literature, a description of project methodology, detailed review of project findings, and conclusions and policy recommendations.
- An executive summary of approximately 2,500 words highlighting the findings of the research and the policy issues those findings will inform, written to be accessible to policy officials and practitioners, and suitable for possible publication as an *NIJ Research in Brief*.
- Cleaned copies of all automated data sets developed during the research and full documentation prepared in accordance with the instructions in the *NIJ Data Resources Manual*.

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

Eligibility Requirements. NIJ awards grants to, or enters into cooperative agreements with, educational institutions, nonprofit organizations, public agencies, individuals, and profitmaking organizations that are willing to waive their fees.

Monitoring. Each grant awarded under this solicitation will be monitored according to OJP Handbook 4500.2C (Revised Chapter 7, Monitoring). More specifically, prior to the grant award, the following areas will be defined:

- Statement of goals, objectives, tasks, program activities, and products.
- Program implementation plan and budget that schedules program expenditures.
- Monitoring plan.
- Schedule of monitoring activities.
- Delineation of monitoring products (i.e., progress reports, timeline and task updates, product and activity updates, and draft products).
- The process used by NIJ to review and respond to monitoring findings and recommendations.
- A summary of subsequent program activities in response to implementing the monitoring recommendations. These monitoring efforts will be determined by NIJ and the grantee.

Selection Criteria. All applications will be reviewed by a peer review panel of three to five persons from the research and practitioner communities, selected for their research experience and operational expertise as well as their knowledge in the substantive areas covered by this solicitation. Five criteria are applied in the evaluation process: technical merit of the proposal, understanding of the problem, importance of the research questions addressed, qualifications of the applicant, and project costs.

Award Period. NIJ limits its grants and cooperative agreements to a maximum period of 24 months. This project is anticipated to be 4 to 6 months. It is anticipated that a follow-on project for the conduct of the five-site impact evaluation will either be competitively announced or awarded as a continuation grant or cooperative agreement after successful completion of this initial 4- to 6-month effort.

Award Amount. NIJ encourages applicants to develop a reasonable budget that will adequately cover the costs of the proposed project. Up to \$50,000 is tentatively budgeted to support awards under this solicitation. It is anticipated that this amount will support one award. Actual funding allocations are based on the quality of proposals received.

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

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

Completed proposals must be received at the National Institute of Justice by the close of business on August 20, 1991. Extension of this deadline will not be permitted.

Contact. Applicants are strongly encouraged to contact the Institute to discuss topic viability, data availability, or proposal content before submitting proposals. To obtain further information, potential applicants may write to Bernard Auchter, Program Manager, at the above address, or contact him at 202-307-0154.

Reference

Federal Register vol. 56, no. 8, January 11, 1991, Rules and Regulations, pp. 1086-1097; Edward Byrne Memorial State and Local Law Enforcement Assistance Program, Discretionary Program Application Kit, pp. 101-102, February 1991.

Program Announcement

Drug Testing

Drug Testing Throughout the Criminal Justice System: An Intensive Impact Evaluation

Purpose. The purpose of this evaluation is to assess the effectiveness of a jurisdictionwide drug-testing program that ensures that identified users are tracked and supervised throughout their adjudication processing from pretrial to postsentencing.

Background. In the past half-decade, drug testing has emerged as a major technique for detecting drug use among offender populations. Previous research has demonstrated that drug testing is an effective means for identifying drug users at time of arrest. Research also shows that periodic testing of offenders while under supervision is an effective means for detecting continued illegal use and enforcing conditions of pretrial release or probation or parole.

In 1989, the Bureau of Justice Assistance (BJA) initiated a new program to demonstrate the utility of drug testing in controlling offenders from time of arrest through each step of the adjudication process—pretrial release, presentence, postadjudication—by establishing information lines to ensure continuity of drug testing as the individual progresses through them. The problem of maintaining continuity is particularly important if, as is often the case, several support agencies, such as drug treatment, employment assistance, or counseling agencies, are also involved in the supervision.

BJA will award a grant to implement systemwide drug testing to a single jurisdiction in fiscal year 1991. This award will be made after review and negotiation among competing proposals submitted by criminal justice agencies.

This solicitation is for an Intensive Impact Evaluation of the program implemented by the grantee. The evaluation will focus considerable resources on assessing the impact of a drug testing program on the site's entire criminal justice system operation. The evaluation will feature a rigorous design, search for causal links between program activities and stated objectives, develop sound scientific information on program effectiveness, extrapolate findings to national significance, and identify program development implications. (See "The NIJ Evaluation Program: An Overview" for details of what an Intensive Impact Evaluation entails.)

Goals

- To conduct a process evaluation of program implementation to assess the impact of the program on the site's criminal justice system, particularly the impact on caseloads, detention facilities, and treatment capacities; and to gain knowledge of how best to develop this program in other jurisdictions.

- To collect information on whether the implemented program made a significant difference in identifying and keeping offenders under supervision and in reducing drug use, including measurement of costs expended compared with benefits gained.
- To collect information on whether the implemented program was more successful than its predecessor in deterring postprogram drug use and criminal behavior, including a cost-benefit analysis.
- To prepare a report of the evaluation results for policymakers and practitioners that will enable them to replicate this program in other jurisdictions.

Objectives

- Describe the steps undertaken by the jurisdiction to implement the program, focusing on identification of major problems encountered and on how they were resolved.
- Describe in quantitative terms the degree to which the implemented program improved identification and supervision of drug users, and describe the program impact on site detention and treatment capacities, caseloads, and agency operations.
- Describe in quantitative terms the degree to which the implemented program, compared with previous practice, improved postprogram outcomes.
- Prepare a report and executive summary of practical utility for policymakers and practitioners seeking to replicate the program in other jurisdictions.

Program Strategy

Describe the steps undertaken by the jurisdiction to implement the program, focusing on identification of major problems encountered and on how they were resolved.

The grantee should observe the program implementation process to identify factors that worked against implementation and how these problems were overcome. Particular attention should be directed to how technical problems, such as establishing automated tracking systems, contributed to or impeded the implementation process.

The grantee is expected to produce a qualitative report that describes how the program was implemented and discusses problems encountered and resolved in implementing the technological elements of the program.

Describe in quantitative terms the degree to which the implemented program improved identification and supervision of drug users, and describe the program impact on site detention and treatment capacities, caseloads, and agency operations.

Using a before-after comparison, the grantee should measure whether the implemented program in fact resulted in better identification and retention of drug users through each stage of the adjudication process, how the program affected local operations and practices, and whether the outputs of the comprehensive program were commensurate with program costs. The grantee's application should discuss the methodology for the cost analysis and measurement of program improvement.

The grantee is expected to produce a quantitative report that compares preprogram and postprogram rates of identification of drug users, contains retention rates at each stage of the adjudication process from pretrial to postsentencing, describes the impact of changes on agency capacities and practices, and discusses program cost-effectiveness.

Describe in quantitative terms the degree to which the implemented program, compared with previous practice, improved postprogram outcomes.

The grantee will, if possible, compare preprogram measures of offender recidivism with postprogram outcomes. The applicant should also propose a methodology by which the jurisdiction can, in the future, track offenders leaving the program and thus measure postprogram indicators of successful supervision for all individuals entering testing programs.

The grantee is expected to produce (1) information on preprogram rates of failure, particularly rates of renewed drug use and recidivism; (2) a blueprint that the jurisdiction can use for future measurement of postprogram outcomes, particularly renewed drug use and recidivism; (3) a methodology for future program cost-benefit analysis.

Prepare a report and executive summary of practical utility for policymakers and practitioners seeking to replicate the program in other jurisdictions.

The final objective is to produce a comprehensive report and executive summary that will describe the results of the research. The final report should include a thorough discussion of the problems, a review of existing research, findings of

the project, and recommendations for developing and implementing effective drug-testing programs on a jurisdictionwide basis.

Because BJA has not yet selected its grantee to implement the program, applicants here should submit a hypothetical travel plan. The proposed budget may require adjustments prior to award to incorporate actual travel costs to the implementing site.

Application Requirements. All applicants must submit a completed SF 424, Application for Federal Assistance, including a program narrative, a detailed budget, and a budget narrative. In addition to the requirements specified in the instructions for the preparation of SF 424, the following information should also be included:

- **Program Goals.** The application should also contain discussion of each objective to be met and the potential contribution of the proposal to the field.
- **Program Strategy.** Applicants should describe the proposed approach for achieving the goals and objectives of the program. Applicants should include a discussion of how an objective would be achieved.
- **Program Implementation Plan.** Applicants should provide a plan that outlines the major activities involved in implementing the program, describes how they will allocate resources to implement the program, and states how the program will be managed.
- **Products.** Applicants should concisely describe the interim and final products under each objective of the

program, and address the purpose, audience, and usefulness of each product to the field.

- **Program Budget.** The applicants should provide an appropriate budget with a detailed justification for all costs including the basis for computation of these costs.

Additional Products. The following products are to be delivered in addition to those designated in the paragraph on Program Strategy.

- An executive summary of approximately 2,500 words highlighting the findings of the research and the policy issues those findings will inform, written to be accessible to policy officials and practitioners, and suitable for possible publication as an *NIJ Research in Brief*.
- Cleaned copies of all automated data sets developed during the research and full documentation prepared in accordance with the instructions in the *NIJ Data Resources Manual*.

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

Eligibility Requirements. NIJ awards grants to, or enters into cooperative agreements with, educational institutions, nonprofit organizations, public agencies, individuals, and profitmaking organizations that are willing to waive their fees.

Monitoring. Each grant awarded under this solicitation will be monitored accord-

ing to OJP Handbook 4500.2C (Revised Chapter 7, Monitoring). More specifically, prior to the grant award, the following areas will be defined:

- Statement of goals, objectives, tasks, program activities, and products.
- Program implementation plan and budget that schedules program expenditures.
- Monitoring plan.
- Schedule of monitoring activities.
- Delineation of monitoring products (i.e., progress reports, timeline and task updates, product and activity updates, and draft products).
- The process used by NIJ to review and respond to monitoring findings and recommendations.
- A summary of subsequent program activities in response to implementing the monitoring recommendations. These monitoring efforts will be determined by NIJ and the grantee.

Selection Criteria. All applications will be reviewed by a peer review panel of three to five persons from the research and practitioner communities selected for their research experience and operational expertise, as well as their knowledge in the substantive areas covered by this solicitation. Five criteria are applied in the evaluation process: technical merit of the proposal, understanding of the problem, importance of the research questions addressed, qualifications of the applicant, and project costs.

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

Award Amount. NIJ encourages applicants to develop a reasonable budget that will adequately cover the costs of the project. Up to \$200,000 is tentatively budgeted to support awards under this solicitation. It is anticipated this amount will support one award. Actual funding allocations are based on the quality of proposal received.

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

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

Completed proposals must be received at the National Institute of Justice by the close of business on August 20, 1991. Extension of this deadline will not be permitted.

Contact. Applicants are strongly encouraged to contact the Institute to discuss topic viability, data availability, or proposal content before submitting proposals. To obtain further information, potential applicants may write to John Spevacek, Program Manager, at the above address, or contact him at 202-307-0141.

References

National Institute of Justice, *DUF: Drug Use Forecasting Annual Report*, March 1990.

The United States Attorneys and Attorney General of the United States, *Drug Trafficking: A Report to the President of the United States*, Washington, D.C., August 1989.

Wesley Skogan, *Disorder and Decline*, New York, Free Press, 1990.

Program Announcement

**Corrections and
Intermediate Sanctions**

Drug Offender Treatment in Local Corrections: An Impact Evaluation

Purpose. The purpose of this solicitation is to conduct an evaluation of the impact of drug offender treatment programs within local correctional settings, to provide evidence of the causal links between program activities and stated objectives, to develop sound scientific information on program effectiveness, and to provide this information as well as extrapolated findings and implications to policymakers and criminal justice and treatment agencies in support of their efforts to control drug abuse and drug-related crime.

Background. Drug abuse is both a cause and an intensifier of criminal behavior. The President's National Drug Control Strategy identifies drug treatment as an area of high priority and calls for the evaluation of current treatment methods. Of particular interest is a comprehensive approach to drug treatment that encompasses identification of drug users, referral to treatment, aftercare, and monitoring.

Drug treatment programs in local jails and adult and juvenile detention centers confront the same problems faced by those operated in prisons and community corrections. Namely, offenders with problems involving crack cocaine and complicating factors such as codependencies with other drugs may not successfully respond to established treatments. In addition, other concurrent problems frequently found in offender populations, such as psychopathologies, may limit the use of some treatment methods.

The potential benefits of innovative drug treatments for jailed or detained offenders depend upon a broad range of factors. These factors include appropriate matching of individual treatment needs and treatment modality, delivery of treatment, aftercare, and monitoring. This evaluation complements research to be conducted under the National Institute of Justice's (NIJ) Drugs, Alcohol, and Crime Program by focusing on measuring program outcomes, particularly postprogram rates of drug use relapse and rearrest, in a very limited number of sites.

This solicitation is for an Impact Evaluation of innovative drug treatment programs based in local correctional facilities. The programs should include postrelease components such as continued treatment (if necessary), aftercare, and monitoring. The evaluation should include a rigorous design that addresses both process and impact components of the program as well as a methodology that will ensure that sound scientific evidence of program effectiveness can be realized. (See "The NIJ Evaluation Program: An Overview" for details about what an Impact Evaluation entails.)

Goals

- To provide sound scientific information on the effectiveness of innovative drug-treatment programs provided within local correctional settings.

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- To inform the efforts of policymakers and local criminal justice and treatment practitioners to control the problems of drug abuse and drug-related crime.

Objectives

- Provide a thorough evaluation of the content and delivery of the drug treatment programs.
- Collect and analyze data to provide sound scientific information on the effectiveness of the programs as measured by individual relapse rates and reinvolvement with the criminal justice system.
- Provide a comprehensive report and executive summary for policymakers and practitioners detailing the results of the evaluation and data analysis and the implications of the findings for local criminal justice agencies nationwide.

Project Strategy

Provide a thorough evaluation of the content and delivery of the drug treatment programs.

The applicant's proposal should thoroughly describe the drug-treatment programs to be evaluated. This description should cover program activities and objectives; the assessment techniques and tools used to identify drug users and their treatment needs; treatment modalities; and provisions for postrelease continuation of treatment, aftercare, and monitoring. The proposal also should describe the treatment population (e.g., all jail inmates, juveniles, or females), the number of persons participating, and the service provider(s).

Based on the program description, the proposal should detail a comprehensive evaluation plan that addresses the program elements to be evaluated, including descriptions of the techniques to be used to measure program delivery.

Collect and analyze data to provide sound scientific information on the effectiveness of the programs as measured by individual relapse rates and reinvolvement with the criminal justice system.

The applicant's proposal should include a detailed plan to evaluate the effectiveness (impact) of the programs. This plan should specify the data to be collected and the sources of these data, and it should describe the techniques proposed for analyzing the data. The proposal should make clear the applicant's understanding that the Impact Evaluation of a drug-treatment program within a criminal justice setting requires consideration of both the direct effect of the program on drug use and the postrelease criminal behavior of treatment participants. Thus, the Impact Evaluation should specify the measures that will be used to evaluate the effectiveness of the programs with respect to drug-use status and criminal behavior.

Provide a comprehensive report and executive summary for policymakers and practitioners detailing the results of the evaluation and data analysis and the implications of the findings for local criminal justice agencies nationwide.

This report should thoroughly describe the programs, including program activities, the results of the evaluation of program delivery, and the results of the analyses of program impact and effectiveness. In addition, the report should

indicate the extent to which findings can be extrapolated nationally, specifying programmatic or correctional-setting elements that could be expected to be common to other sites, as well as elements at the evaluation sites that could be expected to be unique. Finally, the report should clearly specify the implications of the findings both for further research and for criminal justice program applications. The executive summary should inform practitioners, policymakers, and researchers of the results of the project.

Application Requirements. All applicants must submit a completed SF 424, Application for Federal Assistance, including a program narrative, a detailed budget, and a budget narrative. In addition to the requirements specified in the instructions for the preparation of SF 424, the following information should also be included:

- **Program Goals.** The application should also contain discussion of the problem and the potential contribution of this program to the field.
- **Program Strategy.** Applicants should describe the proposed approach for achieving the goals and objectives of the program. Applicants should include a discussion of how each of these objectives would be accomplished.
- **Program Implementation Plan.** Applicants should provide a plan that outlines the major activities involved in implementing the program, describes how they will allocate resources to implement the program, and states how the program will be managed.

- **Products.** Applicants should concisely describe the interim and final products under each objective of the program, and address the purpose, audience, and usefulness of each product to the field.

- **Program Budget.** Applicants should provide an appropriate budget with a detailed justification for all costs including the basis for computation of these costs.

Products. At a minimum, final products of the research project must include:

- A full technical report, including a discussion of the research question, a review of the literature, a description of project methodology, detailed review of project findings, and conclusions and policy recommendations.
- An executive summary of approximately 2,500 words highlighting the findings of the research and the policy issues those findings will inform, written to be accessible to policy officials and practitioners, and suitable for possible publication as an *NIJ Research in Brief*.
- Cleaned copies of all automated data sets developed during the research and full documentation prepared in accordance with the instructions in the *NIJ Data Resources Manual*.

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

Eligibility Requirements. NIJ awards grants to, or enters into cooperative agreements with, educational institutions, nonprofit organizations, public agencies, individuals, and profitmaking organizations that are willing to waive their fees.

Monitoring. Each grant awarded under this solicitation will be monitored according to OJP Handbook 4500.2C (Revised Chapter 7, Monitoring). More specifically, prior to the grant award, the following areas will be defined:

- Statement of goals, objectives, tasks, program activities, and products.
- Program implementation plan and budget that schedules program expenditures.
- Monitoring plan.
- Schedule of monitoring activities.
- Delineation of monitoring products (i.e., progress reports, timeline and task updates, product and activity updates, and draft products).
- The process used by NIJ to review and respond to monitoring findings and recommendations.
- A summary of subsequent program activities in response to implementing the monitoring recommendations. These monitoring efforts will be determined by NIJ and the grantee.

Selection Criteria. All applications will be reviewed by a peer review panel of three to five persons from the research and practitioner communities selected for their research experience and operational expertise, as well as their knowledge in the substantive areas covered by this

solicitation. Five criteria are applied in the evaluation process: technical merit of the proposal, understanding of the problem, importance of the research questions addressed, qualifications of the applicant, and project costs.

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

Award Amount. NIJ encourages applicants to develop a reasonable budget that will adequately cover the costs of the proposed project. Up to \$350,000 is tentatively budgeted to support awards under this solicitation. It is anticipated that this amount will fund one award. Actual funding allocations are based on the quality of proposal received.

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

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

Completed proposals must be received at the National Institute of Justice by the close of business on August 20, 1991. Extension of this deadline will not be permitted.

Contact. Applicants are strongly encouraged to contact the Institute to discuss topic viability, data availability, or proposal content before submitting proposals. To obtain further information, potential applicants may write to Pamela Lattimore, Ph.D., Program Manager, at the above address, or contact her at 202-307-2961.

User Accountability Programs: An Impact Evaluation

Purpose. The purpose of this solicitation is to conduct an evaluation of the impact of user accountability strategies implemented to address the problem of "casual" drug use, to identify program activities and document the extent of program implementation, and to relate differences in site environments and implementation to differences in program effectiveness as measured by multiple indexes of performance. This solicitation will provide this information, as well as extrapolated findings and implications, to policymakers and criminal justice and treatment agencies in support of their efforts to control drug abuse and drug-related crime.

Background. The President's National Drug Control Strategy indicates that, although there have been reductions in some areas of drug abuse, the use of illegal drugs remains unacceptably high. Thus, a high priority of the National Drug Control Strategy continues to be the reduction of all drug use—experimental, casual, regular, and addictive. The majority of the drug-involved population comprises nonaddicted users. The demand for drugs by these casual or recreational users contributes significantly to the violence and crime associated with the Nation's drug markets. To supplement law enforcement activities designed to interrupt the supply of illegal drugs, the National Drug Control Strategy calls for demand reduction efforts to hold drug users legally accountable for their behavior.

As part of the strategy to curtail all drug use, the Bureau of Justice Assistance (BJA) seeks to demonstrate user accountability programs that specifically target the casual user. One such program, the "Do Drugs, Do Time" program implemented in Maricopa County (Phoenix), Arizona, is currently being evaluated by the National Institute of Justice (NIJ). The basis of this program is a strategy, coordinated among 28 agencies, that involves a public education campaign; special law enforcement operations that target and arrest drug users; and a commitment to prosecute all drug arrestees who do not qualify for, accept, or complete an adult prosecution diversion program. The diversion program is available only to first-time offenders and consists of fines, urine testing, and drug treatment—the costs of which the participant must bear. Charges are dropped for those who successfully complete the program. Although the evaluation of the "Do Drugs, Do Time" program is not yet complete, the Maricopa County law enforcement community is very pleased with it and intends to continue.

BJA plans to fund the development and implementation of user-accountability programs at two additional sites during this fiscal year. Key activities are envisioned to include coordination of efforts among community enforcement, prosecution, and treatment resources. A training and technical assistance grant will also be awarded to assist with the development of a model user accountability program.

BJA wants implementation of the programs to begin approximately 3 months following award. The initial 3-month period will be devoted to site and program development, with implementation to occur in the following 12-month period. Potential applicants are encouraged to review the BJA user accountability program solicitation for additional information on the demonstration.

This solicitation is for an Impact Evaluation of user accountability programs to be implemented at the sites selected by BJA. The grantee will be expected to work closely with BJA's two demonstration sites and technical assistance/model development grantees. The evaluation should address both implementation and impact components of the programs as well as a comparison that will allow assessment of the impact of site differences on differences in outcome. (See "The NIJ Evaluation Program: An Overview" for details about what an Impact Evaluation entails.)

Goals

- To provide sound scientific information on the effectiveness of user accountability programs.
- To inform the efforts of policymakers and local criminal justice and treatment practitioners to control casual drug use.

Objectives

- Provide an evaluation and cross-site comparison of the content and delivery of the user accountability programs.
- Collect and analyze data to provide sound scientific information on the

effectiveness of the programs, including an assessment relating differences in site environments and implementation to differences in outcomes.

- Provide a comprehensive report and executive summary detailing the results of the evaluation and data analysis and the implications of the findings for local criminal justice agencies nationwide.

Project Strategy

Provide an evaluation and cross-site comparison of the content and delivery of the user accountability programs.

The applicant's proposal shall demonstrate a firm grasp of the issues underlying user accountability programs, including the importance of targeting and deterring the casual user through criminal justice sanctions and treatment.

Program applicants should develop a plan that identifies the approach to evaluating and comparing the content and delivery of the user accountability programs. The plan should assume that the programs will consist of some or all of the following elements: (1) a public education (media) campaign; (2) special law enforcement operations targeting the casual user; (3) special sanctions tailored for the casual user such as fines, driver's license suspension, or mandatory jail time; and (4) requirements for treatment.

The plan should describe techniques that could be used to measure the delivery of these program elements. Additionally, the plan should assume that the user accountability programs will require cooperation and coordination between diverse criminal justice and treatment agencies and

provide a plan for assessing these activities.

Collect and analyze data to provide sound scientific information on the effectiveness of the programs, including an assessment relating differences in site environments and implementation to differences in outcome.

The applicant's proposal shall include a detailed plan to evaluate the effectiveness (impact) of the program. This plan should specify the outcome measures upon which effectiveness will be assessed, data to be collected, potential sources of these data, and the techniques proposed for analyzing the data.

Provide a comprehensive report and executive summary detailing the results of the evaluation and data analysis and the implications of the findings for local criminal justice agencies nationwide.

This report should thoroughly describe the program, including program activities, the results of the evaluation and comparison of program delivery, and the results of the analyses of program impact and effectiveness. In addition, the report should indicate the extent to which findings can be extrapolated nationally, specifying programmatic or environmental elements that could be expected to be common to other sites and elements at the evaluation sites that could be expected to be unique. Finally, the report should clearly specify the implications of the findings both for further research and for criminal justice program applications. The executive summary should inform practitioners, policymakers, and researchers of the results of the project.

Application Requirements. All applicants must submit a completed SF 424,

Application for Federal Assistance, including a program narrative, a detailed budget, and a budget narrative. In addition to the requirements specified in the instructions for the preparation of SF 424, the following information should also be included:

- **Program Goals.** The application should also contain discussion of the problem and the potential contribution of this program to the field.
- **Program Strategy.** Applicants should describe the proposed approach for achieving the goals and objectives of the program. Applicants should include a discussion of how each of these objectives would be accomplished.
- **Program Implementation Plan.** Applicants should provide a plan that outlines the major activities involved in implementing the program, describes how they will allocate resources to implement the program, and states how the program will be managed.
- **Products.** The applicants should concisely describe the interim and final products under each objective of the program, and address the purpose, audience, and usefulness of each product to the field.
- **Program Budget.** The applicants should provide an appropriate budget with a detailed justification for all costs including the basis for computation of these costs.

Products. At a minimum, final products of the research projects must include:

- A full technical report, including a discussion of the research question, a review of the literature, a description

of project methodology, detailed review of project findings, and conclusions and policy recommendations.

- An executive summary of approximately 2,500 words highlighting the findings of the research and the policy issues that those findings will inform, written to be accessible to policy officials and practitioners, and suitable for possible publication as an *NIJ Research in Brief*.
- Cleaned copies of all automated data sets developed during the research and full documentation prepared in accordance with the instructions in the *NIJ Data Resources Manual*.

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

Eligibility Requirements. NIJ awards grants to, or enters into cooperative agreements with, educational institutions, non-profit organizations, public agencies, individuals, and profitmaking organizations that are willing to waive their fees.

Monitoring. Each grant awarded under this solicitation will be monitored according to OJP Handbook 4500.2C (Revised Chapter 7, Monitoring). More specifically, prior to the grant award, the following areas will be defined:

- Statement of goals, objectives, tasks, program activities, and products.
- Program implementation plan and budget that schedules program expenditures.
- Monitoring plan.

- Schedule of monitoring activities.
- Delineation of monitoring products (i.e., progress reports, timeline and task updates, product and activity updates, and draft products).
- The process used by NIJ to review and respond to monitoring findings and recommendations.
- A summary of subsequent program activities in response to implementing the monitoring recommendations. These monitoring efforts will be determined by NIJ and the grantee.

Selection Criteria. All applications will be reviewed by a peer review panel of three to five persons from the research and practitioner communities, selected for their research experience and operational expertise as well as their knowledge in the substantive areas covered by this solicitation. Five criteria are applied in the evaluation process: technical merit of the proposal, understanding of the problem, importance of the research questions addressed, qualifications of the applicant, and project costs.

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

Award Amount. NIJ encourages applicants to develop a reasonable budget that will adequately cover the costs of the proposed project. Up to \$350,000 is tentatively budgeted to support awards under this solicitation. It is anticipated this amount will support one award. Actual funding allocations are based on the quality of proposal received.

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

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

Completed proposals must be received at the National Institute of Justice by the close of business on August 20, 1991. Extension of this deadline will not be permitted.

Contact. Applicants are strongly encouraged to contact the Institute to discuss topic viability, data availability, or proposal content before submitting proposals. To obtain further information, potential applicants may write to Pamela Lattimore, Ph.D., Program Manager, at the above address, or contact her at 202-307-0645.

Structured Fines: An Impact Evaluation

Purpose. The purpose of this solicitation is to provide for a comprehensive evaluation of new strategies for applying and enforcing structured fines for felony and misdemeanor drug offenders in four jurisdictions.

Background. Several NIJ research projects have led the way to this current program on structured fines. These projects include a national study on the use of fines as a criminal sanction, a survey of the attitudes and practices of trial court judges regarding fines, a study of collection and enforcement mechanisms, and a demonstration of a day-fines system in Staten Island, New York. All these research projects have produced relevant literature for the proposed evaluation, and they are cited with other documents as references at the close of this announcement.

The Bureau of Justice Assistance's (BJA) Structured Fines Program is the primary focus of this evaluation. BJA's technical assistance and training effort to support that program are designed to demonstrate structured fines programs. These announcements are included in the BJA fiscal year 1991 Discretionary Program Application Kit. In addition to the three BJA sites, which are yet to be selected (see below), a fourth evaluation site will be the recently initiated day-fines project in Maricopa County (Phoenix), Arizona, being sponsored by the State Justice Institute.

This solicitation is for an Impact Evaluation that will assess the effectiveness of

structured fines in these jurisdictions, describe cross-site differences and experiences, and discuss how the four sites delivered their programs. (See "The NIJ Evaluation Program: An Overview" for details about what an Impact Evaluation entails.)

Goals

- To evaluate the feasibility and effectiveness of an innovative structured fines program in improving fine imposition, collection, and enforcement, and in increasing the credibility of fines as an effective sanction.
- To produce reports and provide for the dissemination of the results of the evaluation to appropriate audiences.

Objectives

- Provide for a comprehensive process and outcome evaluation of innovative structured fines programs in four sites.
- Provide an analysis of the costs and benefits of the structured fines program in each jurisdiction.
- Use both quantitative and qualitative methods in the conduct of the evaluation.
- Produce a comprehensive report and executive summary on the results of the evaluation in the four jurisdictions, and develop mechanisms for the dissemination of the results to appropriate executive, judicial, and legislative audiences.

Program Strategy

Provide for a comprehensive process and outcome evaluation of innovative structured fines programs in four sites.

The process evaluation will provide technical information that can assist other jurisdictions in implementing a structured fines project. Special attention should be given to identifying the lessons learned at the various sites and the guidance that can be provided to other jurisdictions regarding the organization, development, and operation of a structured fines project.

One purpose of the impact evaluation is to determine the effect of the structured fines program on the jurisdiction's ability to make fines a more meaningful criminal sanction, to determine the amount of fine sanctions imposed and fines collected, and to make this determination in the context of other money penalties for which the court is responsible. Another purpose is to distill the impacts observed in the jurisdictions studied in order to provide a synthesis of the results. A final purpose is to provide a comparative assessment of the actual impacts of each project with the expectations of the project managers who conceived and planned it.

The proposal should discuss the technical aspects of the evaluation plan, factors that may limit the project assessments, how these limitations will be addressed, and the methods by which data from each project will be used. It should show how data will be aggregated to form a national perspective on how the structured day-fines approach can be applied as an intermediate sanction in drug and other offenses.

The evaluation should include recommendations and guidelines for the devel-

opment of a structured fines program, detailed case studies of the four sites, and guidance on research needs. Applicants should demonstrate a thorough understanding of the Structured Fines Program and the need for contacts with the technical assistance and training provider.

Provide an analysis of the costs and benefits of the structured fines program in each jurisdiction.

The results of this evaluation are expected to provide State and local decisionmakers with the information needed to determine the benefits and costs of initiating a structured fines program. Such a cost-effectiveness assessment would represent the ratio between all efforts and resources going into the program and the impact of the program.

Use both quantitative and qualitative methods in the conduct of the evaluation.

In light of the various audiences to be addressed, the evaluation should provide perspectives on the impacts observed in line with the needs of different kinds of decisionmakers. For example, differing perspectives might include concerns about fine administration, determining appropriate fine levels, and the overall program impact. Both quantitative and qualitative methods should be considered.

Produce a comprehensive report and executive summary on the results of the evaluation in the four jurisdictions, and develop mechanisms for the dissemination of the results to appropriate executive, judicial, and legislative audiences.

The final research objective is to produce a comprehensive report that will describe the results of the research. This report will thoroughly discuss the problem; review the theoretical and empirical re-

search; examine the research methodology employed; state the findings of each site evaluation; synthesize the entire evaluation effort; and present recommendations for the development of policies, procedures, and practices on fine use and administration. Another expected product is an executive summary that informs practitioners, public policymakers, and researchers of the results. In addition, the grantee will provide a thorough status report on the evaluative findings for NIJ's annual evaluation report to the Congress.

Because BJA has not yet selected the jurisdictions that will receive grant awards, applicants for the evaluations should plan their proposal as if one site were on the east coast, one on the west coast, and one in the central part of the country. The fourth site is Phoenix, Arizona. The proposed budget may require adjustments before award to incorporate actual travel costs to sites.

Application Requirements. All applicants must submit a completed SF 424, Application for Federal Assistance, including a program narrative, a detailed budget, and a budget narrative. In addition to the requirements specified in the instructions for the preparation of SF 424, the following information should also be included:

- **Program Goals.** The application should also contain discussion of the problem and the potential contribution of this program to the field.
- **Program Strategy.** Applicants should describe the proposed approach for achieving the goals and objectives of the program. Applicants should include a discussion of how each of the four objectives would be accomplished.

- **Program Implementation Plan.** Applicants should provide a plan that outlines the major activities involved in implementing the program, describes how they will allocate resources to implement the program, and states how the program will be managed.

- **Products.** The applicants should concisely describe the interim and final products under each objective of the program, and address the purpose, audience, and usefulness of each product to the field.

- **Program Budget.** The applicants should provide an appropriate budget with a detailed justification for all costs, including the basis for computation of these costs.

Products. At a minimum, final products of the research projects must include:

- A full technical report including a discussion of the research question, a review of the literature, a description of project methodology, detailed review of project findings, and conclusions and policy recommendations.
- An executive summary of approximately 2,500 words highlighting the findings of the research and the policy issues those findings will inform, written to be accessible to policy officials and practitioners, and suitable for possible publication as an NIJ *Research in Brief*.
- Cleaned copies of all automated data sets developed during the research and full documentation prepared in accordance with the instructions in the *NIJ Data Resources Manual*.

As appropriate, additional interim and final products (e.g., articles, manuals, or

training materials) may be specified in the proposal or negotiated at the time of the award.

Eligibility Requirements. NIJ awards grants to, or enters into cooperative agreements with, educational institutions, nonprofit organizations, public agencies, individuals, and profitmaking organizations that are willing to waive their fees.

Monitoring. Each grant awarded under this solicitation will be monitored according to OJP Handbook 4500.2C (Revised Chapter 7, Monitoring). More specifically, prior to the grant award, the following areas will be defined:

- Statement of goals, objectives, tasks, program activities, and products.
- Program implementation plan and budget that schedules program expenditures.
- Monitoring plan.
- Schedule of monitoring activities.
- Delineation of monitoring products (i.e., progress reports, timeline and task updates, product and activity updates, and draft products).
- The process used by NIJ to review and respond to monitoring findings or recommendations.
- A summary of subsequent program activities in response to implementing the monitoring recommendations. These monitoring efforts will be determined by NIJ and the grantee.

Selection Criteria. All applications will be reviewed by a peer review panel of three to five persons from the research and practitioner communities, selected

for their research experience and operational expertise as well as their knowledge in the substantive areas covered by this solicitation. Five criteria are applied in the evaluation process: technical merit of the proposal, understanding of the problem, importance of the research questions addressed, qualifications of the applicant, and project costs.

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

Award Amount. NIJ encourages applicants to develop a reasonable budget that will adequately cover the costs of the project. Up to \$300,000 is tentatively budgeted to support awards under this solicitation. It is anticipated this amount will support one award. Actual funding allocations are based on the quality of proposal received.

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

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

Completed proposals must be received at the National Institute of Justice by the close of business on August 20, 1991. Extension of this deadline will not be permitted.

Contact. Applicants are strongly encouraged to contact the Institute to discuss topic viability, data availability, or proposal content before submitting proposals. To obtain further information, potential applicants may write to Bernard Auchter, Program Manager, at the above address, or contact him at 202-307-0154.

References

Sally T. Hillsman, Joyce L. Sichel, and Barry Mahoney, *Fines in Sentencing: A Study of the Use of the Fine as a Criminal Sanction*, National Institute of Justice, 1984.

George F. Cole, Barry Mahoney, Marlene Thornton, and Roger A. Hanson, *The Practices and Attitudes of Trial Court Judges Regarding Fines as a Criminal Sanction*, Executive Summary, National Institute of Justice, 1987.

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Sally T. Hillsman, "Fines and Day Fines," in *Crime and Justice*, vol. 12, 1990.

George F. Cole, "Innovations in Collecting and Enforcing Fines," *NIJ Reports*, July/August 1989.

"Effecting Change in the Courts: A Process of Leadership," *Research in Action*, National Institute of Justice, 1987.

Aftercare for Offenders in Boot Camp Prisons: An Evaluation Review

Purpose. The purpose of this solicitation is to conduct an assessment of drug treatment and aftercare programs for offenders in boot camp prisons in order to inform Federal, State, and local agencies about possible ways to incorporate drug treatment into the inprison and aftercare phases of boot camp programs, and to highlight particularly innovative programs that may be expected to reduce drug use successfully.

Background. Over the past half-decade, more than half the States have opened, or are currently planning to open, boot camp prisons for selected categories of offenders. Unlike most incarcerative programs, boot camps are directed at changing the criminal behavior of the individual offender through a combination of short-term but rigorous confinement and activities that are largely directed at motivating the individual offender to achieve positive goals.

Most boot camp prisons report that a large percent of entrants are drug abusers. Questions remain regarding ways to incorporate drug treatment into the inprison phase of the programs and ways in which aftercare can be provided in order to reduce drug use successfully.

Although most boot camp programs incorporate some type of drug education or drug treatment, they differ in how they deliver this service to the offender. Some require all participants to attend drug

treatment, while others provide drug education but expect drug treatment to be given in the community upon release from the boot camp. Information is needed regarding the way these programs incorporate drug treatment, and how this approach differs from more conventional drug treatment programs.

Boot camp prisons incarcerate offenders for relatively short periods, and therefore may have insufficient time to prepare offenders fully for readjustment in the community. Postrelease aftercare may be an essential component of programs if drug use is to be reduced or eliminated. The definition of the term "aftercare" is, at this point, imprecise, but is generally used to refer to such attributes as frequent contacts between the offender and the supervising officer, employment assistance or training, and other services, particularly drug treatment or surveillance directed at enabling the offender to lead a noncriminal life.

A growing body of research indicates that such postrelease programs in fact do improve the aggregate success rates, as measured by such traditional criteria as revocation and rearrest, for offenders released from incarceration or released from community supervision. However, at this time little information is available regarding postrelease performance of offenders released from boot camps. Such research is in progress in 8 of the more than 34 boot camp programs for

adults in operation in the United States. The varied drug treatment for offenders in the programs and the postrelease practices and policies of these programs are the subject of this solicitation.

This solicitation is for an Evaluation Review that will examine disparate findings as objectively as possible, explain inconsistencies, and offer an opinion based on evidence reviewed. Research will focus on differences among boot camp prison programs and on how these programs compare with traditional drug treatment and aftercare programs. (See "The NIJ Evaluation Program: An Overview" for details on what an Evaluation Review entails.)

Goals

- To examine how drug education and drug treatment programs are incorporated into the inprison and community supervision phases of boot camp prisons.
- To identify and describe treatment and aftercare programs and practices that appear to be effective in improving post-boot camp success rates.

Objectives

- Survey and examine current drug education and drug treatment programs for offenders in boot camp prisons and during community supervision following release from boot camp.
- Identify and describe innovative and effective drug treatment in boot camp prisons and in aftercare programs for offenders.
- Identify the common elements from these program descriptions and syn-

thesize them into recommendations for improving drug treatment for these offenders.

- Produce a comprehensive report and executive summary for policymakers and practitioners that convey the results of this study.

Program Strategy

Survey and examine current drug education and drug treatment programs for offenders in boot camp prisons and during community supervision following release from boot camp.

To accomplish this objective, the grantee will be expected to (1) contact the universe of boot camp programs for adjudicated adults, to acquire descriptive information about their policies and practices for delivering drug education and drug treatment to offenders during boot camp and during community supervision following release from boot camp; (2) select a sample of programs for further inquiry, using criteria to be developed in cooperation with National Institute of Justice (NIJ) staff (availability of quantitative data on program effectiveness will be particularly important in sample selection); (3) survey the sample of programs for the purpose of identifying program attributes that would be essential components for improved practices; and (4) synthesize the information gained into recommendations for program development and improvement.

Identify and describe innovative and effective drug treatment in boot camp prisons and in aftercare programs for offenders.

To accomplish this objective, the study should describe the characteristics of

programs that appear to have components that can be expected to be successful in reducing drug use and associate criminal activities. The study should examine how the boot camp regimen and treatment schedules are similar to more traditional drug treatment and why this difference might be advantageous in reducing drug use. The applicant's proposal should include evidence of the expertise and knowledge of the researchers in drug education and treatment. Such expertise should enable the researchers to evaluate critically the potential impact of the boot camp treatment and aftercare programs on the participants.

Identify the common elements from these program descriptions and synthesize them into recommendations for improving drug treatment for these offenders.

The critical evaluation of the drug treatment and aftercare programs should be followed by a series of recommendations on how drug treatment, including the aftercare period, can be designed within a boot camp program to have the maximum impact on drug abusers. Suggestions should be made regarding methods of comparing various treatment delivery systems for the type of offenders who typically are sentenced to boot camps.

Produce a comprehensive report and executive summary for policymakers and practitioners that convey the results of this study.

The final research objective is to produce a comprehensive report and executive summary that will describe the results of the research. The final report should include a thorough discussion of the problems, a review of existing research,

findings of the project, and recommendations for developing and implementing effective drug treatment programs for offenders in boot camp prisons and during community supervision following release from boot camp. The executive summary should inform practitioners, policymakers, and researchers of the results of the research.

Application Requirements. All applicants must submit a completed SF 424, Application for Federal Assistance, including a program narrative, a detailed budget, and a budget narrative. In addition to the requirements specified in the instructions for the preparation of SF 424, the following information should also be included:

- **Program Goals.** The application should also contain discussion of the problem and the potential contribution of this program to the field.
- **Program Strategy.** Applicants should describe the proposed approach for achieving the goals and objectives of the program. Applicants should include a discussion of how each of the objectives would be accomplished.
- **Program Implementation Plan.** Applicants should provide a plan that outlines the major activities involved in implementing the program, describes how they will allocate resources to implement the program, and explains how the program will be managed.
- **Products.** The applicants should concisely describe the interim and final products under each objective of the program, and address the purpose, audience, and usefulness of each product to the field.

- **Program Budget.** The applicants should provide an appropriate budget with a detailed justification for all costs including the basis for computation of these costs.

Products. At a minimum, final products of the evaluation projects must include:

- A full technical report, including a discussion of the evaluation questions, a review of the literature, a description of project methodology, detailed review of project findings, and conclusions and policy recommendations.
- An executive summary of approximately 2,500 words highlighting the findings of the research and the policy issues those findings will inform, written to be accessible to policy officials and practitioners, and suitable for possible publication as an *NIJ Research in Brief*.
- Cleaned copies of any automated data sets developed during the research and full documentation prepared in accordance with the instructions in the *NIJ Data Resources Manual*.

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

Eligibility Requirements. NIJ awards grants to, or enters into cooperative agreements with, educational institutions, non-profit organizations, public agencies, individuals, and profitmaking organizations willing to waive their fees.

Monitoring. Each grant awarded under this solicitation will be monitored accord-

ing to OJP Handbook 4500.2C (Revised Chapter 7, Monitoring). More specifically, prior to the grant award, the following areas will be defined:

- Statement of goals, objectives, tasks, program activities, and products.
- Program implementation plan and budget that schedules program expenditures.
- Monitoring plan.
- Schedule of monitoring activities.
- Delineation of monitoring products (i.e., progress reports, timeline and task updates, product and activity updates, and draft products).
- The process used by NIJ to review and respond to findings and recommendations.
- A summary of subsequent program activities in response to implementing the recommendations. These monitoring efforts will be determined by NIJ and the grantee.

Selection Criteria. All applications will be reviewed by a peer review panel of three to five persons from the research and practitioner communities, selected for their research experience and operational expertise as well as their knowledge in the substantive areas covered by this solicitation. Five criteria are applied in the evaluation process: technical merit of the proposal, understanding of the problem, importance of the research questions addressed, qualifications of the applicant, and project costs.

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

Award Amount. NIJ encourages applicants to develop a reasonable budget that will adequately cover the costs of the proposed project. Up to \$50,000 is tentatively budgeted to support awards under this solicitation. It is anticipated that this amount will support one award. Actual funding allocations are based on the quality of proposal received.

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

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Washington, DC 20531

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Contact. Applicants are strongly encouraged to contact the Institute to discuss topic viability, data availability, or proposal content before submitting proposals. To obtain further information, potential applicants may write to Doris L. MacKenzie, Ph.D., Program Manager, at the above address, or contact her at 202-307-0500.

Program Announcement

Systemwide Programs

2

The Anti-Drug Abuse Act of 1988: A Program Assessment

Purpose. The purpose of this solicitation is to synthesize and critically assess the progress made in implementing the Anti-Drug Abuse Act of 1988 to improve State and local anti-drug programs. The assessment will produce recommendations for future intergovernmental program development to ensure effective Federal, State, and local anti-drug efforts.

Background. Drug control continues to be a national priority, as both a health and public safety issue. As new legislation is proposed, it is beneficial to consider the impact of its predecessors. Such an assessment should be comprehensive, touching on as many facets of past experience as possible. The underlying assumptions of the legislation should be examined and compared with the realities of practice. An assessment should explore the soundness of Federal, State, and local interrelationships; it should also suggest whether Federal resources have been sufficient or excessive for the Act's mission. Finally, the assessment should assist policymakers at all levels of government in understanding and improving the role of the Federal Government in developing national policies.

Almost \$2 billion will have been concentrated on the improvement of State and local criminal justice by the Anti-Drug Abuse Act of 1988 when its authorization ends in 1992. The funds for evaluation, technical assistance, demonstration programs, and direct formula grant aid con-

stitute a significant investment in innovation and resource enhancement. They represent a major Federal commitment to give the best possible tools to front-line agencies for their initiatives against the consequences of drugs. It is not feasible to assess the impacts of the Act in terms of its particular contributions to drug control because of concurrent Federal investment in health, housing, education, and other drug-control programs. It is nonetheless important to document the Act's benefits so that future legislation can be formulated to improve the shaping of national priorities.

The Act derives many of its concepts and features from the Omnibus Crime Control and Safe Streets Act of 1968 and subsequent legislation. Like its predecessors, the current Act defines crime and drug control as local problems. Federal resources are relatively limited compared with State and local funding, and the Federal presence in local affairs is minimized. The Federal mission is defined as promoting positive change; investments consist of research and evaluation, training and technical assistance, and demonstration programs. Block grant funds require that States develop comprehensive strategies and provide their own funds to match Federal contributions.

The Federal investment is small relative to the billions spent annually by State and local governments, but it has helped to create a national infrastructure for criminal justice operations. Every State has

established an office to administer Federal funds and to channel them to criminal justice agencies. Many State offices require local agencies to compete for these dollars; some States even require counties to submit their own strategies before funds can be released. In addition to the hierarchical funding structure established, many agencies with common missions have formed networks to share information.

This solicitation is for a Program Assessment that will require (1) comparative reviews of legislation, (2) analyses of extant records on funded programs, (3) field research and cross-site comparisons, (4) surveys of State and local officials, and (5) recommendations for future intergovernmental development. (See "The NIJ Evaluation Program: An Overview" for details of what a Program Assessment entails.)

Goals

- To assess the evolution of and contribution of State strategic planning to national drug control efforts.
- To document and analyze the mechanisms used to promote innovation and improvement in criminal justice operations.
- To improve the Federal system for the delivery of criminal justice innovations.
- To recommend changes in legislation, policies, and resources that improve the adoption of effective programs in criminal justice.

Objectives

- Perform a review and analysis of State strategies that document their evolution and impact on resource decisions.

- Trace the influences of Federal evaluation, training and technical assistance, and discretionary and formula grant funds on State and local program development.
- Identify the strengths and weaknesses of the conceptual model embodied in the Act through review of similar legislation in other public sectors and documentation of problem areas in the current criminal justice legislation.
- Prepare a series of reports and executive summaries for policymakers on findings that place recommendations in a context suitable for executive and legislative officials at all levels of government.

Program Strategy

Perform a review and analysis of State strategies that document their evolution and impact on resource decisions.

To accomplish this objective, the grantee should acquire and review critical elements of State strategies to identify improvements in their formulation and use in funding decisions. Key issues include the use of multiple sources of information in strategy development and funding projects that are consistent with priorities stated in the strategies. The review of strategies should include, as a minimum, the State strategies called for under the Act. A more comprehensive analysis would include documentation of State planning practices prior to the 1988 Act and comparisons with State plans produced under the Crime Control Act of 1968 and with the Law Enforcement Assistance Administration.

The grantee must gather State strategies submitted to the BJA and identify shifts

in priorities over time. The grantee should compare and contrast this information with State funding decisions in terms of the kinds of projects selected and the proportions of funds devoted to them. Particular attention should be paid to the numbers and kinds of programs that have been continued throughout the life of the Act. The grantee should also determine what information sources States have used in setting priorities and whether the quantity and quality of information used has improved over the life of the Act. The grantee should also document in as many States as feasible the planning practices in effect prior to the Act.

The products resulting from this objective will include data collection instruments, a data disk, and a report that assesses the results in the context of the requirements of the Act. The ultimate result is a final report that informs the legislative process and that could be disseminated to public officials, researchers, and practitioners.

Trace the influences of Federal evaluation, training and technical assistance, and discretionary and formula grant funds on State and local program development.

To accomplish this objective, the grantee must compile an inventory of initiatives undertaken at the Federal level to study, disseminate, and promote selected topics. Particular attention should be paid to issues related to Federal Government delivery channels (workshops, conferences, documents, training, etc.). The grantee must perform an analysis of State and local expenditures for criminal justice to determine the change in expenditures over the 1988 to 1992 timeframe, as well as the relative change in resources devoted to concepts promoted by the

formula and block grant programs. Special attention should be paid to documenting the scope, pace, and extent of adoption of promising new concepts. A key task is to identify the processes by which new concepts are adopted. Particular attention should be paid to the roles of professional organizations, public interest groups, and elected officials and their interactions with the Federal grant missions established under the Act.

The products of this objective are data collection instruments, data disks, and a report that traces the adoption of various programs by State and local agencies to their apparent roots. This report should ultimately assess the contribution of the Act as a promoter of change, and it should be suitable to disseminate to public officials, researchers, and criminal justice practitioners.

Identify the strengths and weaknesses of the conceptual model embodied in the Act through review of similar legislation in other public sectors and documentation of problem areas in the current criminal justice legislation.

To accomplish this objective, the grantee must obtain and analyze enabling legislation for comparable programs in health and education with respect to mandate and overall mission in comparison with criminal justice, and analyze differences in the resulting agenda-setting processes in all three sectors. The grantee will also interview a selected number of officials at all levels of government in the health and education sectors to obtain their perceptions of the strengths and shortcomings of their legislation. Additionally, the grantee must analyze problem areas in the current criminal justice legislation (e.g., demographics, programs, funding, or issues of proper authority). To perform

this analysis, the grantee must document the nature and extent of the problems through a combination of interviews and review of funding patterns.

The products resulting from this objective include data collection instruments, data disks, and a report that discusses the results of the activities undertaken. This report should reflect the divergent views that are likely to be obtained, and should be suitable for dissemination to public officials, researchers, and practitioners interested in innovation in criminal justice.

Prepare a series of reports and executive summaries for policymakers on findings that place recommendations in a context suitable for executive and legislative officials at all levels of government.

Each report is expected to include an executive summary, a thorough overview of the background and history of criminal justice block grant legislation, the key findings of the studies conducted, recommendations for legislative and programmatic change, and a discussion of alternatives to the recommendations.

Application Requirements. All applicants must submit a completed SF 424, Application for Federal Assistance, including a program narrative, a detailed budget, and a budget narrative. In addition to the requirements specified in the instructions for the preparation of SF 424, the following information should also be included:

- **Program Goals.** The application should also contain discussion of the problem and the potential contribution of this program to the field.
 - **Program Strategy.** Applicants should describe the proposed approach for achieving the goals and objectives of the program. Applicants should include a discussion of how each of the objectives would be accomplished.
 - **Program Implementation Plan.** Applicants should provide a plan that outlines the major activities involved in implementing the program, describes how they will allocate resources to implement the program, and states how the program will be managed.
 - **Products.** The applicants should concisely describe the interim and final products under each objective of the program, and address the purpose, audience, and usefulness of each product to the field.
 - **Program Budget.** The applicants should provide an appropriate budget with a detailed justification for all costs including the basis for computation of these costs.
- Products.** At a minimum, final products of the evaluation projects must include:
- A full technical report, including a discussion of the valuation questions, a review of the literature, a description of project methodology, detailed review of project findings, and conclusions and policy recommendations.
 - An executive summary of approximately 2,500 words highlighting the findings of the research and the policy issues those findings will inform, written to be accessible to policymakers and practitioners, and suitable for possible publication as an NIJ *Research in Brief*.
 - Cleaned copies of any automated data sets developed during the research and full documentation prepared in accordance with the instructions in the *NIJ Data Resources Manual*.

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

Eligibility Requirements. NIJ awards grants to, or enters into cooperative agreements with, educational institutions, nonprofit organizations, public agencies, individuals, and profitmaking organizations willing to waive their fees.

Monitoring. Each grant awarded under this solicitation will be monitored according to OJP Handbook 4500.2C (Revised Chapter 7, Monitoring). More specifically, prior to the grant award, the following areas will be defined:

- Statement of goals, objectives, tasks, program activities, and products.
- Program implementation plan and budget that schedules program expenditures.
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- Schedule of monitoring activities.
- Delineation of monitoring products (i.e., progress reports, timeline and task updates, product and activity updates, and draft products).
- The process used by NIJ to review and respond to findings and recommendations.
- A summary of subsequent program activities in response to implementing the monitoring recommendations. These monitoring efforts will be determined by NIJ and the grantee.

Selection Criteria. All applications will be reviewed by a peer review panel of three to five persons from the research

and practitioner communities, selected for their research experience and operational expertise as well as their knowledge in the substantive areas covered by this solicitation. Five criteria are applied in the evaluation process: technical merit of the proposal, understanding of the problem, importance of the research questions addressed, qualifications of the applicant, and project costs.

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

Award Amount. NIJ encourages applicants to develop a reasonable budget that will adequately cover the costs of the proposed project. Up to \$500,000 is tentatively budgeted to support awards under this solicitation. Actual funding allocations are based on the quality of proposal received.

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

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Contact. Applicants are strongly encouraged to contact the Institute to discuss topic viability, data availability, or proposal content before submitting proposals. To obtain further information, potential applicants may write to Edwin W. Zedlewski, Ph.D., Program Manager, at the above address, or contact him at 202-307-2953.

Emerging Drug Enforcement Tactics: A Program Assessment

Purpose. The purpose of this solicitation is to conduct an assessment of newly emerging law enforcement tactics that are aimed at solving the Nation's drug problem. This assessment specifically seeks to identify and synthesize newly emerging tactics directed at the supply and demand of drugs. Recommendations regarding these tactics and any other new approaches based on a synthesis of tactics currently being implemented shall be made for the purpose of developing drug enforcement programs for State and local police departments.

Background. NIJ's Drug Use Forecasting (DUF) program reports that a high percentage of arrestees for serious crimes used illegal drugs. Accordingly, rising drug use has led to an increase in drug-related crimes such as burglary and robbery as well as violent crimes, including the murder of innocent citizens because of conflicts among drug dealers. The growth of violent juvenile gangs is also responsible for more drug-related crimes. The increases in drug- and crime-related problems have had a destructive effect in various communities, often generating a climate of fear and a sense of personal helplessness. In some neighborhoods, conditions conducive to drug sales and crack houses have had a significant impact on the economic viability of the area and the quality of life of residents.

A number of law enforcement tactics can be employed to stem rising drug- and crime-related problems. Federal law

enforcement efforts are at work, for example, to reduce the flow of drugs across the Nation's borders. State police are also involved in the control of illegal drugs in rural areas. Local police throughout the country are currently using a number of routine drug enforcement tactics such as "buy-and-bust" operations, drug sweeps, and crackdowns to deal with the drug problem. They are also engaged in a variety of innovative efforts that involve citizens, the private sector, and other municipal agencies in efforts to prevent and control drug-related activities more effectively.

All too often, highly innovative and effective approaches are not as well known or understood as conventional methods. This solicitation specifically addresses new and promising drug enforcement tactics that are being implemented by law enforcement agencies throughout the country.

Some police departments are undertaking drug market analysis and enforcement linked to drug hotspots. In addition, police are developing a variety of other innovative and promising tactics directed at drug sellers (e.g., eviction from public housing agency units, code enforcement efforts); tactics addressing drug users (e.g., notifying car owners that they have been identified in drug areas); and the use of tactics addressing drug markets (e.g., intensive parking enforcement, use of physical barriers to restrict access to certain areas).

This solicitation is for a Program Assessment that will synthesize and critically assess the progress made in solving certain classes of problems such as the problem of drug enforcement. A Program Assessment involves the critical examination of the elements of existing solutions and an assessment of their strengths and weaknesses. Extant data, field observations, and available evaluation findings combine to inform expert judgment on the efficacy of various approaches and to develop recommendations for future programs. The major features of a Program Assessment include (1) a focus on a broad and persistent problem; (2) assessment through extant data of recent attempts to solve the problem; (3) isolation of key dimensions (e.g., effectiveness, fairness, and costs) of apparently successful solutions; (4) extrapolation to new solutions or programs that should be successful if set into operation; and (5) a forecasting of impediments to implementation of new solutions. (See "The NIJ Evaluation Program: An Overview" for details of what a Program Assessment entails.)

Goals

- To understand the nature and purposes of newly developing drug enforcement tactics and to assess how they are being implemented.
- To inform policymakers, program developers, and police departments about new and promising drug enforcement tactics.

Objectives

- Identify drug enforcement tactics that have recently emerged as part of State and local police operations, are innovative, and appear to be promising in

addressing drug- and crime-related problems.

- Develop descriptive and evaluative information regarding innovative and promising drug enforcement tactics that have recently emerged as part of State and local police operations or that can be synthesized from these operations.
- Prepare a comprehensive report and executive summary of this Program Assessment.

Program Strategy

Identify drug enforcement tactics that have recently emerged as part of State and local police operations, are innovative, and appear to be promising in addressing drug- and crime-related problems.

To accomplish this objective, the grantee should identify a representative sample of new and innovative drug enforcement tactics and classify them using a number of important organizational and operational perspectives. For example, tactics can be classified by purpose or by targets such as drug supply or demand reduction. But they could also be classified by operating costs, intensity of labor or technology, target population, mode of police operation (routine or special), or apparent results. In all cases, the classification schemes employed shall be consistent with the thinking and terminology of drug enforcement managers and practitioners.

The grantee shall also conduct a critical review and synthesis of the literature relevant to drug enforcement tactics in general. This review and synthesis shall include a systematic assessment of the pros and cons of each tactic.

Products shall include (1) sampling plan, (2) data collection plan, (3) classification scheme, (4) review and synthesis, and (5) data tapes. The sampling plan and classification scheme shall be included in the proposal.

Develop descriptive and evaluative information regarding innovative and promising drug enforcement tactics that have recently emerged as part of State and local police operations or that can be synthesized from these operations.

To accomplish this objective, the grantee should collect detailed descriptive and evaluation data covering each drug enforcement tactic identified in the representative sample. These data shall include the purpose, goals, and objectives of the tactic and the means by which specific goals and objectives are being addressed. The grantee should also develop information regarding implementation activities. For example, information is needed on organizational, management, and operational arrangements; roles and functions of personnel; information systems used; manpower and equipment needs; funding requirements; interfaces with any private and public agencies; lessons learned; problems encountered; and outstanding issues. Based on the data collected on each tactic identified, the grantee shall conduct an evaluation to provide estimates of the value of the tactic from the perspective of State and local officials who are expected to make decisions regarding funding of the tactic, receive benefits from the tactic, or become involved in the implementation of the tactic. Recommendations (along with their rationale) shall be presented for program development.

Products shall include data collection plan, data collection instruments, evaluation analyses, and data tapes.

Prepare a comprehensive report and executive summary of this Program Assessment.

To accomplish this objective, the grantee is expected to prepare a report that includes a critical review and synthesis of the current literature; a classification and general discussion of those representative drug enforcement tactics that were sampled; detailed descriptions of each tactic sampled; evaluations of each tactic sampled; and recommendations as to which tactics merit attention in a program that would develop new and innovative drug enforcement tactics nationwide. The executive summary shall be suitable for publication to inform practitioners, policymakers, and researchers of the results of the research.

Products shall include (1) a preliminary table of contents, (2) draft final report, and (3) final report. The preliminary table of contents shall be delivered for approval by NIJ prior to the initiation of the draft final report. The draft final report shall be delivered 90 days prior to the end of the grant for review and comment by NIJ and its peer review personnel. The grantee shall incorporate review comments to form the final report prior to the delivery of the camera-ready final report.

Application Requirements. All applicants must submit a completed SF 424, Application for Federal Assistance, including a program narrative, a detailed budget, and a budget narrative. In addition to the requirements specified in the instructions for the preparation of SF 424, the following information should also be included:

- **Program Goals.** The application should contain a discussion of each objective to be met and the potential

contribution of this proposal to the field.

- **Program Strategy.** Applicants should describe and discuss the proposed approaches for achieving the goals and objectives of the program.
- **Program Implementation Plan.** Applicants should provide a plan that outlines the major activities involved in implementing the program and describe how they will allocate resources to implement and manage the program.
- **Products.** Applicants should concisely describe the interim and final products under each objective of the program, and address the purpose, audience, and usefulness of each product to the field.
- **Program Budget.** Applicants should provide an appropriate budget with a detailed justification for all costs including the basis for computation of these costs.

Additional Products. The following products are to be delivered in addition to those designated in the paragraph on program strategy:

- An executive summary of approximately 2,500 words highlighting the findings of the research and the policy issues those findings will inform, written to be accessible to policy officials and practitioners, and suitable for possible publication as an *NIJ Research in Brief*.
- Cleaned copies of all automated data sets developed during the research and full documentation prepared in accordance with the instructions in the *NIJ Data Resources Manual*.

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

Eligibility Requirements. NIJ awards grants to, or enters into cooperative agreements with, educational institutions, nonprofit organizations, public agencies, individuals, and profitmaking organizations that are willing to waive their fees.

Monitoring. Each grant awarded under this solicitation will be monitored according to OJP Handbook 4500.2C (Revised Chapter 7, Monitoring). More specifically, prior to the grant award, the following areas will be defined:

- Statement of goals, objectives, tasks, program activities, and products.
- Program implementation plan and budget that schedules program expenditures.
- Monitoring plan.
- Schedule of monitoring activities.
- Delineation of monitoring products (i.e., progress reports, timeline and task updates, product and activity updates, and draft products).
- The process used by NIJ to review and respond to findings and recommendations.
- A summary of subsequent program activities in response to implementing the recommendations. These monitoring efforts will be determined by NIJ and the grantee.

Selection Criteria. All applications will be reviewed by a peer review panel of three to five persons from the research

and practitioner communities, selected for their research experience and operational expertise as well as their knowledge in the substantive areas covered by this solicitation. Five criteria are applied in the evaluation process: technical merit of the proposal, understanding of the problem, importance of the research questions addressed, qualifications of the applicant, and project costs.

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

Award Amount. NIJ encourages applicants to develop a reasonable budget that will adequately cover the costs of the project. Up to \$100,000 is tentatively budgeted to support awards under this solicitation. It is anticipated that this amount will support one award. Actual funding allocations are based on the quality of proposal received.

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Washington, DC 20531

Completed proposals must be received at the National Institute of Justice by the close of business on August 20, 1991. Extension of this deadline will not be permitted.

Contact. Applicants are strongly encouraged to contact the Institute to discuss topic viability, data availability, or proposal content before submitting proposals. To obtain further information, potential applicants may write to George Shollenberger, Program Manager, at the above address, or contact him at 202-307-2967.

References

National Institute of Justice, *DUF: Drug Use Forecasting Annual Report*, March 1990.

U.S. Attorneys and Attorney General of the United States, *Drug Trafficking: A Report to the President of the United States*, Washington, D.C., August 1989.

Wesley Skogan, *Disorder and Decline*, New York: Free Press, 1990.

Study of Less-Than-Lethal-Force Weapons Practices and Policies of Police Agencies in the United States: A Program Assessment

Purpose. The purpose of this solicitation is to describe current State and local police practices concerning the use of less-than-lethal weapons and policies controlling their deployment. A comparative assessment will also study the effectiveness of different types of less-than-lethal weapons.

Background. Police officials have long recognized the need for development and deployment of less-than-lethal weapons in situations where lethal force is either not legally justified or, because of potential injury to innocent victims or bystanders, cannot be used. In 1986, at the Attorney General's Conference on Less-Than-Lethal Weapons, a broad range of criminal justice professionals and scientists reviewed less-than-lethal weaponry and concluded the major types available to police were as follows:

- Electrical devices—Examples include the Taser* and Nova Stun Gun.*
- Chemical devices—Two categories exist for law enforcement. The first includes centrally acting compounds such as fentanyl, ketamine, and BZ. The second includes CN and CS (mace). Some police departments have also begun experimenting with pepper sprays.
- Impact devices—Nightsticks and batons have long been common

weapons for the police. However, a number of other devices have become available including rifle-launched impact weapons such as the sting-RAG, rubber and PVC bullets, and water cannons.

- Other devices—Immobilizing devices available include flash-bang grenades and capture nets.

Documentation is needed of police practices on the deployment of these and newer less-than-lethal weapons. This study will also examine the policies developed for their deployment. An evaluation of the relative effectiveness of the different types of less-than-lethal weapons is needed as well.

This solicitation will involve a survey of practices, problems, and issues concerning less-than-lethal weapons; identification and description, if appropriate, of model programs and practices for further evaluation; and recommendations for future research.

Goals

- To document the kinds of less-than-lethal weapons currently used by State and local police, how often each type of weapon is used, and the circumstances under which each weapon is deployed.

* Brand name for illustrative purposes only.

- To document the policies and procedures developed by State and local police for the use of less-than-lethal weapons.
- To assess the effectiveness of less-than-lethal weapons in immobilizing suspects and the negative characteristics and consequences of using such weapons, and to compare the technical merits of different types of weapons.
- To disseminate to policymakers information regarding current practices, policies, and effectiveness of less-than-lethal weapons now deployed.

Objectives

- Collect information that systematically describes the current status of State and local police use of less-than-lethal weapons.
- Describe policies and procedures developed by State and local police for the use of less-than-lethal weapons.
- Conduct an assessment of the effectiveness and drawbacks of the different types of less-than-lethal weapons currently used by the police, and describe the technical characteristics and merits of different types of weapons.
- Prepare a report on the use of less-than-lethal weapons for national dissemination.
- Formulate a research agenda for future evaluation and development of less-than-lethal weapons for State and local police.

Program Strategy

Collect information that systematically describes the current status of State and local police use of less-than-lethal weapons.

To accomplish this objective, the grantee should survey State and local police agencies to determine the types of less-than-lethal weapons they employ. The survey should also determine how often each type of less-than-lethal weapon is used, the circumstances under which each is used, and the variation in types and deployment across different departments. The survey will be administered to a representative sample of police departments nationwide.

Products will include a data collection plan, an analysis of the survey, and data tapes.

Describe policies and procedures developed by State and local police for the use of less-than-lethal weapons.

To accomplish this objective, the grantee should survey a sample of State and local police agencies to determine the kinds of policies and procedures they have developed for use of less-than-lethal weapons. The survey should be administered to the same sample as in the preceding objective.

Products will include a data collection plan, an analysis of the survey, documentation of model procedures and policies, and data tapes.

Conduct an assessment of the effectiveness and drawbacks of the different types

of less-than-lethal weapons currently used by the police and describe the technical characteristics and merits of different types of weapons.

To accomplish this objective, the grantee should survey a sample of State and local police agencies to determine how effective different types of less-than-lethal weapons are in immobilizing suspects under different circumstances. The survey should also identify negative aspects of the use of each different type. In particular, the survey should focus on operational and tactical considerations, as well as legal constraints such as civil liability. The survey should be administered to the same sample as used for the preceding objectives. Case studies are needed of departments that have found less-than-lethal weapons to be particularly effective, as well as case studies of departments that have experienced serious negative consequences in their use. The grantee will also conduct a comprehensive review of technical literature on the different types of less-than-lethal weapons in order to compare and contrast the technical merits of these weapons.

Products will include a data collection plan, a case study plan, data analysis, review of technical evaluation results, and data tapes.

Prepare a report on the use of less-than-lethal weapons for national dissemination.

To accomplish this objective, the grantee will prepare a report that includes a review of current literature on the use of less-than-lethal force by the police; a description of the research methodology, survey, case study, and technical assessment findings; and conclusions and implications of the research.

Products will include a preliminary table of contents, the draft final report, and the final report. The table of contents will be delivered to NIJ for approval prior to the preparation of the draft report. The draft report will be delivered 90 days prior to the end of the grant for review and comment by NIJ or its agents.

Formulate a research agenda for future evaluation and development of less-than-lethal weapons for State and local police.

To accomplish this objective, the grantee will develop a research agenda that will (1) identify fundamental issues for future study and (2) identify issues and questions for future research projects of direct practical utility to criminal justice professionals.

Application Requirements. All applicants must submit a completed SF 424, Application for Federal Assistance, including a program narrative, a detailed budget, and a budget narrative. In addition to the requirements specified in the instructions for the preparation of SF 424, the following information should also be included:

- **Program Goals.** The application should also contain discussion of each objective to be met and the potential contribution of the proposal to the field.
- **Program Strategy.** Applicants should describe the proposed approach for achieving the goals and objectives of the program. Applicants should include a discussion of how an objective would be achieved.
- **Program Implementation Plan.** Applicants should provide a plan that outlines the major activities involved

in implementing the program, describes how they will allocate resources to implement the program, and explains how the program will be managed.

- **Products.** Applicants should concisely describe the interim and final products under each objective of the program, and address the purpose, audience, and usefulness of each product to the field.
- **Program Budget.** Applicants should provide an appropriate budget with a detailed justification for all costs including the basis for computation of these costs.

Products. At a minimum, final products of the evaluation projects must include:

- A full technical report, including a discussion of the evaluation questions, a review of the literature, a description of project methodology, a detailed review of project findings, and conclusions and policy recommendations.
- An executive summary of approximately 2,500 words highlighting the findings of the research and the policy issues that those findings will inform, written to be accessible to policy officials and practitioners, and suitable for possible publication as an *NIJ Research in Brief*.
- Cleaned copies of all automated data sets developed during the research and full documentation prepared in accordance with the instructions in the *NIJ Data Resources Manual*.

As appropriate, additional interim and final products (e.g., articles, manuals, or training materials) may be specified in

the proposal or negotiated at the time of the award.

Eligibility Requirements. NIJ awards grants to, or enters into cooperative agreements with, educational institutions, nonprofit organizations, public agencies, individuals, and profitmaking organizations that are willing to waive their fees.

Monitoring. Each grant awarded under this solicitation will be monitored according to OJP Handbook 4500.2C (Revised Chapter 7, Monitoring). More specifically, prior to the grant award, the following areas will be defined:

- Statement of goals, objectives, tasks, program activities, and products.
- Program implementation plan and budget that schedules program expenditures.
- Monitoring plan.
- Schedule of monitoring activities.
- Delineation of monitoring products (i.e., progress reports, timeline and task updates, product and activity updates, and draft products).
- The process used by NIJ to review and respond to findings and recommendations.
- A summary of subsequent program activities in response to implementing the monitoring recommendations. These monitoring efforts will be determined by NIJ and the grantee.

Selection Criteria. All applications will be reviewed by a peer review panel of three to five persons from the research and practitioner communities, selected for their research experience and operational expertise as well as their knowl-

edge in the substantive areas covered by this solicitation. Five criteria are applied in the evaluation process: technical merit of the proposal, understanding of the problem, importance of the research questions addressed, qualifications of the applicant, and project costs.

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

Award Amount. NIJ encourages applicants to develop a reasonable budget that will adequately cover the costs of the project. Up to \$150,000 is tentatively budgeted to support awards under this solicitation. It is anticipated this amount will support one award. Actual funding allocations are based on the quality of proposal received.

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

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

Completed proposals must be received at the National Institute of Justice by the close of business on August 20, 1991. Extension of this deadline will not be permitted.

Contact. Applicants are strongly encouraged to contact the Institute to discuss topic viability, data availability, or proposal content before submitting proposals. To obtain further information, potential applicants may write to John Whidden, M.D., Program Manager, at the above address, or contact him at 202-307-0649.

Program Announcement
Special Emphasis Programs:
OJP Priorities

Special Emphasis Programs: OJP Priorities

Purpose. The purpose of this solicitation is to explore priority topics as defined within the 1991 Office of Justice Programs (OJP) Program Plan, which will extend the current evaluation of anti-drug programs.

Background. The National Institute of Justice (NIJ) is committed to a broad evaluation program that encompasses a wide range of criminal justice issues. Moreover, NIJ supports a wide range of research methodologies including case studies, longitudinal analyses, experimental and quasi-experimental designs, surveys, and secondary analyses. NIJ also recognizes that researchers might wish to pose and structure their own evaluation designs. NIJ, therefore, encourages innovative and creative proposals to evaluate the impacts of State and local programs, particularly on topics not covered by this Plan.

Goals

- To evaluate new and innovative anti-drug programs.
- To inform policymakers, program developers, and police departments about new and promising strategies and tactics and make recommendations for program development.

Objectives

- Evaluate the impacts of State and local programs, particularly on topics that fall within the OJP priorities.

- Develop descriptive and evaluative information regarding new and innovative tactics that have recently emerged as part of State and local programs.
- Formulate a research agenda that will provide basic questions for future research projects.
- Prepare a comprehensive management- and practitioner-oriented report.

Program Strategy

Evaluate the impacts of State and local programs, particularly on topics that fall within OJP priorities.

This solicitation seeks proposals that will evaluate emerging concepts and innovative and existing programs. Of primary importance are those programs that fall within the scope of current OJP priorities. Grantees are directed to evaluate drug programs that fall within the following categories: Gangs and Violence, Intermediate Sanctions, Multijurisdictional Task Forces, Community-Based Policing, Community-Based Programs, Drug Testing, and Victims of Crime.

Develop descriptive and evaluative information regarding new and innovative tactics that have recently emerged as part of State and local programs.

To accomplish this objective, the grantee will collect detailed descriptive and

evaluative data that cover the emerging concept or program. These data will include the purpose, goals, and objectives of the program and the means by which specific goals and objectives are addressed. Information also needs to be developed regarding implementation. For example, information is needed on organizational, management, and operational arrangements; roles and functions of personnel; information systems used; manpower and equipment needs; funding requirements; interfaces with any private and public agencies; lessons learned; problems encountered; and outstanding issues. Recommendations (with their rationale) will be developed for program development.

Products will include a data collection plan, data collection instruments, evaluation analyses, and data tapes.

Formulate a research agenda that will provide basic questions for future research projects.

To accomplish this objective, the grantee is expected to develop a research agenda that will identify (1) fundamental issues for study and (2) issues and questions that will result in research projects that are of direct practical utility to criminal justice professionals.

Prepare a comprehensive management- and practitioner-oriented report.

To accomplish this objective, the grantee is expected to prepare a report that includes a critical review and synthesis of the current literature, a general discussion of those programs that were examined, evaluations of each program sampled, and recommendations as to which programs merit further attention nationwide.

Application Requirements. All applicants must submit a completed SF 424, Application for Federal Assistance, including a program narrative, a detailed budget, and a budget narrative. In addition to the requirements specified in the instructions for the preparation of SF 424, the following information should also be included:

- **Program Goals.** The application should also contain discussion of the problem and the potential contribution of this program to the field.
- **Program Strategy.** Applicants should describe the proposed approach for achieving the goals and objectives of the program. Applicants should include a discussion of how each of the objectives would be accomplished.
- **Program Implementation Plan.** Applicants should provide a plan that outlines the major activities involved in implementing the program, describes how they will allocate resources to implement the program, and states how the program will be managed.
- **Products.** The applicants should concisely describe the interim and final products under each objective of the program, and address the purpose, audience, and usefulness of each product to the field.
- **Program Budget.** The applicants should provide an appropriate budget with a detailed justification for all costs including the basis for computation of these costs.

Products. At a minimum, final products of the evaluation projects must include, where appropriate:

- A full technical report, including a discussion of the evaluation questions, a review of the literature, a description of project methodology, detailed review of project findings, and conclusions and policy recommendations.
- An executive summary of approximately 2,500 words highlighting the findings of the research and the policy issues those findings will inform, written to be accessible to policy officials and practitioners, and suitable for possible publication as an *NIJ Research in Brief*.
- Cleaned copies of all automated data sets developed during the research and full documentation prepared in accordance with the instructions in the *NIJ Data Resources Manual*.

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

Eligibility Requirements. NIJ awards grants to, or enters into cooperative agreements with, educational institutions, nonprofit organizations, public agencies, individuals, and profitmaking organizations that are willing to waive their fees.

Monitoring. Each grant awarded under this solicitation will be monitored according to OJP Handbook 4500.2C (Revised Chapter 7, Monitoring). More specifically, prior to the grant award, the following areas will be defined:

- Statement of goals, objectives, tasks, program activities, and products.
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- Schedule of monitoring activities.
- Delineation of monitoring products (i.e., progress reports, timeline and task updates, product and activity updates, and draft products).
- The process used by NIJ to review and respond to findings and recommendations.
- A summary of subsequent program activities in response to implementing the recommendations. These monitoring efforts will be determined by NIJ and the grantee.

Selection Criteria. All applications will be reviewed by a peer review panel of three to five persons from the research and practitioner communities, selected for their research experience and operational expertise as well as their knowledge in the substantive areas covered by this solicitation. Five criteria are applied in the evaluation process: technical merit of the proposal, understanding of the problem, importance of the research questions addressed, qualifications of the applicant, and project costs.

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

Award Amount. NIJ encourages applicants to develop a reasonable budget that will adequately cover the costs of the project. Up to \$350,000 is tentatively budgeted to support awards under this solicitation. It is anticipated that this amount will support multiple awards. Actual funding allocations are based on the quality of proposal received.

Due Date. *Ten (10) copies of fully executed proposals* should be sent to:
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National Institute of Justice
633 Indiana Avenue NW., Room 866
Washington, DC 20531

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Contact. Applicants are strongly encouraged to contact the Institute to discuss topic viability, data availability, or proposal content before submitting proposals. To obtain further information, potential applicants may write to Edwin Zedlewski, Ph.D., Program Manager, at the above address, or contact him at 202-307-2953.

Other NIJ Evaluation Activities

The National Institute of Justice (NIJ) may award multiyear grants and approve interagency agreements to assess particular criminal justice programs and approaches. In order to present a comprehensive overview of NIJ's evaluation activities, the following section describes ongoing NIJ programs that have an evaluative component. These programs are not open to public competition at this time.

AIDS/HIV Education in Lockups

(Interagency Agreement)

The AIDS/HIV Education in Lockups and Booking Facilities Project is an interagency collaborative effort between NIJ and the National Institute on Drug Abuse. The purpose of this project is to design, test, and evaluate the effectiveness of strategies for HIV/AIDS education and referral to drug treatment on arrestees held less than 48 hours in jail booking facilities and lockups. The sites chosen for this project are Portland, Oregon, and Washington, D.C. This is a continuation of a current project, and applications will not be solicited in fiscal year 1991.

For more information about this program, write to Cheryl Crawford, Program Manager, or contact her at 202-514-6210.

Boot Camps for Juvenile Offenders: Implementation Evaluation

This collaborative program among NIJ, the Office of Juvenile Justice and Delinquency Prevention (OJJDP), and the Bureau of Justice Assistance (BJA) will

test prototypical juvenile boot camps as intermediate sanctions. The program will focus on adjudicated, nonviolent juvenile offenders who are under 18 years of age; it will emphasize discipline, treatment, and work. Applicants to the program have been asked to develop a prototype boot camp emphasizing constructive intervention and early support, prepare training and technical assistance material, and test the prototype using an experimental research design.

NIJ has solicited applications for the evaluation of the prototype juvenile boot camps funded through OJJDP. The first phase will be an implementation and process evaluation of the prototypes. The researchers will be asked to design a field experiment to study the effectiveness of boot camp programs. Phase two of the evaluation will be the completion of a field experiment examining the effectiveness of boot camps for juveniles.

The Institute anticipates that the implementation evaluation will begin in the summer of 1991, in the first year of phase one of the project. A final report is expected in 1993. For more information about this program, write to Doris L. MacKenzie, Ph.D., Program Manager, or contact her at 202-307-0500.

Data Resources Program

(Previously Awarded)

The purpose of the Data Resources Program is to facilitate production of fully documented, machine-readable NIJ-supported criminal justice research data sets. These data sets are made available for subsequent analysis through a public data archive. This program obtains machine-readable data, codebooks, and other documentation as they are delivered to NIJ and reviews these items for accuracy, completeness, and clarity. In addition, the Data Resources Program promotes access to and use of these data.

Since 1984, the program has reviewed and made available more than 150 data sets on priority issues such as gangs, drugs and crime, policing, intermediate sanctions, and violence. An additional 50 data sets are under review—most of which are expected to be released in 1991. These data are available through the public archives at the Inter-University Consortium for Political and Social Research at the University of Michigan. The fourth edition of the *Data Resources of the National Institute of Justice* provides a description of data sets available as of February 1990.

The Data Resources Program was competed as a contract in fiscal year 1989. Recompetition for this program is anticipated in fiscal year 1992.

For further information about this program, write to Pamela K. Lattimore, Ph.D., Manager, Data Resources Program, or contact her at 202-307-2961.

Drug Market Analysis Program

(Previously Awarded)

The Drug Market Analysis Program is a demonstration project developed by NIJ to assist police departments in their efforts to eradicate street-level drug trafficking. Through this program the police will quickly identify street-level drug markets, implement drug enforcement strategies, and then readily and accurately determine where the markets move. Drug market analysis will allow law enforcement to track these markets and intervene in the marketplace to disrupt and eventually eradicate street-level drug trafficking.

Five police departments were funded in fiscal year 1990 to establish computer mapping systems that integrate at least four existing data bases into one. The police will be able to map all drug trafficking locations throughout a metropolitan area. Once this is accomplished, systematic target selection of both sellers and users can occur.

This is the second year of a 4-year project. Interim reports are anticipated every 6 months beginning in the summer of 1991. Final reports are expected in 1993.

For more information, write to Craig Uchida, Ph.D., Program Manager, or contact him at 202-307-2959.

Drug Testing in Community Corrections

The Drug Testing in Community Corrections program will examine the effectiveness of periodic drug testing of convicted offenders during community supervision. The research is designed to identify effective methods of reducing or eliminating drug use and criminal activities of convicted offenders. Evidence exists that drug testing improved the performance of defendants on pretrial release. In this project the effects of drug testing, treatment programs, and punitive sanctions on drug use among persons under pretrial release or in community supervision will be examined using an experimental design.

The research is a cooperative project between NIJ and BJA. The funding will enable selected jurisdictions to implement innovative drug testing programs. The programs will be evaluated using random assignment of offenders to combinations of drug testing, drug treatment, and intermediate sanctions. The knowledge gained from this research will enable Federal, State, and local jurisdictions to design cost-effective drug testing and treatment programs that will have the maximum impact of reducing drug use by offenders during community supervision.

For more information, write to Doris L. McKenzie, Ph.D., Program Manager, or contact her at 202-307-0500.

Drug Use Forecasting

(Interagency Agreement)

The NIJ Drug Use Forecasting (DUF) program is both a research and demon-

stration project designed to measure the levels and types of drug abuse in booked arrestees throughout the country. DUF data can track changes in drug use patterns and monitor trends in drug use over time. DUF is now being conducted in 24 sites.

The program involves collection of voluntary, anonymous interview data and urine samples from male and female booked arrestees. At some sites, data from juvenile arrestees/detainees are also obtained. Data are collected quarterly at each site. The resulting information is provided directly to participating jurisdictions and other Federal, State, and local officials.

For further information about the Drug Use Forecasting program, write to Joyce O'Neil, Program Manager, or contact her at 202-514-5981.

Hair Analysis for Drugs of Abuse

(Previously Awarded)

NIJ has undertaken a program of research and development on hair analysis as a potential complement to other drug testing technologies for criminal justice. The current phase of this multiyear program is cosponsored by NIJ and the National Institute on Drug Abuse (NIDA).

Current studies are being conducted under an interagency agreement with the National Institute of Standards and Technology and a grant with the University of California. Previously awarded studies have explored the comparative effectiveness of self-reports, urine tests, and hair tests for detection of drug usage.

For further information about this program, write to Bernard Gropper, Ph.D., Program Manager, or contact him at 202-307-0645.

Innovative Neighborhood-Oriented Policing

The purpose of Innovative Neighborhood-Oriented Policing is to create community-police partnerships to fight crime and drug abuse. Since the mid-1970's, communities have increasingly recognized that police departments cannot be expected to solve the crime problem alone. In the 1980's, citizens responded to the rising crime and drug problem by increasing their involvement with their police departments on the drug problems in their neighborhoods. These neighborhood-oriented policing partnerships are evolving into a new form of policing known as community policing, which redirects police and community resources toward resolving underlying problems that breed crime and drug abuse in a community.

In fiscal year 1990, the Bureau of Justice Assistance (BJA) Innovative Neighborhood-Oriented Policing Program (INOP) funded Phase I of a new initiative in community policing. Eight neighborhood-oriented policing projects were funded in the following urban/suburban areas: Hayward, California; Houston, Texas; Louisville, Kentucky; New York City; Norfolk, Virginia; Portland, Oregon; Prince George's County, Maryland; and Tempe, Arizona. The National Institute of Justice initiated a national evaluation of these INOP sites in June 1991. Scheduled for completion by the end of 1992, this national evaluation will assess the impact of INOP and docu-

ment the best approach to implementing it, so that other jurisdictions can make use of this experience.

For more information about INOP evaluations, write to George Shollenberger, Program Manager, or contact him at 202-307-2967.

Intramural Research

The primary focus of NIJ's program is extramural research designed to be carried out with Institute funds by universities, local agencies, and private firms to conduct studies administered by NIJ staff. However, Institute staff members also conduct research and evaluation in areas particularly relevant to public policy and based on staff expertise. Intramural research often studies policy problems to which the Institute could respond promptly.

NIJ staff research and evaluation topics have included the Effects of Narcotics Enforcement Tactics, Predicting the Recidivism of Serious Juvenile Offenders, and Modeling Pretrial Failure.

For more information about the Intramural Research program, write to Craig Uchida, Ph.D., Program Manager, or contact him at 202-307-2959.

National Assessment Program

(Previously Awarded)

The National Assessment Program (NAP) supports a triennial national survey of criminal justice policymakers and practitioners to ensure that their needs

and priorities are included in the Institute's research agenda. The NAP survey was conducted in 1990, and initial analysis of the results has been completed. Fiscal year 1991 activities will include a more detailed review of selected issues, including a trend analysis of results from prior surveys.

The NAP survey is a primary means of identifying key needs and problems in State and local criminal justice systems. The program helps ensure that present NIJ programs are responsive to the needs of the criminal justice field, provides a means to identify emerging issues of importance so that new programs can be developed quickly, and helps inform those in criminal justice about issues of concern and importance to their colleagues nationwide.

The most recent triennial survey was conducted in 1990. Two reports on survey results will be released later this year. There will be no competition for a new contract during fiscal year 1991.

For more information about this program, write to Jonathan Budd, Program Manager, or contact him at 202-514-6235.

SMART—School Management and Resource Teams *(Interagency Agreement)*

The SMART program demonstration provides assistance to local school districts in establishing safe, drug-free schools. SMART receives funding from the U.S. Department of Education's Drug-Free Schools and Communities Program. Since 1983, the program has

been field tested in more than 100 schools and 7 districts. The program provides technical assistance and support, training, and evaluation. It consists of the following program elements: examining school districts' policy, procedure, and practice; providing guidelines for clearly differentiating criminal and noncriminal incidents; collecting and analyzing data on both types of incidents; mobilizing school resource teams to solve specific problems; developing and evaluating data-based intervention strategies; and coordinating school board policies with law enforcement and community service agencies.

The program has enabled school districts to develop a unified approach to address discipline, drug abuse, and crime in schools; improve policy; and intervene with at-risk populations. The program is being implemented and evaluated in Washington, D.C., and Norfolk, Virginia.

For further information about the SMART program, write to Thomas Albrecht, Program Manager, or contact him at 202-514-6236.

Technology Assessment Program *(Previously Awarded)*

Almost 20 years ago, the National Institute of Justice developed the Technology Assessment Program (TAP) to help criminal justice agencies make informed decisions in selecting and purchasing equipment. Through an interagency agreement with the National Institute for Standards and Technology (NIST), U.S. Department of Commerce, minimum performance standards are developed for

a wide range of products used in criminal justice—batteries, body armor, weapons, handcuffs, and state-of-the-art communications equipment. This program also coordinates the testing of commercially available products against these voluntary standards. Fiscal constraints and increasingly sophisticated technology underscore the need for objective, reliable information to guide purchasing decisions. A law enforcement agency gains a measure of confidence knowing that equipment being considered for purchase meets a minimum standard established by the Technology Assessment Program.

The TAP Information Center (TAPIC) coordinates TAP activities and disseminates technology assessment information in a variety of ways. Results of product testing conducted by independent laboratories are published and distributed throughout the criminal justice community in *Equipment Performance Reports*. *Consumer Product Lists*, published periodically, provide a quick reference of current and previously tested products that have complied with NIJ standards.

User guides provide a nontechnical discussion of essential performance characteristics and components of the subject equipment.

To obtain these and other publications and information about law enforcement equipment, call toll free 800-24-TAPIC; in the Maryland and Washington, D.C., area, call 301-251-5060.

The activities of the National Institute for Standards and Technology are being conducted under an extension of an existing interagency agreement. The Technology Assessment Program Information Center is operating in the first year of a 4-year contract. Monthly reports on program activities are submitted throughout the term of the contract.

For further information, write to Paul Estaver, Director, Reference and Dissemination Division, at NIJ, or contact him at 202-307-2957.

Requirements for Award Recipients

Suggested Products

Each project is expected to generate tangible products of benefit to criminal justice professionals, researchers, and policymakers.

Final products of the research projects may include:

- A full technical report, including a discussion of the research question, a review of the literature, a description of project methodology, detailed review of project findings, and conclusions and policy recommendations.
- A summary of approximately 2,500 words highlighting the findings of the evaluation and the policy issues those findings will inform, written to be accessible to policy officials and practitioners, and suitable for possible publication as a National Institute of Justice (NIJ) *Research in Brief*.
- Case studies providing examples of how problems arise, how they are handled, and the consequences of specific decisions made at various levels in the criminal justice system. Case studies may also describe some of the side effects—or unintended consequences—of particular programs.
- Cleaned copies of all automated data sets developed during the research and full documentation prepared in accordance with the instructions in the *NIJ Data Resources Manual*.

As appropriate, additional interim and final products (e.g., articles, manuals, or

training materials) may be specified in the proposal or negotiated at the time of the award.

Successful proposals will clearly identify the nature of the grant products that can reasonably be expected should the project be funded. In addition, schedules delineating delivery dates of products should be included.

Standards of Performance by Recipients

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

Program Monitoring

Award recipients and program managers assume a number of responsibilities as part of their participation in a Government-sponsored evaluation project.

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

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

Communications

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

Timeliness

Grantees are expected to complete award products within the timeframes that have been agreed upon by NIJ and the grantee. The Institute recognizes that there are legitimate reasons for project extensions.

However, NIJ does not consider the assumption of additional research projects that impinge upon previous time commitments as legitimate reasons for delay. Projects with unreasonable delays can be terminated administratively. In this situation, any funds remaining are withdrawn. Future applications from either the project director or the recipient institution are subject to strict scrutiny and may be denied support based on past failure to meet minimum standards.

Publications

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

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

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

Evaluation Conference

Each year, the Institute sponsors a National Evaluation Conference to share results of evaluation grants in progress. NIJ grantees are expected to attend the Conference. Details will be provided on schedules, agenda, etc., early in 1992.

Human Subjects Protection

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

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

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

(42 United States Code 3789g)

In addition, the Institute has adopted the U.S. Department of Health and Human Services Model Policy on Human Research Subjects. This policy requires that each institution engaged in NIJ research provide written assurances that it will comply with these regulations as codified at 45 Code of Federal Regulations 46. Pursuant to that policy, each research project falling within the guidelines established by the Department of Health and Human Services must be approved by the recipient's Institutional Review Board (IRB) prior to the initiation of the project. Approval by the IRB need not precede the submission of a proposal to NIJ, but it must be obtained by NIJ prior to the beginning of any research activity.

Program Announcement Application Forms

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: | Item: | Entry: |
|-------|--|-------|--|
| 1. | Self-explanatory. | 12. | List only the largest political entities affected (e.g., State, counties, cities). |
| 2. | Date application submitted to Federal agency (or State if applicable) & applicant's control number (if applicable). | 13. | Self-explanatory. |
| 3. | State use only (if applicable). | 14. | List the applicant's Congressional District and any District(s) affected by the program or project. |
| 4. | If this application is to continue or revise an existing award, enter present Federal identifier number. If for a new project, leave blank. | 15. | Amount requested or to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions should be included on appropriate lines as applicable. If the action will result in a dollar change to an existing award, indicate <i>only</i> the amount of the change. For decreases, enclose the amounts in parentheses. If both basic and supplemental amounts are included, show breakdown on an attached sheet. For multiple program funding, use totals and show breakdown using same categories as item 15. |
| 5. | Legal name of applicant, name of primary organizational unit which will undertake the assistance activity, complete address of the applicant, and name and telephone number of the person to contact on matters related to this application. | 16. | Applicants should contact the State Single Point of Contact (SPOC) for Federal Executive Order 12372 to determine whether the application is subject to the State intergovernmental review process. |
| 6. | Enter Employer Identification Number (EIN) as assigned by the Internal Revenue Service. | 17. | This question applies to the applicant organization, not the person who signs as the authorized representative. Categories of debt include delinquent audit disallowances, loans and taxes. |
| 7. | Enter the appropriate letter in the space provided. | 18. | To be signed by the authorized representative of the applicant. A copy of the governing body's authorization for you to sign this application as official representative must be on file in the applicant's office. (Certain Federal agencies may require that this authorization be submitted as part of the application.) |
| 8. | Check appropriate box and enter appropriate letter(s) in the space(s) provided:
— "New" means a new assistance award.
— "Continuation" means an extension for an additional funding/budget period for a project with a projected completion date.
— "Revision" means any change in the Federal Government's financial obligation or contingent liability from an existing obligation. | | |
| 9. | Name of Federal agency from which assistance is being requested with this application. | | |
| 10. | Use the Catalog of Federal Domestic Assistance number and title of the program under which assistance is requested. | | |
| 11. | Enter a brief descriptive title of the project. If more than one program is involved, you should append an explanation on a separate sheet. If appropriate (e.g., construction or real property projects), attach a map showing project location. For preapplications, use a separate sheet to provide a summary description of this project. | | |

BUDGET INFORMATION — Non-Construction Programs

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	\$	\$	\$	\$	\$

SECTION C - NON-FEDERAL RESOURCES				
(a) Grant Program	(b) Applicant	(c) State	(d) Other Sources	(e) TOTALS
8.	\$	\$	\$	\$
9.				
10.				
11.				
12. TOTALS (sum of lines 8 and 11)	\$	\$	\$	\$

SECTION D - FORECASTED CASH NEEDS					
13. Federal	Total for 1st Year	1st Quarter	2nd Quarter	3rd Quarter	4th Quarter
	\$	\$	\$	\$	\$
14. Nonfederal					
15. TOTAL (sum of lines 13 and 14)	\$	\$	\$	\$	\$

SECTION E - BUDGET ESTIMATES OF FEDERAL FUNDS NEEDED FOR BALANCE OF THE PROJECT				
(a) Grant Program	FUTURE FUNDING PERIODS (Years)			
	(b) First	(c) Second	(d) Third	(e) Fourth
16.	\$	\$	\$	\$
17.				
18.				
19.				
20. TOTALS (sum of lines 16 -19)	\$	\$	\$	\$

SECTION F - OTHER BUDGET INFORMATION (Attach additional Sheets if Necessary)	
21. Direct Charges:	22. Indirect Charges:
23. Remarks	

INSTRUCTIONS FOR THE SF-424A

General Instructions

This form is designed so that application can be made for funds from one or more grant programs. In preparing the budget, adhere to any existing Federal grantor agency guidelines which prescribe how and whether budgeted amounts should be separately shown for different functions or activities within the program. For some programs, grantor agencies may require budgets to be separately shown by function or activity. For other programs, grantor agencies may require a breakdown by function or activity. Sections A,B,C, and D should include budget estimates for the whole project except when applying for assistance which requires Federal authorization in annual or other funding period increments. In the latter case, Sections A,B, C, and D should provide the budget for the first budget period (usually a year) and Section E should present the need for Federal assistance in the subsequent budget periods. All applications should contain a breakdown by the object class categories shown in Lines a-k of Section B.

Section A. Budget Summary Lines 1-4, Columns (a) and (b)

For applications pertaining to a *single* Federal grant program (Federal Domestic Assistance Catalog number) and *not requiring* a functional or activity breakdown, enter on Line 1 under Column (a) the catalog program title and the catalog number in Column (b).

For applications pertaining to a *single* program *requiring* budget amounts by multiple functions or activities, enter the name of each activity or function on each line in Column (a), and enter the catalog number in Column (b). For applications pertaining to multiple programs where none of the programs require a breakdown by function or activity, enter the catalog program title on each line in Column (a) and the respective catalog number on each line in Column (b).

For applications pertaining to *multiple* programs where one or more programs *require* a breakdown by function or activity, prepare a separate sheet for each program requiring the breakdown. Additional sheets should be used when one form does not provide adequate space for all breakdown of data required. However, when more than one sheet is used, the first page should provide the summary totals by programs.

Lines 1-4, Columns (c) through (g.)

For *new applications*, leave Columns (c) and (d) blank. For each line entry in Columns (a) and (b), enter in Columns (e), (f), and (g) the appropriate amounts of funds needed to support the project for the first funding period (usually a year).

Lines 1-4, Columns (c) through (g.) (continued)

For *continuing grant program applications*, submit these forms before the end of each funding period as required by the grantor agency. Enter in Columns (c) and (d) the estimated amounts of funds which will remain unobligated at the end of the grant funding period only if the Federal grantor agency instructions provide for this. Otherwise, leave these columns blank. Enter in columns (e) and (f) the amounts of funds needed for the upcoming period. The amount(s) in Column (g) should be the sum of amounts in Columns (e) and (f).

For *supplemental grants and changes* to existing grants, do not use Columns (c) and (d). Enter in Column (e) the amount of the increase or decrease of Federal funds and enter in Column (f) the amount of the increase or decrease of non-Federal funds. In Column (g) enter the new total budgeted amount (Federal and non-Federal) which includes the total previous authorized budgeted amounts plus or minus, as appropriate, the amounts shown in Columns (e) and (f). The amount(s) in Column (g) should not equal the sum of amounts in Columns (e) and (f).

Line 5 — Show the totals for all columns used.

Section B Budget Categories

In the column headings (1) through (4), enter the titles of the same programs, functions, and activities shown on Lines 1-4, Column (a), Section A. When additional sheets are prepared for Section A, provide similar column headings on each sheet. For each program, function or activity, fill in the total requirements for funds (both Federal and non-Federal) by object class categories.

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

Line 6j — Show the amount of indirect cost.

Line 6k — Enter the total of amounts on Lines 6i and 6j. For all applications for new grants and continuation grants the total amount in column (5), Line 6k, should be the same as the total amount shown in Section A, Column (g), Line 5. For supplemental grants and changes to grants, the total amount of the increase or decrease as shown in Columns (1)-(4), Line 6k should be the same as the sum of the amounts in Section A, Columns (e) and (f) on Line 5.

INSTRUCTIONS FOR THE SF-424A (continued)

Line 7 - Enter the estimated amount of income, if any, expected to be generated from this project. Do not add or subtract this amount from the total project amount. Show under the program narrative statement the nature and source of income. The estimated amount of program income may be considered by the federal grantor agency in determining the total amount of the grant.

Section C. Non-Federal-Resources

Lines 8-11 - Enter amounts of non-Federal resources that will be used on the grant. If in-kind contributions are included, provide a brief explanation on a separate sheet.

Column (a) - Enter the program titles identical to Column (a), Section A. A breakdown by function or activity is not necessary.

Column (b) - Enter the contribution to be made by the applicant.

Column (c) - Enter the amount of the State's cash and in-kind contribution if the applicant is not a State or State agency. Applicants which are a State or State agencies should leave this column blank.

Column (d) - Enter the amount of cash and in-kind contributions to be made from all other sources.

Column (e) - Enter totals of Columns (b), (c), and (d).

Line 12 - Enter the total for each of Columns (b)-(e). The amount in Column (e) should be equal to the amount on Line 5, Column (f), Section A.

Section D. Forecasted Cash Needs

Line 13 - Enter the amount of cash needed by quarter from the grantor agency during the first year.

Line 14 - Enter the amount of cash from all other sources needed by quarter during the first year.

Line 15 - Enter the totals of amounts on Lines 13 and 14.

Section E. Budget Estimates of Federal Funds Needed for Balance of the Project

Lines 16 - 19 - Enter in Column (a) the same grant program titles shown in Column (a), Section A. A breakdown by function or activity is not necessary. For new applications and continuation grant applications, enter in the proper columns amounts of Federal funds which will be needed to complete the program or project over the succeeding funding periods (usually in years). This section need not be completed for revisions (amendments, changes, or supplements) to funds for the current year of existing grants.

If more than four lines are needed to list the program titles, submit additional schedules as necessary.

Line 20 - Enter the total for each of the Columns (b)-(e). When additional schedules are prepared for this Section, annotate accordingly and show the overall totals on this line.

Section F. Other Budget Information

Line 21 - Use this space to explain amounts for individual direct object-class cost categories that may appear to be out of the ordinary or to explain the details as required by the Federal grantor agency.

Line 22 - Enter the type of indirect rate (provisional, predetermined, final or fixed) that will be in effect during the funding period, the estimated amount of the base to which the rate is applied, and the total indirect expense.

Line 23 - Provide any other explanations or comments deemed necessary.

SPECIAL INSTRUCTIONS

Applicants must provide on a separate sheet a budget narrative which will detail by budget category, the Federal and non-Federal (in-kind and cash) share. The grantee cash contribution should be identified as to its source, i.e., funds appropriated by a State or local government or donation from a private source. The narrative should relate the items budgeted to project activities and should provide a justification and explanation for the budgeted items including the criteria and data used to arrive at the estimates for each budget category.

INSTRUCTIONS

PROGRAM NARRATIVE

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

1. OBJECTIVES AND NEED FOR THIS ASSISTANCE.

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

2. RESULTS OR BENEFITS EXPECTED.

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

3. APPROACH.

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

- c. Identify the kinds of data to be collected and maintained and discuss the criteria to be used to evaluate the results and successes of the project. Explain the methodology that will be used to determine if the needs identified and discussed are being met and if the results and benefits identified in item 2 are being achieved.
- d. List organizations, cooperators, consultants, or other key individuals who will work on the project along with a short description of the nature of their effort or contribution.

4. GEOGRAPHIC LOCATION.

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

5. IF APPLICABLE, PROVIDE THE FOLLOWING INFORMATION:

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

ASSURANCES

The Applicant hereby assures and certifies compliance with all Federal statutes, regulations, policies, guidelines and requirements, including OMB Circulars No. A-21, A-102, A-110, A-122, A-128, and A-87, and E.O. 12372, that govern the application, acceptance and use of Federal funds for this federally-assisted project. Also the Applicant assures and certifies that:

1. It possesses legal authority to apply for the grant; that a resolution, motion or similar action has been duly adopted or passed as an official act of the applicant's governing body, authorizing the filing of the application, including all understandings and assurances contained therein, and directing and authorizing the person identified as the official representative of the applicant to act in connection with the application and to provide such additional information as may be required.
2. It will comply with requirements of the provisions of the Uniform Relocation Assistance and Real Property Acquisitions Act of 1970 (P.L. 91-646) which provides for fair and equitable treatment of persons displaced as a result of Federal and federally assisted programs.
3. It will comply with provisions of Federal law which limit certain political activities of employees of a State or local unit of government whose principal employment is in connection with an activity financed in whole or in part by Federal grants. (5 U.S.C. 1501, et seq.)
4. It will comply with the minimum wage and maximum hours provisions of the Federal Fair Labor Standards Act if applicable.
5. It will establish safeguards to prohibit employees from using their positions for a purpose that is or gives the appearance of being motivated by a desire for private gain for themselves or others, particularly those with whom they have family, business, or other ties.
6. It will give the sponsoring agency or the Comptroller General, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the grant.
7. It will comply with all requirements imposed by the Federal sponsoring agency concerning special requirements of law, program requirements, and other administrative requirements.
8. It will insure that the facilities under its ownership, lease or supervision which shall be utilized in the accomplishment of the project are not listed on the Environmental Protection Agency's (EPA) list of Violating Facilities and that it will notify the Federal grantor agency of the receipt of any communication from the Director of the EPA Office of Federal Activities indicating that a facility to be used in the project is under consideration for listing by the EPA.
9. It will comply with the flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973, Public Law 93-234, 87 Stat. 975, approved December 31, 1976. Section 102(a) requires, on and after March 2, 1975, the purchase of flood insurance in communities where such insurance is available as a condition for the receipt of any Federal financial assistance for construction or acquisition purposes for use in any area that has been identified by the Secretary of the Department of Housing and Urban Development as an area having special flood hazards. The phrase "Federal financial assistance" includes any form of loan, grant, guaranty, insurance payment, rebate, subsidy, disaster assistance loan or grant, or any other form of direct or indirect Federal assistance.
10. It will assist the Federal grantor agency in its compliance with Section 106 of the National Historic Preservation Act of 1966 as amended (16 USC 470), Executive Order 11593, and the Archeological and Historical Preservation Act of 1966 (16 USC 569a-1 et seq.) by (a) consulting with the State Historic Preservation Officer on the conduct of investigations, as necessary, to identify properties listed in or eligible for inclusion in the National Register of Historic Places that are subject to adverse effects (see 36 CFR Part 800.8) by the activity, and notifying the Federal grantor agency of the existence of any such properties, and by (b) complying with all requirements established by the Federal grantor agency to avoid or mitigate adverse effects upon such properties.
11. It will comply, and assure the compliance of all its subgrantees and contractors, with the applicable provisions of Title I of the Omnibus Crime Control and Safe Streets Act of 1968, as amended, the Juvenile Justice and Delinquency Prevention Act, or the Victims of Crime Act, as appropriate; the provisions of the current edition of the Office of Justice Programs Financial and Administrative Guide for Grants, M7100.1; and all other applicable Federal laws, orders, circulars, or regulations.
12. It will comply with the provisions of 28 CFR applicable to grants and cooperative agreements including Part 18, Administrative Review Procedure; Part 20, Criminal Justice Information Systems; Part 22, Confidentiality of Identifiable Research and Statistical Information; Part 23, Criminal Intelligence Systems Operating Policies; Part 30, Intergovernmental Review of Department of Justice Programs and Activities; Part 42, Nondiscrimination/Equal Employment Opportunity Policies and Procedures; Part 61, Procedures for Implementing the National Environmental Policy Act; Part 63, Floodplain Management and Wetland Protection Procedures; and Federal laws or regulations applicable to Federal Assistance Programs.
13. It will comply, and all its contractors will comply, with the non-discrimination requirements of the Justice Assistance Act or Victims of Crime Act (as appropriate); Title VI of the Civil Rights Act of 1964; Section 504 of the Rehabilitation Act of 1973 as amended; Title IX of the Education Amendments of 1972; the Age Discrimination Act of 1975; and the Department of Justice Non-Discrimination Regulations 28 CFR Part 42, Subparts C, D, E, and G.
14. In the event a Federal or State court or Federal or State administrative agency makes a finding of discrimination after a due process hearing on the grounds of race, color, religion, national origin or sex against a recipient of funds, the recipient will forward a copy of the finding to the Office of Civil Rights Compliance (OCRC) of the Office of Justice Programs.
15. It will provide an Equal Employment Opportunity Program if required to maintain one, where the application is for \$500,000 or more.



U.S. DEPARTMENT OF JUSTICE
OFFICE OF JUSTICE PROGRAMS
OFFICE OF THE COMPTROLLER

CERTIFICATIONS REGARDING LOBBYING; DEBARMENT, SUSPENSION AND OTHER RESPONSIBILITY MATTERS; AND DRUG-FREE WORKPLACE REQUIREMENTS

Applicants should refer to the regulations cited below to determine the certification to which they are required to attest. Applicants should also review the instructions for certification included in the regulations before completing this form. Signature of this form provides for compliance with certification requirements under 28 CFR Part 69, "New Restrictions on Lobbying" and 28 CFR Part 67, "Government-wide Debarment and Suspension (Nonprocurement) and Government-wide Requirements for Drug-Free Workplace (Grants)." The certifications shall be treated as a material representation of fact upon which reliance will be placed when the Department of Justice determines to award the covered transaction, grant, or cooperative agreement.

1. LOBBYING

As required by Section 1352, Title 31 of the U.S. Code, and implemented at 28 CFR Part 69, for persons entering into a grant or cooperative agreement over \$100,000, as defined at 28 CFR Part 69, the applicant certifies that:

(a) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the making of any Federal grant, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal grant or cooperative agreement;

(b) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal grant or cooperative agreement, the undersigned shall complete and submit Standard Form - LLL, "Disclosure of Lobbying Activities," in accordance with its instructions;

(c) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subgrants, contracts under grants and cooperative agreements, and subcontracts) and that all sub-recipients shall certify and disclose accordingly.

2. DEBARMENT, SUSPENSION, AND OTHER RESPONSIBILITY MATTERS (DIRECT RECIPIENT)

As required by Executive Order 12549, Debarment and Suspension, and implemented at 28 CFR Part 67, for prospective participants in primary covered transactions, as defined at 28 CFR Part 67, Section 67.510—

A. The applicant certifies that it and its principals:

(a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, sentenced to a denial of Federal benefits by a State or Federal court, or voluntarily excluded from covered transactions by any Federal department or agency;

(b) Have not within a three-year period preceding this application been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a

public (Federal, State, or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;

(c) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State, or local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and

(d) Have not within a three-year period preceding this application had one or more public transactions (Federal, State, or local) terminated for cause or default; and

B. Where the applicant is unable to certify to any of the statements in this certification, he or she shall attach an explanation to this application.

3. DRUG-FREE WORKPLACE (GRANTEES OTHER THAN INDIVIDUALS)

As required by the Drug-Free Workplace Act of 1988, and implemented at 28 CFR Part 67, Subpart F, for grantees, as defined at 28 CFR Part 67 Sections 67.615 and 67.620—

A. The applicant certifies that it will or will continue to provide a drug-free workplace by:

(a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;

(b) Establishing an on-going drug-free awareness program to inform employees about—

(1) The dangers of drug abuse in the workplace;

(2) The grantee's policy of maintaining a drug-free workplace;

(3) Any available drug counseling, rehabilitation, and employee assistance programs; and

(4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;

(c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);

(d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will—

(1) Abide by the terms of the statement; and

(2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;

(e) Notifying the agency, in writing, within 10 calendar days after receiving notice under subparagraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to: Department of Justice, Office of Justice Programs, ATTN: Control Desk, 633 Indiana Avenue, N.W., Washington, D.C. 20531. Notice shall include the identification number(s) of each affected grant;

(f) Taking one of the following actions, within 30 calendar days of receiving notice under subparagraph (d)(2), with respect to any employee who is so convicted—

(1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or

(2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;

(g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e), and (f).

B. The grantee may insert in the space provided below the site(s) for the performance of work done in connection with the specific grant:

Place of Performance (Street address, city, county, state, zip code)

Check ☐ if there are workplaces on file that are not identified here.

Section 67, 630 of the regulations provides that a grantee that is a State may elect to make one certification in each Federal fiscal year. A copy of which should be included with each application for Department of Justice funding. States and State agencies may elect to use OJP Form 4061/7.

Check ☐ if the State has elected to complete OJP Form 4061/7.

DRUG-FREE WORKPLACE (GRANTEES WHO ARE INDIVIDUALS)

As required by the Drug-Free Workplace Act of 1988, and implemented at 28 CFR Part 67, Subpart F, for grantees, as defined at 28 CFR Part 67; Sections 67.615 and 67.620—

A. As a condition of the grant, I certify that I will not engage in the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance in conducting any activity with the grant; and

B. If convicted of a criminal drug offense resulting from a violation occurring during the conduct of any grant activity, I will report the conviction, in writing, within 10 calendar days of the conviction, to: Department of Justice, Office of Justice Programs, ATTN: Control Desk, 633 Indiana Avenue, N.W., Washington, D.C. 20531.

As the duly authorized representative of the applicant, I hereby certify that the applicant will comply with the above certifications.

1. Grantee Name and Address:

2. Application Number and/or Project Name

3. Grantee IRS/Vendor Number

4. Typed Name and Title of Authorized Representative

5. Signature

6. Date

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

**National Institute of Justice
National Criminal Justice Reference Service
Box 6000**

Rockville, Maryland 20850

800/851-3420

(301/251-5500 in Metropolitan Washington, DC, and Maryland)

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

Washington, D.C. 20531

Official Business
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