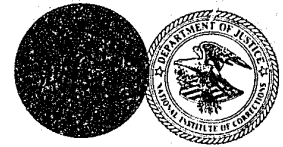


U.S. Department of Justice
National Institute of Corrections



Annual Program Plan for Fiscal Year 1995

150480

National Institute of Corrections

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

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

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

Advisory Board

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

Lynne DeLano
Secretary
South Dakota Department of Corrections
Pierre, South Dakota

Norman S. Early
Denver, Colorado

Newman Flanagan
Executive Director
National District Attorneys Association
Alexandria, Virginia

Kathleen Hawk
Director
Federal Bureau of Prisons
Washington, D.C.

Lawrence Love
Assistant Secretary for Children
and Families
Department of Health and Human
Services
Washington, D.C.

Eloy L. Mondragon
Secretary
New Mexico Department
of Corrections
Santa Fe, New Mexico

Norval Morris
Professor
University of Chicago Law School
Chicago, Illinois

Barry J. Nidorf
Chief Probation Officer
Los Angeles Probation Department
Downey, California

Don Omodt
Sheriff
Hennepin County
Minneapolis, Minnesota

Edward F. Reilly, Jr.
Chairman
U.S. Parole Commission
Bethesda, Maryland

Laurie Robinson
Assistant Attorney General
Office of Justice Programs
Washington, D.C.

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

Arthur M. Wallenstein
Director
King County Department
of Adult Correction
Seattle, Washington

John Wilson
Acting Administrator
Office of Juvenile Justice
and Delinquency Prevention
Washington, D.C.

Georgina Yuen
Honolulu, Hawaii

NCJRS

OCT 10 1994

ACQUISITIONS

Annual Program Plan for Fiscal Year 1995

150480

U.S. Department of Justice
National Institute of Justice

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

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

Public Domain/NIC

U.S. Department of Justice

to the National Criminal Justice Reference Service (NCJRS).

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

July 1994

NOTICE

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

Contents

FOREWORD	v
INTRODUCTION	1
SERVICES AND APPLICATION PROCEDURES	2
Financial Assistance Program	2
Technical Assistance	2
Direct Technical Assistance	2
Application Procedures	3
Criteria for Providing Direct Technical Assistance	4
Technical Assistance Grants	4
Application Procedures	5
State Review for Technical Assistance Grants	5
Application Review Procedures	6
Special Emphasis Initiatives	6
Training Services	7
NIC Information Center Services	7
International Assistance	8
INTERDIVISIONAL PROGRAMS	9
Developing an Effective System of Sanctions	9
"What Works" in Corrections	10
JAILS DIVISION	11
Direct Technical Assistance and Technical Assistance Grants	12
Jail Management, Operations, Services, and Programs	12
Jail Mental Health Services	12
Special Emphasis Initiatives	13
Facility Development Program	13
Podular, Direct-Supervision Jails	16
Objective Jail Classification	18
Jail Data Management System	19
Jail Mental Health Initiative	19
Large Jail Network	20
Jail Training Activities	21
NIC Publications of Interest to Jail Practitioners	21
PRISONS DIVISION	22
Direct Technical Assistance and Technical Assistance Grants	23
Prison Management, Operations, Personnel, and Programs	23
Special Emphasis Initiatives	24
Critical Issues in Correctional Health Care	24
Critical Issues in Managing Women Offenders	25
Special Issue Seminars	26
NIC Publications of Interest to Prison Practitioners	27
COMMUNITY CORRECTIONS DIVISION	28
Direct Technical Assistance and Technical Assistance Grants	29
Community Corrections Management, Operations, Services, and Programs	29

Special Emphasis Initiatives	30
Public Protection Through Offender Risk Management	31
Probation and Parole Violation and Revocation	32
Intermediate Sanctions Project: State Cluster Initiative	33
Intermediate Sanctions for Female Offenders	34
Network Capacity Building	36
Training Activities	36
NIC Publications of Interest to Community Corrections Practitioners	37
ACADEMY DIVISION	38
Seminars	38
Seminars for Correctional Administrators	39
Seminars for Trainer Development	40
Academy Special Issue Seminars	41
Jails, Prisons, and Community Corrections Seminars	41
Direct Technical Assistance	41
General Technical Assistance	41
Special Focus Technical Assistance	42
Teleconferences	42
Audioconferences	43
Videoconferences	43
Regional Training	43
Regional Seminars	44
Other Training Activities	44
Symposiums	44
Conference-Related Workshops	44
National Correctional Training Network	45
STANDARD FORM 424, APPLICATION FOR FEDERAL ASSISTANCE	47
CERTIFICATION OF A DRUG-FREE WORKPLACE	55
CERTIFICATION REGARDING DEBARMENT	59

Foreword

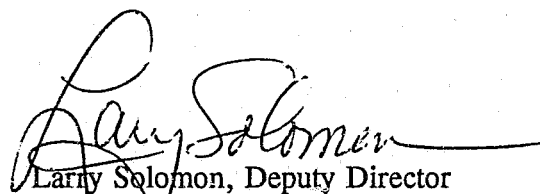
With publication of the National Institute of Corrections' program plan for fiscal year 1995, we are pleased to announce the appointment of Morris L. Thigpen as the fifth Director of the Institute. Morris is no stranger to corrections or to NIC, having served as commissioner of the corrections systems in both Mississippi and Alabama and as president of the Association of State Correctional Administrators. He is committed to corrections, and we look forward to his leadership at NIC.

The Institute's program for fiscal year 1995, which begins on October 1, 1994, reflects a continuation of core services and programs, as well as several new projects. The Institute recognizes that many of the problems facing corrections are not unique to a single discipline, but cut across the spectrum of criminal justice and corrections functions. The Institute is therefore beginning two new programs that will be organized and managed by teams of NIC staff members representing the Jails, Prisons, Community Corrections, and Academy Divisions. One program will build on NIC's experience in working with state and local jurisdictions to develop coordinated, systemwide sanctions; the other will focus on violent, high-risk offenders.

The use of teleconferencing will be expanded to enable more practitioners to participate in training, and more training events will be held at regional locations. Technical assistance services will continue to comprise a large part of NIC's program to respond directly to needs of individual agencies.

The Institute continues to work with other federal agencies and private organizations to collaborate on efforts to assist corrections. This year the Edna McConnell Clark Foundation will be joining the intermediate sanctions project initiated several years ago by NIC and the State Justice Institute. Additionally, the Center for Mental Health Services of the U.S. Department of Health and Human Services has transferred funds to NIC for a joint program to improve mental health services in local jails.

NIC's 1995 program reflects a continuation of services and activities that respond to needs identified by those working in corrections. We invite practitioners to make use of these services and to continue to provide comments and suggestions.


Larry Solomon, Deputy Director
National Institute of Corrections
June 1994

Introduction

This document is the National Institute of Corrections' (NIC) program statement for fiscal year 1995, which begins October 1, 1994, and ends September 30, 1995. It explains the Institute's services -- technical assistance, training, information clearinghouse, and special emphasis initiatives -- to be conducted during the new fiscal year.

Note that this year the document does not solicit open-competition proposals to conduct new program development projects or special emphasis initiatives. This does not reflect a decrease in service, but rather the Institute's evolving experience and capacity to manage programs in-house and its anticipation of continuation funding to several organizations that were previously selected through open competition to conduct programs that were designed as multi-year efforts. If these organizations do not receive continuation funding or if components of other programs are identified as appropriate for funding, the Institute will request proposals through published announcements and direct mail.

This document describes the overall services of the National Institute of Corrections and procedures for applying for technical assistance (both direct assistance and grants) and for participation in program activities. Specific services available and ongoing activities are presented by the Institute program divisions that will coordinate the efforts: Jails, Prisons, and Community Corrections. Training programs and other services to be offered by the NIC Academy are then described briefly in the Academy section of this document.

A separate *NIC Academy Schedule of Training and Services for Fiscal Year 1995* contains full information about Academy seminars and teleconferences, including dates, eligibility requirements, and application procedures and forms. That document can be obtained by contacting the Academy.

Practitioners are encouraged to read the **Services and Application Procedures** section of this document as well as the Jails, Prisons, or Community Corrections sections that are of particular interest. They should also review the Academy Division section since training described there is available to administrators, managers, and trainers in all areas of corrections. Special issue seminars and other training of interest to those working in jails, prisons, and community corrections are described in those respective sections. A new section, Interdivisional Programs, describes two programs that involve all areas of corrections and criminal justice and will be jointly coordinated by the NIC divisions.

An application form for technical assistance grants and supplementary certification forms are included at the end of this document. Those needing clarification or assistance in completing the application forms are encouraged to telephone NIC. To receive additional copies of the *Annual Program Plan*, fax a request with name, address, and number of copies required to 202-307-3361 or telephone any NIC division.

Services and Application Procedures

Financial Assistance Program

The National Institute of Corrections is authorized to make grants and enter into contracts with federal, state, and general units of local government; public and private agencies; educational institutions; organizations; and individuals. The Institute generally awards grants and cooperative agreements in three categories: 1) for technical assistance to state and local agencies, 2) to carry out components of special emphasis initiatives, and 3) to conduct policy and program development projects.

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

During fiscal year 1995, the Institute will be providing grants through its technical assistance program, and cooperative agreements as continuation awards to organizations that previously were selected through a competitive process to conduct an ongoing project. If during the year the Institute identifies program elements for which a new grant or cooperative agreement will be awarded, proposals will be requested through published announcements and a direct mailing.

Technical Assistance

Most of the Institute's 1995 program consists of providing technical assistance to state and local correctional agencies. The technical assistance program is administered by each of the Institute's program divisions -- Jails, Prisons, and Community Corrections. Technical assistance related to training is available from the NIC Academy.

There are two types of technical assistance: **direct assistance** and **grants**. Both are responsive to critical needs and problems identified by state and local correctional agencies. All technical assistance is tailored to the individual requirements and needs of the state or local agency.

NIC offers technical assistance to all adult correctional agencies in the United States and its commonwealths and territories. In some cases, it is also available to professional associations and oversight or advisory groups that are working to improve corrections.

Direct Technical Assistance

Direct technical assistance provides expertise to the requesting agency to respond to existing operational problems. There is no award of funds to the agency. While direct technical assistance is provided in a variety of ways, it is usually accomplished through onsite assistance. This involves NIC sending an experienced consultant(s) to serve in an advisory capacity and/or work with staff of the state or local agency in assessing programs and operations; implementing advanced practices; and improving overall agency management, operations, and programming. The assistance responds to

the specific needs identified by the requesting agency. Occasionally, the Institute sponsors visits by an individual or team from a correctional agency to another jurisdiction to observe advanced practices.

Assistance is usually provided for a period of 3 to 5 days, but for no longer than can be provided for a maximum of \$6,000. All onsite technical assistance efforts result in a written report to the requesting agency with detailed recommendations for addressing the problem(s) for which assistance was provided. Examples of direct technical assistance include sending a consultant to a local jail to evaluate its security operations, assisting a probation agency in analyzing workload, sending several prison staff to another facility to observe effective emergency response operations, or assisting an agency in identifying its staff training needs.

Application Procedures

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

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

Practitioners should review the technical assistance discussions in the subsequent sections of this document to determine which NIC division can best address their needs. To request technical assistance specifically related to prisons or community corrections, write to the Technical Assistance Manager of the Prisons Division or the Community Corrections Division at:

National Institute of Corrections
320 First Street, N.W.
Washington, D.C. 20534

For technical assistance specifically related to jails or training activities, write to the Technical Assistance Manager of the Jails Division or the NIC Academy at:

National Institute of Corrections
1960 Industrial Circle, Suite A
Longmont, Colorado 80501

2. When the Institute receives the written request, an NIC staff member will be assigned to review it and will telephone the requesting agency's contact person to discuss the need and possible Institute responses. If the NIC staff member determines that direct technical assistance would be appropriate, its delivery will be arranged. In emergency situations, technical assistance can be arranged immediately.

The Institute maintains a register of experienced consultants who are qualified to provide technical assistance in most areas of corrections. Agencies may select a consultant from this register or may request that assistance be provided by a person who is not on the register but is deemed qualified by NIC to provide the assistance.

Criteria for Providing Direct Technical Assistance

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

- Whether the request can be adequately handled by Institute staff or by sending written information from the NIC Information Center;
- Whether state or other resources are available to adequately provide the requested service;
- Whether the Institute should contract with an experienced consultant to work onsite with corrections officials to resolve the specific issue(s) or problem(s).

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

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

In some cases, the Institute may encourage the agency to apply for a technical assistance grant.

Technical Assistance Grants

Technical assistance grants are awarded to agencies to develop or improve systems and operations using agency staff or by purchasing the assistance of experienced consultants. The tasks to be undertaken are more complex and require more effort than can be provided through direct technical assistance. Most of these projects are conducted over a period of 3 to 12 months.

The total cost of each technical assistance grant may not exceed \$25,000 for the Prisons Division, \$10,000 for the Community Corrections Division, or \$10,000 for the Jails Division. Technical assistance grants are **not** available from the Academy.

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

Application Procedures

To apply for a technical assistance grant, the applicant must complete OMB Standard Form 424, Application for Federal Assistance; the certification of a drug-free workplace; and the certification regarding debarment. (Copies of these forms are included at the end of this document.) Detailed procedures for preparing financial assistance applications are given in the *NIC Guidelines Manual: Instructions for Applying for Federal Assistance*, which can be obtained by contacting the Institute.

Applications should be submitted in six copies. At least one of the six copies must bear the **original** signature, in ink, of the administrator or chief executive officer of the applicant organization. **A cover letter must identify the responsible audit agency for the applicant's financial accounts.** Applications must be written concisely and typed double spaced. For technical assistance grants from the NIC Community Corrections Division, a deadline for submission of applications is given. This deadline will not be extended.

Applications must detail the project, the objectives, and the plan for implementing the proposal. Projected costs and a description of the qualifications of the applicant(s) must be included. The projected cost of conducting the project is a critical element in the decisionmaking process, and the Institute urges applicants to keep indirect costs, in particular, to a minimum.

Applications being sent by **mail** should be addressed to the National Institute of Corrections, 320 First Street, N.W., Washington, D.C. 20534. Those being delivered by **messenger** or **personally by the applicant** should be brought to NIC's office address: 500 First Street, N.W., Room 700, Washington, D.C. Applications transmitted by fax will **not** be accepted or acknowledged. Applications for grants should **not** be sent to the NIC Longmont, Colorado, offices.

State Review for Technical Assistance Grants

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

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

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

Agencies located in the above jurisdictions, and organizations seeking an NIC **technical assistance** award to work in these jurisdictions, must submit one copy of their application (OMB Standard Form 424, Application for Federal Assistance) to the state "single point of contact" simultaneously with submitting the proposal to the Institute. NIC should be advised in the applicant's cover letter that a copy of the proposal was sent to the state agency. (For guidance relating to the "single point of contact" in the above-listed states, contact the NIC Grants Control Office, 202-307-3106 x159.)

Application Review Procedures

Applications for grants are reviewed by a team of Institute staff members and are subsequently approved or disapproved by the Director of the National Institute of Corrections. Four categories of criteria are used in reviewing applications: programmatic, organizational, project management, and financial/administrative. Among the specific criteria used to evaluate the applications are:

- Indication of a clear understanding of the problem to be addressed, the key issues underlying the problem, and the relevance of the proposed project;
- Well-defined project objectives, tasks, and resources necessary to meet the objectives;
- Technical soundness of the design and methodology for achieving the project goals;
- Description of all elements and tasks of the project, and realistic timeframes necessary to complete the tasks;
- Background, experience, and expertise of the proposed project staff, including any subcontractors;
- Sufficient and realistic time commitments from key project staff;
- Reputation or recognized skill of the applicant organization and any proposed subcontractors;
- Financial and administrative integrity of the proposal, including adherence to federal financial guidelines and processes;
- Adequate detail and narrative about the cost elements in the proposed budget;
- Provisions for adequate evaluation of the effectiveness of the project;
- Potential for using the results of the project in other undertakings or programs.

Once the formal application has been received, a decision is normally made within 90 days.

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

Special Emphasis Initiatives ---

This form of assistance is available in specific areas in which the Institute has completed developmental work and has established a coordinated, multifaceted approach to assisting agencies in successful program implementation. This assistance is designed to guide agencies in effecting progressive change *before* an issue becomes a problem.

Activities frequently include direct technical assistance, training, peer consultation, information dissemination, and grants as the state or local agency participates in the program. Examples of special emphasis initiatives are the Jails Division's facility development program, the Prisons Division's project to improve correctional health care, and the Community Corrections Division's intermediate sanctions projects.

Training Services

The NIC Academy was started on October 1, 1981, to conduct National Institute of Corrections training for state and local practitioners working in adult corrections. Seminars to be conducted at the Academy and/or regionally during fiscal year 1995 are described briefly in the Academy Division section of this document. Special issue seminars and other training of interest to jail, prison, and community corrections practitioners are described in those respective sections.

Most seminars offered by the Academy are conducted in Longmont, Colorado, although regional events and teleconferencing will be expanded in fiscal year 1995 to allow more practitioners to participate in training. There are no registration, tuition, or materials fees associated with Academy training. Additionally, for seminars conducted by the Academy in the Longmont area, the costs of participants' air travel, lodging, and meals are paid by the National Institute of Corrections.

A separate *NIC Academy Schedule of Training and Services for Fiscal Year 1995* is available from the Academy. That document describes the training seminars more fully and contains eligibility requirements, program dates, and application procedures and forms. Additional announcements may be issued by the Institute to advise practitioners of specific training opportunities available.

NIC Information Center Services

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

The Information Center maintains a collection of the most current and useful materials available in corrections and related fields, and specializes in unpublished materials developed by state and local agencies. In addition to drawing from this extensive collection, the Information Center staff interacts daily with practitioners, administrators, and others to monitor the latest developments and issues in corrections. The Information Center also serves the special information needs of certain groups:

- For state and local correctional training staff, the Information Center maintains a special collection of training materials developed by the Academy and by state and local agencies. (See the discussion of the Correctional Training Network in the Academy Division section of this document.)
- For those with an interest in correctional education, the Information Center offers a collection of agency-developed curriculum materials, program descriptions, and evaluations in all areas of adult correctional education.

Information Request Procedures

To request information, write or call the NIC Information Center, 1860 Industrial Circle, Suite A, Longmont, Colorado 80501; telephone 303-682-0213; toll-free 800-877-1461; fax 303-682-0558. Requesters should specify:

- The materials or information they are seeking;

- Why the information is needed (if it will help the Information Center staff gain perspective on a broad topic area);
- How soon the information is needed;
- In the case of requests for specific written materials, the author, title, date of publication, and publisher, if known.

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

International Assistance ---

The Institute is authorized to provide assistance to correctional agencies outside of the United States. NIC works with them to identify specific programs in U.S. jails, prisons, and community corrections agencies whose policies and procedures can be modified to meet others' needs and whose operations have been documented and evaluated. NIC assistance frequently entails coordinating visits to federal, state, and local correctional programs and facilities.

International practitioners may also participate, if selected, in training programs held at the NIC Academy or at other sites throughout the country. No tuition is charged for training, but the participant or his/her agency is responsible for travel, per diem, and incidental expenses associated with the training. All regularly scheduled Academy seminars are conducted in English.

Inquiries and requests for assistance should be made to the Office of International Assistance, National Institute of Corrections, 320 First Street, N.W., Washington, D.C. 20534; telephone 202-307-3106 x168.

Interdivisional Programs

Projects to promote coordinated responses by criminal justice and corrections agencies

The four National Institute of Corrections divisions -- Jails, Prisons, Community Corrections, and Academy -- will support two joint programs to find coordinated, broad-based solutions to problems facing corrections. These interdivisional programs will assist jurisdictions in developing correctional sanctions systems and will examine the latest research findings on "what works" in corrections.

Developing an Effective System of Sanctions

This project will assist criminal justice policymakers in developing a more coordinated, rational, and cost-efficient system of correctional sanctions. It builds on many years of NIC experience with assistance efforts that take a systemic approach, including the Jails Division's local system assessments, Academy seminars on managing change and working with substance-abusing and mentally ill offenders, the Community Corrections Division's intermediate sanctions project, and the Prisons Division's efforts to standardize classification procedures and project the needs of correctional systems through accurate forecasting techniques.

The significant growth in offender populations, court interventions on correctional conditions, and resource limitations have affected all sectors of the criminal justice system. Compounding these problems has been the fragmented, uncoordinated manner in which the system operates and the lack of agreement on appropriate sanctioning options for different groups of offenders or offense classes. Often the expansion of prison and jail capacity or the creation of a new intermediate sanctions program occurs without consulting judges, prosecutors, and others about their concerns, or without regard to the impact of change on other parts of the criminal justice system. Correctional managers increasingly recognize that they will not solve problems or achieve desired results by expanding and creating programs in this isolated manner. To be successful in meeting future criminal justice needs, correctional sanctions must be developed in a coordinated, purposeful, and cost-efficient way.

Scope

The project will focus on the full continuum of sanctions available to a criminal justice system, including jail, prison, and community supervision options, and will examine their use for both pre-trial defendants and sentenced offenders. The primary objectives are to assist states and localities in:

- Developing informed policy regarding the design, use, and capacity of each component of a rational and complete system of sanctions;
- Coordinating the use of those sanctions among the relevant criminal justice components to achieve a jurisdiction's policy goals.

Each participating jurisdiction will have a "correctional sanctions policy group" comprised of key officials and other stakeholders empowered to effect change in the sentencing process -- judges, prosecutors, corrections officials, defense attorneys, law enforcement officials, state and local legislators, court administrators, and representatives of the community. The group will build consensus and take action on sanctioning policy choices and define how correctional sanctions will be coordinated, evaluated, and monitored on an ongoing basis. The project will stress the critical

need to collect and use high-quality information in many aspects of the group's work. Information will be used to examine how the current system actually works, estimate the impact of proposed changes, coordinate components of the system, and monitor and evaluate programs.

During fiscal year 1995, the Interdivisional Team will develop, market, and provide initial assistance to criminal justice policy groups working to develop a more rational system of sanctions. Opportunities to participate in any pilot efforts will be widely announced. Where development work will be accomplished under a grant or cooperative agreement, requests for proposals will be announced in the *Federal Register* and through a direct mailing to the field.

"What Works" in Corrections

The "what works" theme has prevailed in corrections over the years as in the public sector generally. Since the 1960s, federal agencies have sponsored the development of "model programs." While some significant positive changes resulted, the model program concept never fulfilled its basic promise. Three primary factors contributed to this. First, the programs usually were not subjected to rigorous outside evaluation. Second, the scope of analysis often was the program as a whole, which may be very broad and complex. And, third, correctional program development was often driven more from a specific philosophical orientation than from empirical data or research findings.

Scope

During fiscal year 1995, NIC will focus on the topic of high-risk, violent offenders as the first effort in its "what works" initiative. A fundamental difference between this effort and earlier "what works" programs is that specific program elements, rather than entire programs, will be reviewed and analyzed. The goal is to identify and describe those core elements that are necessary for successful program development. This will be a consensus process based on formal reviews, analyses, and discussions of the current research in each key area related to high-risk, violent offenders.

The project initially will focus on:

- Developing an overview of the current research findings related to violence and how to identify violent offenders;
- Reviewing the latest methods of assessing the risk of future violence;
- Identifying program elements important to the success of institutional and non-institutional treatment and interventions;
- Examining evaluations of newer program elements, such as relapse prevention, particularly in community-based programs.

NIC will convene a symposium to present, refine, and begin dissemination of its initial review of the research on high-risk, violent offenders. The symposium will include presentations of the meta-analyses and implications of the latest research for program development and implementation, critiques and commentaries on the material presented by panels of practitioners and researchers, and question and answer sessions and dialogue among the participants and panelists.

The date and location of the symposium will be announced in the spring of 1995, and prospective participants will be provided more details. Participation in the symposium will be by invitation only. NIC will cover the costs of the symposium, but participants will be responsible for their own travel, per diem, and incidental expenses.

Jails Division

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

The Jails Division was established in June 1977 to serve as an identifiable source of assistance to the nation's jails. Creation of the "NIC Jail Center" marked the first time federal funding was specifically targeted to solving the vast number of problems in the nearly 3,400 jails throughout the country.

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

Jail crowding continues as a major problem as unprecedented numbers of defendants are being held before trial, sentenced offenders are backed up in local jails awaiting space at crowded state or federal prisons, and legislation mandates jail or prison time for certain offenses. The Bureau of Justice Statistics (BJS) reports that the average daily jail population for mid-1992 was 444,584 inmates -- representing a 4% increase since 1991. Approximately 81% were housed in the jails of 503 jurisdictions, each with an average daily population (ADP) of at least 100 inmates.

Unlike prisons, which have comparatively few admissions and longer lengths of stay, jails experience very high admission rates with relatively short lengths of stay. According to BJS, during the year ending June 1992, there were more than 20 million admissions and releases from local jails, reflecting a fluid jail population. In issues dealing with jail population, therefore, estimates should be based on admissions as well as the ADP for a more accurate reflection of actual jail conditions.

To address the many diverse problems of jails throughout the country, the National Institute of Corrections has provided technical assistance, training, and information services to local jurisdictions since its first year of funding. During fiscal year 1995, the Jails Division's activities will focus on jail planning, design, construction, and transition; podular, direct-supervision jails; objective jail classification; management information systems for jail data collection and analysis; jail mental health issues; and coordination and information exchange among administrators of large jail systems. The transfer of funds from the U.S. Department of Health and Human Services' Center for Mental Health Services (CMHS) will allow a joint NIC/CMHS effort to provide substantial assistance to improve local jurisdictions' mental health services for jail inmates. The Jails Division will also fund two sessions for 50 first-term sheriffs in close collaboration with the National Sheriffs' Institute of the National Sheriffs' Association.

Direct technical assistance, technical assistance grants, and special emphasis initiatives will be used to provide services to the nation's jails. (See the earlier descriptions of these three forms of assistance.) For additional information about the Jails Division's programs and services, contact the Division at 1960 Industrial Circle, Suite A, Longmont, Colorado 80501; telephone 303-682-0639; toll-free 800-995-6429; fax 303-682-0469.

Direct Technical Assistance and Technical Assistance Grants

Jail Management, Operations, Services, and Programs

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

A limited number of technical assistance grants are available to fund activities that exceed the scope of direct technical assistance. The total cost of each technical assistance grant may not exceed \$10,000, and funded activities are normally completed within 1 year.

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

- Policy and procedure development and review,
- Security,
- Food service,
- Medical services,
- Management information systems,
- Legal issues,
- Resource allocation,
- Facility review,
- Standards and accreditation,
- Inmate programs,
- Substance abuse programs,
- Americans with Disabilities Act (ADA).

Procedures for applying for technical assistance are given on pages 2-6.

Jail Mental Health Services

Special focus will be directed to the area of jail mental health programs and services. Work in this area was greatly enhanced by a transfer of funds from the Center for Mental Health Services, a unit within the Substance Abuse and Mental Health Services Administration of the Public Health Service of the U.S. Department of Health and Human Services.

While technical assistance grants will not be awarded in this area, direct technical assistance is available for jurisdictions interested in enhancing their jail mental health services. Through onsite technical assistance, experienced consultants will assist individual jurisdictions with specific operational aspects of their mental health programs and provide recommendations. Sponsored site visits to facilities with effective mental health services will also be offered to enable teams of mental health and corrections administrators to review actual operations.

Direct technical assistance will be available in, but not limited to, the following areas:

- Training of mental health staff,
- Assessment of inmates' mental health needs,
- Jail diversion strategies,
- Interagency coordination,

- Discharge planning,
- Mental health programs planning,
- Policy and procedures.

Procedures for applying for technical assistance are given on pages 2-6.

Special Emphasis Initiatives ---

Special emphasis initiatives involve a coordinated, step-by-step approach to assist a jurisdiction in developing solutions to complex problems. Activities frequently involve a mix of onsite technical assistance, training, and information exchange. The following programs will be major efforts of the Jails Division during fiscal year 1995.

Facility Development Program

The past three decades have been a period of heavy litigation concerning prisoners' rights and conditions of confinement. One of the responses to this litigation was the development and promulgation of jail standards. Many states developed and adopted minimum standards for the operation of jails, and many professional groups -- including the American Medical Association and the American Correctional Association -- developed their own standards as well as procedures for certification. The development of jail standards, coupled with rapidly increasing jail populations and the need to renovate or replace antiquated facilities, led to a new level of jail construction in the United States. The rate of construction has continued as urban and suburban jurisdictions replace old facilities and expand jail bed space.

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

To help localities better plan and coordinate their jail construction activities, the Institute developed a Planning of New Institutions program in 1979. The program was based on the total systems planning model, which involves all related criminal justice agencies, organizations, and community leaders in defining the role of their local jail. This program has since evolved into the Facility Development Program and encompasses the complete process of planning, design, construction, and transition to the new jail facility.

Scope

During fiscal year 1995, the Facility Development Program will consist of five primary components, each designed for a particular segment of the planning, design, construction, and transition continuum. These components are: 1) the Local System Assessment, 2) the Planning of New Institutions or Site-Specific Planning Workshops, 3) the Jail Design Review Workshop, 4) Jail Functional Program Reviews and Schematic Plan Reviews, and 5) Transition Planning and the How to Open a New Institution Workshop. In addition, a Training for Transition Trainers Workshop will be presented for the first time.

Local System Assessment. A local system assessment will be conducted for up to 10 jurisdictions. NIC Jails Division staff members and/or experienced consultants will spend up to 4 days onsite in the local jurisdictions. The main focus of each visit will be to assist the jurisdiction: 1) as it considers changing some of the components of its criminal justice system, 2) in planning for renovation of an existing jail or construction of a new one, 3) in evaluating the practicality of adopting various intermediate punishment options, and 4) in exploring a range of sanctions as part of the decisionmaking related to jail population management. The local system assessment is recommended as a preliminary activity to any major change in a local system.

Activities that will occur during each visit include:

- A tour of the existing jail and an assessment of its operations in relation to established professional standards, sound management practices, and effective use of jail space;
- Interviews with key members of the local criminal justice system to assess the overall functioning of the system, including its capacity for planning and coordination;
- An analysis of the pre- and post-trial options that exist within the local criminal justice system;
- A community meeting of key criminal justice decisionmakers to discuss the role incarceration plays in the local criminal justice system, begin to develop consensus on local criminal justice goals, and provide training on selected topics.

Each local system assessment will result in a full technical assistance report that provides recommendations responding to the jurisdiction's purpose and stated objectives for requesting the assessment. The recommendations will identify criminal justice options that the jurisdiction has the capacity to use but is currently not using, as well as options that the jurisdiction may wish to develop the capacity to use. The report will also provide direction for future assistance, which may include participation in the Planning of New Institutions training program or technical assistance to address the development or enhancement of community corrections programs as alternative sanctions.

Planning of New Institutions (PONI) Training. When a jurisdiction can demonstrate that a firm decision has been made to construct a new jail and that it is willing to undertake a major planning effort, it will be considered for participation in the PONI training program. The training covers such topics as mission statement development, pre-architectural and architectural programming, project management, site evaluation, design concepts, construction methods, staffing issues, and transition.

For a jurisdiction to be eligible for participation, those persons who have a key policy- and decisionmaking role in the planning and construction project must make a firm commitment to attend the entire 5-day training session. These individuals include the sheriff or director of corrections, the jail administrator, and a county commissioner.

The National Institute of Corrections will pay the travel and per diem expenses for four persons from the jurisdiction to attend the training. One or two other individuals from the jurisdiction may attend at their own expense. Depending on the size of the teams, up to five jurisdictions will be selected to attend each of the two regional training programs to be conducted during fiscal year 1995.

Site-Specific Planning Workshops. Four site-specific planning workshops, similar in content to the PONI workshop, will be presented as technical assistance events. The workshops will be flexible, focused, and responsive and will range from 16 to 24 hours in length depending on the requirements of the participating jurisdictions. This strategy can better serve large multi-jurisdictional groups planning regional facilities as well as jurisdictions with large planning groups.

Jail Design Review Workshop. A 5-day workshop will be conducted for officials from local jurisdictions that are in the process of building a new jail, have completed the schematic phase, and are involved in design development or the early stages of construction. The workshop is a logical follow-up to the Planning of New Institutions program, but participation in that program is not a prerequisite.

The workshop will provide participants with an understanding of how to ensure that schematic drawings accurately reflect the agency's mission and functional program. Participants will learn to assess how well schematic drawings have been translated into design development documents and to read and interpret design documents and schedules. Two-person teams from 12 jurisdictions, consisting of the jurisdictions' sheriff or jail administrator and the project manager, will attend the workshop. The Jails Division will also offer other planning and design-related technical assistance, as resources permit.

Jail Functional Program Reviews and Schematic Plan Reviews. Up to five jail functional program reviews will be conducted by Jails Division staff during fiscal year 1995. The reviews will focus on adherence of the functional program plans to professional standards, as well as issues related to the Americans with Disabilities Act, direct supervision, and current detention practices. In addition, the Jails Division will review up to five jail schematic plans. Based on professional standards, the reviews will focus on features of the plans related to operational issues. Participation in other phases of the Facility Development Program, while desirable, is not a prerequisite to having functional programs or schematic plans reviewed.

Transition Planning Assistance and How to Open a New Institution Workshop. The Jails Division assists local jurisdictions in two primary ways as they make the transition to their new jails. The first focuses on preliminary transition planning and is designed to help local officials understand and organize the transition. The second is the How to Open a New Institution (HONI) workshop, which teaches the agency's transition team the skills needed to plan new jail operations and develop related documents. Funds are reserved to assist up to 15 jurisdictions during fiscal year 1995.

Assistance with preliminary transition planning should be requested at least 18 to 24 months before the jurisdiction intends to occupy its new jail. A consultant with expertise in transition is sent to the community to help local officials develop an overall transition plan that identifies the key components of the transition process and details related tasks, timelines, and resources needed. The consultant may also help local officials develop criteria for choosing transition team members.

The HONI workshop is a 3- to 4-day training session presented in the community to teach the agency's transition team the skills necessary to plan for the day-to-day operations of the new jail. It covers such topics as transition overview; mission statement review; development of operating scenarios, policies and procedures, and post orders; move logistics; and action plan development. To be eligible for the HONI program, a jurisdiction must be within 12 to 18 months of occupying its new jail and must have a transition team established. All team members must attend the entire program, and selected officials must attend a "transition overview" presentation.

The Jails Division will also offer other transition-related assistance, as resources permit. Jurisdictions planning for new jails are encouraged to participate in all components of the Facility Development Program, but such participation is not a prerequisite for receiving transition assistance.

Training for Transition Trainers. As a culmination of work begun in fiscal year 1994, the Jails Division will pilot a training workshop for transition trainers. Jail administrators and transition coordinators from states and regions with multiple projects will be targeted for this training.

Related Services. The assistance provided through the Facility Development Program is specific to the planning, design, construction, and occupation of a new jail. Other Jails Division services may also greatly enhance a jurisdiction's planning process, including the workshop on managing direct-supervision jails.

Application Procedures

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

Podular, Direct-Supervision Jails

In the mid-1970s, the Federal Bureau of Prisons launched a new concept in detention center design and inmate management when it constructed a new Metropolitan Correctional Center (MCC) in Chicago. The Chicago MCC represented the first time the direct-supervision management style was combined with podular design in a detention setting. The podular architectural style features rooms clustered around a central dayroom. Direct supervision requires that correctional officers not be separated by bars or windows from the inmates they supervise. An officer is stationed in the dayroom area among the inmates, rather than in an enclosed control booth, to provide continuous supervision, control, and leadership.

Combining direct-supervision principles and podular architectural design produced dramatic results. Vandalism and graffiti virtually disappeared; noise and overall tension levels dropped; assaults on staff and inmates and same-sex rapes became extremely rare. Staff and inmate morale improved.

In 1981, the first podular, direct-supervision county jail opened, modeled after the Chicago MCC. Today, more than 100 local jurisdictions operate this type of jail, and many other localities are in various stages of planning, designing, and constructing a podular, direct-supervision jail.

The NIC Jails Division has provided information about podular, direct-supervision jails in a variety of ways since 1981. As a result, the NIC Advisory Board, the American Jail Association, the American Correctional Association, and the American Institute of Architects' Committee on Architecture for Justice adopted policy statements endorsing this design and management concept for general population inmates. The podular, direct-supervision jail is professionally recognized as state of the art for correctional design and inmate management. In response to growing interest in this concept, the Institute developed a program to provide a range of services, including public education, information sharing, and regional workshops.

Scope

In fiscal year 1995, the Jails Division's efforts in the area of podular, direct-supervision jails will focus on: 1) providing the corrections field with accurate and current information, 2) auditing the implementation of direct-supervision principles in jails, 3) conducting management and training-for-trainers seminars, and 4) developing a videotape on direct supervision. The Division will also continue to work in partnership with other organizations that provide services in this area.

Public Education and Information Sharing. The Institute has developed a number of public education materials, available on request, that explain the basic concepts of podular, direct-supervision jails and how this type of facility differs from traditional facilities. Also, Institute staff and consultants are able to visit a jurisdiction to further explain the principles to county commissioners and others with decisionmaking responsibility for a new jail.

Database Development. During fiscal year 1995, the Jails Division will develop and maintain a database from which it can retrieve a listing of direct-supervision jails at the request of correctional practitioners and other interested parties. The database will contain brief information on each jail -- including date opened, locality size, programs of note, and a contact person -- and will differentiate between jails designed and operated as direct-supervision facilities and those designed otherwise that incorporate direct-supervision principles in their operations.

Audits of Direct-Supervision Jails. Audits of three podular, direct-supervision jails will be conducted focusing on the implementation of direct-supervision principles and the implications for jail operations. The audits will be done at facilities that were designed specifically as podular, direct-supervision jails and have been in operation for at least 1 year. The audit instrument will be based on one used for previous audits of the Larimer County, Colorado, and Pima County, Arizona, jails and the Manhattan (New York) House of Detention. A summary analysis of the three audits, including comparisons to and data from the earlier audits, will be developed for publication.

Regional Workshop on Managing Podular, Direct-Supervision Jails. The Jails Division will conduct one regional 5-day workshop on managing podular, direct-supervision jails. The workshop is designed to familiarize local officials with the principles of operating a direct-supervision facility. Conducted at a direct-supervision jail, the workshop combines classroom sessions with structured visits to inmate housing areas. Instruction is provided in such areas as the origin, evolution, and principles of direct supervision; the changing roles of correctional officers and first-line supervisors; and preparing staff and the community for a direct-supervision jail. Participation is limited to two officials from a jurisdiction; these persons must be in positions to set policy direction for the agency (e.g., sheriffs, county commissioners, directors of corrections, and jail administrators).

Training for Trainers: Managing a Direct-Supervision Housing Unit. The Jails Division will conduct two pilot seminars of the training-for-trainers curriculum developed in fiscal year 1994 in response to a need identified by the field.

Videotape Production. The Jails Division will produce a 30-minute videotape on direct-supervision principles and their implementation. The narrated program will show the design and operation of at least three direct-supervision jails and include interviews with administrators and staff. The videotape will be distributed nationwide to professional organizations, service providers in the direct-supervision field, local officials, and others.

Application Procedures

Sheriffs or administrators of podular, direct-supervision jails who wish to have their facilities audited should submit a letter of interest to the Jails Division no later than October 14, 1994. Selection and scheduling will be completed by November 1, 1994. For more information about the services offered in the area of podular, direct-supervision jails or how to apply for participation in a workshop, contact the Institute's Jails Division.

Objective Jail Classification

The NIC Jails Division has provided ad hoc technical assistance on jail classification system development and inmate management to sheriffs and jail managers since the late 1970s. In 1989, an NIC-funded project was completed that researched the state of the art in jail classification and developed prototypical objective classification systems for small, medium, and large jails. The project was undertaken to develop a cost-efficient and systematic method to assist jails in implementing an objective classification system.

Scope

The Jails Division will provide technical assistance to sheriffs and jail administrators who wish to incorporate an objective classification system in their operations. The assistance will be provided in phases intended to develop an organization's knowledge of jail classification systems and its capacity for successful implementation.

Phase I assistance will be provided through two workshops designed to orient local officials to the specifics of an objective jail classification system. The participating jurisdictions' sheriff, director of corrections, or jail administrator and chief of classification will analyze their current classification program relative to the general principles of objective classification. Jails without a formal classification program may also participate in the workshops to evaluate their potential for developing an objective classification system. Participants will also be trained in a self-assessment process to determine their jurisdiction's readiness to proceed in developing an objective jail classification system.

Phase II assistance will consist of an NIC review of the jail's self-assessment and readiness to proceed. Agencies choosing to continue in the process will receive information and materials in preparation for data sampling, testing, policy and procedure development, evaluation, and analysis. Emphasis will be on the identification and collection of data required to both implement and evaluate their classification system against stated goals and objectives. Up to eight reviews will be conducted during fiscal year 1995.

Phase III assistance will consist of an intensive 4-day workshop designed to train local officials in the critical pilot-test phase of the process. The chief of classification and a researcher, statistician, or analyst will be trained in statistical analysis and interpretation of classification data. They will be provided the necessary materials and training to collect, analyze, and test their objective jail classification system. Two Phase III workshops will be conducted.

Phase IV will consist of onsite technical assistance to review the objective classification systems of up to five jurisdictions. The reviews will consider validation issues, evaluate the degree to which the objectives established by the jurisdictions during Phase I were accomplished, and make recommendations concerning refinements to the systems.

Additionally, the Jails Division has reserved funds for up to six technical assistance events related to objective jail classification. Jail managers and classification staff will be sponsored on site visits to observe operations, review policies and procedures, and interview staff at jails with operational objective classification systems. Special onsite assistance will also be provided to address specific issues that are problematic for jurisdictions during the development and implementation phases.

Application Procedures

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

Jail Data Management System

The Jails Division is developing a dictionary that includes descriptions of the basic data elements necessary for planning, managing, and overseeing most jail programs and operations. These include data elements for jail population forecasting and management, objective jail classification, risk and needs assessments, program selection and evaluation, pre-trial diversion, and pre- and post-trial sanctions.

The basic elements necessary for these diverse planning, management, and program functions are similar. Consequently, one database -- properly established and managed -- can meet many intra- and interagency information needs. The dictionary will be distributed to the field in early 1995 and will be available from the NIC Information Center on request.

The Jails Division will also conduct two Data Management Workshops, each for two-person teams from 12 jurisdictions. In addition to familiarizing participants with data issues and terminology, the workshops will demonstrate how the development and management of a single database with minimal data elements can meet an agency's overall planning, programming, and operational information needs. The Jails Division recommends that jurisdictions involved in the Objective Jail Classification program participate in the workshop.

Application Procedures

For more information about jail data management or how to apply to participate in a workshop, contact the Jails Division.

Jail Mental Health Initiative

This program began when NIC and the Center for Mental Health Services (CMHS) entered into a Memorandum of Understanding in February 1994 to assist local jurisdictions in implementing or enhancing jail-based mental health services. This initiative was designed on the premise that the jail is, and should remain, a correctional facility and the issue of mentally ill persons in jail is one that must be addressed by the full community.

Scope

The Jails Division is currently developing materials to assist jurisdictions in instituting services for mentally ill jail inmates. The material focuses on identification, crisis intervention, and referral of mentally ill inmates to appropriate programs -- activities that have been identified as the appropriate role of local jails. During fiscal year 1995, program activities will include direct technical assistance, as described earlier in this document; development of various written materials, including a quarterly newsletter; a public forum; and workshops. In addition, two Jail Resource Centers will be continued as sources of technical assistance and training.

Mental Health Newsletter. A competitive grant will be awarded for the development and distribution of a quarterly mental health newsletter for jails. The newsletter will feature articles by both corrections and mental health practitioners who provide services in jails and may include case studies, innovative programs, and schedules of relevant workshops and conferences.

Public Forum. A public forum for teams of jail administrators and mental health providers who have implemented jail mental health programs will be conducted to further develop and exchange expertise in this area. Participants will make presentations on specific aspects of their mental health program. Proceedings of the forum will be recorded and made available to the field.

Jail Resource Centers. Cooperative agreements will be awarded to two jails to serve as resource centers for hosting technical assistance events, providing technical assistance onsite in other jurisdictions, and developing materials related to jail mental health services. The jails selected to serve as resource centers have the essential components of a mental health program in operation, including intake screening, crisis intervention, suicide prevention, and discharge planning/case management. By visiting a resource center, teams from other jurisdictions are able to observe programs, talk to staff, and review policy and procedures.

Continuation awards will be made for up to three years to the jails currently serving as resource centers -- those operated by the City of Alexandria, Virginia, and Lucas County, Ohio, Sheriff's Departments -- if warranted by their performance and continued interest. If these jails do not continue as resource centers, the awards will be competitive as in the past.

Mental Health Workshops and Follow-Up Technical Assistance. Two workshops will be conducted in conjunction with the Jail Resource Centers to foster the linkages concept and promote the provision of mental health services in jails through a systems perspective. Jurisdictional teams of mental health and jail professionals will attend the workshops. Follow-up technical assistance will be offered to qualified jurisdictions.

Application Procedures

The NIC Jails Division and CMHS are refining the elements of these programs. The competitive grants available will be announced in more detail when plans are finalized. For more information about services offered in the area of mental health programming in jails, contact the Institute's Jails Division.

Large Jail Network

During fiscal year 1989, the Jails Division, in conjunction with the NIC Information Center, began the *Large Jail Network Bulletin* in response to recommendations emanating from a series of mega-jail seminars in earlier years. The Division later expanded this effort by hosting a series of networking sessions for the administrators of large jail systems (rated capacity of over 1,000 beds) and by providing technical assistance to facilitate technology transfer among the systems. The rationale behind the *Bulletin* and the networking strategy was the assumption that the administrators of large jail systems collectively possess the expertise and experience necessary to deal with any issue that any one of them may face.

Both the annual *Bulletin* and technology transfer activities will continue in fiscal year 1995. Additionally, the Jails Division will conduct two networking sessions that focus on peer training and

the development of information packages on key issues. Elected, appointed, or officially designated administrators of large jail systems will be invited to the sessions. These administrators include sheriffs, directors of county corrections departments, designated jail chiefs, and state commissioners of corrections in the six states with unified prison and jail systems.

Jail Training Activities

The NIC Jails Division will offer various training seminars and workshops as part of larger programs during fiscal year 1995. The training programs include:

- Planning of New Institutions and How to Open a New Institution Workshops;
- Pilot Training for Trainers: Transitioning to a New Jail;
- Regional Workshops on Managing Podular, Direct-Supervision Jails;
- Pilot Training for Trainers: Managing a Direct-Supervision Housing Unit;
- Objective Jail Classification Workshops;
- Data Management Workshops;
- Public Forum on Mental Health Services in Jails;
- Mental Health Workshops.

These training events were discussed earlier in this section. Participating in the broader program is usually, but not always, a prerequisite to attending training. Jail managers, sheriffs, and trainers should also consider applying for the management, trainers, and special issue seminars to be presented by the NIC Academy.

NIC Publications of Interest to Jail Practitioners

The following materials are available to jail practitioners from the NIC Information Center. Some documents are available on a loan basis only.

- *Jail Classification System Development: A Review of the Literature*, revised 1992.
- *Directory of Programs Serving Families of Adult Offenders*, revised 1992.
- *Podular, Direct-Supervision Jails Information Packet*, revised 1991.
- *Jail Classification Systems: Executive Summary*, revised 1990.
- *Jail Resource Manual and Small Jail Resource Materials*, 4th Edition, 1989.
- *First/Second Line Jail Supervisor's Training Manual*, 1989.
- *The Effectiveness of the New Intensive Supervision Programs*, 1989.
- *Statistical Prediction in Corrections*, 1988.
- *Pretrial Release: Concepts, Issues, and Strategies for Improvement*, 1988.
- *Staffing Analysis Workbook for Jails*, 1988.
- *National Study of Jail Suicide: Seven Years Later*, 1988.
- *Training Curriculum for Detection and Prevention of Suicide in Jails and Lockups*, 1988.
- *Small Jail Design Guide*, 1988.
- *Small Jail Special Issues*, 1986.
- *The Nature of New Small Jails: Report and Analysis*, 1985.
- *Building on Experience. A Case Study of Advanced Construction and Financing Methods for Corrections*, 1987.
- *A Transition Manual for New Correctional Facilities*, 1986.

Prisons Division

Assisting in the development of improved operations in state prisons

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

Prison administrators continue to face tremendous challenges. The dire predictions for population increases have been realized and, in some cases, surpassed. The number of inmates in state and federal prisons increased to 925,247 by June 1993. Corrections officials are finding their agencies under intense public scrutiny as their budgets command an ever-increasing share of state funds.

The growth within correctional systems and the pressures created by it have forced administrators to critically examine their agencies' needs, priorities, and policies for managing the offender population. They have also created a need for corrections officials to communicate effectively with governors, legislatures, and the public regarding the strategies necessary to manage these systems.

As prison populations continue to grow, correctional departments have become even more difficult organizations to manage. For instance, they are required to implement cost-containment measures while at the same time address rising health care costs and new standards required by the Americans with Disabilities Act. There is a tremendous need for executive development and other types of management training to enable correctional agencies to maintain the high-caliber administrators required to manage such complex systems.

The NIC Prisons Division has developed a plan for fiscal year 1995 that will assist state departments of corrections in many of these areas. The Division will continue to provide technical assistance to support projects and programs that have proven effective in the management of state prisons. States will be assisted in improving security operations, implementing or evaluating objective classification systems, developing effective cost-containment strategies, enhancing prison industries, and developing education and vocational training programs. Special focus will be placed on helping departments manage correctional health care and also on assisting them in meeting the needs of women offenders.

The Division has adopted a new approach to assist departments in conducting security audits. Several state prisons will host a hands-on program where correctional staff from throughout the country will be trained to conduct comprehensive security audits. During the training, participants will audit the prisons' security under the guidance of experienced security auditors.

Executive training will be provided for women, deputy directors of prison operations, and newly appointed wardens. Training in prison security and industries will again be offered. The Division will also continue to fund training for new directors of corrections as well as training for all directors through the Association of State Correctional Administrators.

To obtain additional information about any of the projects or programs described in this section, contact the Institute's Prisons Division at 320 First Street, N.W., Washington, D.C. 20534; telephone 202-307-3106 x124; toll-free 800-995-6423; fax 202-307-3361.

Direct Technical Assistance and Technical Assistance Grants

Prison Management, Operations, Personnel, and Programs

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

Technical assistance grants are available to fund activities that exceed the scope of direct technical assistance. The total cost of each technical assistance grant may not exceed \$25,000, and funded activities are normally completed within 1 year.

Because of the high demand for technical assistance services, the Prisons Division has established the following priority areas. These priorities do not preclude providing assistance in other areas, however.

Prison Management and Operations

- Classification;
- Crowding;
- Super maximum-security facilities;
- Emergency preparedness;
- Technology;
- Death row management;
- Cost containment;
- Prison system master planning;
- Americans with Disabilities Act;
- Population projection;
- Program and operations audit/evaluation;
- Management information systems;
- Prison security;
- Unit management;
- Staffing analysis.

Human Resources

- Accelerated management development;
- Affirmative action;
- Sexual harassment;
- Employee assistance programs;
- Executive leadership development for women.

Prison Programs

- Substance abuse;
- Parenting;
- Pre-release/life skills;
- Long-term inmates;
- Violent offenders;
- Prison industries;
- Education, literacy, and vocational training;
- Sex offenders;
- Boot camps;
- Mental health;
- Older offenders;
- Developmentally disabled offenders.

Technical assistance requests will be considered throughout the fiscal year or until funding for the program is depleted. It is advisable to apply for assistance as soon as a need is identified since funds are limited. Procedures for applying for technical assistance are given on pages 2-6.

Special Emphasis Initiatives

Special emphasis initiatives are projects that involve a coordinated approach to assist jurisdictions and agencies in developing solutions to complex problems.

Critical Issues in Correctional Health Care

As crowding continues to be the dominant problem in corrections, litigation over the adequacy of medical service delivery systems also continues. Growth in prison populations increases the likelihood of individual claims as more inmates drop through the ever-widening cracks created by too many inmates and not enough money, staff, and resources.

It has become necessary for correctional systems to plan for what many believe to be a coming crisis: many more inmates who are older, sicker, and staying longer in institutions where resources are already stretched to the limit. The phenomenal growth in women inmates with unique medical needs and the impact of special needs populations -- including the elderly and inmates with AIDS, drug dependency, mental illness, and chronic or terminal illness -- have the potential of creating a major health care crisis in corrections. Multiple-drug-resistant tuberculosis poses a particularly serious hazard for both inmates and correctional personnel. Administration of correctional health care delivery systems requires a proactive approach that includes extensive planning, organization, management, and control of the use of limited resources.

Scope

During fiscal year 1995, the NIC Prisons Division will assist state departments of corrections in improving their health care delivery systems. Direct technical assistance and grants will be available in a number of specialized areas, including but not limited to:

- Developing health care cost-containment measures,
- Improving health care management information systems,
- Developing health care staff recruitment or retention strategies,
- Planning a systems approach for the delivery of health care services,
- Implementing continuous quality improvement programs,
- Providing specialized training for staff,
- Analyzing private health care service contracts,
- Developing health care record-keeping systems,
- Developing protocols for health care delivery,
- Developing comprehensive plans for suicide prevention and substance abuse treatment.

This project may include a study of national health care reform and its relevance to the delivery of health care services in the nation's correctional institutions.

Funding Level and Application Procedures

Funding for this program has been set at \$40,000. State departments of corrections may apply for either: 1) direct technical assistance, when the need can be met for a maximum cost of \$6,000 and up to 14 days of consulting time, or 2) a technical assistance grant, when the cost of the project would be more than \$6,000 but less than \$10,000. Technical assistance grants are generally for projects of 3 to 12 months' duration.

Technical assistance requests will be considered throughout the fiscal year or until funding for the program is depleted. It is advisable to apply for assistance as soon as a need is identified since funds are limited.

Requests for direct technical assistance must be submitted according to procedures described on page 3. Grant applications must comply with the instructions beginning on page 5. Agencies applying for a grant must submit a copy of their application to the state "single point of contact," where applicable, simultaneously with submitting the proposal to NIC.

Critical Issues in Managing Women Offenders

The growing number of women offenders housed in state correctional facilities and their special needs have gained the attention of most correctional professionals. Court decisions requiring parity in programs and services for women offenders have created an increased demand to determine the needs of the woman offender population and effective methods for meeting those needs. Unique medical and mental health issues; histories of substance abuse and family violence, including sexual and physical abuse; and family and child care concerns must be addressed for other programs and services to have a meaningful effect.

Scope

During fiscal year 1995, the NIC Prisons Division will assist state departments of corrections in developing and/or improving their services and programs for women offenders. Direct technical assistance and grants will be available in a number of specialized areas related to women offenders, including but not limited to:

- Developing gender-specific offender management strategies;
- Reviewing effectiveness of classification systems;
- Planning a systems approach for implementing parity programs;
- Providing specialized training for staff;
- Improving medical and mental health care services;
- Developing substance abuse education and treatment programs;
- Implementing family violence programs;
- Developing educational and vocational training services;
- Implementing child care, nursery, and parenting programs;
- Developing parity prison industries programs;
- Designing a systems approach to enhance lifestyle skills;
- Providing a continuum of care to facilitate transition;
- Increasing use of volunteers.

Funding Level and Application Procedures

Funding for this program has been set at \$50,000. State departments of corrections may apply for either: 1) direct technical assistance, when the need can be met for a maximum cost of \$6,000 and up to 14 days of consulting time, or 2) a technical assistance grant, when the cost of the project would be more than \$6,000 but less than \$10,000. Technical assistance grants are generally for projects of 3 to 12 months' duration.

Technical assistance requests will be considered throughout the fiscal year or until funding for the program is depleted. It is advisable to apply for assistance as soon as a need is identified since funds are limited.

Requests for direct technical assistance must be submitted according to procedures described on page 3. Grant applications must comply with the instructions beginning on page 5. Agencies applying for a grant must submit a copy of their application to the state "single point of contact," where applicable, simultaneously with submitting the proposal to NIC.

Special Issue Seminars

This section describes the Prisons Division special issue seminars that will be conducted during fiscal year 1995 at the NIC Academy in Longmont, Colorado, and elsewhere. The security audit training will be conducted at several prison facilities, and the deputy directors program and the executive training for women will be conducted at offsite locations. Other training seminars and services to be offered are briefly described in the Academy section of this document.

Those interested in applying for participation in a seminar should obtain a copy of the *NIC Academy Schedule of Training and Services for Fiscal Year 1995* for additional information, eligibility requirements, and application forms. Participation in the Prisons Division seminars is limited to persons working for correctional systems eligible for assistance from the NIC Prisons Division.

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

Conducting Security Audits -- This 36-hour seminar focuses on skills needed to conduct comprehensive security audits of correctional facilities. Three consultant trainers each work with a small group of participants to conduct a security audit of a medium- or maximum-security prison. Areas that may be audited include the control center, tool and key control, counts and accountability, perimeter security, locked units and entrances, security inspections and shakedowns, the armory, and communications equipment.

Executive Leadership Training for Women -- This 36-hour seminar focuses on executive leadership skills that will enhance the ability of senior-level women managers to achieve executive-level positions in state departments of corrections. The curriculum covers leadership assessment techniques, executive core competencies, and indicators of leadership success. Techniques for overcoming workplace barriers, establishing mentors, recognizing and overcoming bias, and developing executive survival and empowerment skills are given.

Executive Training for Newly Appointed Wardens -- This 36-hour seminar provides a forum for new wardens to discuss many of the critical issues related to their positions, particularly prison management. The program uses a peer interaction format and consists of a series of presentations by experienced wardens, followed by a discussion among participant wardens. Topics include becoming the leader, preparing for crises and emergencies, planning and managing the budget, managing staff, prison population growth and management, employee relations, and working in a political environment.

Executive Training for Deputy Directors -- This 24-hour seminar provides a forum where deputy directors of state departments of corrections can identify and discuss critical issues affecting the management and leadership of correctional agencies. Topics will be selected by a group of deputy directors and may include authority and responsibility of the deputy director, leadership, media relations, emergency response coordination, and managing conflicting demands of political and operational realities.

Critical Issues in Prison Industries Management -- This 24-hour seminar provides a forum for prison administrators and managers with oversight responsibilities for planning and/or managing industries programs to discuss a variety of critical issues affecting prison industries management. Using a peer interaction format, the seminar examines such concerns as interfacing with organized labor, managing hazardous waste, innovative approaches to marketing and sales, developing new industries, quality control, and inventory and management control.

NIC Publications of Interest to Prison Practitioners

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

- *Program Review and Internal Audit in Corrections*, 1994.
- *Correctional Technology: A User's Guide*, 1994.
- *Communications Audits: Promoting Public Understanding of Corrections*, 1993.
- *An Administrative Overview of the Older Inmate*, 1993.
- *Organizational Management Structures of State Corrections Departments*, 1992.
- *Issues in Siting Correctional Facilities, An Information Brief*, 1992.
- *Handbook for Evaluating Objective Prison Classification Systems*, 1992.
- *Classification of Women Offenders in State Correctional Facilities: A Handbook for Practitioners*, 1991.
- *Prison Health Care: Guidelines for the Management of an Adequate Delivery System*, 1991.
- *Management Strategies in Disturbances and with Gangs/Disruptive Groups*, 1991.
- *Protective Custody Management in Adult Correctional Institutions*, 1991.
- *1990 Update - Guidelines for Prison Industries*, 1991.
- *Design Considerations in the Building of Women's Prisons*, 1989.
- *Management of Crowded Prisons*, 1989.
- *Programming for Mentally Retarded and Learning Disabled Inmates: A Guide for Correctional Administrators*, 1989.
- *The Cost of Corrections: In Search of the Bottom Line*, 1989.
- *A Practitioner's Guide to Treating the Incarcerated Male Sex Offender*, 1988.
- *An Administrator's Overview: Questions and Answers on Issues Related to the Incarcerated Male Sex Offender*, 1988.
- *Legal Issues and the Mentally Disordered Inmate*, 1988.
- *Disruptive Maximum Security Inmate Management Guide*, 1988.
- *Correctional Education: A State of the Art Analysis*, 1988.
- *Statistical Prediction in Corrections*, 1988.
- *The Effects of Diet on Behavior: Implications for Criminology and Corrections*, 1988.

Community Corrections Division

Promoting the effective use of community-based sanctions

In 1981, the National Institute of Corrections reorganized into client-specific divisions to better serve the corrections field. The newly formed Community Corrections Division initially focused primarily on serving probation and parole agencies. This focus widened, however, as activities and agencies under the umbrella of community corrections diversified, expanded, and became more varied in organizational structure. In the 1990s, the Division began to emphasize a systems approach to community-based criminal justice, and the clientele expanded further to include such groups as judges, prosecutors, and public defenders.

Of the more than 4 million offenders under correctional supervision on December 31, 1990, 73.6% -- or 3,201,641 -- were in the community. The number of offenders served by community corrections agencies increased by more than 30% during the preceding four years, according to the Bureau of Justice Statistics. Such growth at a time when public resources were static or declining significantly changed the concerns of community corrections practitioners. Change was also fostered by demands for greater accountability by public agencies and the accompanying need for clearly defined purposes and objectives. Uncertainty about the purposes of corrections and the goals of criminal sanctions compounded the demands placed on agency administrators.

Against this backdrop, the Community Corrections Division has sought to be responsive to the needs of the community corrections field and to provide leadership in developing new directions and approaches. During the 1980s, risk control -- or risk management -- approaches recognized a major public concern for safety and led to new methods to more effectively classify, control, and manage offenders in the community. The Division continues to focus on risk management through effective treatment interventions.

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

In the 1990s, the Division began to assist the field in managing increasingly larger and more complex organizations by sponsoring several networks composed of administrators from similarly organized community corrections agencies -- probation and parole as well as statewide oversight agencies. These networks enable the exchange of information on emerging issues and discussion of various strategies for confronting them.

The Community Corrections Division also focuses on intermediate sanctions for offenders. "Intermediate sanctions" refer to a graduated range of sanctions that are more demanding than traditional probation, but short of prison or jail. In incremental steps of increasing control, treatment programming, and cost to the community, intermediate sanctions seek a new middle ground between probation and prison. A broad array of ascending sanctions allows sentences to be tailored to meet the needs of both the individual offender and the community.

During fiscal year 1995, the Community Corrections Division will continue a joint program with the State Justice Institute; that effort will be joined by a third sponsor, the Edna McConnell Clark Foundation. Funds will be used to stimulate the use of intermediate sanctions as legitimate responses for both male and female offenders, including those being released from jails and prisons. Other joint ventures with private foundations to support the use of intermediate sanctions will be pursued also.

Direct technical assistance and technical assistance grants will continue to be provided in such areas as planning, analysis, development, and implementation of policies and programs. Special attention again will be directed to developing community corrections programs. Also, the Division will continue to support networking among state administrators with oversight responsibilities for local corrections programs, administrators of state probation and parole agencies and urban probation departments, and chairpersons of parole boards.

The Division will offer a series of regional workshops and shorter, 1-day intensive training sessions on public protection, offender risk management, and correctional treatment interventions. Hosted by professional associations and correctional agencies, the training will allow administrators and policy-makers to explore ways to deal with corrections' dual responsibilities for punishment and managing offender risk. The latest research on correctional practices and programming will be examined. The Division also will sponsor three national meetings on related topics: offender risk classification; high-risk, violent offenders in the community; and effective treatment interventions.

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

For additional information about the Community Corrections Division's activities and services, contact the Division at 320 First Street, N.W., Washington, D.C. 20534; telephone 202-307-3106 x116; toll-free 800-995-6423; fax 202-307-3361.

Direct Technical Assistance and Technical Assistance Grants

Community Corrections Management, Operations, Services, and Programs

The Community Corrections Division's technical assistance program provides specialized service in response to requests from community corrections agencies and other community-based programs. This program represents the Institute's continued commitment to support the individual efforts of administrators and policymakers to improve community-based operations and programs.

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

agency to which they provide those services. That person might be the chief probation officer, chairperson of the parole board, executive director of the agency, or director of the department of corrections.

Requests for assistance should reflect a significant agency problem. Typical areas that could be addressed by either direct technical assistance or a grant include, but are not limited to:

Service Delivery Activities

- Supervision strategies,
- Intermediate sanctions,
- Victims services and programs,
- Caseload management systems,
- Pre-sentence investigations,
- Post-conviction community-based programming,
- Probation and parole decisionmaking,
- Community-based residential programming,
- Supervision and services for female offenders,
- Services for specific offender groups (e.g., sex offenders; substance abusers; high-risk, violent offenders),
- Violation and revocation processes and programs,
- Structuring non-custodial sanctions,
- Developing a range of community sanctions.

Organizational/Environmental Issues

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

Generally, NIC funding is not available for agency operating expenses or for capital expenditures (including purchase of major equipment, personal computers, and other data processing equipment). The total cost of each technical assistance grant may not exceed \$10,000 and, normally, funded activities should be completed within 1 year.

Procedures for applying for technical assistance are given on pages 2-6. **Applications for technical assistance grants must be received by the Community Corrections Division no later than 4 p.m. Eastern time, December 16, 1994.** Funding decisions will be communicated to all applicants by January 31, 1995.

Special Emphasis Initiatives

Special emphasis initiatives are projects that involve a coordinated approach to assist jurisdictions and agencies in developing solutions to complex problems. Activities frequently include a mix of direct technical assistance, grants, training, and information exchange.

Earlier efforts focusing on community corrections oversight agencies, residential community corrections, parole decisionmaking, and probation/parole classification system maintenance will be continued through the Division's established procedures for providing technical assistance. During fiscal year 1995, offender risk management, probation and parole violation and revocation, intermediate sanctions, and network capacity building will be the focuses.

Public Protection Through Offender Risk Management

Protecting society from the risk of future criminal behavior by offenders is an accepted function of corrections, but the means to limit that risk -- how best to keep individuals from committing new crimes -- is a subject of much debate and controversy. Since abandoning rehabilitation in the 1970s as the primary goal for corrections, the field has focused on incarceration. "Getting tough" by imposing longer sentences and using prisons and jails to a greater extent became common practice in the 1980s to incapacitate offenders and to discourage future criminal activity.

While recognizing society's need to punish law violators, this approach is now being questioned by some policymakers and correctional practitioners. Incarceration is extremely costly and its crime control benefits appear to be marginal. The corrections field increasingly is considering treatment a more effective, lasting way to control criminal conduct. A body of knowledge is emerging based on empirical research that identifies appropriate and effective correctional interventions for modifying criminal behavior.*

Scope

Drawing on what is known about criminal behavior and successful interventions, the fiscal year 1995 project will assist administrators and policymakers in exploring the issue of public protection through effective correctional treatment programming. It will examine both punishment and treatment as ways to change behavior and reduce crime and will identify program elements and intervention strategies that have proven effective for high-risk offenders.

A series of five 2½-day regional workshops for correctional administrators and policymakers will be conducted to: 1) promote understanding of the goals of corrections as part of the criminal justice system, 2) explore the empirical basis for correctional interventions in managing risk and promoting public safety, and 3) examine the implications of the interventions for correctional management and programs. The workshops will be hosted by correctional agencies and professional associations in various locations to draw participants from the surrounding geographical areas and thus minimize attendance costs. NIC will provide the curriculum, trainers, and all related materials, but will **not** pay expenses for those attending the workshops.

The Division also will conduct intensive training sessions at up to seven national, regional, and/or state professional conferences during the year to disseminate current information on limited risk management to community corrections practitioners and policymakers. The curriculum, trainers, and related materials will be provided by NIC.

In addition, the Division will host three small national meetings on topics related to public protection and risk management. Practitioners and academicians actively involved with the topic to be discussed will examine current knowledge and state-of-the-art correctional practice in each area. The Division will use the information gained from these meetings to further its work on risk management and will later share it with the field. Travel and per diem expenses of the meeting participants will be paid by NIC. One meeting will be conducted on each of the following three topics.

*For the past several years, the Division has promoted corrections' responsibility to balance its dual functions of punishment and public protection. This concept, called limited risk management, was first articulated in a 1984 monograph entitled *Directions for Community Corrections in the 1990s* by Vince O'Leary and Todd Clear. This document was recently revised and is available from the NIC Information Center.

Offender Risk Classification. This meeting will explore the knowledge gained during more than a decade of extensive use of objective classification by community corrections agencies. The earliest emphasis of offender classification was on the technology of the sorting process -- grouping similar individuals. More recently, correctional practitioners have focused on classification for case planning and treatment interventions.

High-Risk, Violent Offenders. This meeting will examine current knowledge and practices in identifying potentially violent individuals and developing strategies to manage them outside of confined settings. High-risk, violent offenders are a substantial and growing part of correctional practitioners' workloads and consume a disproportionate share of agencies' limited resources.

Effective Treatment Interventions. This meeting will examine recent research on the psychology of individual criminal conduct and current knowledge of effective criminal justice interventions and correctional treatment for managing offender risk. A main focus will be identifying theories, principles, practices, and elements of programs proven to be effective in changing criminal behavior patterns.

Application Procedures

Those interested in more information about how their agency or association can host one or more of the regional workshops should contact David Dillingham at 202-307-3106 x132 by December 1, 1994. Those interested in participating in any of the three national meetings should write to him at the NIC Community Corrections Division by December 30, 1994. The letter should indicate work performed or agency involvement in the specific topic area that would make the applicant a valuable participant and contributor. Attendance at the national meetings will be by invitation only.

Dates, locations, and application procedures for the regional workshops and training sessions at professional conferences will be announced through letters or flyers from the Community Corrections Division.

Probation and Parole Violation and Revocation

For probation and parole to be effective, purposeful controls must be placed on offenders' behavior. Such controls take the form of either general or special conditions of supervision. "Technical" violations are breaches of supervision conditions, rather than new violations of criminal law. For either technical or new violations, two responses often occur: offenders remain under supervision with little consequence for their behavior or probation/parole is revoked, resulting in commitment to jail or prison.

In many states, more offenders are admitted to prison each year for probation or parole violation than from court commitments. More than 70% of the violations are technical and may not necessarily warrant revocation of probation or parole. Revocation raises concerns not only about the effect of probation and parole violators on institutional crowding, but also about the tremendous amount of criminal justice system resources necessary to move offenders through a complete violation process. Often, incarceration was not the original intent of beginning the process.

Since 1990, NIC has funded three technical assistance programs focusing on probation and parole violation and revocation issues. Five paroling authorities and eight probation jurisdictions have completed projects in which they gathered data and documented issues and options about how to

respond to violations short of incarceration. Experience in states that received NIC assistance indicates that judicious use of intermediate responses can provide quick and commensurate administrative consequences for certain types of probation and parole violation behavior, while responsibly considering public safety, offender needs, and institutional crowding.

Scope

During fiscal year 1995, NIC will continue an effort that is currently providing technical assistance to probation, parole, or combined probation and parole agencies. The program is helping the agencies develop or improve community-based intermediate sanctions for offenders who violate conditions of supervision.

Technical assistance will be provided to the five jurisdictions previously selected to: 1) assess their current violation practices, 2) identify agency-specific options and a range of potential sanctions and programs, 3) examine those options for impact on probation and/or parole revocation patterns, and 4) either implement the options or develop a realistic implementation plan. In addition to receiving onsite technical assistance, representatives from four project sites will convene a joint meeting to share their experiences. Another meeting in the fifth jurisdiction will facilitate focusing more intensively on the unique needs of that jurisdiction.

A final report to NIC, describing project activities, issues, and results, will be available from the NIC Information Center after August 1995.

Funding Level

Funding for this project has been set at \$90,000, which will support one cooperative agreement award. Subject to satisfactory performance in fiscal year 1994 and the availability of funds, an award will be made to the same organization that is currently conducting the project.

Intermediate Sanctions Project: State Cluster Initiative

The State Cluster Initiative promotes the development of local sentencing policy regarding intermediate sanctions by providing assistance to **clusters** of 4 to 6 local jurisdictions within each of three states (for a total of 12 to 18 jurisdictions). The states were recently selected through a competitive process; no new sites will be selected during fiscal year 1995.

The fiscal year 1995 effort will support the second 12-month phase of the project, designed as a 2-year training and technical assistance program jointly funded and managed by NIC, the State Justice Institute (SJI), and the Edna McConnell Clark Foundation (EMCF). The project builds on years of experience with policy development in the joint NIC/SJI Intermediate Sanctions Project.

The project will support policy development and implementation activities in each participating county, court district, or other local jurisdiction. Policy teams will articulate the system's goals, determine the sanctioning options needed to achieve them, specify the target population for which each option is intended, devise the methods by which that population is directed to each option, and structure the programs intended to carry out the sanctioning choices. The project also seeks to institutionalize a sound process of ongoing policy development, system monitoring, and communication among policy officials. By working with jurisdictions in state "clusters," the project will build

momentum for achieving consistent and broad-based improvements in the use of policy-driven intermediate sanctions within a state.

The focus of the project's work will be the **policy group** or team of criminal justice and community leaders in each local jurisdiction. At a minimum, the team will consist of the leadership of the court, the community corrections manager or probation chief, the prosecutor, the chief public defender or similar official, the sheriff, legislators, and other elected officials whose decisions affect the design, use, and funding of community sanctions. Members of the community are valuable additions to this group.

Intensive assistance will be provided to individual local jurisdictions within each of the three states through a cooperative agreement from NIC and a grant from EMCF. The delivery strategies will include use of *The Intermediate Sanctions Handbook: Tools and Experiences for Policymakers* to enhance and accelerate the technical assistance effort.

Funding Level

Funding for this project has been set at \$200,000, which will support one cooperative agreement award. Subject to satisfactory performance in fiscal year 1994 and the availability of funds, an award will be made to the same organization that is currently conducting the project.

Intermediate Sanctions for Female Offenders

Concern about the complex issues related to managing and supervising female offenders in the community continues to increase as the number of female offenders involved in criminal justice systems nationwide escalates. Community corrections agencies attempting to understand these issues and develop strategies to reduce women's criminal activity often lack adequate information about the women involved in their criminal justice system, local sentencing practices, and community programs and services that could address the needs of female offenders.

Recognizing the general lack of information and systemic policy and program development for this offender population, NIC began building a conceptual framework for managing female offenders in the community by working with community corrections agencies in four local and two state jurisdictions over the past 3 years. These agencies created policy teams to gather information about female offenders; examine their current sanctioning practices, programs, and services related to women; and develop a range of options designed to address the issues associated with female offenders and their specific needs. These efforts provided the jurisdictions new, practical knowledge about developing a sound information system while also establishing in each jurisdiction a group of key officials committed to a policy development process.

The effort included documentation of the conceptual approaches and policy development processes of the first three jurisdictions to participate. A report of their experiences will be published to assist policymakers and program developers who are attempting to deal with the sharp increase in women being processed through the nation's criminal justice systems.

Scope

During fiscal year 1995, the Community Corrections Division will build on its earlier efforts by assisting two or more additional jurisdictions with populations of over 200,000 in developing policies

and programs for female offenders. The overall goal continues to be to assist agencies in developing a system of correctional options for female offenders that is more rational, effective, and appropriate for their jurisdictions and that is grounded in an articulated sentencing policy.

As in the past, the focus will be on policy teams comprised of key decisionmakers and staff from state or local public probation and community corrections agencies. Participating jurisdictions will be assisted through an integrated training and technical assistance effort. They will be required to:

- Convene a working group of individuals with a strong interest in and responsibility for the development of an effective range of community sanctions for female offenders.
- Develop a sound information base regarding the offense and background characteristics of the jurisdiction's female offenders under community supervision; current sentencing practices, supervision processes, and programs; and responses by community corrections and human services agencies.
- Use the database and the experience of the work group members and others to explore the existing community sanction options for female offenders and identify gaps in the range of sanctions and services.
- Develop a sound conceptual plan for creating a range of desired intermediate sanctions that includes both concrete action steps for implementation within 6 months and a statement of where the community corrections system should be in 3 to 5 years in its sanctions policies and services for female offenders.
- Document the policy and program development process.

The project will facilitate this work through three national meetings attended by policy officials and staff members from each participating jurisdiction. During these meetings, participants will discuss and clarify: 1) the project framework and work plan, 2) their own project objectives and problem-solving activities, 3) information base development and analysis, and 4) strategies to effectively manage a policy group and establish links with community resources.

The project will provide all services through direct technical assistance managed by the Community Corrections Division. The Division will select participants, develop the meeting agendas and materials, actively assist in the design and delivery of project services, and collaborate extensively with the policy teams. Expenses for participants' travel and per diem associated with the three national meetings will be covered by the project.

Funding Level and Application Procedures

Funding for this project has been set at \$50,000. State, county, and large-city adult community corrections agencies (probation, parole, or other community-based agencies) with sufficient staff and resources -- including an automated management information system -- to support the policy and program development effort are eligible to participate. Applicants must make a commitment to identify a three-person team able to design and implement policy initiatives, attend the national meetings, and participate in the entire 15-month project. Additional team members may be included at the agency's expense.

Application letters must be received by October 14, 1994, and must be prepared in accordance with the procedures for applying for **direct** technical assistance given on pages 2-3. Applications will be evaluated based on the extent to which they address the project objectives and demonstrate sufficient leadership, commitment, and experience in the jurisdiction to accomplish the project goals. For additional information, contact Anne McDiarmid, NIC Community Corrections Division, 202-307-3106 x162.

Network Capacity Building

The Community Corrections Division serves numerous client groups with diverse, but sometimes overlapping responsibilities. They include probation and parole agencies; public and private community corrections organizations; administrative staff and policymaking authorities; and representatives of the judicial, legislative, and executive branches of government. To maximize the use of limited funds, the Division targets selected groups or networks of similar clients and works with them to strengthen their capability to respond to important business issues in community corrections.

Over the past few years, NIC has served as a catalyst by sponsoring meetings and workshops to bring members of these groups together to identify issues of mutual concern. As group members become acquainted and explore and respond to relevant issues, networks form and become means for ongoing work and peer consultation. Issues addressed in the past include officer safety and use of weapons, developing relevant research strategies, contracting for selected services, defining workloads for budget presentations, and designing a continuum of intermediate sanctions.

During fiscal year 1995, the Community Corrections Division will support networking activities of three groups: 1) executives of large urban probation departments, 2) administrators of state agencies with oversight responsibilities for local corrections, and 3) parole board chairpersons. The Division will sponsor meetings of each of these groups to provide an opportunity for networking and sharing information, ideas, concerns, and solutions to common functions. The Division will also conduct a follow-up to the 1994 exploratory meeting with administrators of state probation and parole agencies.

Training Activities

During fiscal year 1995, the following training activities will be conducted. Other training seminars and services to be offered by the NIC Academy are briefly described in the Academy section of this document.

Orientation for Parole Board Members -- This 36-hour seminar for full- and part-time state and federal parole board members with little formal parole training provides an orientation to various aspects of paroling policy. To be conducted at the NIC Academy, the seminar explores the technology, responsibilities, and implications of risk-based parole decisionmaking and community supervision, and defines structured decisionmaking, its rationale, justification, and application in parole.

Regional Training: Treatment Programming to Manage Offender Risk -- Five 2½-day regional workshops will focus on treatment programming in community corrections and how it can be used to reduce the risk of future criminal activity. The workshops will help participants define the relationship of specific interventions and performance outcomes and examine measures of effectiveness, quality control, and quality assurance. These workshops are part of the Public Protection Through Offender Risk Management program discussed earlier in this document.

Eligibility requirements and application procedures for the parole seminar are described in the *NIC Academy Schedule of Training and Services for Fiscal Year 1995*, which can be obtained by contacting any NIC office. Those interested in the regional training on managing offender risk should refer to the earlier discussion in this document.

NIC Publications of Interest to Community Corrections Practitioners

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

- *New Approaches to Staff Safety*, 1993.
- *Female Offenders in the Community: An Analysis of Innovative Strategies and Programs*, 1993.
- *Residential Community Corrections Facilities: Current Practice and Policy Issues*, 1993.
- *The Intermediate Sanctions Handbook: Tools and Experiences for Policymakers*, 1993.
- *Directory of Programs Serving Families of Adult Offenders*, revised 1992.
- *Directory of Residential Community Corrections Programs*, 1991.
- *The Practical Planning Guide for Community Corrections Managers*, 1991.
- *A Matter of Partnership: Public Involvement in Residential Community Corrections*, 1990.
- *Residential Community Corrections: Developing an Integrated Corrections Policy*, 1990.
- *Worker Safety in Probation and Parole*, 1990.
- *Managing the Development of Community Corrections*, 1990.
- *Legal Issues in Drug Testing Probation and Parole Clients and Employees*, 1989.
- *Handbook for New Parole Board Members, Second Edition*, 1989.
- *The Effectiveness of the New Intensive Supervision Programs*, 1989.
- *Contracting for Community Corrections Services*, 1988.
- *Marketing Community Corrections*, 1988.
- *Civil Liabilities of Parole Personnel for Release, Non-Release, Supervision, and Revocation*, 1988.
- *What if Something Happens? A Guide to Risk Management and Insurance Options for Community Service Programs*, 1988.
- *Economic Sanctions in Community Corrections*, 1988.
- *Guide to Executive Clemency Among the American States*, 1988.
- *Current Issues in Parole Decisionmaking: Understanding the Past; Shaping the Future*, 1988.

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

Academy Division

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

The Academy is the training division of the National Institute of Corrections and provides training, technical assistance, and related services for state and local correctional practitioners. By developing and delivering training to prison, jail, and community corrections practitioners, the Academy enhances interaction among correctional agencies, other components of the criminal justice system, public policymakers, and concerned public and private organizations. Through training, the Academy promotes constructive organizational change and full use of resources.

Public hearings, focus groups, analysis of technical assistance and information requests, and discussions with correctional practitioners have led the Academy to offer a variety of training services. These include seminars, technical assistance, teleconferences, regional training, and conference-related workshops.

Seminars

The most intensive training is offered through seminars in three areas:

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

Each seminar provides several days of intensive training, led by professionals with experience in corrections. In most cases, participants develop individual action plans or initiate projects to be implemented when they return home. All applicants must agree to provide evaluation feedback on implementation of the action plan developed during the seminar if later requested by the Academy.

The state-of-the-art seminars conducted by the Academy increase participants' effectiveness on the job and contribute to their continued professional development. The seminars are designed specifically for correctional practitioners and decisionmakers, and classes are composed of a national cross-section of participants with similar interests and needs. For all seminars, Continuing Education Units are available through Eastern Kentucky University (EKU). For the Correctional Leadership Development and the Advanced Training for Trainers: Instructional Theory into Practice seminars **only**, 3 graduate or undergraduate credits are available through EKU.

Logistics and Costs

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

There are no registration, tuition, or materials fees associated with Academy training. Additionally, for seminars offered by the Academy in Longmont, the costs of state and local participants' air travel, lodging, and meals are paid by the National Institute of Corrections. (Federal agencies must pay the travel and per diem costs associated with their employees attending a seminar.) Participants traveling by means other than air are reimbursed up to an amount that would have been incurred for airfare at government rates. Participants are responsible for the costs of ground transportation to and from their point of departure and to and from Denver.

Selection of Applicants

Academy training is available to correctional personnel from the 50 states, the District of Columbia, and the U.S. territories and commonwealths. Practitioners from correctional agencies in other countries are eligible for participation, but they must pay all travel, lodging, and other costs associated with attending the training.

In selecting participants, the NIC Academy tries to achieve a geographical balance and, for the managers' and trainers' seminars, a balance among applicants from jails, prisons, and community corrections agencies. The Academy selects and assigns applicants to seminars based on their meeting the individual eligibility criteria and based on the Institute's desire to maintain a broad cross-section of men and women and racial and ethnic backgrounds.

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

Application Procedures

Seminars to be conducted by the Academy during fiscal year 1995 are described only briefly in this document. Those interested in participating in an Academy training program should obtain a copy of the *NIC Academy Schedule of Training and Services for Fiscal Year 1995* for more information about the seminars to be offered, eligibility criteria, and application procedures and forms. To obtain that document, contact the NIC Academy, 1960 Industrial Circle, Suite A, Longmont, Colorado 80501; telephone 303-682-0382; toll-free 800-995-6429; fax 303-682-0469.

Seminars for Correctional Administrators

Quality Improvement Strategies in Corrections -- This 36-hour seminar assists correctional executives in assessing their organizational culture and implementing quality improvement strategies. Key topics include the philosophy of quality improvement; benchmarking; visioning; and the application of basic statistical, management, and planning tools.

Strategies for Building Effective Work Teams -- This 36-hour seminar presents a framework for developing, managing, and evaluating work teams as part of the quality improvement process. Key topics include changing organizational structures and leadership demands, the fundamentals of group dynamics, and the roles and responsibilities of team members.

Integrating Human Resource Systems -- This 36-hour seminar explores ways to integrate all aspects of human resource management into an effective system for hiring, developing, supervising, and retaining staff. It covers job/task analysis processes; effective personnel recruitment, selection, and evaluation techniques; training programs that systematically evaluate and train employees; and objective employee feedback systems.

Public and Media Relations -- This 36-hour seminar helps correctional administrators and managers refine their skills and capabilities to deal effectively with the various media and the general public. It emphasizes the leadership, management, and communication skills needed to work cooperatively and constructively with others who may not understand the demands of corrections.

Management Development for Women and Minorities -- This 36-hour seminar focuses on women and minority managers who currently occupy, or have been identified as moving into, mid-level administrative positions in corrections. Discussions explore the challenges faced by women and minorities in the correctional setting and strategies to facilitate their career development. Participants review their roles and relationships, management styles, and career goals and develop individual action plans.

Correctional Leadership Development -- This 82-hour seminar is designed to enhance the leadership skills of correctional administrators. The program focuses on the research-based Leadership Challenge model, which develops five key areas of leadership practice. Participants assess their individual leadership practices, experience outdoor leadership exercises, work together in small discipline-specific groups, and work on projects to benefit their agencies.

Correctional Leadership Development: Regional Networks -- This 8-hour training meeting is offered in each of the four regions of the country -- Northeastern, Southern, Central, and Western -- to participants in previous Correctional Leadership Development seminars. The session provides additional management training, an opportunity to share results of action plans developed during the seminar, and a forum for networking. Participants are responsible for their own travel, lodging, per diem, and incidental expenses.

Seminars for Trainer Development

Advanced Training for Trainers: Instructional Theory into Practice -- This 38-hour seminar focuses on developing and delivering training that incorporates research-based elements of effective instruction for adult learners. Participants diagnose learning styles and training needs, devise performance objectives, study techniques to assess learning achievement, and develop a training module.

Advanced Training for Trainers: Developing Management Training -- This 38-hour seminar provides strategies for developing and implementing effective management training in correctional agencies. Topics include defining goals and objectives that assure improved performance, job/task analysis, techniques to develop managers, and assessment strategies.

Advanced Training for Trainers: Training Design and Development -- This 38-hour seminar presents a model for training program design and development. The model begins with problem identification and training mandates, continues with training design based on implementing theory, and concludes with program evaluation to ensure that the needs identified are effectively addressed through training.

Developing Benchmarks for Correctional Training -- This 36-hour seminar provides an overview of state-of-the-art public and private sector training technology as a foundation for developing guidelines for correctional training. It identifies the benchmarks of effective training program design, delivery, and evaluation; their rationale for corrections; and guidelines for implementing them.

Academy Special Issue Seminars

Cognitive Approaches to Changing Offender Behavior -- This 36-hour seminar trains teams in implementing cognitive interventions shown to have a positive impact on reducing recidivism. Topics include social skills, interpersonal problem solving, cognitive styles, social perspective-taking, critical reasoning, values, and self-control. The interventions are designed for use by corrections staff and clinicians.

Working with Women Offenders -- This 36-hour seminar presents a profile of women offenders and focuses on the historical treatment of women in custody and community supervision, current attitudes and sexual stereotyping, special programming and classification needs, and the principles of parity that must guide correctional systems as they respond to the needs of this offender group.

Evaluation and Accountability Strategies for Correctional Programs -- This 36-hour seminar assists teams in developing appropriate evaluation and accountability strategies to measure the effectiveness of their agency's or institution's programs. Topics include basic evaluation techniques, resources needed to conduct evaluations, and appropriate use of different types of evaluations.

Management and Treatment of Tuberculosis in Correctional Settings -- This 36-hour seminar assists teams of medical staff in designing and implementing tuberculosis management and treatment programs in correctional settings. The seminar, which includes laboratory experience, focuses on prevention as well as management strategies to improve the quality of health care related to tuberculosis.

Jails, Prisons, and Community Corrections Seminars

Seminars and other training activities of special interest to practitioners working in jails, prisons, and community corrections are described in those sections of this document. See pages 21, 26, and 36, respectively.

Direct Technical Assistance

The Academy will continue to provide direct technical assistance to state and local correctional agencies to improve the design, delivery, operation, and evaluation of their training programs. Special emphasis will be placed on training that has regional impact or builds inter-/intra-agency capacity to deliver training.

For either General or Special Focus technical assistance described below, the total cost of an effort cannot exceed a maximum of \$6,000 or 14 days (including consultant's time, preparation, travel, and report writing). Note, technical assistance grants (i.e., transfer of money to the requesting agency) are not available from the Academy.

General Technical Assistance

Typical areas that could be addressed by general technical assistance include, but are not limited to, the following.

Identification of Training Needs

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

Strategies for Training Development and Delivery

- Developing a new curriculum,
- Modifying an existing curriculum,
- Developing competency-based training programs,
- Acquiring or maximizing the use of training technologies,
- Designing or developing alternatives to formal classroom training.

Evaluation of Training Programs

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

Management of the Training System

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

Training for Trainers: Capacity Building

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

Procedures for applying for direct technical assistance are given on pages 2-3.

Special Focus Technical Assistance

The NIC Academy has identified three areas of special focus for fiscal year 1995.

Training for New Administrators of Correctional Education. Technical assistance will be provided to four agencies to train new correctional education administrators using a 2-day curriculum developed by the Academy. Large agencies with several correctional education administrators at the state and local levels are specifically targeted.

Training for First-Line Supervisors. Technical assistance will be provided to four agencies to train first-line supervisors. Agencies receiving this assistance must ensure that management will provide ongoing coaching and support for the first-line supervisors being trained.

Agency Visioning Development. Technical assistance will be provided to four agencies to develop and implement an agency vision. Representatives of all those involved in implementing the vision of the agency will participate.

Special application procedures and deadlines are described in the *NIC Academy Schedule of Training and Services for Fiscal Year 1995*.

Teleconferences

During fiscal year 1995, audio and video teleconferences will be offered on emerging correctional topics. All teleconferences require site coordinators to coordinate the live teleconference, duplicate camera-ready materials for the participants, and submit participants' evaluations to the Academy.

Audioconferences

Audioconferences (two-way audio) are transmitted via telephone lines and require speakerphones at the participating sites. The Academy will cover all costs for telephone time and electronic bridging among participants and will provide a camera-ready copy of participant materials. The following audioconferences will be offered.

Youthful Violent Offenders -- A 2-hour audioconference will be presented four times to provide the most current information and research findings about managing youthful violent offenders in a correctional setting. The audioconference will be based on a symposium on the subject held earlier.

Emergent Correctional Topic -- A 2-hour audioconference will be developed and presented four times throughout the year to provide information on a current topic with a potentially significant effect on corrections. The topic and dates will be announced through flyers and newsletter articles.

Prospective site coordinators must submit the Teleconference Site Application from the *NIC Academy Schedule of Training and Services for Fiscal Year 1995*, which also contains dates for the audioconference on Youthful Violent Offenders.

Videoconferences

Videoconferences (one-way video, two-way audio) are transmitted live via satellite and require downlink equipment (satellite dish). Participating agencies must provide a downlink-equipped meeting room (usually available at local schools, hotels, or government agencies), a telephone, and duplication of participant materials. The Academy will provide a camera-ready copy of participant materials and cover all costs for uplinking to the satellite and for telephone time.

Moving Toward a Competency-Based Human Resource System -- This 2-hour videoconference will establish a foundation for developing a competency-based human resource system in correctional agencies. Using video excerpts, presenters will examine how competencies form the building blocks of objective, legally defensible human resource functions to select, train, and evaluate employees.

Benchmarks for Correctional Training -- This 2-hour videoconference will present benchmarks, or guidelines, for correctional training. Using video excerpts, presenters will illustrate and discuss application of the benchmarks of effective training program design, delivery, and evaluation in correctional agencies.

Management and Treatment of Tuberculosis in Correctional Settings -- This 2-hour videoconference will provide guidelines for managing and treating tuberculosis in correctional settings. Video excerpts will be used to illustrate key medical strategies discussed by presenters.

Dates for the videoconferences are contained in the *NIC Academy Schedule of Training and Services for Fiscal Year 1995*. To apply, agencies must submit the Teleconference Site Application from that document.

Regional Training

The Academy has divided the nation into four geographical training regions, each approximately the size of two regions designated by the International Association of Correctional Training Personnel. Each region has eight volunteer regional field coordinators (RFCs) -- two each from prisons, jails,

community corrections, and juvenile corrections -- and selected Federal Bureau of Prisons trainers who plan Academy-sponsored regional events and coordinate the training network.

Regionalization is a cost-efficient means of increasing training opportunities throughout the country, while creating networks of professional trainers and promoting the sharing of training resources. Academy program specialists work with the RFCs in each region to facilitate the planning and organization of training events. Regional workshops and networking projects are announced through flyers and other marketing strategies. Agencies are responsible for participants' travel and per diem costs. The Academy supplies materials, trainers, and, if necessary, meeting facilities.

Correctional trainers interested in applying to serve as an RFC should contact the NIC Academy. They must have the endorsement of their agency's chief executive officer to assure agency support in carrying out their collateral duties as an RFC.

Regional Seminars

Five regional 36-hour seminars, hosted by state and local correctional agencies, will be conducted during fiscal year 1995. Correctional agencies may apply to host a seminar, chosen from among those already developed by the NIC Academy, for correctional staff in their region. Host agencies will be selected through a competitive process. To qualify for selection, agencies must assure sufficient participation and offer adequate meeting space, training equipment, and low-cost participant accommodations. Agencies should submit the Regional Site Application from the *NIC Academy Schedule of Training and Services for Fiscal Year 1995* no later than March 1, 1995, to be considered as a host site.

Other Training Activities ---

Symposiums

During fiscal year 1995, the Academy will invite select groups to participate in symposiums on two topics -- marketing corrections and managing youthful violent offenders.

In the first, correctional executives who have been successful in working with the legislature, media, other stakeholders, and the public will convene to discuss and recommend effective strategies to promote corrections. The symposium proceedings will be used as a basis for developing a videotape on the subject.

In the second, correctional executives, social scientists, treatment providers, and researchers involved with youthful violent offenders will present papers and research about this offender population and identify successful management and treatment strategies. The proceedings will be used as a basis for an audioconference and subsequent videoconference.

Conference-Related Workshops

The Academy will continue to host training workshops before and after conferences of national significance. The workshops are typically 4 to 16 hours in length and are limited to 24 participants. Topics will be determined by the expressed needs of the special-interest groups attending the conferences, and the workshops will be announced separately during the year through conference literature.

and flyers. To participate, individuals must submit an application and be accepted by the Academy. Participants are responsible for their own travel and per diem expenses.

National Correctional Training Network

The Correctional Training Network (CTN) enables the sharing of training materials among federal, state, and local agencies that conduct training for correctional staff. The CTN serves as a coordination point for collecting and disseminating staff training curriculums and materials developed by the Academy and by state and local correctional agencies.

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

State and local correctional agencies are strongly encouraged to submit curriculum packages for possible inclusion in the CTN collection. Two complete copies (including overheads, videotapes, etc.) are needed, and a copyright release must be included if applicable. If selected, the materials will be distributed for use by other agencies.

For more information, contact the NIC Information Center, 1860 Industrial Circle, Suite A, Longmont, Colorado 80501; telephone 303-682-0213; toll-free 800-877-1461; fax 303-682-0558.

APPLICATION FOR FEDERAL ASSISTANCE

2. DATE SUBMITTED	Applicant Identifier
3. DATE RECEIVED BY STATE	State Application Identifier
4. DATE RECEIVED BY FEDERAL AGENCY	Federal Identifier

1. TYPE OF SUBMISSION:

<i>Application</i>	<i>Preapplication</i>
<input type="checkbox"/> Construction	<input type="checkbox"/> Construction
<input type="checkbox"/> Non-Construction	<input type="checkbox"/> Non-Construction

5. APPLICANT INFORMATION

Legal Name:	Organizational Unit:
Address (give city, county, state, and zip code):	Name and telephone number of the person to be contacted on matters involving this application (give area code)

6. EMPLOYER IDENTIFICATION NUMBER (EIN):

--	--	--	--	--	--	--	--	--	--

8. TYPE OF APPLICATION:

☐ New ☐ Continuation ☐ Revision

If Revision, enter appropriate letter(s) in box(es): ☐ ☐

- A Increase Award B Decrease Award C Increase Duration
D Decrease Duration Other (specify): _____

7. TYPE OF APPLICANT: (enter appropriate letter in box)

- | | |
|---------------------|--|
| A. State | H. Independent School Dist. |
| B. County | I. State Controlled Institution of Higher Learning |
| C. Municipal | J. Private University |
| D. Township | K. Indian Tribe |
| E. Interstate | L. Individual |
| F. Intermunicipal | M. Profit Organization |
| G. Special District | N. Other (Specify) _____ |

9. NAME OF FEDERAL AGENCY:

10. CATALOG OF FEDERAL DOMESTIC ASSISTANCE NUMBER:

--	--	--	--	--	--	--	--

TITLE:

11. DESCRIPTIVE TITLE OF APPLICANT'S PROJECT:

12. AREAS AFFECTED BY PROJECT (cities, counties, states, etc.):

13. PROPOSED PROJECT:

Start Date Ending Date

14. CONGRESSIONAL DISTRICTS OF:

a Applicant

b Project

15. ESTIMATED FUNDING:

a. Federal	\$.00
b. Applicant	\$.00
c. State	\$.00
d. Local	\$.00
e. Other	\$.00
f. Program Income	\$.00
g. TOTAL	\$.00

16. IS APPLICATION SUBJECT TO REVIEW BY STATE EXECUTIVE ORDER 12372 PROCESS?

- a. YES. THIS PREAPPLICATION/APPLICATION WAS MADE AVAILABLE TO THE STATE EXECUTIVE ORDER 12372 PROCESS FOR REVIEW ON

DATE _____

- b. NO. ☐ PROGRAM IS NOT COVERED BY E.O. 12372
☐ OR PROGRAM HAS NOT BEEN SELECTED BY STATE FOR REVIEW

17. IS THE APPLICANT DELINQUENT ON ANY FEDERAL DEBT?

- ☐ Yes If "Yes," attach an explanation. ☐ No

18. TO THE BEST OF MY KNOWLEDGE AND BELIEF, ALL DATA IN THIS APPLICATION/PREAPPLICATION ARE TRUE AND CORRECT. THE DOCUMENT HAS BEEN DULY AUTHORIZED BY THE GOVERNING BODY OF THE APPLICANT AND THE APPLICANT WILL COMPLY WITH THE ATTACHED ASSURANCES IF THE ASSISTANCE IS AWARDED

a. Typed Name of Authorized Representative	b. Title	c. Telephone number
d. Signature of Authorized Representative		e. Date Signed

INSTRUCTIONS FOR THE SF 424

This is a standard form used by applicants as a required facesheet for preapplications and applications submitted for Federal assistance. It will be used by Federal agencies to obtain applicant certification that States which have established a review and comment procedure in response to Executive Order 12372 and have selected the program to be included in their process, have been given an opportunity to review the applicant's submission.

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

BUDGET INFORMATION — Non-Construction Programs

SECTION A — BUDGET SUMMARY

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

SECTION B — BUDGET CATEGORIES

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

SECTION C - NON-FEDERAL RESOURCES

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

SECTION D - FORECASTED CASH NEEDS

13. Federal	Total for 1st Year	1st Quarter	2nd Quarter	3rd Quarter	4th Quarter
	\$	\$	\$	\$	\$
14. NonFederal					
15. TOTAL (sum of lines 13 and 14)	\$	\$	\$	\$	\$

SECTION E - BUDGET ESTIMATES OF FEDERAL FUNDS NEEDED FOR BALANCE OF THE PROJECT

(a) Grant Program	FUTURE FUNDING PERIODS (Years)			
	(b) First	(c) Second	(d) Third	(e) Fourth
16.	\$	\$	\$	\$
17.				
18.				
19.				
20. TOTALS (sum of lines 16 -19)	\$	\$	\$	\$

SECTION F - OTHER BUDGET INFORMATION

(Attach additional Sheets if Necessary)

21. Direct Charges:	22. Indirect Charges:
---------------------	-----------------------

23. Remarks

INSTRUCTIONS FOR THE SF-424A

General Instructions

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

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

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

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

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

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

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

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

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

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

Line 5 — Show the totals for all columns used.

Section B Budget Categories

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

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

Line 6j — Show the amount of indirect cost.

Line 6k — Enter the total of amounts on Lines 6i and 6j. For all applications for new grants and continuation grants the total amount in column (5), Line 6k, should be the same as the total amount shown in Section A, Column (g), Line 5. For supplemental grants and changes to grants, the total amount of the increase or decrease as shown in Columns (1)-(4), Line 6k should be the same as the sum of the amounts in Section A, Columns (e) and (f) on Line 5.

INSTRUCTIONS FOR THE SF-424A (continued)

Line 7 - Enter the estimated amount of income, if any, expected to be generated from this project. Do not add or subtract this amount from the total project amount. Show under the program narrative statement the nature and source of income. The estimated amount of program income may be considered by the federal grantor agency in determining the total amount of the grant.

Section C. Non-Federal Resources

Lines 8-11 - Enter amounts of non-Federal resources that will be used on the grant. If in-kind contributions are included, provide a brief explanation on a separate sheet.

Column (a) - Enter the program titles identical to Column (a), Section A. A breakdown by function or activity is not necessary.

Column (b) - Enter the contribution to be made by the applicant.

Column (c) - Enter the amount of the State's cash and in-kind contribution if the applicant is not a State or State agency. Applicants which are a State or State agencies should leave this column blank.

Column (d) - Enter the amount of cash and in-kind contributions to be made from all other sources.

Column (e) - Enter totals of Columns (b), (c), and (d).

Line 12 - Enter the total for each of Columns (b)-(e). The amount in Column (e) should be equal to the amount on Line 5, Column (f), Section A.

Section D. Forecasted Cash Needs

Line 13 - Enter the amount of cash needed by quarter from the grantor agency during the first year.

Line 14 - Enter the amount of cash from all other sources needed by quarter during the first year.

Line 15 - Enter the totals of amounts on Lines 13 and 14.

Section E. Budget Estimates of Federal Funds Needed for Balance of the Project

Lines 16 - 19 - Enter in Column (a) the same grant program titles shown in Column (a), Section A. A breakdown by function or activity is not necessary. For new applications and continuation grant applications, enter in the proper columns amounts of Federal funds which will be needed to complete the program or project over the succeeding funding periods (usually in years). This section need not be completed for revisions (amendments, changes, or supplements) to funds for the current year of existing grants.

If more than four lines are needed to list the program titles, submit additional schedules as necessary.

Line 20 - Enter the total for each of the Columns (b)-(e). When additional schedules are prepared for this Section, annotate accordingly and show the overall totals on this line.

Section F. Other Budget Information

Line 21 - Use this space to explain amounts for individual direct object-class cost categories that may appear to be out of the ordinary or to explain the details as required by the Federal grantor agency.

Line 22 - Enter the type of indirect rate (provisional, predetermined, final or fixed) that will be in effect during the funding period, the estimated amount of the base to which the rate is applied, and the total indirect expense.

Line 23 - Provide any other explanations or comments deemed necessary.

ASSURANCES — NON-CONSTRUCTION PROGRAMS

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

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

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

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

SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL	TITLE	
APPLICANT ORGANIZATION		DATE SUBMITTED

U.S. DEPARTMENT OF JUSTICE
NATIONAL INSTITUTE OF CORRECTIONS

CERTIFICATION REGARDING
DRUG-FREE WORKPLACE REQUIREMENTS
GRANTEES WHO ARE INDIVIDUALS

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

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

Organization Name (As Appropriate)

Application Number

Printed Name

Signature

Date

U.S. DEPARTMENT OF JUSTICE
NATIONAL INSTITUTE OF CORRECTIONS

CERTIFICATION REGARDING DRUG-FREE WORKPLACE REQUIREMENTS
GRANTEES OTHER THAN INDIVIDUALS

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

The grantee certifies that it will provide a drug-free workplace by:

- (a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;
- (b) Establishing a drug-free awareness program to inform employees about-
 - (1) The dangers of drug abuse in the workplace;
 - (2) The grantee's policy of maintaining a drug-free workplace;
 - (3) Any available drug counseling, rehabilitation, and employee assistance programs; and
 - (4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;
- (c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);
- (d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will -
 - (1) Abide by the terms of the statement; and
 - (2) Notify the employer of any criminal drug statute conviction for a violation occurring in the workplace no later than five days after such conviction;
- (e) Notifying the agency within ten days after receiving notice under subparagraph (d)(2) from an employee or otherwise receiving actual notice of such conviction;
- (f) Taking one of the following actions, within 30 days of receiving notice under subparagraph (d)(2), with respect to any employee who is so convicted -
 - (1) Taking appropriate personnel action against such an employee, up to and including termination; or
 - (2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;
- (g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraph (a), (b), (c), (d), (e) and (f).

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

Organization Name

Application Number

Name and Title of Authorized Representative

Signature

Date

**Certification Regarding
Debarment, Suspension, and Other Responsibility Matters
Primary Covered Transactions
(Direct Recipient)**

Application Number

This certification is required by the regulations implementing Executive Order 12549, Debarment and Suspension, 28 CFR Part 67, Section 67.510, Participants' responsibilities. The regulations were published as Part VII of the May 26, 1988 *Federal Register* (pages 19160-19211).

(BEFORE COMPLETING CERTIFICATION, READ INSTRUCTIONS ON REVERSE)

- (1) The prospective primary participant certifies to the best of its knowledge and belief, that it and its principals:
- (a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal department or agency;
 - (b) Have not within a three-year period preceding this proposal 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 government 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/proposal had one or more public transactions (Federal, State or local) terminated for cause or default.
- (2) Where the prospective primary participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

Name and Title of Authorized Representative

Signature

Date

Name and Address of Organization

Instructions for Certification

1. By signing and submitting this proposal, the prospective primary participant is providing the certification set out below.

2. The inability of a person to provide the certification required below will not necessarily result in denial of participation in this covered transaction. The prospective participant shall submit an explanation of why it cannot provide the certification set out below. The certification or explanation will be considered in connection with the department or agency's determination whether to enter into this transaction. However, failure of the prospective primary participant to furnish a certification or an explanation shall disqualify such person from participation in this transaction.

3. The certification in this clause is a material representation of fact upon which reliance was placed when the department or agency determined to enter into this transaction. If it is later determined that the prospective primary participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.

4. The prospective primary participant shall provide immediate written notice to the department or agency to whom this proposal is submitted if at any time the prospective primary participant learns its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.

5. The terms "covered transaction," "debarred," "suspended," "ineligible," "lower tier covered transaction," "participant," "person," "primary covered transaction," "principal," "proposal," and "voluntarily excluded," as used in this clause, have the meanings set out in the Definitions and Coverage sections of the rules implementing Executive Order 12549.

6. The prospective primary participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency entering into this transaction.

7. The prospective primary participant further agrees by submitting this proposal that it will include the clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion—Lower Tier Covered Transactions," provided by the department or agency entering into this covered transaction, without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.

8. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may check the Nonprocurement List.

9. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.

10. Except for transactions authorized under paragraph 6 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.

**Certification Regarding
Debarment, Suspension, Ineligibility and Voluntary Exclusion
Lower Tier Covered Transactions
(Sub-Recipient)**

This certification is required by the regulations implementing Executive Order 12549, Debarment and Suspension, 28 CFR Part 67, Section 67.510, Participants' responsibilities. The regulations were published as Part VII of the May 26, 1988 *Federal Register* (pages 19160-19211).

(BEFORE COMPLETING CERTIFICATION, READ INSTRUCTIONS ON REVERSE)

- (1) The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals are presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.
- (2) Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

Name and Title of Authorized Representative

Signature

Date

Name of Organization

Address of Organization

Instructions for Certification

1. By signing and submitting this proposal, the prospective lower tier participant is providing the certification set out below.

2. The certification in this clause is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective lower tier participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

3. The prospective lower tier participant shall provide immediate written notice to the person to which this proposal is submitted if at any time the prospective lower tier participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.

4. The terms "covered transaction," "debarred," "suspended," "ineligible," "lower tier covered transaction," "participant," "person," "primary covered transaction," "principal," "proposal," and "voluntarily excluded," as used in this clause, have the meanings set out in the Definitions and Coverage sections of rules implementing Executive Order 12549.

5. The prospective lower tier participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which this transaction originated.

6. The prospective lower tier participant further agrees by submitting this proposal that it will include the clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion—Lower Tier Covered Transactions," without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.

7. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may check the Nonprocurement List.

8. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.

9. Except for transactions authorized under paragraph 5 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

National Institute of Corrections

Mailing Address:
320 First Street, N.W.
Washington, D.C. 20534

Office Address:
500 First Street, N.W., 7th Floor
Washington, D.C. 20534

Telephone: 202-307-3106
Toll-free: 800-995-6423
FAX: 202-307-3361
TDD: 202-307-3156
Financial Management Offices: x120
Grants Control: x159
Prisons Division: x124
Community Corrections Division: x116

National Institute of Corrections Longmont, Colorado, Offices

1960 Industrial Circle, Suite A
Longmont, Colorado 80501
Toll-free: 800-995-6429
FAX: 303-682-0469
Jails Division: 303-682-0639
NIC Academy: 303-682-0382

NIC Information Center

1860 Industrial Circle, Suite A
Longmont, Colorado 80501
Toll-free: 800-877-1461
Telephone: 303-682-0213
FAX: 303-682-0558

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

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

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

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