



# National Institute of Justice

**NIJ**  
**RESEARCH**  
**PLAN**  
**1995-1996**

# From the Director

Dear Colleague:

I am pleased to present the National Institute of Justice Research Plan for 1995-1996.

This Research Plan represents both continuity and change. We have reaffirmed the Institute's commitment to develop knowledge that will assist the Nation in achieving six important goals: reduce violent crime, reduce drug- and alcohol-related crime, reduce the consequences of crime, improve crime prevention, improve law enforcement and criminal justice, and develop new technologies.

This Research Plan is significantly shorter than in previous years. We have described the Institute's research interests in the broadest possible terms, leaving to the research community the important responsibility of recommending specific topics and strategies for funding consideration. This new format underscores our commitment to investigator-defined research.

Other changes are noteworthy. For the first time, the Institute's Plan is defined as a *Research Plan*, not as a Program Plan. The Institute's programmatic initiatives, such as our research fellowships, internships, and collaborations with professional associations, will be described in a separate document. Since we have merged the research and evaluation offices within the Institute, we no longer ask applicants to characterize a proposal as research or evaluation. We have placed a special emphasis on our research partnerships with other Federal research entities and private foundations, encouraging the field to pursue interdisciplinary research proposals and collaborative funding strategies.

Finally, we note in the Plan that the Institute expects to release, by mid-1995, special solicitations for research studies in four topical areas — policing, boot camps, violence against women, and treatment drug courts. In each of these areas, the 1994 Crime Act provided support for continuing innovation at the local level. Accordingly, the Institute is developing separate research and evaluation strategies to inform the development of these important innovations and to assess the effectiveness of specific initiatives. Within the same timeframe, we also expect to release a solicitation for proposals to evaluate specified programs funded by the Bureau of Justice Assistance.

We value our partnership with the research and practitioner communities. We encourage you to contact us to ask questions, seek advice, or provide feedback on the Research Plan itself. Your views matter to us.

We look forward to fruitful collaborations in the months and years to come.

**Jeremy Travis**  
Director

NIJ  
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National Institute of Justice

# **National Institute of Justice**

Jeremy Travis  
Director

This document reflects the significant contributions of all the National Institute of Justice staff, whose names appear on page iv of this document.

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For information about the Violent Crime Control and Law Enforcement Act of 1994 (Crime Law), contact the Department of Justice Response Center, at (202) 307–1743 or (800) 421–6770.

For substantive questions regarding specific Goals, please contact the appropriate Program Manager. Names and telephone numbers of all Program Managers are listed at the end of each Goal.

To inquire about NIJ receipt of applications, contact Louise Loften, at (202) 307–2965.

For general information about NIJ programs and funding opportunities, and application procedures; for requests for reprints, literature, final reports, funded grants on related topics, etc.; for names of researchers or practitioners working on related topics, contact the National Criminal Justice Reference Service (NCJRS), at (800) 851–3420.

The NIJ 1995–96 Research Plan is also available electronically via the National Criminal Justice Reference Service Bulletin Board System. You can access the Bulletin Board through the Internet (telnet to ncjrsbbs.aspensys.com or gopher to ncjrs.aspensys.com 71) or through a modem (set at 9600 baud and 8–N–1; dial 301–738–8895). The NIJ Research Plan is listed under the “National Institute of Justice Information” menu.

For Internet access information, e-mail [lively@justice.usdoj.gov](mailto:lively@justice.usdoj.gov).

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# Introduction

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

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

This Plan signals the new administrative direction that NIJ will follow to achieve its research and evaluation goals. Conceptually, the Plan is the basis of NIJ's pyramid of research. It will be supplemented over the coming months by a series of solicitations on topics that speak to current or persistent policy concerns that warrant research investments. By their nature, those solicitations will represent a somewhat more focused part of this pyramid. Intramural studies are at the apex of the research pyramid. Questions with strong policy orientation or immediate concern may best be addressed by NIJ staff who can interact directly with the policymakers asking the questions.

Readers of prior NIJ Plans will find that this Plan has been substantially shortened. Much of the traditional background text has been discarded; suggested research topics have been reduced from paragraphs to phrases. This change in style, however, implies no change in the kinds of research being sought. NIJ believes that this abbreviated format is more consistent with the spirit and

intent of the Plan as a vehicle to encourage the field to submit original ideas on a wide range of research issues.

Focused solicitations will appear intermittently over the next year. These will address more specific topics for which special funding is available. Certain activities funded under the Violent Crime Control and Law Enforcement Act of 1994 (Crime Law) will be focal points—specifically, community policing, violence against women, boot camps, and drug courts—as will evaluations of selected Bureau of Justice Assistance programs. NIJ will also initiate solicitations in collaborative arrangements with other Federal agencies, as well as for topics that NIJ believes merit special attention for the development of knowledge. These solicitations will be announced through the *Federal Register* and other NIJ communications channels including the Internet (the Department of Justice and NCJRS Online) and special mailings. Interested applicants should telephone the National Criminal Justice Reference Service (NCJRS) at 800-851-3420 or e-mail [askncjrs@ncjrs.aspensys.com](mailto:askncjrs@ncjrs.aspensys.com) for pending releases and dates of announcement.

Partnerships are another new priority for the Institute. NIJ believes that many of today's crime problems require solutions that extend beyond criminal justice boundaries. The Institute has been active in discussions with other Federal agencies and private foundations and has established a variety of collaborative relationships. Some of these will manifest themselves in the form of special solicitations on specific topics or programs. Others will simply encourage collaborative or interdisciplinary research and offer the prospect of joint funding. Still others will result in the development of shared research agendas. NIJ encourages researchers from all disciplines to explore the opportunities for collaborative efforts presented in this Plan and subsequent announcements, and to propose arrangements that they are able to construct beyond those mentioned. NIJ

particularly encourages coordination of research applications with submissions in other OJP agency Plans.

An organizational change has also occurred. The factors that distinguish “research” from “evaluation” are subtle and secondary to the substance of the issues. Therefore, the Institute has merged these functions into a single Office of Research and Evaluation that will review submissions for both areas. The Plan invites proposals for a range of funding amounts. It includes a category of small grants (less than \$50,000) across all goals and subjects. Readers should consult the administrative sections of the Research Plan for additional information on the differences in application requirements.

## **Six Strategic Long-Range Goals**

In FY 1993, the Institute set forth six long-range goals as the focus of NIJ research, evaluation, and development in the coming years. The creation of this long-range agenda was well received; a large number of research and evaluation proposals were submitted, providing an interdisciplinary framework for 1994.

In this 1995-96 Research Plan, the Institute specifies the research, evaluation, and technology projects that NIJ anticipates supporting under each goal. The numeric order of the goals does not indicate levels of priority for the Institute.

Many of the special grant programs for individuals—such as the Data Resources Program, various Fellowship programs, the NIJ Internship Program—are now described in a separate publication, which will be announced in the *Federal Register*.

NIJ solicits research and evaluations to develop knowledge that will further these long-range goals:

- I. Reduce violent crime.
- II. Reduce drug- and alcohol-related crime.

III. Reduce the consequences of crime.

IV. Improve the effectiveness of crime prevention programs.

V. Improve law enforcement and the criminal justice system.

VI. Develop new technology for law enforcement and the criminal justice system.

Studies that involve the use of randomized experimental designs are encouraged, as are multiple strategies for data collection, and well-controlled, quasi-experimental designs and equivalent comparison group designs. Qualitative studies, including ethnographic data collection, are also encouraged.

## **Research Collaborations**

NIJ encourages joint research and evaluation projects with other Federal agencies and private foundations interested in crime and criminal justice issues. Applicants may wish to consider whether their proposed project might lend itself to joint funding with another agency or foundation. Applicants interested in exploring possible partnerships should contact the potential partner agency directly, or the relevant NIJ program manager, to discuss specific topics for possible collaborative projects. NIJ has entered into memorandums of agreement or is in other ways collaborating with the Departments of Defense, Education, Energy, Health and Human Services, Housing and Urban Development, and Treasury. Agencies and foundations that have indicated a desire to collaborate with NIJ on projects of mutual interest, or are currently involved in joint research efforts with NIJ, include:

### **Agencies**

Advanced Research Projects Agency (DOD)  
Bureau of Alcohol, Tobacco, and Firearms  
Bureau of Justice Assistance  
Centers for Disease Control and Prevention  
Center for Mental Health Services

Center for Substance Abuse Treatment  
Corrections Program Office (OJP)  
Drug Courts Program Office (OJP)  
National Aeronautics and Space Administration  
National Institute of Mental Health  
National Institute on Alcohol Abuse and Alcoholism  
National Institute of Corrections  
National Institute on Drug Abuse  
National Science Foundation  
Office of Community-Oriented Policing Services (DOJ)  
Office of Juvenile Justice and Delinquency Prevention  
Office of Assistant Secretary for Planning and Evaluation (HUD)  
Office of National Drug Control Policy  
Office for Victims of Crime  
State Justice Institute  
Violence Against Women Program Office (OJP)

## **Foundations**

The Annie E. Casey Foundation  
The Carnegie Corporation of New York  
The Ford Foundation  
The Daniel and Florence Guggenheim Foundation  
The J.C. Kellogg Foundation  
John D. and Catherine T. MacArthur Foundation  
The Pew Charitable Trusts  
The Prudential Foundation  
The Ronald McDonald Foundation  
The Rockefeller Foundation

The Institute cannot guarantee that joint funding for research and evaluation projects will be forthcoming from these sources. Applicants should consider whether their proposals are in accord with the goals of these agencies and private foundations.

Specific information about applying for Institute grants is contained in the section “Administrative Guidelines.” See p. 23 of this Plan.

# Goal I: Reduce Violent Crime

## Purpose

The purpose of this solicitation is to encourage research and evaluation projects spanning six broad areas: family violence, violence against women, homicide, firearms and violence, gangs, and juvenile violence. Through this solicitation the National Institute of Justice (NIJ) expects to support research that will improve the criminal justice knowledge base on crimes and criminal behavior that increasingly concern the public.

## Background

Violent crime is a leading concern among the American public today. According to the National Crime Victimization Survey (NCVS), in 1992 there were 6.6 million violent victimizations in the United States—including 141,000 rapes, 1.2 million robberies, and 5.3 million assaults. The violent crime rate is steadily increasing, especially among juveniles, and in 1992 was the highest ever recorded for blacks; homicide is now the leading cause of death for young black males.

Handguns are a major factor in the increasing violence, especially in the commission of homicide. Of the 23,760 murders reported to the FBI in 1992, handguns were used in 55 percent. One of the most critical issues in any consideration of ways to reduce violence and its consequences is the role firearms play in contributing to violent crime, serious injury, and death. The NCVS estimates the rate of nonfatal handgun victimizations in 1992 at 4.5 crimes per 1,000 persons aged 12 or older—the highest such figure on record. Findings from an NIJ and Office of Juvenile Justice and Delinquency Prevention (OJJDP) study of incarcerated juveniles and inner-city high school students showed that 83 percent of inmates and 22 percent of students had possessed guns, with 55 percent and 12 percent respectively having carried guns all or most of the time.

Between 1988 and 1992, arrests of juveniles for violent crimes increased by 47 percent—more than double the increase for persons 18 years of age or older. Over the same period, juvenile arrests for homicide increased by 51 percent and statistics on weapons law violations indicate that juvenile use of guns has increased dramatically.

Spousal abuse commonly comes to mind when violence against women is discussed, but violence against women is much broader. According to the NCVS, more than 2.5 million women experience violence each year; nearly two in three female victims of violence were related to or knew their attacker; about a third were injured as a result of the crime; nearly half the victims of rape believed the offender to have been under the influence of drugs or alcohol at the time of the attack. The issue has emerged as a topic of national interest and led to the inclusion of the Violence Against Women Act (VAWA) in the 1994 Crime Law.

The Crime Law contains many other provisions directed toward the prevention, control, and reduction of violent crimes—enhancements for law enforcement, correctional facilities, and drug treatment options; restrictions on firearms; provisions to deal with juvenile crime and gangs; and increases in the programs and research about family violence as well as violence against women.

Through this general solicitation NIJ encourages studies that will address these areas of broad general concern and that examine the specific priorities identified in the 1994 Crime Law, particularly with regard to violence among juveniles and the illegal possession and use of firearms. The Institute is especially interested in filling critical gaps in current knowledge and identifying and evaluating existing programs of crime prevention and control.

## Research Areas of Interest

Listed below are examples of research areas that could advance criminal justice knowledge and practice under Goal I of the NIJ Research Plan. Individuals are encouraged to suggest their own topics of interest. Research is encouraged in, but not limited to, the following areas:

❖ **Studies of Offenders and Offenses.** Criminal careers of offenders who engage in violent crime, including risk and protective factors, and initiation, frequency, and termination patterns. Studies of specific offenses and offenders, including robbery, sexual assault, child sexual assault, stalking, and homicide. Offender perceptions of criminal justice response to violent offenders. Juvenile violence, including escalation patterns, racial conflicts, and influence of peers and gangs. Family violence involving intimate partners, spouses, children, and elders.

❖ **Violent Situations.** Role of gangs and group offending in criminal violence. Studies of patterns in violent events, including triggering events, situational elements, and predisposing influences. Protective factors in neighborhoods and communities at high risk of violence. Violence in specific situations and locations including schools, families, recreational settings, and the workplace.

❖ **Firearms Violence.** Adult and juvenile patterns of gun availability, sources of guns, and use in violent crime. Role of illegal markets in weapons on patterns of firearms violence, especially among juveniles. Impact of firearms laws on gun crimes, substitution of other weapons, and offense patterns. Feasibility studies of innovative firearms regulations.

❖ **Responses to Violent Offenders.** Differentiating system responses to violence from responses to other crimes. Violence prevention. Evaluation of innovative programs and practices. Evidentiary concerns, including uncooperative witnesses. Management of violent offenders on probation and parole including risk assessment, treatment programs, and community supervision.

❖ **Violence Against Women.** **Note:** NIJ is not receiving applications for research on violence against women under the June and December 1995 deadlines. Instead, researchers should await the special solicitation to be issued in 1995, as noted in the Introduction to this Plan.

## Contact

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

Bernard Auchter, (202) 307-0154, for family violence and violence against women.

Lois Mock, (202) 307-0693, for firearms violence.

Winifred Reed, (202) 307-2952, for gangs.

James Trudeau, (202) 307-1355, for studies of offenders and offenses, violent situations, and responses to violent offenders.

# Goal II: Reduce Drug- and Alcohol-Related Crime

## Purpose

The purpose of this solicitation is to encourage research and evaluation projects that will improve the criminal justice knowledge base about crimes and criminal behavior involving the use of drugs and alcohol. Through this solicitation the National Institute of Justice (NIJ) seeks to clarify further the relationship between substance abuse and crime and to reduce drug- and alcohol-related crime.

## Background

Substance abuse and drug-related crimes continue to affect the lives of countless Americans residing in both urban and rural neighborhoods across the Nation. NIJ's Drug Use Forecasting (DUF) data show an increase in marijuana use and relatively stable but high levels of major addictive substance use among booked arrestees in the 23 urban areas monitored by DUF. Recent data from the Drug Abuse Warning Network (DAWN) indicate that the use of heroin and cocaine is on the rise. Efforts to prevent and reduce drug-related crime, and thereby improve the quality of life in these areas, continue to occupy the criminal justice community.

Alcohol is used by both offenders and victims in a significant proportion of violent events, with documented connections between both situational and chronic drinking and aggressive or violent behavior. The National Academy of Sciences Panel on the Understanding and Control of Violent Behavior has called for more research into the role of alcohol in promoting violent events, particularly since little is known about how alcohol and violence may reinforce one another or how the alcohol-violence relationship may vary depending on type of violence.

The criminal justice system is the largest single source of external pressure influencing abusers who otherwise would not enter substance abuse treatment programs. Half or more of the admissions to community-based residential and outpatient substance abuse treatment programs are offenders on probation or parole. Criminal justice referral to treatment relieves courts and prisons of overcrowding and reduces the high cost of continued incarceration, while providing an added degree of supervision beyond what probation or parole offices may be able to afford. When successful, treatment further reduces criminal justice costs by breaking the pattern of recidivism that brings typical substance abusers back into the criminal justice system again and again.

Research on criminal justice-involved populations suggests that substance abuse treatment can be effective in reducing substance abuse and criminal activity while the client is in treatment and for some time thereafter. As substance abuse programs are implemented, it is important to provide critical feedback on how they are working and for whom they are most effective. It is also important to determine how best to provide treatment—through public criminal justice agencies or through private treatment agencies under contract.

Substance abuse prevention programs continue to proliferate in response to public concerns. Comprehensive substance abuse programs for youths can promote anti-drug social norms and thereby reduce or prevent the use of cigarettes, alcohol, marijuana, heroin, and cocaine. NIJ seeks to evaluate comprehensive community-based substance abuse programs that develop partnerships among criminal justice and schools, health centers, families, peers, and media.

NIJ's Drug Use Forecasting (DUF) program gathers offense and drug use information from samples of adult and juvenile arrestees at 23 sites nationwide, providing access to a national sample of arrestees within hours of arrest. Along with a brief, voluntary interview, urine specimens are obtained to test for evidence of recent use of drugs. For 7 years, data from NIJ's DUF program have traced the trends in drug use among persons arrested for a wide range of offenses. Beginning in 1995, NIJ solicits proposals that capitalize and expand upon the research potential provided through the DUF program's quarterly collection of interviews and urine specimens from samples of adult and juvenile arrestees brought to jails in 23 cities nationwide.

Researchers are encouraged to develop proposals that present innovative ways of utilizing the DUF program as a research "platform" for pursuing a wide range of hypotheses related to drug use and criminal activity. For instance, in collaboration with existing DUF sites, the basic data collection protocol could be supplemented with additional interview assessments or bio-assays. NIJ is also interested in proposals that examine specific research questions by applying the DUF protocol to targeted samples of arrestees such as those in suburban or rural jails, or those arrested for specific offenses.

## Research Areas of Interest

Listed below are examples of research areas that could advance criminal justice knowledge and practices under Goal II of the NIJ Research Plan. Individuals are encouraged to suggest their own topics of interest. Research is encouraged in, but not limited to, the following areas:

❖ **Substance Abuse and Criminal Behavior.** Relationships between drugs, alcohol, and violence, including the individual and environmental circumstances. Relationship between substance abuse and related criminal behavior of all types, including family violence. Understanding substance abuse careers and how they track

with criminal careers over time. Inventory of the validity, scope, and gaps in current substance abuse data sets.

❖ **Substance Abusing Offenders and the Criminal Justice System.** Impact of pretrial services, adjudication, sentencing, and corrections (including community corrections) programs. Effect of strategies implemented in one segment of the system on the rest of the system. Offender attitudes, perceptions, and experiences as they move through particular components/programs. Effective use of a series of graduated sanctions for noncompliance behaviors. (For research on treatment drug courts, see page 16.)

❖ **Substance Abuse Prevention.** Cost benefit analyses. Impact of criminal justice-based strategies on later substance abuse and other related criminal behavior. Development and identification of demand-reduction strategies and programs for high-risk populations.


❖ **Treatment and Aftercare Evaluations.** Assessment of treatment drop-outs. Determination of the optimal mix of various treatment and aftercare components for various criminal justice populations.

❖ **Drug Use Forecasting (DUF) Research Platform Initiatives.** Expansion of adult and juvenile research protocols to address additional research questions such as drug market analysis, drug treatment history of arrestees, the onset of drug use among arrestees, the relationship between drug acquisition and other criminal activities, and the role of alcohol and drug consumption in the commission of crimes.

❖ **Drug Enforcement.** Research on the effectiveness of interdiction efforts and control strategies such as increased penalties for drug trafficking in prisons and drug dealing in drug-free school zones.

## Contact

Applicants are encouraged to contact NIJ Program Managers to discuss topic viability, data



availability, or proposal content before submitting proposals. To obtain specific information on the programs described under this goal, potential applicants may contact:

Laurie Bright, (202) 616-3624, for substance abuse research and evaluations related to the criminal justice system.

Thomas E. Feucht, (202) 307-2949, for substance abuse research related to DUF research platform initiatives.

James Trudeau, (202) 307-1355, for substance abuse research related to criminal behavior.





# Goal III: Reduce the Consequences of Crime

## Purpose

The purpose of this solicitation is to encourage research and evaluation projects that explore the causes of victimizations, their consequences in injury, fear, property damage, and other forms of cost; and the institutional responses of criminal justice agencies to victims. In addition to individual victims, the Institute is interested in the ways that households, organizations, and communities become victims, and how victimizations harm and otherwise alter daily functioning. NIJ is also interested in how victim service institutions can best serve victims to reduce the harm done. The goals of the research solicited are to understand how natural circumstances can lead to victimizations, as well as the nature and extent of harm caused by crime, and to use these findings to reduce both victimization risk and severity.

## Background

The extent of criminal victimization within the United States is disturbing: In 1992, approximately 1 in every 4 households was victimized by 1 or more crimes, and 1 in 20 had at least one member age 12 or older who was the victim of a violent crime. Violent crime victimization rates, after declining through most of the 1980's, have again begun to increase, most notably among blacks and persons ages 12–24.

National public opinion surveys consistently indicate that crime has displaced other issues as the Nation's most serious concern. In a 1994 New York Times/CBS News nationwide telephone poll, 23 percent of respondents listed crime as "the most important problem facing this country today," and 40 percent said they live within a mile of an area where they would be afraid to walk alone at night.

The harm of victimization includes injury, dollar loss, and a pervasive sense of insecurity that disrupts and truncates the victim's daily activities and satisfactions. This harm also touches those close to or acquainted with the victim. The victim's needs are imperfectly understood by researchers and practitioners and are inadequately responded to by available programs of assistance. The victim's dealings with the criminal justice system often compound the damage rather than serving to restore the victim and create a sense of justice.

We are limited in our understanding of the antecedents and causes of victimization. "Routine activities" research—that includes the victim along with the offender, environment, and "guardians"—has the potential to improve the validity and effectiveness of crime prevention programs. Such research might examine specific types of victims, specific activity domains, or specific locations. A special emphasis might be topics suggested by the Violence Against Women Act, which is discussed in Goal I.

The effects of crime reach far beyond their impact on individuals and households, extending into businesses, public housing areas, neighborhoods, and ultimately into entire communities. Within the community, violent crime, gangs and the threat they pose, vandalism, drugs, and disorder may cause businesses to close or relocate, reduce employment and shopping opportunities, and decrease property values. Where this grim process is not interrupted, urban neighborhoods and communities decay, investments dwindle or disappear, and law-abiding residents and their organizations move out.

Crimes against business range from the armed robbery of a neighborhood grocery to the electronic swindle of an international corporation

and include such offenses as the theft of cash or property (by customers, employees, and suppliers), burglary, vandalism, billing scams, embezzlement, extortion, computer hacking, hijacking of shipments, kidnaping, arson, and theft of intellectual property. The cost of crime to business is, of course, ultimately borne by consumers, employees, and residents of areas that experience a decline because of crime's effect on local business.

Through this general solicitation NIJ encourages studies that will address these critical areas of citizen concern. The Institute is particularly interested in research that advances our knowledge of the extent and consequences of criminal victimization in the following areas: assessing the harm caused by victimization, improving the delivery of services to victims and their treatment by the criminal justice system, increasing our understanding of the causes and means of prevention of victimization, improving data about the victimization of businesses, and the effects of crime and victimization on the delivery of services in affected areas.

## Research Areas of Interest

Listed below are examples of research topics that will advance criminal justice knowledge of the extent, causes, and consequences of criminal victimization under Goal III of the NIJ Research Plan. Individuals are encouraged to suggest their own topics of interest. Research is encouraged in, but not limited to, the following areas:

- ❖ **Assessing Victim Needs.** Diagnostic instruments for use by victim services providers that would assist staff intake assessment of victim harm and required services. Victim-based evaluations of services.
- ❖ **Program Evaluations.** Evaluations of victim services programs in such areas as restorative

justice, use of computers by victim services, incorporation of victim services in community policing, programs tailored to victims with special needs, including child victims, and local program compliance with victim services mandated by State legislation.

- ❖ **Criminal Justice System Response to Victims.** How treatment of victims and witnesses by the criminal justice system affects the public's willingness to cooperate with the system at all stages of its processes.

- ❖ **Victimization Patterns.** How routine activities, behavior, perceptions, and knowledge interact with situational variables and offender behavior to increase or lower the risk of victimization. Knowledge that can contribute to reducing the level of victimization.

- ❖ **Impact of Crime on Business.** The quality of data on the costs of victimization of business, its customers, suppliers, and employees, and the community. Priorities for new data collection and the utility of the data for combating crimes against business.

- ❖ **Impact of Crime on Service Delivery.** Effects of fear of crime and victimization on the ability of communities, public agencies, and nonprofit organizations to provide services and meet the needs of residents of affected neighborhoods.

## Contact

Applicants are encouraged to contact NIJ Program Managers to discuss topic viability, data availability, or proposal content before submitting proposals. To obtain specific information on the programs described under this goal, potential applicants may contact Richard Titus, at (202) 307-0695.

# Goal IV: Improve the Effectiveness of Crime Prevention Programs

## Purpose

The purpose of this solicitation is to encourage research and evaluation projects that will increase the safety of individuals within families, and in schools, businesses, workplaces, and community environments; that will advance the knowledge of criminal justice practitioners and help prevent crime and criminal behavior, and develop and improve crime prevention programs. NIJ seeks research and evaluations aimed at preventing involvement in crime, and individual, community, and workplace efforts to improve safety and security.

## Background

Crime prevention takes many forms. NIJ research in crime prevention continues to focus on potential offenders, potential victims, and particular locations and emphasizes both individual and community responses to crimes that occur in various settings. There is a need to examine how certain characteristics of neighborhoods, households, schools, businesses, public housing developments, parks and other public areas promote or constrain criminal activity. It is equally important to study populations that may be especially vulnerable, or invulnerable, to crime in those locations. It is also important to examine crime prevention programs and strategies in the context of the communities and jurisdictions in which they are found.

Crime prevention can and should focus on deterring potential offenders by formulating strategies directed at high-risk groups that are likely to become involved with the criminal justice system. NIJ research emphasizes prevention strategies that may influence the attitudes and behaviors of persons living in high-risk environments by addressing their needs in a comprehensive manner and by promoting positive and constructive forms of behavior. This approach to crime prevention

requires the coordination of mutually reinforcing efforts that involve the family, school, and community as crime prevention agents. Research has shown that efforts to assist youths at risk are more likely to be effective when they start early and provide forms of intervention based on an understanding of the developmental processes that influence the attitudes and behavior of youths over time.

Crime prevention programs can also focus on potential victims of crime and ways to prevent their victimization. A major issue in prevention research is how to influence the behavior of individuals, households, organizations, and community groups. Lessons learned in studies of citizen patrols, changes in physical design, the relationship between fear and physical signs of disorder, and the redeployment of police officers, have all been incorporated in national crime prevention campaigns and in the development of programs and strategies designed to reduce crime victimization. Citizens and community groups can accept and respond to the challenge of shared responsibility for community security. Diverse crime prevention efforts undertaken include means of preventing victimization as well as ways of addressing the personal and social needs of victims resulting from crime and drug abuse. In addition, citizen and community anti-crime efforts are more likely to be effective when they are part of a comprehensive approach to neighborhood problem solving that involves citizens in a partnership with police and other municipal agencies.

We have learned that crime can be reduced through the proper design and effective use of environmental crime prevention methods in commercial sites, public and private housing, recreational areas, and transportation systems. Research has underscored the importance of incorporating environmental strategies as key components of community crime prevention programs.

One possible way to protect people from crime is to develop a more thorough understanding of such factors about offenders as how they select their victims and targets; their modus operandi during the commission of an offense, including any involvement with co-offenders; their methods of disposing of noncash proceeds from crime; their perceptions of the opportunity structure of different locations, environments, and situations; and their perceptions of the criminal justice system's effectiveness in apprehending and prosecuting them.

## Research Areas of Interest

Listed below are examples of research areas that could advance crime prevention knowledge and practice under Goal IV of the NIJ Research Plan. Individuals are encouraged to suggest their own topics of interest. Research is encouraged in, but not limited to, the following areas:

❖ **Crime Prevention Programs for High-Risk Youths.** (In coordination with the Office of Juvenile Justice and Delinquency Prevention.) Development of methods that foster positive and constructive forms of behavior. Focus on resilient youth and families. Interaction between community, family and individual factors in promoting positive behavior.

❖ **Developing Community-Based Crime Prevention Partnerships.** Identification of factors that enhance or diminish partnerships. Development and testing of strategies to revitalize and reclaim high-crime areas. Ways to organize community resources in an integrated manner. How to develop useful problem-solving strategies.

❖ **Location-Specific Crime Prevention Programs.** Schools and routes to and from school. Public housing. Commercial settings. Parks and recreation facilities. Parking lots. Use of traffic

barriers for crime and drug prevention. Understanding the actions and responses of potential victims and offenders in these and other settings. (See Goal III: "Routine Activities and Victimization" for a description of victim-related research using the routine activities approach). Focus on environmental and design features. Focus on a comprehensive approach.

❖ **Crimes and Offender Behavior.** Offender daily activity patterns. Offense selection and planning. Target and victim selection. Modus operandi during the commission of an offense including co-offending. Disposition of noncash proceeds from crime. Offender perception of criminal justice system effectiveness. Disruption of stolen property markets.

❖ **Crime By and Related to Illegal Aliens.** Recruitment, transportation, and smuggling of illegal aliens into the United States. Provision of false documentation to illegals. Employers' role in committing crimes related to hiring illegals and fostering crime among illegal aliens.

## Contact

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

Rosemary Murphy, (202) 307-2959, for school-based prevention programs, crime prevention in public housing, crime prevention partnerships and prevention for high-risk youths.

Richard Titus, (202) 307-0695 for location specific prevention (except schools and public housing), crimes and offender behavior, and crime by and related to illegal aliens.

# Goal V: Improve Law Enforcement and the Criminal Justice System

## Purpose

The purpose of this solicitation is to encourage efforts in research and evaluation that will advance criminal justice knowledge in the areas of policing, prosecution, defense, adjudication, and corrections. The primary focus of research and evaluation under this goal is improvement of the efficiency, effectiveness, and fairness of the system. Certain types of cases, however, take priority. These involve violent juvenile and adult offenders, drug and alcohol abusers, and family violence offenders. Also of interest are the consequences of decisions and practices in one part of the system on other criminal justice agencies and on related social service agencies. Through this solicitation, NIJ also seeks a greater understanding of the relationship among the offender, victim, and the criminal justice system. All issues surrounding the case are of interest, but projects that focus on an issue from the perspective of the various participants—prosecutor, defender, judge, legislator—are encouraged.

## Background

Each part of the criminal justice system faces new challenges. Juvenile arrests for violent crimes increased by 47 percent between 1988 and 1992; juvenile arrests for homicide increased by 51 percent during the same period. FBI data indicate that juvenile use of guns has risen dramatically. Prosecutors nationwide note that youthful offenders are being brought to their offices in increasing numbers.

The Nation's prison and jail population reached 1 million in the past year, with more than 5 million persons under some form of correctional supervision. Data from jails and prisons show a high incidence of substance abuse disorders among inmates. Approximately 70 percent of jail detainees have a history of substance abuse; 56 percent

were under the influence of drugs or alcohol at the time of arrest.

A significant proportion of inmates with drug abuse problems have a high prevalence of other disorders. About 75 percent of inmates with mental disorders, for example, are also substance abusers. Other inmates abuse both drugs and alcohol. Few programs exist for such inmates who have special needs. In most State prison systems, for example, inmates may receive services from *either* mental health *or* substance abuse programs but not from programs designed to treat those with both conditions.

The 1994 Crime Law encourages innovations to improve criminal justice effectiveness in many of these areas, including community policing; prison construction and construction of alternative facilities such as boot camps for nonviolent offenders; and drug courts that combine court-supervised abstinence with outpatient treatment and sanctions for those who fail to comply. NIJ expects to issue separate solicitations for research in these areas by mid-1995.

White collar and organized crime pose a serious threat to the stable and orderly functioning of society. These complex and sophisticated crimes threaten our economic stability, corrupt legitimate institutions, and undermine the public respect for government and law.

Research is also needed on the consequences of the decisionmaking process within the criminal justice system. Much criminal justice research has been specific to a single criminal justice agency, such as the decisions of police in using deadly force, charging decisions and plea bargaining practices of prosecutors and use by judges of intermediate sanctions. However, such studies rarely focus on the relationship among police, defense attorneys, public prosecutors, and judges in plea or sentence bargaining.

Moreover, much research on criminal justice evaluates effectiveness in terms of standards internal to a particular agency rather than the consequences that decisions and practices in one part of the system have for other components in the system or on system processes. There are studies of jail and prison overcrowding and of early release as a result of judicially mandated standards for maintaining correctional facilities, but little is known about their consequences for the criminal careers of offenders who have been released early. Likewise, there is little research on the effect of sentence length or a given type of sentence for any given offense.

Relatively little is known about how different kinds of crime are detected and selected by social service and other agents and the processes by which they are referred to law enforcement. NIJ seeks research addressing these broader issues.

## Research Areas of Interest

Listed below are examples of research topics that could advance criminal justice knowledge under Goal V of the NIJ Research Plan. Individuals are encouraged to suggest their own topics of interest. Research is encouraged in, but not limited to, the following areas:

### Law Enforcement

**Note:** NIJ is not receiving applications for policing research against the June and December 1995 deadlines. Instead, researchers should await the special solicitation to be issued in 1995, as noted above.

### Prosecution, Defense, and Adjudication

❖ **Issues at the Pretrial Stage.** Effective release and detention decisions, charging decisions, and diversion decisions. Effective responses to witness intimidation. Impact of variations in discovery policy.

❖ **New Approaches.** Specialized courts, e.g. domestic violence, firearms offenses. Community courts. Restorative justice. Community-based prosecution and defense services.

❖ **Drug Courts. Note:** NIJ is not receiving applications for research on drug courts under the June and December 1995 deadlines. Instead, researchers should await the special solicitation to be issued in 1995, as noted above.

❖ **Juvenile Justice.** (In coordination with the Office of Juvenile Justice and Delinquency Prevention.) Juvenile case processing, emphasizing waiver to adult courts. Diversion to noncriminal justice programs. Postarrest preconviction programs for chronic, serious juvenile offenders.

## Community and Institutional Corrections

❖ **Boot Camps. Note:** NIJ is not receiving applications for research on boot camps under the June and December 1995 deadlines. Instead, researchers should await the special solicitation to be issued in 1995, as noted above.

❖ **Sanctions and Punishments.** Operating community-based sanctions as a system. Prosecutors' role in intermediate sanctions. Innovative programs in domestic violence, child abuse, firearms.

❖ **Meeting Offender Needs.** Offenders with mental health and drug addiction conditions. Creating parity in services for incarcerated women. Coordinating transitional care and community reintegration.

❖ **Preserving Safety.** Planning and managing "super" maximum security prisons. Managing juvenile offenders in adult facilities. Correctional officer health and safety risks.

❖ **Managing Change.** Understanding the impacts of prison expansion. Correctional management of changing inmate populations. Inmate and correctional officers' safety. Managing offenders in the community.

## Systemwide Issues

- ❖ **Consequences of Decisions on System Responses.** The impact that reforms or major resources changes in one part of the system may have on another. Perceived fairness of the criminal justice system, particularly in minority communities, and appropriate responses by criminal justice professionals.
- ❖ **Sentencing.** Costs and benefits of various State sentencing reforms. Impact of sentencing policy changes on prosecution, defense, and the courts, e.g. “truth in sentencing” and “three strikes” legislation, abolition of parole, mandatory minimums, enhanced sentencing schemes for juvenile offenders.
- ❖ **Illegal Aliens.** U.S. policy toward arrested illegal aliens. Impact on local criminal justice system. Links with immigration. Management of foreign language populations in correctional settings.
- ❖ **White Collar and Organized Crime.** For White Collar Crime, research on the prevention and control of health care fraud, insider insurance fraud, and environmental crime, including regulatory issues, detention, investigation, and prosecution. For Organized Crime, research on the criminal justice response to international organized

crime networks and enterprise, and organized crime corruption of legitimate industries and markets.

## Contact

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

Lois Mock, (202) 307-0693, and Winifred Reed, (202) 307-2952, for policing.

Bernard Auchter, (202) 307-0154, for adjudication.

Laurie Bright, (202) 616-3624, for prosecution and defense.

Voncile Gowdy, (202) 307-2951, for corrections and sanctions.

Richard Titus, (202) 307-0695, for illegal aliens and the criminal justice system.

Lois Mock, (202) 307-0693, for white collar and organized crime.





# Goal VI: Develop New Technology for Law Enforcement and the Criminal Justice System

## Purpose

The purpose of this solicitation is to encourage technological development projects that will improve the operational efficiency of the criminal justice system. Through this solicitation the National Institute of Justice (NIJ) expects to support research that will enhance the safety and effectiveness of law enforcement and correctional officers and other officers of the court.

## Background

Science and technology programs cut across the entire range of criminal justice issues and goals at NIJ; programs already in progress or in the early stages of planning and development promise to provide significant benefits in the 21st century. The Institute's science and technology mission is accomplished through three major program areas: the collection and dissemination of technical information, the development of standards and operation of an equipment testing program, and a research and development grants program.

To strengthen the collection and dissemination of technology information, NIJ is developing the capabilities of the National Law Enforcement Technology Center (NLETC) (the former Technology Assessment Program Information Center) and establishing regional law enforcement technology centers. The purpose of these centers is to provide criminal justice professionals with information on available technology, guidelines and standards for these technologies, and technical assistance in implementing them. These centers will be linked through a Technology Information Network (TIN) to provide Federal, State and local agencies with objective, reliable, and timely information on technologies and equipment,

such as who are the producers and users; where high-cost, seldom-used equipment can be borrowed for temporary or emergency situations; what the current equipment standards are; tests and evaluations; and what safety, health, or procedure bulletins have been issued. The TIN will also link the centers with the current Regional Information Sharing Service (RISS) that will then create an overall law enforcement technology exchange network. NIJ is also in the process of establishing an Office of Law Enforcement Technology Commercialization (OLETC) to help bring technology to the market place for criminal justice procurement.

One of the most significant developments of NIJ's criminal justice technology and standards program was the development of soft body armor for police officers and standards governing its manufacture and sale. NIJ has also developed standards for vehicle tracking devices, security systems for doors and windows, breath alcohol testing, autoloading pistols, mobile antennas, and other equipment. The Institute is currently completing the development of performance standards for two DNA testing procedures: Restriction Fragment Length Polymorphism (RFLP) and Polymerase Chain Reaction (PCR). The standards program is funded by NIJ through the Office of Law Enforcement Standards (OLES) at the National Institute of Standards and Technology (NIST).

NIJ's research and development efforts have also been significant and broad in scope in other areas. In the area of forensic science, NIJ has supported a wide range of research on fingerprints, blood and semen, DNA, trace evidence, bite marks, and forged or altered documents. Further research is needed, particularly in DNA testing, weapons identification, fingerprinting, and trace evidence.

Progress is also being made to develop alternatives to lethal force. When confronted with the need to use force, officers are limited to the use of firearms, batons, physical “hands-on” restraint, or, more recently, chemical agents such as pepper spray. To provide alternatives, NIJ initiated a Less-Than-Lethal technology program to develop innovative, nonlethal measures suitable for use in situations involving fleeing suspects, domestic disturbances, barricades, issuing search warrants, drug raids, prison or jail disturbances, etc.

This announcement also supports research recommendations of the Department of Justice (DOJ) and the Department of Defense (DOD) under a Memorandum of Understanding (MOU) for inter-agency collaboration in developing and sharing dual-use technologies for law enforcement agencies and military operations other than war. Congress has appropriated fiscal year 1995 funds for this program through the Defense Authorization Bill. The day-to-day management of the program is carried out at the DOD Advanced Research Projects Agency (ARPA) under a Joint Program Steering Group (JPSG) with equal numbers of program managers from the Defense and Justice Departments.

In soliciting research and development topics, NIJ principally focuses on technologies and studies that will support the needs of State and local criminal justice agencies. The Institute’s science and technology research also addresses the legal and social issues related to the employment of new technologies in order to ensure that they will be acceptable to the agency and the community.

## Research Areas of Interest

Listed below are examples of research areas under Goal VI of the NIJ Research Plan where new or improved technologies could enhance the efficacy of the criminal justice system and reduce the level of injuries and death during policing and correctional operations. Individuals are encouraged to suggest their own topics of interest. Projects should be directed toward the production of affordable and practical equipment or systems

that will have reasonably wide application to Federal, State, and local agencies. Research is encouraged in, but not limited to, the following areas:

❖ **Forensic Sciences.** Identification and development of evidence in DNA/serology, fingerprints, trace evidence, pathology, entomology, odontology, toxicology, questioned documents, and weapons identification.

❖ **Less-Than-Lethal Technology.** Reduction in the incidence of injuries and death to officers and the public during confrontations, especially those requiring the use of force, arrest of suspects, transport of suspects or prisoners, pursuit of fleeing suspects on foot or in vehicles, and control of violent individuals or crowds in the streets or in prisons and jails. Enhancement of officer safety. Field evaluations of new less-than-lethal technology.


❖ **Science and Technology.** Virtual reality technology for officer training; command and control operations; providing improved courtroom security; improving the efficiency of probation and parole operations; identifying concealed weapons; monitoring the status, health, and location of officers or prisoners; and detecting and disabling explosives. Technology useful in the detection and apprehension of persons engaged in computer crime.

❖ **Drug Testing.** Developing or adapting analytic techniques for extracting drug-related material from hair and urine and other body fluids. Comparative efficiencies and relative costs as well as the utility of the testing techniques in various criminal justice settings.

## Contact

### Grant Proposals:

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



Richard M. Rau, (202) 307-0648, for the Forensic Sciences Program and the Drug Testing Program.

Raymond Downs, (202) 307-0646, for the Less-Than-Lethal Program and the Science and Technology Program.

Kevin Jackson, (202) 307-2956, for the Standards Development and Testing Program and the Law Enforcement Technology Centers.

DOD/DOJ Memorandum of Understanding:

Peter Nacci, (703) 351-8608, for information on the law enforcement aspects of the DOJ/DOD MOU.

John Pennella, (703) 696-2372, for information on the Military Operations Other Than War aspects of the DOJ/DOD MOU.

### **General Law Enforcement Technology Information:**

Marc Caplan, National Law Enforcement Technology Center, (800) 248-2742, for information on specific law enforcement technologies that are under development or in production, technologies in use by law enforcement agencies, soft-body armor and other equipment standards, equipment testing and results, and other such nongrant-related questions.



# Administrative Guidelines

In this section applicants will find recommendations to grant writers, requirements for grant recipients, general application information, and a reiteration of the 1995–1996 grant application deadlines.

## Application Information

Please see “Requirements for Award Recipients” below for general application and eligibility requirements and selection criteria. Proposals not conforming to these application procedures will not be considered.

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

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

[Name and Number of Specific Goal]

National Institute of Justice

633 Indiana Avenue N.W.

Washington, DC 20531

Completed proposals **must be received** at the National Institute of Justice by the close of business on June 15 and December 15, 1995, and June 17 and December 16, 1996. Extensions of these deadlines will not be permitted.

**Contact.** Applicants are encouraged to contact NIJ Program Managers in the appropriate goal areas to discuss topic viability, data availability, or proposal content before submitting proposals.

## Recommendations to Grant Writers

Over the past 4 years, Institute staff have reviewed approximately 1,500 grant applications. On the basis of those reviews and inquiries from applicants, the Institute offers the following

recommendations to help potential applicants present workable, understandable proposals. Many of these recommendations were adopted from materials provided to NIJ by the State Justice Institute, especially for applicants new to NIJ. Others reflect standard NIJ requirements.

### The author(s) of the proposal should be clearly identified.

Proposals that are incorrectly collated, incomplete, or handwritten will be judged as submitted or, at NIJ’s discretion, will be returned without a deadline extension. No additions to the original submission are allowed. The Institute suggests that applicants make certain that they address the questions, issues, and requirements set forth below when preparing an application.

**1. What is the subject or problem you wish to address?** Describe the subject or problem and how it affects the criminal justice system and the public. Discuss how your approach will improve the situation or advance the state of the art of knowledge or state of the science and explain why it is the most appropriate approach to take. Give appropriate citations to the scientific literature. The source of statistics or research findings cited to support a statement or position should be included in a reference list.

**2. What do you want to do?** Explain the goal(s) of the project in simple, straightforward terms. The goals should describe the intended consequences or expected overall effect of the proposed project, rather than the tasks or activities to be conducted. To the greatest extent possible, applicants should avoid a specialized vocabulary that is not readily understood by the general public. Technical jargon does not enhance an application.

**3. How will you do it?** Describe the methodology carefully so that what you propose to do and how you would do it is clear. All proposed tasks should be set forth so that a reviewer can see a logical

progression of tasks and relate those tasks directly to the accomplishment of the project's goal(s). When in doubt about whether to provide a more detailed explanation or to assume a particular level of knowledge or expertise on the part of the reviewers, err on the side of caution and provide the additional information. A description of project tasks also will help identify necessary budget items. All staff positions and project costs should relate directly to the tasks described. The Institute encourages applicants to attach letters of cooperation and support from agencies that will be involved in or directly affected by the proposed project.

**4. What should you include in a grant application for a program evaluation?** An evaluation should determine whether the proposed program, training, procedure, service, or technology accomplished the objectives it was designed to meet. Applicants seeking support for a proposed evaluation should describe the criteria that will be used to evaluate the project's effectiveness and identify program elements that will require further modification. The description in the application should include how the evaluation will be conducted, when it will occur during the project period, who will conduct it, and what specific measures will be used. In most instances, the evaluation should be conducted by persons not connected with the implementation of the procedure, training, service, or technique, or the administration of the project.

**5. How will others learn about your findings?** Include a plan to disseminate the results of the research, evaluation, technology, or demonstration beyond the jurisdictions and individuals directly affected by the project. The plan should identify the specific methods that will be used to inform the field about the project such as the publication of journal articles or the distribution of key materials. Expectations regarding products are discussed more fully in the following section, "Requirements for Award Recipients." A statement that a report or research findings "will be made available to" the field is not sufficient. The specific means of distribution or dissemination as

well as the types of recipients should be identified. Reproduction and dissemination costs are allowable budget items. Applicants must concisely describe the interim and final products and address each product's purpose, audience, and usefulness to the field. This discussion should identify the principal criminal justice constituency or type of agency for which each product is intended and describe how the constituent group or agency would be expected to use the product or report. Successful proposals will clearly identify the nature of the grant products that can reasonably be expected if the project is funded. In addition, a schedule of delivery dates of all products should be delineated.

**6. What are the specific costs involved?** The budget application should be presented clearly. Major budget categories such as personnel, benefits, travel, supplies, equipment, and indirect costs should be identified separately. The components of "Other" or "Miscellaneous" items should be specified in the application budget narrative and should not include set-asides for undefined contingencies.

**7. How much detail should be included in the budget narrative?** The budget narrative should list all planned expenditures and detail the salaries, materials, and cost assumptions used to estimate project costs. The narrative and cost estimates should be presented under the following standard budget categories: personnel, fringe benefits, travel, equipment, supplies, contracts, other, and indirect costs. For multiyear projects, applicants must include the full amount of NIJ funding for the entire life of the project. This amount should be reflected in item 15g on Form 424 and line 6k on 424A. When appropriate, grant applications should include justification of consultants and a full explanation of daily rates for any consultants proposed. To avoid common shortcomings of application budget narratives, include the following information:

- ❖ Personnel estimates that accurately provide the amount of time to be spent by personnel involved with the project and the total associated

costs, including current salaries for the designated personnel (e.g., Project Director, 50 percent of 1 year's annual salary of \$50,000 = \$25,000). If salary costs are computed using an hourly or daily rate, the annual salary and number of hours or days in a work year should be shown.

❖ Estimates for supplies and expenses supported by a complete description of the supplies to be used, nature and extent of printing to be done, anticipated telephone charges, and other common expenditures, with the basis for computing the estimates included (e.g., 100 reports x 75 pages each x \$0.05/page = \$375.00). Supply and expense estimates offered simply as "based on experience" are not sufficient.

**8. What travel regulations apply to the budget estimates?** Transportation costs and per diem rates must comply with the policies of the applicant organization, and a copy of the applicant's travel policy should be submitted as an appendix to the application. If the applicant does not have a travel policy established in writing, then travel rates must be consistent with those established by the Federal Government. The budget narrative should state which regulations are in force for the project and should include the estimated fare, the number of persons traveling, the number of trips to be taken, and the length of stay. The estimated costs of travel, lodging, ground transportation, and other subsistence should be listed separately. When combined, the subtotals for these categories should equal the estimate listed on the budget form.

**9. Which forms should be used?** A copy of Standard Form (SF) 424, Application for Federal Assistance, plus instructions, appears in the back of this book. Please follow the instructions carefully and include all parts and pages. In addition to SF 424, recent requirements involve certification regarding (1) lobbying; (2) debarment, suspension, and other responsibility matters; and (3) drug-free workplace requirements. The certification form that is attached to SF 424 should be signed by the appropriate official and included in the grant application.

## **10. What technical materials are required to be included in the application?**

❖ A one-page abstract of the full proposal, highlighting the project's purpose, methods, activities, and when known, the location(s) of field research.

❖ A program narrative, which is the technical portion of the proposal. It should include a clear, concise statement of the problem, goals, and objectives of the project and related questions to be explored. A discussion of the relationship of the proposed work to the existing literature is expected.

❖ A statement of the project's anticipated contribution to criminal justice policy and practice. It is important that applicants briefly cite those particular issues and concerns of present-day criminal justice policy that stimulate the proposed line of inquiry and suggest what their own investigation would contribute to current knowledge.

❖ A detailed statement of the proposed research or study design and analytical methodologies. The proposed data sources, data collection strategies, variables and issues to be examined, and procedures of analysis to be employed should be delineated carefully and completely. When appropriate, experimental designs are encouraged because of their potential relevance to policymaking and the strength of the evidence they can produce.

❖ The organization and management plan to conduct the study. A list of major milestones of events, activities, and products and a timetable for completion that indicates the time commitments to individual project tasks should be included. All grant activities, including writing of the final report, should be completed within the duration of the award period.

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

**11. Use of grant funds.** Grant funds may be used to purchase or lease equipment essential to accomplishing the objectives of the project. The



budget narrative must list such equipment and explain why the equipment is necessary. Funds may not be used for operating programs, writing texts or handbooks, training, etc.

**12. To what extent may indirect costs be included in the budget estimates?** It is the policy of the Institute that all costs should be budgeted directly; however, if an applicant has an indirect cost rate that has been approved by a Federal agency within the past 2 years, an indirect cost recovery estimate may be included in the budget. A copy of the approved rate agreement should be submitted as an appendix to the application. If an applicant does not have an approved rate agreement, the applicant should contact the Office of the Comptroller, Office of Justice Programs, (202) 307-0604, to obtain information about preparing an indirect cost rate proposal.

**13. What, if any, matching funds are required?** Units of State and local governments (not including publicly supported institutions of higher education) are encouraged to contribute a match (cash, noncash, or both) of requested funds. Other applicants also are encouraged to seek matching contributions from other Federal agencies or private foundations to assist in meeting the costs of the project.

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

Applicants may submit more than one proposal to NIJ, but the same proposal cannot be submitted in more than one program area.

**15. What are the deadlines?** June 15 and December 15, 1995, and June 17 and December 16, 1996.

**16. Is there a page limit?** The Institute has established a limit of 30 double-spaced pages for all normal grant applications. This page limit does

not include references, budget narrative, curriculum vitae, or necessary appendices. Applications for small grants (\$1,000 – \$50,000) are limited to 15 double-spaced pages. NIJ does not wish to create elaborate regulations regarding type fonts, margins, and spacing. Applicants are cautioned, however, that obvious attempts to stretch interpretations of the Institute's limits have, in the past, caused proposal reviewers to regard such efforts unfavorably.

**17. What is the page order?** The following order is mandatory. Omission can result in rejection of the application:

1. SF 424.
2. Names and affiliations of all key persons from applicant and subcontractor(s), advisors, consultants, and Advisory Board members. Include the name of the Principal Investigator, title, organizational affiliation (if any), department (if institution of higher education), address, phone, and fax.
3. Abstract.
4. Table of Contents.
5. Budget narrative.
6. Assurances and Certifications, etc.
7. Negotiated rate agreement.
8. Program narrative.
9. References.
10. Resumés of key personnel.

**18. What does the review process entail?** After all applications for a competition are received, NIJ will convene a series of peer review panels of criminal justice professionals and researchers. NIJ will assign proposals to peer panels that it deems most appropriate. Panel members read each proposal and meet to assess the technical merits and policy relevance of the proposed research. Panel assessments of the proposals, together with assessments by NIJ staff, are submitted to the Director, who has sole and final authority over approval and awards. The review normally takes 60 to 90 days, depending on the number of applications received. Each applicant receives written

comments from the peer review panel concerning the strengths and weaknesses of the proposal. These comments may include suggestions for how a revised or subsequent application to NIJ might be improved.

**19. What are the criteria for an award?** The essential question asked of each applicant is, “If this study were successful, how would criminal justice policies or operations be improved?” Four criteria are applied in the evaluation process:

- ❖ Impact of the proposed project.
- ❖ Feasibility of the approach to the issue, including technical merit and practical considerations.
- ❖ Originality of the approach, including creativity of the proposal and capability of the research staff.
- ❖ Economy of the approach. Applicants bear the responsibility of demonstrating to the panel that the proposed study addresses the critical issues of the topic area and that the study findings could ultimately contribute to a practical application in law enforcement or criminal justice. Reviewers will assess applicants’ awareness of related research or studies and their ability to direct the research or study toward answering questions of policy or improving the state of criminal justice operations.

Technical merit is judged by the likelihood that the study design will produce convincing findings. Reviewers take into account the logic and timing of the research or study plan, the validity and reliability of measures proposed, the appropriateness of statistical methods to be used, and each applicant’s awareness of factors that might dilute the credibility of the findings. Impact is judged by the scope of the proposed approach and by the utility of the proposed products. Reviewers consider each applicant’s understanding of the process of innovation in the targeted criminal justice agency or setting and knowledge of prior uses of criminal justice research by the proposed criminal justice constituency. Appropriateness

of products in terms of proposed content and format is also considered.

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

**20. Are there any other considerations in selecting applications for an award?** Projects should have a national impact or have potential relevance to a number of jurisdictions. Because of the broad national mandate of the National Institute of Justice, projects that address the unique concerns of a single jurisdiction should be fully justified. Projects that intend to provide services in addition to performing research are eligible for support, but only for the resources necessary to conduct the research tasks outlined in the proposal.

The applicant’s performance on previous or current NIJ grants will also be taken into consideration in making funding decisions.

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

**22. Does NIJ accept resubmission of proposals?** The Institute will accept resubmission of a previously submitted proposal. The applicant should indicate for *Question 8, Form 424*, that the application is a **revision**. The applicant should include this information in the abstract. Finally, the applicant should prepare a one-page response to the earlier panel review (to follow the abstract) including (1) the title, submission date, and NIJ-assigned application number of the previous proposal and (2) a brief summary of responses to the review and/or revisions to the proposal.

## **NIJ Policy Regarding Unsolicited Proposals**

It is NIJ's policy to submit all unsolicited proposals to peer review. NIJ's peer review process takes place in periodic cycles; unsolicited proposals received will be included in the next available review cycle. NIJ will offer the applicant the option of revising the proposal in accordance with the program goals established in the Plan or, alternatively, submitting the original proposal to the peer panel it deems most appropriate.

## **Requirements for Award Recipients**

### **Required Products**

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

Products should include:

- ❖ A summary of approximately 2,500 words highlighting the findings of the research and the policy issues those findings will inform. The material should be written in a style that will be accessible to policy officials and practitioners and suitable for possible publication as an NIJ Research in Brief. An NIJ editorial style guide is sent to each project director at the time of the award.
- ❖ A full technical report, including a discussion of the research question, review of the literature, description of project methodology, detailed review of project findings, and conclusions and policy recommendations.
- ❖ Clean copies of all automated data sets developed during the research and full documentation prepared in accordance with the instructions in the *NIJ Data Resources Manual*.

- ❖ Brief project summaries for NIJ use in preparing annual reports to the President and the Congress.

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

### **Public Release of Automated Data Sets**

NIJ is committed to ensuring the public availability of research data and to this end established its Data Resources Program in 1984. All NIJ award recipients who collect data are required to submit a machine-readable copy of the data and appropriate documentation to NIJ prior to the conclusion of the project. The data and materials are reviewed for completeness. NIJ staff then create machine-readable data sets, prepare users' guides, and distribute data and documentation to other researchers in the field. A variety of formats are acceptable; however, the data and materials must conform with requirements detailed in *Depositing Data With the Data Resources Program of the National Institute of Justice: A Handbook*. A copy of this handbook is sent to each project director at the time of the award. For further information about NIJ's Data Resources Program, contact Dr. Pamela Lattimore, (202) 307-2961.

### **Standards of Performance by Recipients**

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

the award documents. Project directors and recipient financial administrators should pay particular attention to the regulations in this document.

## **Program Monitoring**

Award recipients and Principal Investigators assume certain responsibilities as part of their participation in government-sponsored research and evaluation. NIJ's monitoring activities are intended to help grantees meet these responsibilities. They are based on good communication and open dialogue, with collegiality and mutual respect. Some of the elements of this dialogue are:

- ❖ Communication with NIJ in the early stages of the grant, as the elements of the proposal's design and methodology are developed and operationalized.
- ❖ Timely communication with NIJ regarding any developments that might affect the project's compliance with the schedules, milestones, and products set forth in the proposal. (See statement on Timeliness, below.)
- ❖ Communication with other NIJ grantees conducting related research projects. An annual "cluster conference" should be anticipated and should be budgeted for by applicants at a cost of \$1,000 for each year of the grant.
- ❖ Providing NIJ on request with brief descriptions of the project in interim stages at such time as the Institute may need this information to meet its reporting requirements to the Congress. NIJ will give as much advance notification of these requests as possible, but will expect a timely response from grantees when requests are made. NIJ is prepared to receive such communication through electronic media.
- ❖ Providing NIJ with copies of presentations made at conferences, meetings, and elsewhere based in whole or in part on the work of the project.
- ❖ Providing NIJ with prepublication copies of articles based on the project appearing in

professional journals or the media, either during the life of the grant or after.

- ❖ Other reporting requirements (Progress Reports, Final Reports, and other grant products) are spelled out elsewhere in this section of the Research Plan. Financial reporting requirements will be described in the grant award documents received by successful applicants.

## **Communications**

NIJ Program Managers should be kept informed of research progress. Written progress reports are required on a quarterly basis. All awards use standard quarterly reporting periods (January 1 through March 31, April 1 through June 30, and so forth) regardless of the project's start date. Progress reports will inform the monitor which tasks have been completed and whether significant delays or departures from the original workplan are expected.

## **Timeliness**

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

## **Publications**

The Institute encourages grantees to prepare their work for NIJ publication. In cases where grantees disseminate their findings through a variety of media, such as professional journals, books, and conferences, copies of such publications should be sent to the Program Manager as they become

available, even if they appear well after a project's expiration. NIJ imposes no restriction on such publications other than the following acknowledgment and disclaimer:

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

### **Data Confidentiality and Human Subjects Protection**

Research that examines individual traits and experiences plays a vital part in expanding our knowledge about criminal behavior. It is essential, however, that researchers protect subjects from needless risk of harm or embarrassment and proceed with their willing and informed cooperation. NIJ requires that investigators protect information identifiable to research participants. When information is safeguarded, it is protected by statute from being used in legal proceedings: “[S]uch information and copies thereof shall be immune from legal process, and shall not, without the consent of the person furnishing such information, be admitted as evidence or used for any purpose in any action, suit, or other judicial, legislative, or administrative proceedings” (42 United States Code 3789g).

Applicants should file their plans to protect sensitive information as part of their proposal. Necessary safeguards are detailed in 28 Code of Federal Regulations (CFR), ¶22. A short “how-to” guideline for developing a privacy and confidentiality plan can be obtained from NIJ program managers.

In addition, the U.S. Department of Justice has adopted Human Subjects policies similar to those established by the U.S. Department of Health and Human Services. In general, these policies exempt most NIJ-supported research from Institutional Review Board (IRB) review. However, the Institute may find in certain instances that subjects or subject matters may require IRB review. These exceptions will be decided on an individual basis during application review. Researchers are encouraged to review 28 CFR 46, ¶46.101 to determine their individual project requirements.

### **Application Forms**

The forms needed to apply for the grants discussed in this document can be obtained from:

National Criminal Justice Reference Service  
P.O. Box 6000  
Rockville, MD 20849-6000  
(880-851-3420)  
ask ncjrs@ncjrs.aspensys.com