

Guideline Manual

M 4500.1C

GUIDE FOR DISCRETIONARY GRANT PROGRAMS



NOVEMBER 22, 1974

UNITED STATES DEPARTMENT OF JUSTICE
LAW ENFORCEMENT ASSISTANCE ADMINISTRATION

GUIDE FOR DISCRETIONARY GRANT
PROGRAMS

Distribution: To State Planning Agencies and
all Regional and Central Office
Professional Personnel

Initiated By: Office of National
Priority Programs

1751

RECORD OF CHANGES

After removing obsolete pages and filing revised pages, initial and date the block following the change number.
Request any missing changes from your distribution point.

Change No.	Initial	DATE FILED	Change No.	Initial	DATE FILED	Change No.	Initial	DATE FILED	Change No.	Initial	DATE FILED
1			35			69			103		
2			36			70			104		
3			37			71			105		
4			38			72			106		
5			39			73			107		
6			40			74			108		
7			41			75			109		
8			42			76			110		
9			43			77			111		
10			44			78			112		
11			45			79			113		
12			46			80			114		
13			47			81			115		
14			48			82			116		
15			49			83			117		
16			50			84			118		
17			51			85			119		
18			52			86			120		
19			53			87			121		
20			54			88			122		
21			55			89			123		
22			56			90			124		
23			57			91			125		
24			58			92			126		
25			59			93			127		
26			60			94			128		
27			61			95			129		
28			62			96			130		
29			63			97			131		
30			64			98			132		
31			65			99			133		
32			66			100			134		
33			67			101			135		
34			68			102			136		

FOREWORD

1. PURPOSE. This guideline manual provides information on programs and projects for which "discretionary funds" are available. It also provides guidance to prospective applicants about the steps to be taken in making application for such funds, and guidance to grantees on their responsibilities for accounting for funds, reporting on progress, and assuring observation of applicable Federal laws and regulations.
2. SCOPE. This guideline manual is of concern to potential applicants, to grantees, to LEAA officials and to State Planning Agency officials. The provisions of this guideline manual are applicable to all Part C and Part E discretionary grant applications.
3. CANCELLATION. Guideline Manual M 4500.1B, Guide for Discretionary Grant Programs, dated February 26, 1974, is hereby cancelled.
4. GENERAL. Discretionary funds are viewed as the means by which the Law Enforcement Assistance Administration can exert national leadership in achieving the LEAA goal, which is: "In partnership with the states, reduce crime and delinquency in America."
 - a. LEAA expects to utilize those funds appropriate directly for LEAA's use to research, develop, test, and evaluate programs and techniques designed to reduce crime and delinquency, and also to assist state and local governments in attaining the highest standards of management for crime reduction.
 - b. The goal of crime reduction is presumed to be achievable in two ways: (1) through direct efforts to attack crime through programs mounted as demonstrations and through related research and evaluation; and (2) through development of state and local capacity to plan, manage, and evaluate crime reduction programs. These correspond to the two subgoals of the Law Enforcement Assistance Administration, which are:

Develop, test, and evaluate effective programs,
projects and techniques to reduce crime and
delinquency.

Build the capacity for comprehensive crime reduction
planning, program development and evaluation.
 - c. LEAA expects to utilize those funds appropriated directly for LEAA's use primarily in the first way, which involves an LEAA leadership role in developing, demonstrating, testing, and evaluating innovative approaches to the problems of crime reduction and criminal justice system improvements. Discretionary funds are to be used for innovative approaches to crime reduction and criminal justice systems

November 22, 1974

improvements which advance National priorities. Limited funds will be made available for programs aimed directly at building state and local capacity to plan and manage programs.

- d. It is LEAA's intent to use its research and technical assistance funds in ways which support both innovative National approaches to problems and the building of state and local capacity to manage. State plans and "block grant action and corrections funds are designed to meet State-Defined priorities and needs." The block grant and planning assistance will be the prime tools of the states and local governments through which they are assisted in building the capacity to plan, manage, and evaluate crime reduction programs.
- e. On page v., there is a figure which spells out LEAA's goal, sub-goals, general objectives; and program objectives are listed on the following pages. Users of this guideline manual should be familiar with these goals and objectives. Applicants must address one or more of the general objectives and one or more program objectives in an application. Progress reports must reflect the extent to which the general and program objectives are achieved.

5. EXPLANATION OF CHANGES.

- a. Permanence of Manual. This guideline manual has been written as a document whose procedures and requirements will not be associated with a particular fiscal year. Modifications to this document will generally be limited to those required by changes in legislation and to revisions in the programs described in Chapters 5 through 25. Modifications will be transmitted to the holders by means of page changes.

- (1) Method of Disseminating Changes. Changes will be disseminated by LEAA's standard distribution process to Regional Offices and State Planning Agencies and by publication of notices of changes in the Federal Register. Notification of changes will be sent to the Public Interest Groups for dissemination to their constituents.
- (2) Effective Date of Changes. The effective date of the new programs or requirements will be the publication of the guideline changes. However, if the guideline change contains a notice of cancellation for a particular program, applications will continue to be accepted for that program for 60 days after the date of the guideline change.

- b. Legislative Changes. The requirements of the Crime Control Act of 1973, P.L. 93-83, have been incorporated in this guideline manual.

November 22, 1974

M 4500.1C

- (1) The matching ratio for FY 1975 funds for Part C and Part E non-construction discretionary grant programs is 90 percent Federal - 10 percent State/local or other contribution.
- (2) The non-Federal share of any discretionary grant is to be money appropriated in the aggregate by the State or local units of general local government or provided in the aggregate by private nonprofit organizations.
- (3) Private nonprofit organizations are eligible for direct Part C discretionary funding.

- c. Administrative Changes. This guideline manual incorporates the applicable requirements of OMB Circular No. A-102.

- (1) Standard Grant Application for Nonconstruction Projects.
- (2) Standard Grant Application for Construction Projects.
- (3) Standard fiscal and program reporting requirements.

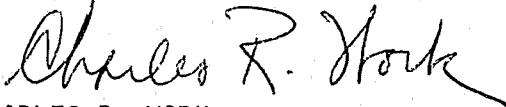
- d. Coding Changes. The program numbers in Part II have been largely changed from the previous guideline. The new numbers reflect a new coding system which will permit retrieval of information on categories of grants (e.g., police, courts, corrections, juvenile delinquency), and information on how grants relate to program objectives, as listed on pages vi, thru xiii.

- 6. MANUAL CONTENT AND ORGANIZATION. This manual is organized into two parts. Part I is entitled: General Specifications, Application Forms, Reporting Requirements, and Evaluation Provisions. Part II contains program descriptions, and is entitled: The Program Plan for Use of Discretionary Funds: National Priority Programs and Other Crime Reduction and Criminal Justice System Capability Improvement Programs. The entire manual is organized into 25 chapters and applicable appendices which are numbered 1 through 16. Each paragraph throughout the manual is numbered consecutively. The 25 chapters are:

- a. Chapter 1, a general discussion of discretionary grant specifications and the application process.
- b. Chapter 2, a more detailed discussion of the two standard application forms and their requirements.
- c. Chapter 3, a discussion of financial and narrative progress reporting.
- d. Chapter 4, a discussion of evaluation and monitoring requirements. The grant applicant is required to fill in the appropriate category code for each application.

November 22, 1974

- e. Chapters 5 through 25. These chapters describe program areas for which discretionary funds are available, with Chapters 5 and 6 serving as introductory chapters to the two major sections of the program part of the guideline.
- 7. AID IN USING THE MANUAL. For assistance in using this manual or for answers to questions about it, contact the appropriate Regional Office of LEAA. See appendix 6, page 87 for a list of addresses and a map of regional areas.



CHARLES R. WORK
Deputy Administrator
for Administration

FIGURE 1.

LEAA GOAL , SUBGOALS AND GENERAL OBJECTIVES (FY 1975 AND FY 1976)

GOAL: IN PARTNERSHIP WITH THE STATES, REDUCE CRIME AND DELINQUENCY IN AMERICA

Subgoal 1.0--Develop, test and evaluate effective programs, projects and techniques to reduce crime and delinquency.

Subgoal 2.0--Build the capacity for comprehensive crime reduction planning, program development and evaluation.

1.1-Identify and provide for the implementation and transfer of programs and projects which reduce crime.

1.2-Evaluate, research and test the impact on crime reduction objectives of criminal justice system capacity building in general, and of particular programs and projects.

1.3-Demonstrate effective programs and projects to build citizen and community support for crime reduction and to make the criminal justice system more responsive to citizen needs,

2.1- Attain in LEAA the highest standards of management.

2.2-Assist state and local governments in attaining the highest standards of management for crime reduction

General Objective 1.1 -

During FY 75 and FY 76, identify, by utilizing research findings and through statistical analysis and the use of outstanding state programs, those programs which have a high probability of reducing crime and delinquency; distill from these programs the elements of general applicability, and develop transferable products; and plan and develop strategies for their implementation.

General Objective 1.2 -

Through evaluation, research, and demonstrations, develop information in FY 75 and FY 76 required for planning and management decisions about the potential and actual effects on crime reduction of criminal justice system capacity building and of criminal justice programs and projects.

General Objective 1.3 -

Develop and demonstrate in FY'75 and FY'76 programs to build citizen and community support for crime reduction, to reduce obstacles to citizen involvement in criminal justice planning and decision making, to address problem faced by witnesses, victims, and jurors, and to enable the criminal justice system to be more responsive to citizen concerns, needs, and demands.

General Objective 2.1

Apply throughout LEAA during FY'75 and FY'76 the specific management techniques and training programs required to attain the highest standards of management.

General Objective 2.2

Assist state and local governments to attain the highest standards of management for crime prevention and reduction by demonstrating, assessing and recommending specified management principles and procedures in FY 75 and FY 76.

General Objective 1.1

During FY 75 and FY 76, identify, by utilizing research findings and through statistical analysis and the use of outstanding state programs, those programs which have a high probability of reducing crime and delinquency; distill from these programs the elements of general applicability, and develop transferable products; and plan and develop strategies for their implementation.

Priority Program Objectives

- 1.10 Review and assess, on a continuing basis during FY 1975 and 76, those programs and projects currently being carried out by criminal justice agencies or others (whether with or without support of LEAA funds) which hold the greatest promise for reducing crime and delinquency; and, by June 30, of each year document for widespread dissemination at least twenty-five program models based on such programs or projects in a form which enables other interested persons or agencies to adopt them, and so that all parts of the nation are provided with the most efficient ways of solving common problems.
- 1.11 Analyze the report of the National Advisory Commission on Criminal Justice Standards and Goals to determine which have the closest relationship to crime reduction, and publish the results of the analysis by December 31, 1974; update this analysis at least annually to incorporate current research and evaluation findings.
- 1.12 During fiscal years 1975 and 76, replicate each year 6 to 8 model programs or projects documented under Objective 1.10 in a limited number of diverse sites so as to test their general applicability under various conditions and circumstances.
- 1.13 By December 31, 1974, develop a plan for highly visible national crime reduction initiatives based on (a) the identification of a specific crime or major offender targets and/or (b) the development of a new mechanism for testing on a large scale a number of related or alternative crime reduction ideas or approaches; and, by December 31, 1975, implement elements of the initiatives in at least ten selected jurisdictions using baseline data collection and evaluation planning procedures which will assure that the effectiveness of the initiative and its components can be assessed by no later than December 31, 1977.

- 1.14 By June 30, 1976, achieve within selected jurisdictions a 50 percent reduction in the numbers of juveniles processed through their juvenile justice systems, by providing alternatives to juvenile justice system processing.
- 1.15 By December 31, 1975, implement in selected jurisdictions a range of programs and projects which will, by December 31, 1977, reduce by 40 percent the extent of repeated criminal justice system involvement of targeted groups of juvenile offenders.
- 1.16 Develop during FY 75 and FY 76 within the states the capability to use statistical data in developing, analyzing and implementing crime reduction plans and programs, especially through the establishment of statistical analysis centers within the eligible jurisdictions and through methods which assure their access to national crime data.
- 1.17 Provide support in FY 75 for an orderly phase out of the Pilot Cities Program and the Impact Cities Program, so that the cities affected can develop their capacities to reduce crime and delinquency and improve the quality of justice, including in the Impact Cities and the reduction of specific amounts of stranger-to-stranger crimes and burglaries; with the result that the lessons learned from the pilot and impact cities can be summarized, packaged, and transferred to other cities during FY 76.
- 1.18 In FY 75 and FY 76 provide support for selected demonstration programs designed to improve the capabilities of criminal justice agencies to attack specific crime problems, including: (a) major emphasis on revitalized programs aimed at organized crime with special attention to building analytical and prosecutorial tools in selected jurisdictions; (b) major emphasis on support for more effective corrections programs, with special attention to offender rehabilitation; (c) strong support for programs aimed at improving the functioning of the courts, with special attention to prompt adjudication, improving the appellate process, improved court reporting, legal research, and information systems; (d) strong support for programs designed to improve the capabilities of police departments, including special attention to the strengthening of the role of the police executive, increased professionalism, police command and control systems, police equipment and physical fitness; (e) special attention to programs designed to prepare criminal justice agencies to deal effectively and humanely with threats of civil disorders and terrorist acts; and (f) support for programs aimed at improving the quality and efficiency of criminal justice systems in reservations and communities for Indians and other aboriginal groups.

November 22, 1974

- 1.19 Provide assistance in FY 75 and FY 76 to state and local governments, as well as other Federal agencies in their efforts to interdict illicit drug traffic by enforcement of drug laws and thereby reducing drug abuse and related criminal activity.

General Objective 1.2

Through evaluation, research, and demonstrations, develop information in FY 75 and FY 76 required for planning and management decisions about the potential and actual effects on crime reduction of criminal justice system capacity building and of criminal justice programs and projects.

Priority Program Objectives

- 1.20 Develop a plan during the first quarter of FY 75; and implement in the latter part of FY 75 and in FY 76 a national evaluation program, which includes cost-benefit evaluations of projects aimed at a common objective, evaluation of equipment effectiveness, and the development of improved methods of evaluation.
- 1.21 Complete in early FY 75 and implement during FY 75 and FY 76 a research plan which supports LEAA and other Department of Justice programs, objectives, and priorities; and which concentrates LEAA research resources (approximately 50 to 60 percent in FY 75 and 60 to 75 percent in FY 76) on no more than six highly focused priority research efforts, including expanded emphasis on support for research on: (a) ways to improve juvenile justice programs and on the causes of and methods of preventing juvenile delinquency; (b) criminal justice equipment standardization; (c) alternatives to incarceration; (d) improvement in lower court management, (e) community crime prevention; and (f) citizen involvement in and support for the criminal justice system.
- 1.22 Build a research and knowledge base in FY 75 in order to develop and implement in FY 76 initiatives in the areas of white collar crime and official corruption.
- 1.23 Conduct research efforts aimed at providing base data for programs designed to improve the performance of criminal justice agencies at the state and local level, including crime prevention, police, courts, corrections, and related functions, agencies, and activities.

November 22, 1974

- 1.24 During FY 75 and FY 76 design, organize, and implement fully programs which provide for the international dissemination and exchange of research results, data, information, and statistics, and the provision by LEAA of Federal and international assistance to control airplane hijacking, narcotics smuggling, and terrorism.

General Objective 1.3

Develop and demonstrate in FY 75 and FY 76 programs to build citizen and community support for crime reduction, and to make the criminal justice system more responsive to the citizen as the ultimate client of the criminal justice system.

Program Objectives

- 1.30 Implement public education programs on crime and the criminal justice system through national and local TV and radio programs and advertisements, speeches and conference during FY 75.
- 1.31 Develop and conduct projects in FY 75 and FY 76 which entail direct citizen participation in target hardening programs aimed at reducing the circumstances which promote crime.
- 1.32 Encourage volunteer programs in FY 75 and FY 76 to participate in the criminal justice system activities which have the potential to prevent and/or reduce crime and delinquency.
- 1.33 Develop and encourage the implementation in FY 75 and FY 76 of model projects for jurors, witnesses, rape victims and other victims in order to serve the needs of citizens as they participate in the criminal justice system.
- 1.34 Fund mechanisms in selected cities to bring together social service and civic agencies with criminal justice agencies to coordinate their activities on a continuing basis in order to explore how social service and civic agencies can assist the criminal justice agencies in preventing and/or reducing crime.
- 1.35 Encourage in FY 75 and FY 76 citizen involvement in criminal justice planning and decision making by reducing obstacles to citizen participation and by encouraging standards and goals development process in all states with high emphasis on citizen involvement.
- 1.36 Through education and training programs for criminal justice personnel, increase their awareness of citizen concerns and needs, making them more responsive to citizens in day to day criminal justice system activities.

- 1.37 During the first quarter of FY 75, complete an analysis of the issues and options involved in the development of models by which the criminal justice system could encourage or require victim restitution, and on the basis of the analysis develop recommended policies and programs for LEAA to utilize in funding future programs in this area.

General Objective 2.1

Apply throughout LEAA the specific management techniques and training programs required to attain in LEAA by December, 1975 the highest standards of management, and maintain these highest standards throughout FY 75 and FY 76.

Priority Program Objectives

- 2.10 Develop an LEAA two-year plan, and a "Management-by-Objectives" system which stresses accountability for results by the end of the first quarter of FY 75, and initiate reviews of progress by the beginning of the second quarter of FY 75.
- 2.11 Begin long range strategic planning in LEAA during FY 75.
- 2.12 Complete by the end of the third quarter of FY 75 the reform of LEAA's policies, procedures, and guidelines for reviewing, managing and monitoring grants and contracts; and establish fully effective systems of grants processing and correspondence tracking.
- 2.13 Review and revise as necessary the LEAA Directive Management System within the first two quarters of FY 75.
- 2.14 Develop a plan in early FY 75 for the management of technical assistance which is based on a thorough needs assessment and which provides for the provision of technical assistance in a manner consistent with New Federalism concepts and agency objectives; and review plan during FY 75.
- 2.15 Provide a systematic training and employee relations program for LEAA employees by the end of the third quarter of FY 75 which stresses: (a) professionalism and two-way communication between management and LEAA employees; (b) career development and upward mobility; (c) development of an employee conduct code; (d) training programs for all employees who require them in planning, management, and administration; (e) training programs for all new employees involving orientation to the entire LEAA program; and (f) encouragement of spare-time activities, including physical fitness.

- 2.16 By December 31, 1974, complete the organization and improvement of LEAA's capacity to acquire and use data, information, and results of analyses from internal sources, including the grants management information system among others, for preparation of high quality management reports designed to support improvements in LEAA's planning and management capabilities; and conduct throughout FY 75 review of systems established in order to permit further improvement in those capabilities.
- 2.17 Develop, strengthen, and practice efficient and effective administrative and financial management within LEAA, with special emphasis on the highest standards of fiscal integrity and public accountability.
- 2.18 Develop the capacity within LEAA to organize, plan for, and coordinate LEAA and Federal efforts aimed at support for programs to bring about improvements in the juvenile justice system and the prevention of juvenile delinquency, including preparations for implementation of the National Institute of Juvenile Justice and all other provisions of the new juvenile delinquency prevention legislation with special emphasis on development by LEAA of standards for juvenile delinquency prevention programs, as required in the new law.
- 2.19 Review legislative and regulatory needs in the first three quarters of FY 75, with special attention to: (a) the completion by the end of the second quarter and implementation thereafter of regulations governing the privacy and security of criminal justice information systems; (b) the review, development, and implementation of policies concerning the nature and scope of LEAA participation in Federal Regional Councils, and in joint and cooperative Federal agency efforts; (c) the development and maintenance of still better working relationships with committees of Congress; and (d) the development by the end of the third quarter of proposals for re-enactment of the LEAA authorizing legislation.

General Objective 2.2

Assist state and local governments to attain the highest standards of management for crime prevention and reduction by actions designed to build state and local capabilities to plan, manage, and evaluate crime reduction programs in FY 75 and FY 76.

Priority Program Objectives

- 2.20 In FY 75 and FY 76 in cooperation with the states, through assessment and monitoring, develop and support projects to increase State Planning Agency/Regional Planning Unit, capacity, professionalism, and expertise in planning, management and evaluation.
- 2.21 In FY 75 and FY 76 in cooperation with the states, develop and support projects to increase operational criminal justice capacity and expertise in planning, management and evaluation.
- 2.22 Assist during FY 75 and FY 76 in the development and implementation of effective standards and goals processes in all states and local criminal justice agencies through dissemination of models and other means; including, during the first two quarters of FY 75, the refinement and implementation of police and corrections standards and goals, and the activation of standards and goals task forces for organized crime, research and development, civil disorders and juvenile delinquency.
- 2.23 Facilitate in FY 75 and FY 76 crime oriented planning through the development and dissemination of crime oriented planning methodology and through development and application of concise administrative procedures.
- 2.24 In FY 75 and FY 76 assist states in improving the quality of decision-making at both operational and planning levels through continued improvements in nationally organized and supported criminal justice information systems, including NALECOM, the organized crime index project, Project SEARCH, the full implementation of the Corrections Education Network (CEN), and other efforts to upgrade the quality and efficiency of national systems.
- 2.25 Assist states in FY 75 and FY 76 in the development of a state level capacity for the collection, utilization, dissemination and evaluation of criminal justice statistics and information from all agencies within the state through support and full implementation of the Comprehensive Data Systems (CDS) program in FY 75, through full scale implementation of state level grants management information systems in FY 75, and through other mechanisms.

- 2.26 Develop a thorough understanding of the status of the LEAA program at the state level in early FY 75 and provide during FY 75 and FY 76 technical assistance and incentives to states to develop strategies for the full and effective incorporation of SPA functions into state government.
- 2.27 Provide in FY 75 and FY 76 for consistent, annual review of state criminal justice planning and program development through the analysis, processing and final action on the comprehensive plans of 55 state planning agencies.
- 2.28 During FY 75 and FY 76, review, refine, and implement, under the leadership of professional criminal justice educators within LEAA, programs designed to assist state and local governments in the training and education of operational level criminal justice agency personnel and juvenile delinquency prevention personnel, through the support provided by the Law Enforcement Education Program (LEEP), the new juvenile delinquency prevention legislation, and the survey of manpower needs and requirements in progress.
- 2.29 Ensure that all recipients of LEAA funds comply with applicable civil rights statutes, orders, rules, and regulations in FY 75 and FY 76.

TABLE OF CONTENTS

Page No.PART I: GENERAL SPECIFICATIONS, APPLICATION FORMS, REPORTING
REQUIREMENTS, AND EVALUATION PROVISIONS

CHAPTER 1. GENERAL SPECIFICATIONS FOR DISCRETIONARY GRANTS

1. General	1
2. Programs Considered	1
3. Eligible Grantees	1
4. Multi-State or Multi-Unit Projects	2
5. Special Requirements	2
6. Special Requirements For Applications For Part E Funds	5
7. Submission Dates	6
8. State Planning Agency Coordination	6
9. Application Forms	7
10. Preapplications	7
11. Application Submission	8
12. Application Notification	9
13. Grantee Matching Contributions	9
14. Fiscal Administration	10
15. Continuation Support	10
16. Medical Research and Psychosurgery	11
17. Use of Discretionary Funds for Construction Projects	11
18. Potential Post Award Reductions	13
19. <u>RESERVED</u>	13

CHAPTER 2. APPLICATION FORMS

20. Standard Application Forms	15
21. Preparation of LEAA Form 4000/3	16
22. Grant Assurances	18
23. Preparation of LEAA Form 4000/4	19
24. <u>RESERVED</u>	19

APPENDIX 2-1. EXAMPLE OF COMPLETED BUDGET PAGES, LEAA FORM 4000/3.	21
---	----

APPENDIX 2-2. EXAMPLE OF PART C AND PART E COMPLETED BUDGET PAGES, LEAA FORM 4000/3.	23
---	----

APPENDIX 2-3. APPLICANT'S ENVIRONMENTAL EVALUATION	25
--	----

	<u>Page No.</u>
CHAPTER 3. REPORTING REQUIREMENTS	
25. General	29
26. Narrative Reporting	29
27. LEAA Form 7160/1	30
28-33. <u>RESERVED</u>	33
APPENDIX 3-1. DISCRETIONARY GRANT PROGRESS REPORT	35
APPENDIX 3-2. FINANCIAL STATUS REPORT	37
CHAPTER 4. EVALUATION AND MONITORING OF DISCRETIONARY GRANTS	
34. Background	39
35. Purpose of Evaluation and Monitoring	39
36. Monitoring and Evaluation Prerequisites	39
37. Evaluation Plan Requirements	40
38. Definition of Four Types of Performance Measurement	41
39. Self-Assessment	41
40. Project Monitoring	42
41. Intensive Project Evaluation	42
42. Program Evaluation	43
43. Criteria For Selection of Projects and Programs To Be Evaluated Intensively	44
44. Costs of Evaluation	45
45. Selection of Contractors to Conduct Evaluations	45
46. Dissemination of Evaluation Results	45
APPENDIX 1. PRELIMINARY APPLICATION	47
APPENDIX 2. ADDRESSES OF STATE PLANNING AGENCIES	51
APPENDIX 3. SUGGESTED FORM OF STATE PLANNING AGENCY APPROVAL AND CERTIFICATION RE DISCRETIONARY GRANT AWARD	61
APPENDIX 4. APPLICATION FOR FEDERAL ASSISTANCE (NONCONSTRUCTION PROGRAMS), LEAA FORM 4000/3	63
APPENDIX 5. APPLICATION FOR FEDERAL ASSISTANCE (CONSTRUCTION PROGRAMS), LEAA FORM 4000/4	73
APPENDIX 6. ADDRESSES AND MAP OF LEAA REGIONAL OFFICES	87

	<u>Page No.</u>
APPENDIX 7. APPLICABILITY OF M 7100.1A, FINANCIAL MANAGEMENT OF PLANNING AND ACTION GRANTS TO THE ADMINISTRATION OF DISCRETIONARY GRANTS	89
APPENDIX 8. REGULATIONS IMPLEMENTING TITLE VI OF THE CIVIL RIGHTS ACT OF 1964, 28 C.F.R. 42.101, ET SEQ., SUBPART C.	93
APPENDIX 9. LEAA EXTERNAL EQUAL EMPLOYMENT OPPORTUNITY REGULATIONS, 28 C.F.R. 42.201, ET SEQ., SUBPART D.	103
APPENDIX 10. LEAA EQUAL EMPLOYMENT OPPORTUNITY PROGRAM GUIDELINES (AFFIRMATIVE ACTION REGULATIONS) 28 C.F.R. 42.301, ET SEQ., SUBPART E.	105
APPENDIX 11. NEGATIVE DECLARATION	111
PART II: THE PROGRAM PLAN FOR USE OF DISCRETIONARY FUNDS: NATIONAL PRIORITY PROGRAMS AND OTHER CRIME REDUCTION AND CRIMINAL JUSTICE SYSTEM CAPABILITY IMPROVEMENT PROGRAMS	
CHAPTER 5. NATIONAL PRIORITY PROGRAMS (U)	
47. Purpose	113
48. Program Scope	113
49. Proposal Submission	113
CHAPTER 6. PROGRAMS DESIGNED TO DEVELOP AND ADOPT CRIMINAL JUSTICE STANDARDS AND GOALS (RESERVED)	
50-53. <u>RESERVED.</u>	
CHAPTER 7. PROGRAMS WHICH RESULT IN THE PREVENTION AND REDUCTION OF CRIME AS A RESULT OF CITIZENS' INITIATIVES AND CITIZEN ACTION (U2)	
54. Purpose	121
55. Range of Grants	121
56. Program Scope and Specifications	121
57. Special Requirements	122

Page No.

CHAPTER 8.	PROGRAMS TO IMPROVE THE EFFICIENCY OF CRIMINAL ADJUDICATION (U3)	
58.	Purpose	123
59.	Range of Grants	123
60.	Project Scope and Specifications	123
61.	Special Requirements	124
CHAPTER 9.	PROGRAMS WHICH RESULT IN THE PREVENTION AND REDUCTION OF CRIMES COMMITTED BY JUVENILES (U4)	
62.	Purpose	125
63.	Range of Grants	125
64.	Project Scope and Specifications	125
65.	Special Requirements	126
CHAPTER 10.	CAREER OFFENDER PROGRAM. (RESERVED)	
66-73.	<u>RESERVED</u>	
CHAPTER 11.	OTHER MAJOR CRIME REDUCTION AND CRIMINAL JUSTICE SYSTEM PROGRAMS	
74.	Purpose	135
75.	Program Scope	135
76.	Proposal Submissions	135
CHAPTER 12.	SMALL STATE SUPPLEMENTAL ALLOCATION (E)	
77.	Purpose	137
78.	Discretionary Fund Allocation	137
79.	Number and Range of Grants	137
80.	Project Scope and Specifications	138
81.	Special Requirements	138
82.	Applications	138
CHAPTER 13.	POLICE ASSISTANCE PROGRAMS (F10)	
83.	Purpose	139
84.	Number and Range of Grants	139
85.	Project Scope and Specifications	139
86.	Special Requirements	139

Page No.

CHAPTER 14.	CORRECTIONS PROGRAMS (G10)	
87.	Purpose	141
88.	Range of Grants	141
89.	Project Scope and Specifications	141
90.	Special Requirements	142
CHAPTER 15.	INDIAN LAW ENFORCEMENT PROGRAMS (L)	
91.	General	143
92.	Eligible Applicants	143
93.	Number of Grants	143
94.	Continuation Grants	143
95.	Special Requirements	144
CHAPTER 16.	CRIMINAL JUSTICE TRAINING GRANTS FOR RESERVATIONS (L1)	
96.	Purpose	145
97.	Range of Grants	145
98.	Project Scope and Specifications	145
99.	Matching Contribution	145
CHAPTER 17.	RESERVATION ACTION PROGRAMS, INCLUDING LAW ENFORCEMENT MANPOWER; EQUIPMENT; RECORDS SYSTEMS; IMPROVEMENT OF TRIBAL COURTS; TRIBAL CODES AND CONSTITUTIONS; CRIME PREVENTION; AND IMPROVEMENT OR CONSTRUCTION OF TRIBAL CRIMINAL JUSTICE CENTERS (L2)	
100.	Purpose	147
101.	Range of Grants	147
102.	Project Scope and Specifications	147
103.	Matching Contributions	151
CHAPTER 18.	CORRECTIONS, INCLUDING IMPROVEMENT IN PROBATION, PAROLE, CORRECTIONAL CENTERS AND CORRECTIONS PERSONNEL (L3)	
104.	Purpose	153
105.	Range of Grants	153
106.	Project Scope and Specifications	153
107.	Budget Requirements	154

Page No.

CHAPTER 19. ORGANIZED CRIME PROGRAMS (I)

108.	General	157
109.	Program Revisions	157
110.	Continuation Funding	157

SECTION 1. MULTI-JURISDICTIONAL AND INTERDISCIPLINARY
ORGANIZED CRIME CONTROL PROJECTS (I10)

111.	Purpose	159
112.	Range of Grants	159
113.	Project Scope and Specifications	159

SECTION 2. JOINT ORGANIZED CRIME STRIKE FORCE PROJECTS (I9)

114.	Purpose	163
115.	Range of Grants	163
116.	Project Scope and Specifications	163
117.	Special Requirements	164

SECTION 3. FINANCIAL (WHITE-COLLAR) CRIME PROJECTS (I11)

118.	Purpose	165
119.	Range of Grants	165
120.	Project Scope and Specifications	165
121.	Special Requirements	166

SECTION 4. CORRUPTION CONTROL PROJECTS (I4)

122.	Purpose	167
123.	Range of Grants	167
124.	Project Scope and Specifications	167
125.	Special Requirements	168

SECTION 5. CARGO THEFT AND ANTI-FENCING PROJECTS (I12)

126.	Purpose	169
127.	Range of Grants	169
128.	Project Scope and Specifications	169
129.	Special Requirements	170

SECTION 6. STATE ORGANIZED CRIME PREVENTION COUNCILS (I7)

130.	Purpose	171
131.	Range of Grants	171
132.	Project Scope and Specifications	171
133.	Special Requirements	171

Page No.SECTION 7. REGIONAL ORGANIZED CRIME TRAINING FOR STATE
AND LOCAL LAW ENFORCEMENT PERSONNEL (I13)

134. Purpose	173
135. Range of Grants	173
136. Project Scope and Specifications	173
137. Special Requirements	174

CHAPTER 20. HIGH IMPACT ANTI-CRIME PROGRAM (R)

138. Purpose	175
139. Project Scope and Specifications	175

CHAPTER 21. DRUG ABUSE ENFORCEMENT (K)

140. General	177
141. Need	177
142. Purpose	177
143. Priority	177
144. Special Requirements	177

SECTION 1. METROPOLITAN NARCOTICS AND DANGEROUS DRUG
ENFORCEMENT GROUPS (MEG) (K2)

145. Purpose	179
146. Range of Grants	179
147. Project Scope and Specifications	179
148. Special Requirements	180

SECTION 2. DIVERSION INVESTIGATION UNITS (DIUs) (K3)

149. Purpose	181
150. Range of Grants	181
151. Project Scope and Specifications	181
152. Special Requirements	181

CHAPTER 22. TREATMENT ALTERNATIVES TO STREET CRIMES (K4)

153. Purpose	183
154. Range of Grants	183
155. Project Scope and Specifications	183
156. Special Requirements	183

CHAPTER 23. BICENTENNIAL PLANNING AND COORDINATION (V)

157. Purpose	185
158. Range of Grants	185

	<u>Page No.</u>
159. Project Scope and Specifications	185
160. Special Requirements	185
CHAPTER 24. COMPREHENSIVE DATA SYSTEM PROGRAM (Q)	
161. Background	187
162. Purpose	187
163. CDS Components	187
164. Participation in the Program	189
165. Range of Grants	190
166. Project Scope and Specifications	190
167. Special Requirements	190
CHAPTER 25. ASSISTANCE TO STATE AND LOCAL GOVERNMENTS THROUGH DEMONSTRATIONS DESIGNED TO BUILD CAPACITY TO PLAN, MANAGE, AND EVALUATE CRIME REDUCTION AND CRIMINAL JUSTICE SYSTEM IMPROVEMENT PROGRAMS (W)	
168. Purpose	193
169. Range of Grants	193
170. Program Scope and Specifications	193
171. Special Requirements	195

PART I: GENERAL SPECIFICATIONS, APPLICATION FORMS, REPORTING
REQUIREMENTS, AND EVALUATION PROVISIONS



CHAPTER 1. GENERAL SPECIFICATIONS FOR DISCRETIONARY GRANTS

1. GENERAL. This chapter contains the general requirements, eligibility rules and other specifications for "discretionary grants" from funds allocable "as the Administration may determine" under Sections 306 and/or 455 of the Act. Except as expressly modified for individual programs set forth in chapters 5 through 25, these specifications apply to all applications for discretionary grants. They should be reviewed carefully by potential applicants.
2. PROGRAMS CONSIDERED. Applications will ordinarily be considered only to the extent that they fall within the coverage of programs set forth in this guideline manual. For statements of the scope and the specifications of discretionary programs, reference should be made to the individual descriptions set forth by major program area in chapters 5 through 25.
3. ELIGIBLE GRANTEEES.
 - a. Discretionary grants authorized under Part C (Grants for Law Enforcement Purposes) of the Act can be made only to:
 - (1) States or combinations of States;
 - (2) Local units of government;
 - (3) Combinations of local units of government; or
 - (4) Non-profit organizations.
 - b. Discretionary grants authorized under Part E (Grants for Correctional Purposes) of the Act can be made only to:
 - (1) States;
 - (2) Local units of government; or
 - (3) Combinations of local units of government.
 - c. Programs contemplating action by a particular type of law enforcement agency, or efforts conducted for State and local government by a university or other private agency, must have the application submitted by either:
 - (1) The department of State government under whose jurisdiction the project will be conducted; or

- (2) A unit of general local government, or combination of such units, whose law enforcement agencies, systems, or activities will execute or be benefited by the grant.

4. MULTI-STATE OR MULTI-UNIT PROJECTS. Several discretionary programs encourage or give preference to multi-State, regional, or cooperative projects involving multiple units of State or local government. In such cases, and to facilitate these arrangements, a flexible approach to applicant selection has been adopted.

a. Unless otherwise indicated in the specifications for a particular program, applications may be made by:

- (1) One government unit in the group on behalf of the others;
- (2) All units in the group jointly; or
- (3) A special combination, association or joint venture created by a group of governmental units for general or grant application purposes.

b. In all cases, clear evidence will be required of approval by all participating units of government with respect to:

- (1) Their participation in the project; and
- (2) The terms and commitments of the grant proposal or application.

5. SPECIAL REQUIREMENTS. LEAA is required to insure that ALL discretionary grants meet certain administrative and legal requirements prior to funding. Therefore, the applicant as the most knowledgeable party concerned with the application must insure that the following requirements are addressed in the application:

- a. Clean Air Act Violations. In accordance with the provisions of the Clean Air Act (42 U.S.C. 1857) as amended by Public Law 91-604, the Federal Water Pollution Act (33 U.S.C. 1251 et seq.) as amended by Public Law 92-500 and Executive Order 11738, grants, subgrants or contracts cannot be entered into, reviewed or extended with parties convicted of offenses under these laws.
- b. Relocation Provisions. In accordance with the provisions of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970, P.L. 91-646, 84 Stat. 1894, and the regulations of the Department of Justice (LEAA Guideline Manual M 4100.1C, State Planning Agency Grants, paragraph 31):

- (1) The applicant and State Planning Agency shall assure that any

program under which LEAA financial assistance is to be used to pay all or part of the cost of any program or project which results in displacement of any individual family, business and/or farm shall provide that:

- (a) Within a reasonable period of time prior to displacement comparable decent, safe, and sanitary replacement dwellings will be available to displaced persons in accordance with such regulations as issued by the Attorney General;
- (b) Fair and reasonable relocation payments and assistance shall be provided to or for displaced persons as are required in such regulations as are issued by the Attorney General;
- (c) Relocation or assistance programs shall be provided for such persons in accordance with such regulations issued by the Attorney General;
- (d) The affected persons will be adequately informed of the available benefits and policies and procedures relating to the payment of monetary benefits; and

- (2) Such assurances shall be accompanied by an analysis of the relocation problems involved and a specific plan to resolve such problems.

c. Environmental Impact.

- (1) The National Environmental Policy Act of 1969 established environmental review procedures to determine if a proposed LEAA funded program or project is a "major Federal action significantly affecting the human environment". Each proposed action listed below must include an environmental evaluation. (See LEAA Guideline Manual M4100.1C, State Planning Agency Grants, paragraph 28.)

- (a) New construction.
- (b) The renovation or modification of a facility which leads to an increased occupancy of more than 25 persons.
- (c) The implementation of programs involving the use of pesticides and other harmful chemicals.
- (d) The implementation of programs involving the use of microwaves or radiation.
- (e) Research and technology whose anticipated or intended future application could be expected to have a potential effect on the environment.
- (f) Other actions determined by the LEAA Regional Administrator to possibly have a significant effect on the quality of the environment.

November 22, 1974

- (2) A determination shall thereafter be made by the responsible Federal official as to whether the action will have a significant effect on the environment requiring the preparation of an environmental analysis (a draft environmental impact statement) or whether a negative declaration can be filed.
 - (3) An environmental evaluation is a report of the environmental effects of the proposal and should consist of questions and narrative answers as well as supporting documentation that substantiates conclusions. (See appendix 2-3.)
 - (4) An environmental analysis must be submitted with the original application in cases where the proposed action would significantly affect the environment. It will be utilized in the preparation of a draft environmental impact statement.
 - (5) A negative declaration (see appendix 11) will be filed by the LEAA Regional Administrator if the environmental evaluation does not indicate a significant environmental impact.
- d. Historic Sites. Before approving grants involving construction, renovation, purchasing or leasing of facilities the cognizant LEAA Regional or Central Office shall consult with the State Liaison Officer for historic preservation to determine if the undertaking may have an effect on properties listed in the National Register of Historic Places. If the undertaking may have an adverse effect on the listed program properties, the cognizant LEAA Regional or Central Office shall notify the Advisory Council on Historic Preservation. (See M 4100.1C, paragraph 30.)
- e. A-95 Notification Procedures. All discretionary grant applicants (Federally recognized Indian tribes excepted) MUST notify as early as possible the appropriate metropolitan, regional and State A-95 clearinghouse of their intent to apply for assistance. See appendix for optional notification form. The clearinghouse will review the notification and must react within 30 days. If the clearinghouse feels that the project will have a significant effect on the environment or other State and/or local projects, it may request an additional 30 days to review the completed application. The applicant must submit any comments made by or through the clearinghouse; LEAA will not accept the application without evidence that it has undergone A-95 review. If the clearinghouse does not react to the applicant's notification of intent to apply for assistance within 30 days, then the project may be considered to have had A-95 clearinghouse review. (See M 4100.1C, paragraph 27 and G 4063.1A for detailed instructions covering the A-95 notification procedures. LEAA Regional Offices and State Planning Agencies have copies available.)
- f. Civil Rights Compliance. In accord with the regulations implementing Title VI of the Civil Rights Act of 1964, 28 C.F.R. 42.101, ET. SEQ., Subpart C, all applicants must provide assurances as to compliance with all requirements imposed by or pursuant to the subpart. (Refer to appendix 8).

November 22, 1974

M 4500.1C

- g. Equal Employment Opportunity. In accord with LEAA external equal employment opportunity regulations, 28 C.F.R. 42.201, ET. SEQ., Subpart D and LEAA equal employment opportunity program guidelines (affirmative action regulations), 28 C.F.R. 42.301, ET. SEQ., Subpart E, all applicants must provide assurances as to compliance with all requirements imposed by or pursuant to the subparts. (See appendix 8 and appendix 9 respectively.)
 - h. Flood Disaster Protection. In accord with Section 202(a) of the Flood Disaster Protection Act of 1973, no Federal agency may approve any financial assistance for construction purposes after July 1, 1975 for use in any area identified by the Secretary of the Department of Housing and Urban Development (HUD) as an area having special flood hazards unless the community in the hazardous area is then participating in the National Flood Insurance Program.
 - i. Security and Privacy. Pursuant to Section 524(b) of the Act, as amended, with respect to programs related to Criminal Justice Information Systems, the grantee agrees to insure that all criminal history information collected, stored, or disseminated, shall, to the maximum extent feasible, contain disposition as well as arrest data. Security and privacy of the information must be assured and an individual must be given access to review his criminal history records for the purpose of challenge or correction.
6. SPECIAL REQUIREMENTS FOR APPLICATIONS FOR PART E FUNDS. State Planning Agencies, as a condition for receipt of Part E funds for the planning, construction, acquisition, or renovation of adult or juvenile correctional institutions or facilities shall require that ALL applicants for such funds demonstrate and provide the following to the extent applicable.
- a. Reasonable use of alternatives to incarceration, including but not limited to referral and bail practices, diversionary procedures, court sentencing practices, comprehensive probation resources and the minimization of incarceration by State and local parole practices, work-study release or other programs assuring timely release of prisoners under adequate supervision. (Applications should indicate the areas to be served, comparative rates of disposition for fines, suspended sentences, probation, institutional sentences and other alternatives, and rates of parole.);
 - b. Special provision for the treatment of alcohol and drug abusers in institutions and community-based programs;
 - c. Architectural provision for the complete separation of juvenile, adult female, and adult male offenders;

- d. Special study for the feasibility of sharing facilities on a regional (multi-State, multi-county or regional within States, as appropriate) basis;
 - e. Architectural design of new facilities providing for appropriate correctional treatment programs, particularly those involving other community resources and agencies;
 - f. Willingness to accept in the facilities persons charged with or convicted of offenses against the United States, subject to negotiated contractual agreements with the Bureau of Prisons;
 - g. Certification that where feasible and desirable provisions will be made for the sharing of correctional institutions and facilities on a regional basis;
 - h. Certification that Part E funds will utilize advance techniques in the design of institutions and facilities;
 - i. Satisfactory assurances that the personnel standards and programs of the institutions and facilities will reflect advanced practices including a clear idea of the kinds of personnel standards and programs which will be sought in institutions and facilities receiving Part E support; and
 - j. Certification that special administrative requirements dealing with objectives, architectural and cost data, contractual arrangements, etc., will be made applicable to contractors.
7. SUBMISSION DATES. Applications for discretionary grant projects under this Guideline Manual should be submitted to LEAA operating component not later than May 31 of any calendar year.
8. STATE PLANNING AGENCY COORDINATION. Applicants are encouraged to consult with and seek advance assistance from State Planning Agencies in the development of applications. Discretionary grant applications must be submitted, IN ADVANCE OF LEAA FILING, to the Title I State Law Enforcement Planning Agency (refer to appendix 2) of the State in which the program or project will be executed. In the case of multi-State efforts, such submissions are to be made to each State Planning Agency concerned.
- a. In order to expedite administrative processing, the applicant should, at the time of submission to the State Planning Agency, submit a copy of the application to the appropriate metropolitan, regional and State A-95 clearinghouse. This action should be noted along with the date of submission on the application submitted to the State Planning Agency. (See paragraph 5e.)

b. State Planning Agency Certification and Confirmation.

- (1) Most grants will be through the State Planning Agencies for fund administration and monitoring purposes and, accordingly, State Planning Agencies must certify their willingness to accept such grants. (See appendix 3 for suggested form of State Planning Agency certification and confirmation.)
- (2) Unless otherwise indicated by LEAA, a necessary element of each application will be the State Planning Agency confirmation that:
 - (a) The proposed project is consistent with the State's comprehensive law enforcement plan (or plans where several States are involved);
 - (b) The grant project will, if approved, be incorporated or integrated as an action effort within the action plan component of the State plan; and
 - (c) State action fund allocations to the beneficiary agency, unit of government, or region will not be reduced or supplanted by virtue of the discretionary award.

9. APPLICATION FORMS.

- a. The following two application forms should be used in the preparation of all formal applications for discretionary grant funds:
 - (1) LEAA Form 4000/3 (6-73) for all non-construction programs (see appendix 4),
 - (2) LEAA Form 4000/4 (6-73) for all construction programs (see appendix 5).
- b. The only exception to the use of LEAA Forms 4000/3 or 4000/4 is the Small State Supplemental Allocation Program (E) for which no application is necessary, as it is included within the State's annual comprehensive State plan.

10. PREAPPLICATIONS.

- a. Preparation of a formal application involves considerable investment of time and effort. Accordingly, applicants may wish to submit preliminary proposals where large scale efforts are involved or there is uncertainty as to whether the proposed activities are potentially within program guidelines. A preliminary application, LEAA Form 4000/5, Preapplication for Federal Assistance, or a two or three page letter can serve as a preliminary proposal if they include a clear statement of:

November 22, 1974

- (1) Project goals and methods;
- (2) Timetable;
- (3) Budget (by major categories); and
- (4) Resources available (facilities, staff, and cooperating agencies or entities).

- b. Informal proposals, whether by letter or preliminary application, may be transmitted to the cognizant LEAA Regional Office. (See appendix 6 for a list of LEAA Regional Offices.) Copies should be concurrently furnished to the State Planning Agencies.
- c. Following determination of eligibility and communication of LEAA questions and comments, the applicant can proceed more readily to develop the required formal application.

11. APPLICATION SUBMISSION.

- a. Prior to submission to LEAA, the applicant for discretionary funds must submit to his cognizant State Planning Agency (see paragraph 8) and appropriate A-95 clearinghouses (see paragraph 5e) a copy of his application.
- b. Application distribution should be as follows:
 - (1) Original and four copies to the cognizant LEAA Regional Office (see appendix 6 for addresses);
 - (2) One copy to each cognizant State Planning Agency (see appendix 2 for addresses); and
 - (3) One copy to each of the appropriate A-95 clearinghouses.
- c. All applications for Part E funds for purposes of construction or renovation of juvenile and adult correctional institutions or facilities MUST BE submitted in accordance with Guideline G 4063.2A, National Clearinghouse for Criminal Justice Planning and Architecture, to the clearinghouse for clearance of the architectural plans, designs and construction drawings. Applications should be forwarded to the clearinghouse simultaneous with the submissions listed in paragraph 11b(2) and (3) above. In turn the clearinghouse will respond to the applicant, the State Planning Agency and the cognizant LEAA Regional or Central Office. The address of the clearinghouse is:

November 22, 1974

M 4500.1C

The National Clearinghouse of Criminal
Justice Planning and Architecture
University of Illinois
1102 West Main Street
Urbana, Illinois 61801

- d. Where multi-State projects are involved, copies are required for each affected State Planning Agency and LEAA Regional Office.
- e. At the time of submission to LEAA, applications should include the completed State Planning Agency endorsement (appendix 3) or, where this is pending or endorsement has been withheld, an indication of status.

- 12. APPLICATION NOTIFICATION. Applicants will be notified of either approval or disapproval of their formal application no later than 90 days from the date the application arrives at LEAA. If the application is disapproved, the notification will contain specific reason for the disapproval. This requirement does not apply to pre-applications or other submissions which do not meet application requirements.

- 13. GRANTEE MATCHING CONTRIBUTIONS. The following subparagraphs set forth grantee matching contribution requirements for Fiscal Years 1971, 1972, 1973 and for years beyond 1974. As this guideline manual cancels all previous years guides for discretionary grant programs, the Fiscal Years 1971, 1972 and 1973 requirements are primarily for general information purposes.

- a. For Fiscal Years 1971 and 1972 funds all applicants for grants made under Part C (Indian programs excepted) and Part E of the Act must be prepared to provide at least 25 percent of the total project costs.
- b. For Fiscal Year 1973 funds all applicants for grants made under Part C and Part E of the Act must be prepared to provide at least:
 - (1) Twenty-five percent of the total project costs (Part C funds for Indian programs excepted) and
 - (2) At least 40 percent of the required non-Federal share of the total project cost of all Part C grants must be in cash rather than in-kind goods and services. (Refer to LEAA Guideline Manual M 7100.1A, Financial Management for Planning and Action Grants, chapter 4, paragraph 9.)

- c. For Fiscal Years 1971, 1972 and 1973 grants [except as limited by paragraph 13b(2)], matching cost contributions can be from the following sources:
- (1) Funds from State, local or private sources may not include funds from other Federal sources with the following exceptions:
 - (a) The Housing and Community Development Act of 1974, and
 - (b) Funds from the Appalachian Regional Development Act of 1965, as amended, P.L. 89-4, 40 U.S.C 214.
 - (2) In-kind resources (services, goods or facilities).
- d. For funds beyond Fiscal Year 1973, all applicants for grants made under Part C and Part E of the Act must be prepared to provide at least 10 percent of the total project costs (Part C funds for Indian programs excepted) and the matching cost contribution MUST BE in cash rather than in-kind goods and services. (Refer to M 7100.1A, chapter 4, paragraph 19.) Matching cost contributions can be funds from State, local or private sources but may not include funds from other Federal sources with the following exceptions:
- (1) The Housing and Community Development Act of 1974, and
 - (2) Funds from the Appalachian Regional Development Act of 1965.
14. FISCAL ADMINISTRATION. Discretionary grants will be administered in accordance with M 7100.1A, Financial Management for Planning and Action Grants. M 7100.1A relates primarily to fiscal administration of planning grants (Part B of the Act) and action grants ("block grants") allocated on the basis of population (Part C of the Act). Appendix 7 adjusts M 7100.1A for application to the special characteristics of discretionary grants and includes a section indicating the responsibilities of State Planning Agencies through which most discretionary grants are made.
15. CONTINUATION SUPPORT. In general, one year is viewed as the normal project period. However, where LEAA Regional or Central Office or Administrator commitments indicate that continuation support will be considered and where applicants desire to present a multi-year or

- future year budget, or estimate future year needs for project continuation in order to better present their project concept and development, the appropriate forward year data must be added to the normal grant application budget material (see chapter 2, Section E, LEAA Form 4000/3). It should be noted that future year cost data is either explicitly or implicitly requested in some discretionary programs. However, LEAA Form 4000/4 does not provide for continuation support as it is anticipated that construction programs will not require continuation funding.
16. MEDICAL RESEARCH AND PSYCHOSURGERY. It is LEAA policy not to fund grant applications for medical research or for the use of medical procedures which seek to modify behavior by means of any aspect of psychosurgery, aversion therapy, chemotherapy (except as part of routine clinical care), and physical therapy of mental disorders. Such proposals will be referred to the Secretary of the Department of Health, Education, and Welfare for appropriate funding consideration. This policy does not apply to a limited class of programs involving procedures generally recognized and accepted as not subjecting the patient to physical or psychological risk (e.g., methadone maintenance and certain alcoholism treatment programs), as specifically approved in advance by the Office of the Administration, after appropriate consultation with and advice of the Department of Health, Education, and Welfare. This is not intended to cover those programs of behavior modification such as involve environmental changes or social interaction where no medical procedures are utilized.
17. USE OF DISCRETIONARY FUNDS FOR CONSTRUCTION PROJECTS. LEAA recognizes the need to clarify its policy with respect to the use of discretionary funds for construction projects. This need arises because of the critical need to allocate scarce LEAA resources to their most effective, high priority uses.
- a. When Congress wrote and the President approved the Act providing for a program of comprehensive planning for law enforcement and criminal justice and for grants to implement planned changes, it provided under both Part C and Part E for construction grants. The construction grants under Part C were always intended clearly to be supportive of and supplemental to programs aimed at crime reduction and at improvements in the criminal justice system.
 - b. The construction grants under Part E were intended to meet the need for improved correctional facilities, but the Congress was careful to say that the prime emphasis was to be on community-based correctional facilities in that Part. It also made it clear that no facilities were to be built with Part E funds unless there was a comprehensive plan for correctional programs and facilities of which the proposed construction was an integral, necessary, and logical

November 22, 1974

part. The restrictions on construction grants in Part E reflect a national conviction that prisons and jails have failed to reduce crime, and that it would be unwise to build more jails and prisons of the same kind we have had in the past. This conviction is also the basis for the recommendations made by the National Advisory Commission on Criminal Justice Standards and Goals, whose Report on Corrections urges that local correctional facilities be primarily community-based facilities and that new state facilities be built only if there is absolutely no alternative. Further, states themselves have generally given low priority to use of LEAA funds for construction, either placing a dollar limit on projects or limiting expenditures to planning and design of new facilities.

c. For these reasons, LEAA is adopting a policy statement with respect to use of discretionary funds for construction projects which is explicit. It is as follows:

- (1) Discretionary funds (both Part C and Part E funds) will be used to fund new construction programs only if every condition on the use of Part C and Part E funds for construction is fully and completely met. In this respect, the relocation and environmental policy acts must be complied with prior to LEAA funding.
- (2) LEAA will fund only those new construction projects which represent the only method available to the grantee to meet program goals set forth in the state's comprehensive plan or those which fall within established national priority programs. The applicant will have to make a showing that the comprehensive plan's program goals or the national priority program's goals cannot be met in any other way except through a construction program or project.
- (3) LEAA will fund only those projects which meet critical needs, which are innovative and exemplary in their approach, and which involve replicable approaches which other jurisdictions are able to use. Critical needs will vary, but applicants will have to make a convincing case that the need is more than routine. An innovative and exemplary approach to construction would involve special attention to the needs of citizens who come in contact with the criminal justice system, attention to the possible multi-jurisdictional, regional or multi-purpose use of the facility, flexible design which anticipates the possibility of changes in use of the building or facility and in the kinds and numbers of persons who will use it, among other approaches. A replicable project would be one which would involve a package which spells out how requirements for the facility were developed, how the facility supported the goals of the comprehensive plan of the state, how the considerations of program objectives were built into the design of the facility, what the objectives of the facility or building were; and also contained a

November 22, 1974

comprehensive evaluation design for determining the future utility and effectiveness of the contribution the building is to make to program objectives and goals.

- (4) LEAA will not use more than 5 percent of its discretionary funds under Part C in any one year for construction projects, or more than 30 percent of its discretionary funds under Part E in any one year for new construction projects. For a definition of construction programs, see chapter 4, paragraph 6 of the LEAA Guideline Manual M 7100.1A, Financial Management for Planning and Action Grants, April 30, 1973, as amended by Change 1, January 24, 1974.

18. POTENTIAL POST AWARD REDUCTIONS. The following general conditions must be added to all grants awarded by LEAA:

"THIS GRANT, OR PORTION THEREOF, IS CONDITIONAL UPON SUBSEQUENT CONGRESSIONAL OR EXECUTIVE ACTION WHICH MAY RESULT FROM FEDERAL BUDGET DEFERRAL OR RECISION ACTIONS PURSUANT TO THE AUTHORITY CONTAINED IN SECTIONS 1012(A) AND 1013(A) OF THE CONGRESSIONAL BUDGET AND IMPOUNDMENT CONTROL ACT OF 1974, 31 U.S.C. 1301, PUB. L. 93-344, 88 STAT. 297 (JULY 12, 1974)."

19. RESERVED.

CHAPTER 2. APPLICATION FORMS

20. STANDARD APPLICATION FORMS. The standard forms for submission of discretionary fund applications are LEAA Form 4000/3, Application for Federal Assistance, for non-construction programs and 4000/4, Application for Federal Assistance, for construction programs. These forms are reproduced with instructions as appendix 4 and appendix 5. As previously indicated in paragraph 10 above, the applicant may wish to submit a preliminary proposal for initial review of project eligibility, feasibility and merit. Ultimately, a duly executed and completed application form will be required for all applications with the exception of the Small State Supplemental Allocation Program (E). These allocations are incorporated into the annual comprehensive State plan and "block" grant submission.
- a. Because of the variety of discretionary programs, parts of the standard form may not seem appropriate for a specific application. In such cases, applicants should be as responsive as possible and seek guidance from their state planning agency. Occasionally, the announcement for a specific discretionary program will indicate special data or information to be included in the applications. This should be added to the standard information required by LEAA Forms 4000/3 and 4000/4.
 - b. A signed original and four copies are required for each application submission. Refer to paragraphs 11a and 11b for proper application submission.
 - c. For multi-State projects, copies of applications should be sent to each interested State Planning Agency, LEAA Regional Office and A-95 clearinghouse.
 - d. Submission of applications for Part E funds for purposes of construction or renovation of juvenile and adult correctional institutions or facilities MUST follow the procedures outlined in Chapter 1 paragraph 11c.

November 22, 1974

21. PREPARATION OF LEAA FORM 4000/3. Following are miscellaneous instructions to aid the applicant in the preparation of LEAA Form 4000/3 to be used for all non-construction program applications.

a. Part I.

- (1) Item No. 2, Applicant's Application Number. This should be left blank as it will be completed by LEAA.
- (2) Item No. 6, Federal Catalog Number. The Catalog of Federal Domestic Assistance program number for LEAA discretionary grants is 16.501. Only this number should be placed in block 6.
- (3) Item No. 8, Grantee Type. Grantee here refers to the State agency, local government unit, institution or department or non-profit organization which will implement the project whether as direct grantee or subgrantee of a State Planning Agency.
- (4) Item No. 16, Signature of Authorized Representative. The signature shown MUST BE that of the individual authorized to enter into binding commitments on behalf of the applicant or implementing agency. He will normally be the chief officer of the agency or governmental unit involved.

b. Part III, Budget Information. (Refer to appendix 2-1 and 2-2 for an example of a properly completed application budget.)

- (1) Section A, column (a). Grant applications requesting only one kind of discretionary funds (either Part C or Part E) should place the designation "DF-Part C" or "DF-Part E" as appropriate on line 1. (See appendix 2-2.) Grant applications requesting a combination of Part C and Part E funding should place the designation "DF-Part C" on line 1 and "DF-Part E" on line 2. (See appendix 2-2.)
- (2) Section A, column (b). Column (b) will always reflect the Catalog of Federal Domestic Assistance program number for LEAA discretionary grants, 16.501. This is the same number that appears in Item 6 on page 1 of the application.
- (3) Special LEAA Instructions. In accordance with the special instructions contained on page 8 of the application, applicants must provide a separate budget narrative detailing by budget category the Federal and non-Federal share.

November 22, 1974

- (a) Personnel. List each position by title (and name of employee, if available), show the annual salary rate and the percentage of time to be devoted to the project by the employee.
- (b) Fringe benefits. Indicate each type of benefit included and the total cost allowable to employees assigned to the project.
- (c) Travel. Itemize travel expenses of project personnel by purpose (e.g., faculty to training site, field interviews, advisory group meetings, etc.) and show basis for computation (e.g., "Five trips for 'X' purpose at \$80 average cost - \$50 transportation and two days per diem at \$15" or "Six people to 3-day meeting at \$70 transportation and \$45 subsistence"). In training projects where travel and subsistence of trainees is included, this should be separately listed indicating the number of trainees and the unit costs involved.
- (d) Equipment. Each type of equipment to be purchased should be separately listed with unit costs.
- (e) Supplies. List items within this category by major type (office supplies, training materials, research forms, postage) and show basis for computation.
- (f) Contractual. The application must show the selection basis for any contract or subcontract or prospective contract or subcontract mentioned (including construction services and equipment).
 - 1 For individuals to be reimbursed for personal services on a fee basis list each type of consultant or service, the proposed fee rates (by day, week or hour) and the amount of time to be devoted to such services.
 - 2 For construction contracts and organizations, including professional associations and educational institutions, performing professional services indicate the type of services being performed and the estimated contract cost data.
- (g) Construction refers to minor construction or renovation.
- (h) Other. Included under "other" should be such items as rent, telephone, and janitorial or security services. Items should be listed by major type with basis of computation shown.

- (i) The Administration may accept any indirect cost rate previously approved for any applicant by any Federal granting agency in accordance with the provisions of Circular No. A-87. In lieu of an approved rate flat amounts not in excess of 10 percent of direct labor costs (including fringe benefits) or 5 percent of total direct costs may be claimed.

22. GRANT ASSURANCES. The grant assurances continued in Part V of LEAA Form 4000/3 and LEAA Form 4000/4 are incorporated in and made a part of all discretionary grant awards.
- a. All grant assurances should be reviewed carefully because they define the obligations of potential grantees (and their subgrantees) and express commitments that will have binding contractual effect once award is made and accepted by the grantee.
 - b. Special Conditions. Frequently, LEAA will approve or require, as a condition of grant award and receipt of funds, "special conditions" applicable only to the particular project or type of program receiving grant support. Where special conditions are to be negotiated and included in the terms of an award, notice and opportunity for discussion will be provided to grant applicants. Special conditions may:
 - (1) Set forth Federal grant administration policies (e.g., allowable cost);
 - (2) Set forth LEAA regulatory pronouncements (e.g., written approval of changes);
 - (3) Seek to secure additional project information or detail;
 - (4) Establish special reporting requirements; and
 - (5) Provide for LEAA approval of critical project elements such as key staff, evaluation designs, dissemination of manuscripts, contracts, etc.
 - c. All projects proposing the construction or renovation of facilities will be required to comply with certain standard grant conditions for construction programs. Refer to Appendix 5 for a list of standard grant conditions for construction grants.

- d. It will be noted that some of the grant assurances and special conditions refer to and incorporate the requirements of other Federal and LEAA issuances (see paragraph 5). Copies of these and other grant condition references may be obtained from the applicant's cognizant LEAA Regional or Central Office. The most important of these other LEAA issuances are:

- (1) M 7100.1A, Financial Management for Planning and Action Grants which, as delineated in appendix 7 is established as the basic fiscal administration manual for discretionary grants;
- (2) LEAA regulations implementing the provisions of the Civil Rights Act of 1964 with respect to LEAA grants (appendix 8);
- (3) LEAA equal employment opportunity regulations (28 C.F.R. 42.301 subpart D) and equal employment opportunity program guidelines (28 C.F.R. 42.301, subpart E) with respect to LEAA grants (appendixes 9 and 10).

23. PREPARATION OF LEAA FORM 4000/4. Following are miscellaneous instructions to aid the applicant in the preparation of LEAA Form 4000/4, Part I. This form is to be used for all construction grant applications.

- a. Item No. 2, Applicant's Application Number. Refer to paragraph 21a(1).
- b. Item No. 6, Federal Catalog Number. Refer to paragraph 21a(2).
- c. Item No. 8, Grantee Type. Refer to paragraph 21a(3).
- d. Item No. 16, Signature of Authorized Representative. Refer to paragraph 21a(4).

24. RESERVED.

November 22, 1974

APPENDIX 2-1. EXAMPLE OF COMPLETED BUDGET PAGES,
LEAA FORM 4000/3.M 4500.1C
Appendix 2-1

PART III - BUDGET INFORMATION

SECTION A - BUDGET SUMMARY

Grant Program, Function or Activity (a)	Federal Catalog No. (b)	Estimated Unobligated Funds		New or Revised Budget		
		Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)	Total (g)
1. DF-Part C	16.501	\$	\$	\$ 210,995	\$ 152,900	\$ 363,895
2.						
3.						
4.						
5. TOTALS		\$	\$	\$ 210,995	\$ 152,900	\$ 363,895

SECTION B - BUDGET CATEGORIES

6. Object Class Categories	- Grant Program, Function or Activity				Total (5)
	(1)	(2)	(3)	(4)	
a. Personnel	\$	\$	\$	\$	\$ 59,853
b. Fringe Benefits					39,902
c. Travel					16,800
d. Equipment					2,900
e. Supplies					21,925
f. Contractual					40,000
g. Construction					
h. Other					118,620
i. Total Direct Charges					300,000
j. Indirect Charges					63,895
k. TOTALS	\$	\$	\$	\$	\$ 363,895
7. Program Income	\$	\$	\$	\$	\$

SECTION C - NON-FEDERAL RESOURCES

(a) Grant Program	(b) APPLICANT	(c) STATE	(d) OTHER SOURCES	(e) TOTALS
8. DF - Part C	\$ 76,500	\$	\$ 76,400	\$ 152,900
9.				
10.				
11.				
12. TOTALS	\$ 76,500	\$	\$ 76,400	\$ 152,900

SECTION D - FORECASTED CASH NEEDS

	Total for 1st Year	1st Quarter	2nd Quarter	3rd Quarter	4th Quarter
13. Federal	\$ 210,995	\$ 52,749	\$ 52,749	\$ 52,749	\$ 52,748
14. Non-Federal	152,900	38,225	38,225	38,225	38,225
15. TOTAL	\$ 363,895	\$ 90,974	\$ 90,974	\$ 90,974	\$ 90,973

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. DF - Part C	\$ 210,995	\$	\$	\$
17.				
18.				
19.				
20. TOTALS	\$ 210,995	\$	\$	\$

SECTION F - OTHER BUDGET INFORMATION

(Attach additional Sheets If Necessary)

21. Direct Charges:

22. Indirect Charges:

23. Remarks:

November 22, 1974

M 4500.1C
Appendix 2-2APPENDIX 2-2. EXAMPLE OF PART C AND PART E COMPLETED
BUDGET PAGES, LEAA FORM 4000/3.

PART III - BUDGET INFORMATION

SECTION A - BUDGET SUMMARY

Grant Program, Function or Activity (a)	Federal Catalog No. (b)	Estimated Unobligated Funds		New or Revised Budget		
		Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)	Total (g)
1. DF-Part C	16.501	\$	\$	\$210,995	\$ 152,900	\$363,895
2. DF-Part E	16.501			88,000	32,000	111,000
3.						
4.						
5. TOTALS		\$	\$	\$298,995	\$ 184,900	\$ 474,895

SECTION B - BUDGET CATEGORIES

6. Object Class Categories	- Grant Program, Function or Activity				Total (5)
	(1)	(2)	(3) Part C	(4) Part E	
a. Personnel	\$	\$	\$ 59,853	\$ 20,000	\$ 79,853
b. Fringe Benefits			39,902	6,000	45,902
c. Travel			16,800	1,000	17,800
d. Equipment			2,900		2,900
e. Supplies			21,925	10,000	31,925
f. Contractual			40,000	20,000	60,000
g. Construction				52,000	52,000
h. Other			118,620	2,000	120,620
i. Total Direct Charges			300,000	111,000	411,000
j. Indirect Charges			63,895		63,895
k. TOTALS	\$	\$	\$363,895	\$ 111,000	\$ 474,895
7. Program Income	\$	\$	\$	\$	\$

SECTION C – NON-FEDERAL RESOURCES

	(a) Grant Program	(b) APPLICANT	(c) STATE	(d) OTHER SOURCES	(e) TOTALS
8.	DF-Part C	\$ 76,500	\$	\$ 76,400	\$ 152,900
9.	DF-Part E	32,000			32,000
10.					
11.					
12.	TOTALS	\$ 108,500	\$	\$ 76,400	\$ 184,900

SECTION D – FORECASTED CASH NEEDS

	Total for 1st Year	1st Quarter	2nd Quarter	3rd Quarter	4th Quarter
13. Federal	\$ 298,995	\$ 74,748	\$ 74,748	\$ 74,748	\$ 74,751
14. Non-Federal	184,900	46,225	46,225	46,225	46,225
15. TOTAL	\$ 483,895	\$ 120,973	\$ 120,973	\$ 120,973	\$ 120,976

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. DF-Part C	\$ 210,995	\$	\$	\$
17. DF-Part E	678,400			
18.				
19.				
20. TOTALS	\$ 889,395	\$	\$	\$

SECTION F – OTHER BUDGET INFORMATION

(Attach additional Sheets If Necessary)

21. Direct Charges:

22. Indirect Charges:

23. Remarks:

APPENDIX 2-3. APPLICANT'S ENVIRONMENTAL EVALUATION

APPLICANT'S NAME:

1. Project Description.

- a. Type of grant.
- b. Type of project.
- c. Size of project (construction projects only)
 - (1) Cost.
 - (2) Square feet (floor area).
 - (3) Number of occupants (if applicable).
- d. Location of project.
 - (1) Location in city.
 - (2) Miles from nearest city.
 - (3) Location map.
- e. Surrounding area.
 - (1) Land use and zoning.
 - (2) Density.

2. Does the proposed action conform to all local, state and Federal plans, policies and controls for the affected area, including the Clean Air Act and the Federal Water Pollution Act of 1972?

3. What alternatives are there to the proposed action.

- a. Change in location.
- b. Change in program.
- c. Postponing action.

4. Environmental effects. Will the implementation of the proposed projects or programs produce the following effects:

November 22, 1974

- a. Lead to a significant increase in air pollution.
 - b. Lead to a significant increase in water pollution.
 - (1) What is the ability of waste water system to meet demand without degrading water quality?
 - (2) How will water supply be affected?
 - c. Lead to a significant increase in the ambient noise level for a substantial number of people.
 - d. Lead to poor incompatible land use, soil erosion or soil pollution.
 - e. Destroy or derogate from an important recreation area.
 - f. Substantially alter the pattern or behavior of wildlife or interfere with important breeding, nesting, or feeding grounds.
 - g. Disturb the ecological balance of land or water area, or impact critical areas such as flood plains, wetlands, beaches and dunes, unstable soils, steep slopes and aquifer recharge areas.
 - h. Have significant effect upon areas of historical significance, archaeological significance, cultural significance or educational scientific significance.
 - i. Have an adverse aesthetic or visual effect.
 - j. Have a detrimental effect on the safety of the community.
5. Is there opposition to the proposal?
- a. Who?
 - b. Why?

November 22, 1974

6. To be completed by the Regional Clearinghouse (check one).

- ☐ We have reviewed this assessment and agree that no adverse environmental impact is probable.
- ☐ Our comments upon the environmental impact are attached.

Date

Signature

Regional Clearinghouse

To be completed by the State Clearinghouse or the appropriate State agency (check one).

- ☐ We have reviewed this assessment and agree that no adverse environmental impact is probable.
- ☐ Our comments upon the environmental impact are attached.

Date

Signature

State Clearinghouse or
appropriate agency

Date

Applicant

After evaluation of the above questions it has been determined that:

- ☐ There are no significant environmental impacts.

November 22, 1974

- [] There may be significant environmental impacts and an environmental statement should be prepared.

Applicant Signature _____

SPA Signature _____

LEAA Official Signature _____

November 22, 1974

M 4500.1C

CHAPTER 3. REPORTING REQUIREMENTS

25. GENERAL.

- a. This chapter will discuss in detail the following two reporting forms:
 - (1) Discretionary Grant Progress Report, LEAA Form 4587/1 (See appendix 3-1), and
 - (2) Financial Status Report, LEAA Form 7160/1 (H-1 Report) (See appendix 3-2).
- b. In addition, the following two financial reports must be completed by particular grantees.
 - (1) Report of Federal Cash Transactions, LEAA Form 7160/2 (H-2 Report) to be completed by all grantees receiving funds through letters of credit, and
 - (2) Request for Advance or Reimbursement, LEAA Form 7160/3 (H-3 Report) to be completed by all grantees receiving funds directly from LEAA and not through letters of credit.
- c. A special series of reports will be made to the Audio-Visual Communications Division of LEAA on all grants that have any audio-visual, media, printing and publications materials or equipment involved in the grant or the replication of the grant. One copy of LEAA Form 4587/1 and LEAA Form 7160/1 will be forwarded directly to LEAA, Audio-Visual Communications Division, Attn: Audio-Visual Communications Monitor. Two copies of audio-visual media or graphics materials produced will be submitted to the Audio-Visual Communications Monitor. The schedule listed in Paragraph 26 and 27 will be followed for these reports. One copy of the grant document will be forwarded to the Audio-Visual Communications Monitor when the grant is issued by LEAA Headquarters or Regional Office Grant Control Office.
- d. Although discretionary grants are administered in accordance with M 7100.1A, Financial Management for Planning and Action Grants, the financial reports and reporting procedures are described by the standards for administration of grants-in-aid contained in OMB Circular A-102.

26. NARRATIVE REPORTING. Discretionary Grant Progress Report, LEAA Form 4587/1, shall be used as the standard narrative reporting form for all discretionary grant awards.

November 22, 1974

a. Submission.

- (1) The report is submitted by the subgrantee to its State Planning Agency on a quarterly basis (i.e., as of June 30, September 30, December 31 and March 31). (Direct grantees should follow this submission schedule but forward their reports directly to their cognizant LEAA Regional or Central Office.)
- (2) The report is due at the cognizant LEAA Regional or Central Office on the 30th day following the close of the quarter.
- (3) The first report will be due after the close of the FIRST full quarter following approval of the grant.
- (4) The first report will cover the period from approval of the grant, through the close of the first full quarter of activity.
- (5) The final progress report will be due 90 days following the close of the project or any approved extension thereof.

27. LEAA FORM 7160/1. The Financial Status Report. LEAA Form 7160/1 (H-1 Report) is the standard report form to be used for all discretionary grants awarded on July 1, 1973 or after. The form and its instructions are reproduced as appendix 3-2.

a. Submission.

- (1) Grantees must submit a separate report for each discretionary grant.
- (2) An original and one copy of the report is submitted quarterly, within 45 days following the end of the quarter, to the Office of the Comptroller, Washington, with a copy provided to the cognizant LEAA Regional or Central Office, and the State Planning Agency, if appropriate.
- (3) Final reports are due 90 days following the close of the project or any approved extension thereof.

b. Instructions. Following are miscellaneous instructions to aid in the preparation of LEAA Form 7160/1.

- (1) Item 1 - Federal Agency and Organizational Element. Enter the name of the cognizant LEAA Regional or Central Office.
- (2) Item 4 - Employer Identification No. Enter the employer identification number assigned to the organization by the U.S. Internal Revenue Service (IRS).

November 22, 1974

- (3) Item 5 - Grantee Account No. or Identifying No. This item is not applicable to LEAA. Enter "N/A".
- (4) Item 8 - Project Period. Enter the month, day, and year of the beginning and ending period of the grant as shown in the Grant Award Letter. If this grant period has changed, the dates indicated in this item should agree with the dates shown on the latest approved Grant Adjustment Notice. The dates should be indicated as follows:
 - (a) Month - 01 through 12
 - (b) Day - 01 through 31
 - (c) Year - last two digits of the calendar year.
- (5) Item 9 - Report Period. Enter the month, day, and year of the beginning and ending dates of the quarter for which this report is prepared. Refer to paragraph 4b(4) for the proper date format.
- (6) Item 10 - Status of Funds. This item presents the obligation and expenditure status of the grant. Only the "Total" column need be completed.
 - (a) Line a - Total Outlays Previously Reported. Enter the total Federal and non-Federal program outlays at the beginning of the report period. This value will be the amount reported on line 10e of the previous report. Exception:
 - 1 When the grant is being reported for the first time the value will be zero "0"
 - 2 When using this report form for the first time, the value will be the actual amount of disbursements for the grant as of the close of business on the day prior to the first reporting day.
 - (b) Line b - Total Program Outlays This Period. Enter the amount of Federal and non-Federal cash disbursements reported by the grantee/subgrantee as expended for the indicated grant. This figure includes all program income returned for use in executing the grant.
 - (c) Line c - Program Income Credits. Enter the program income included in line b, Total Program Outlays this Period.

November 22, 1974

- (d) Line d - Net Program Outlays this Period. Enter the result of line b, Total Program Outlays this Period, less line c, Program Income Credits.
- (e) Line e - Total Program Outlays to Date. Enter the sum of line a, Total Outlays Previously Reported, and line d, Net Program Outlays this Period. This amount represents the cumulative outlays to date of both Federal and non-Federal funds.
- (f) Line f - Less: Non-Federal Share of Program Outlays. Enter the cumulative non-Federal share (matching contribution) of the program outlays included in line e, Total Program Outlays to Date.
- (g) Line g - Total Federal Share of Program Outlays. Enter the result of line e, Total Program Outlays to Date, less line f, Non-Federal Share of Program Outlays.
- (h) Line h - Total Unpaid Obligations. Enter the total Federal and non-Federal unpaid obligations for the grant. This amount represents the amount of obligations incurred by the grantee/subgrantee which have not been paid.
- (i) Line i - Less: Non-Federal Share of Unpaid Obligations. Enter the non-Federal share of unpaid obligations included on line h, Total Unpaid Obligations.
- (j) Line j - Federal Share of Unpaid Obligations. Enter the result of line h, Total Unpaid Obligations, less line i, Non-Federal Share of Unpaid Obligations.
- (k) Line k - Total Federal Share of Outlays and Unpaid Obligations. Enter the sum of line g, Total Federal Share of Program Outlays, and line j, Federal Share of Unpaid Obligations.
- (l) Line l - Total Federal Funds Authorized. Enter the total Federal grant award amount as defined by the Grant Award Letter or revised by Grant Adjustment Notices.
- (m) Line m - Unobligated Balance of Federal Funds. Enter the result of line l, Total Federal Funds Authorized, less line k, Total Federal Share of Outlays and Unpaid Obligations.

November 22, 1974

- (7) Item 12 - Remarks. This space will be used to provide information necessary to comply with LEAA legislative and administrative requirements. For Part C discretionary grants provide the cumulative amount of Federal funds outlayed for compensation of police and other regular law enforcement personnel during the period set forth in the grant award.


28-33. RESERVED.

November 22, 1974

M 4500.1C
Appendix 3-1

APPENDIX 3-1. DISCRETIONARY GRANT PROGRESS REPORT

OMB APPROVAL NO. 43-R0028
EXPIRATION DATE 6-30-74

 U. S. DEPARTMENT OF JUSTICE LAW ENFORCEMENT ASSISTANCE ADMINISTRATION		DISCRETIONARY GRANT PROGRESS REPORT	
GRANTEE	LEAA GRANT NO.	DATE OF REPORT	REPORT NO.
IMPLEMENTING SUBGRANTEE	TYPE OF REPORT <input type="checkbox"/> REGULAR QUARTERLY <input type="checkbox"/> SPECIAL REQUEST <input type="checkbox"/> FINAL REPORT		
SHORT TITLE OF PROJECT	GRANT AMOUNT		
REPORT IS SUBMITTED FOR THE PERIOD		THROUGH	
SIGNATURE OF PROJECT DIRECTOR		TYPED NAME & TITLE OF PROJECT DIRECTOR	
COMMENCE REPORT HERE (Add continuation pages as required.)			
RECEIVED BY GRANTEE STATE PLANNING AGENCY (Official)			DATE

LEAA FORM 4887/11 (REV. 1-73)

REPLACES LEAA-OLEP-150, WHICH IS OBSOLETE.

DOJ-1973-05

November 22, 1974

PROGRESS REPORTS--INSTRUCTIONS FOR LEAA DISCRETIONARY GRANTS

Grantees are required to submit Quarterly Progress Reports on project activities and accomplishments. No fixed requirements as to length or detail have been established, although some general guidelines appear below. It is expected that reports will include data appropriate to the stage of project development and in sufficient detail to provide a clear idea and summary of work and accomplishments to date. The following should be observed in preparation and submission of progress reports.

- a. Reporting Party. The party responsible for preparing the report will be the agency, whether grantee or subgrantee, actually implementing the project. Thus, where a State Planning Agency is the grantee but has subgranted funds to a particular unit or agency to carry on the project, the report should be prepared by the subgrantee.
- b. Due Date. Reports are submitted by the subgrantee to its State Planning Agency on a quarterly basis (i.e., as of June 30, September 30, December 31, and March 31) and are due at the cognizant Regional Office on the 30th day following the close of the quarter (unless specified otherwise by LEAA). The first report will be due after the close of the first full quarter following approval of the grant (i.e., for a grant approval on May 1 the first report will be due for the quarter ending September 30. It will cover the five month period May through September). The award recipient's final progress report will be due 90 days following the close of the project or any extension thereof.
- c. Form and Execution. Three (3) copies of each report should be submitted. However, five (5) copies must be submitted for all final reports. (If the grantee wishes to submit the same report to several agencies it may utilize LEAA Form 4a87/1 (1-73) as a face sheet completing all items and attach the report to it.) If continuation pages are needed, plain bond paper is to be used. It should be noted that the report is to be signed by the person designated as project director on the grant application or any duly designated successor and reviewed by the cognizant State Planning Agency.
- d. Content. Reporting should be non-cumulative and describe only activities and accomplishments occurring during the reporting period. These activities and accomplishments should be described with specific attention to project phases or stages completed (e.g., initial planning stage, completion of preliminary survey effort, purchase of required equipment, staging of pilot training program, etc.). Reports should be concrete and specific concerning accomplishments (e.g., number of people trained, volume of correctional services provided, extent of equipment usage, etc.). Special emphasis should be placed on comparison of actual accomplishments to goals established for the report period. If established goals were not met, reasons for slippage must be given. Special reports, evaluation studies, publications or articles issued during the period should be attached, and major administrative or design developments should be covered (e.g., changes in personnel, changes in project design, improvements or new methods introduced). Budget changes should be touched upon. Problem areas and critical observations should be mentioned and frankly discussed, as well as project successes.
- e. Dissemination. All three (3) copies of regular quarterly progress reports and all five (5) copies of final reports should be submitted to the subgrantee's State Planning Agency. After review the State Planning Agency will forward two (2) copies of the quarterly report and four (4) copies of the final report to the cognizant LEAA Regional Office. The Regional Office will route the reports to all interested LEAA units. Copies should also be provided to other agencies cooperating in or providing services to the project.
- f. Special Requirements. Special reporting requirements or instructions may be prescribed for discretionary projects in certain program or experimental areas to better assess impact and comparative effectiveness of the overall discretionary program. These will be communicated to affected grantees by LEAA.

November 22, 1974



U. S. DEPARTMENT OF JUSTICE
LAW ENFORCEMENT ASSISTANCE ADMINISTRATION

H-1 Report
OMB NO. 43-R0532
Expires 6/30/76

APPENDIX 3-2. FINANCIAL STATUS REPORT

FINANCIAL STATUS REPORT		1. Federal Agency and Organizational Element U. S. Department of Justice, LEAA		2. Federal Grant No. or Other Identifying No.		
3. Name and Address of Grantee Organization		4. Employer Identification No.	5. Grantee Account No. or Identifying No.	6. Final Report <input type="checkbox"/> Yes <input type="checkbox"/> No	7. Basis of Report <input type="checkbox"/> Cash <input type="checkbox"/> Accrued Expenditures	
		8. Project Period (Month, Day, Year) FROM <input type="text"/> <input type="text"/> <input type="text"/> TO <input type="text"/> <input type="text"/> <input type="text"/>		9. Report Period (Month, Day, Year) FROM <input type="text"/> <input type="text"/> <input type="text"/> TO <input type="text"/> <input type="text"/> <input type="text"/>		
10. STATUS OF FUNDS	PROGRAMS — FUNCTIONS — ACTIVITIES					
	(1)	(2)	(3)	(4)	(5)	(6) TOTAL
	a. Total outlays previously reported (Line 10e from previous report).....					
	b. Total program outlays this period.....					
	c. Less: Program income credits.....					
	d. Net program outlays this period (Line b minus Line c).....					
	e. Total program outlays to date (Sum of Lines a and d).....					
	f. Less: Non-Federal share of program outlays.....					
	g. Total Federal share of program outlays (Line e minus Line f).....					
	h. Total unpaid obligations.....					
	i. Less: Non-Federal share of unpaid obligations.....					
	j. Federal share of unpaid obligations (Line h minus Line i).....					
	k. Total Federal share of outlays and unpaid obligations (Line g plus Line j).....					
l. Total Federal funds authorized.....						
m. Unobligated balance of Federal funds (Line l minus Line k).....						
11. Indirect Expense: a. Type of rate (Mark box) <input type="checkbox"/> Provisional <input type="checkbox"/> Final <input type="checkbox"/> Predetermined <input type="checkbox"/> Fixed		12. REMARKS (Attach additional sheets if necessary)		13. CERTIFICATION — I certify that to the best of my knowledge and belief this report is correct and complete and that all outlays and unpaid obligations are for the purposes set forth in the grant award documents.		
b. Rate	c. Base			Name Title Area Code Number Ext.		
d. Total amount	e. Federal share			Signature of Authorized Official Date Report is Submitted		

LEAA FORM 7160/1 (8-73)

REPLACES LEAA OLEP - 153 AND LEAA OLEP 155 WHICH IS OBSOLETE.

M 4500. 1C
Appendix 3-2

November 22, 1974

INSTRUCTIONS FOR PREPARING THE FINANCIAL STATUS REPORT

Item 1 - Enter the name of the cognizant LEAA Regional or Central Office.

Item 2 - Enter the Federal grant number.

Item 3 - Enter the name and complete mailing address including the ZIP code for the SPA or other grantee organization.

Item 4 - Enter the employer identification number assigned by the U. S. Internal Revenue Service.

Item 5 - Enter "NA" for not applicable.

Items 6 and 7 - Mark the appropriate block.

Item 8 - Enter the month, day, and year of the beginning and ending period of the grant. The ending period should reflect any approved extension date.

Item 9 - Enter the month, day, and year of the beginning and ending dates of the quarter for which this report is prepared.

Item 10 -

Line a. Enter the total outlays reported on Line 10e of the previous report. Show zero, if this is the initial report for the grant.

Line b. Enter the total gross program outlays for this report period, including disbursements of cash realized as program income. For reports which are prepared on a cash basis, outlays are the sum of the subgrantees actual cash disbursements for goods and services, the amount of indirect expense charged, the value of in-kind contributions applied, and the amount of cash advances and payments made to contractors. For reports prepared on an accrued expenditure basis, outlays are the sum of the subgrantees actual cash disbursements, the amount of indirect expense incurred, the value of in-kind contributions applied, and the net increase (or decrease) in the amounts owed by the grantee for goods and other property received and for services performed by employees, contractors, and other payees. Outlays for Planning Grants include both the outlays made by the SPA for its own operation and outlays reported by the subgrantees.

Line c. The report prepared on a cash basis, enter the amount of cash income received during the quarter which is to be used in the project or program in accordance with the terms of the grant. For reports prepared on an accrual basis, enter the amount of the net increase (or decrease) in the amount of accrued income since the beginning of the report period.

Line d. This amount should be the difference between amounts shown on Lines b and c.

Line e. Enter the sum of amounts shown on Lines a and d above. This amount represents the cumulative outlays to date of both Federal and non-Federal funds.

Line f. Enter the cumulative non-Federal share ("Match") of the program outlays included in the amount of Line e.

Line g. Enter the cumulative Federal share of program outlays. The amount should be the difference between Lines e and f.

Line h. For reports prepared on a cash basis, enter the total amount of unpaid obligations for this grant. Unpaid obligations for Planning Grants consist of unpaid obligations of the SPA for its own operation plus unpaid obligations reported by the subgrantees. For reports prepared on an accrued expenditure basis, enter the amount of undelivered orders and other outstanding obligations. Do not include any amounts that have been included on Lines a through g. On the final report, Line h should have a zero balance.

Line i. Enter the non-Federal share of unpaid obligations included on Line h. On the final report, Line i should have a zero balance.

Line j. Enter the Federal share of unpaid obligations included on Line h. The amount shown on this line should be the difference between the amounts on Lines h and i. On the final report, Line j should have a zero balance.

Line k. Enter the sum of the amounts shown on Lines g and j. If the report is final, the report should not contain any unpaid obligations.

Line l. Enter the total amount of the federal grant.

Line m. Enter the unobligated balance of Federal funds. This amount should be the difference between Lines l and k.

Item 11 - INDIRECT EXPENSE

a. Type of rate - Mark appropriate block.

b. Rate - Enter the rate in effect during the quarter.

c. Base - Enter the amount of the base to which the rate was applied.

d. Total Amount - Enter the total amount of the Federal share charged during the quarter.

e. Federal Share - Enter the amount of the Federal share charged during the report period.

(When reporting on Planning or Block Action Grants, complete only items d and e. Enter "N/A" for items a through c.)

If more than one rate was applied during the project period, include a separate schedule which shows the basis against which the indirect cost rates were applied, the respective indirect rates, the month, day, and year the indirect rates were in effect, amounts of indirect expense charged to the project, and the Federal share of indirect expense charged to the project to date. (See Office of Management and Budget Circular No. A-87 which contains principles for determining allowable costs of grants and contracts with State and local governments.)

Item 12 - Provide the following information, if applicable:

a. Planning Grants

(1) Consultant services - the amount included in Line k for consultant services.

(2) Pass-through - the cumulative amount of awards to subgrantees.

b. Block Action Grants - Part C

(1) Pass-through - the cumulative amount of Federal funds subgranted to local units of government. This amount should include subgrants to units of state government for the benefit of local units of government when such a waiver has been granted.

(2) Buy-in - the cumulative amount of State funds provided to local units of government to be used as part of the grantee contribution.

(3) One-third Personnel Limitation - the cumulative amount of Federal funds outlayed for compensation of police and other regular law enforcement personnel. This is only required to be shown on the final H-1 report.

c. Categorical Grants - Part C

One-third Personnel Limitation - the cumulative amount of Federal funds outlayed for compensation of police and other regular law enforcement personnel.

Item 13 - The contents of this item are self-explanatory

ADDITIONAL INFORMATION

A. All credit figures will be shown in parenthesis ().

B. Due Date: Quarterly, within 45 days after end of quarter. Final reports are due 90 days after end of grant period or after completion.

C. Distribution: Original and one copy to--
U. S. Department of Justice, LEAA
Budget and Finance Division
Washington, D. C. 20530

One copy to cognizant LEAA Regional or Central Office.
One copy to be retained by SPA or other grantee.

November 22, 1974

M 4500.1C

CHAPTER 4. EVALUATION AND MONITORING OF DISCRETIONARY GRANTS

34. BACKGROUND. Evaluation of discretionary grants by LEAA has been clearly mandated by the Crime Control Act of 1973. Evaluation is required because it is essential to know by more than guesswork what programs are working and what programs are failing and why. Evaluation is a high priority within LEAA. It is LEAA policy that every application for discretionary funds must contain a fully developed plan for self-monitoring and evaluation, and that no application will be approved without an evaluation plan which fully meets the criteria set forth in this chapter.

35. PURPOSE OF EVALUATION AND MONITORING. The monitoring and evaluation requirements set forth in this chapter is to assure that information is systematically generated about the level of and reasons for the success or failure which is achieved by projects and programs funded with LEAA monies. More specifically, the purpose of these requirements is to provide for a process which permits determination of the extent to which discretionary fund projects are contributing to LEAA program objectives, general objectives, and overall goals, as those are set forth in the Foreword; and to determine the relative effectiveness and cost of different approaches to the same objective. LEAA expects that four types of performance measurement will take place with respect to discretionary grants. These include self-assessment by the grantee, monitoring by appropriate LEAA offices; and project and program evaluation. The last two kinds of performance measurement will normally be carried out either by LEAA, or by a contractor selected by or approved by LEAA.

36. MONITORING AND EVALUATION PREREQUISITES. Each grant application for discretionary funds must provide the prerequisites for monitoring and evaluation of the activities to be carried out by the grantee. These include at a minimum the following:

- The identification of the problem in measurable terms.
- Well-defined objectives of the project stated in measurable terms.
- Specific indicators and measures to be used to assess the results of the project against its own objectives, and also to be used in assessing its contribution to the program and general objectives of LEAA.
- A description of the means to be used in collecting data and information needed to measure and assess projects performance.

- e. A description of the type and nature of evaluation and monitoring reports to be provided.
- f. A description, where appropriate, of the role and qualifications of the evaluators who are to evaluate or who might evaluate the project.

37. EVALUATION PLAN REQUIREMENTS.

- a. The elements noted in the previous paragraph must be combined into an evaluation plan which must be a part of each grant application. The evaluation plan is to be included in Part IV., Program Narrative, of the grant application, under Section 3., Approach. (See Appendix 4).
- b. In completing an evaluation plan, the applicant shall:
 - (1) Describe the evaluation design, the evaluation activities which will take place (site visits, interviews with staff and clients, record-keeping and data collection, submission of reports, etc.), and who will be responsible for these activities.
 - (2) Explain the measures of effectiveness to be used to evaluate the project (e.g., the number of addicts drug free or employed six months after release from treatment; the percent reduction in court backlog; etc.), and why these indicators are accurate measurements of the impact of the project.
 - (3) Describe the data and information necessary for evaluation, including:
 - (a) The kinds of data to be obtained.
 - (b) The source and date of the data (police records, court files, project forms).
 - (c) The extent to which the data is expected to be accurate and its expected relevance to the measurement of project results and impact.
 - (d) The frequency and format in which the data will be collected. Where possible, examples of all forms to be used in collecting data and information should be included with the application attached to the Evaluation Plan.

- (4) Indicate what steps are being taken to provide for the continuous feedback of evaluation findings to the project and the uses to which evaluation results are likely to be put.
- (5) Indicate whether evaluation costs have been included in the project budget and whether there is an explanation of these costs in the budget narrative.
- (6) Describe the qualifications, background, and experience of the evaluator needed to conduct the evaluation of the project; and, where the applicant recommends a specific contractor/evaluator, the method of selection of the contractor, the reasons why the contractor was selected, and a description of the specific qualifications of that contractor.

38. DEFINITION OF FOUR TYPES OF PERFORMANCE MEASUREMENT. Grantees can expect that measurement of performance of projects funded with Discretionary Funds will be undertaken in as many as four ways. These include measurements which stem from:

- a. A requirement that all recipients of discretionary funds assess their own project results in accordance with an evaluation or self-assessment plan approved by LEAA.
- b. A requirement that all projects supported by Discretionary Funds be monitored by appropriate LEAA personnel.
- c. A requirement that selected projects be intensively evaluated by an independent evaluator either chosen by LEAA or approved by LEAA and in accordance with an evaluation plan approved by LEAA.
- d. A requirement that selected major LEAA programs, consisting of groups of similar projects or of projects of different kinds aimed at achievement of the same objective, be evaluated by independent evaluators selected by LEAA in accordance with an evaluation design approved by LEAA.

39. SELF-ASSESSMENT.

- a. Assessment by the grantee of his own performance, or self-assessment, shall include:
 - (1) An analysis of the results and impact of the project on the problem originally identified as the one the project was to address, including the extent to which specific objectives were achieved.

November 22, 1974

November 22, 1974

- (2) A comparison of the status of the problem before and after the project, and a description of the nature of the change in the problem set forth in as quantitative a way as possible.
- (3) A description of the implementation and operation of the project over the time frame permitted the project.
- (4) Modifications of program activities called for by the self-assessment findings and by any monitoring and evaluation findings.

b. Self-assessment reports shall be submitted by the grantee simultaneously to the Regional Office, to the LEAA project monitor and the appropriate SPA at the end of the project. If the project requests continuation funding, the self-assessment report must accompany this request.

40. PROJECT MONITORING.

a. Projects supported by Discretionary Funds will be monitored by LEAA on a periodic basis, as part of the overall effort to improve measurement of performance. Projects can expect that monitoring will include:

- (1) A comparison of actual activities carried out and the results actually achieved with the activities and results originally specified in the grant application.
- (2) An examination of the objective and subjective results and impacts of the project on project and program objectives, and on the specific problems addressed by the project.
- (3) An assessment of the progress and problems of the project.

b. Monitoring will involve periodic site visits by LEAA project monitors and interviews with project staff and clients.

41. INTENSIVE PROJECT EVALUATION.

a. Selected projects for which more definitive information is desired than routine monitoring can provide will be evaluated intensively by LEAA. Such intensive evaluations shall be conducted by independent evaluators selected competitively by LEAA and shall incorporate sound evaluation methodology including experimental designs developed prior to project implementation, control groups, independent data collection and analysis, and in-depth case studies where appropriate.

b. Criteria for selection of individual projects for evaluation are the same as those for selection of programs for evaluation and are set forth in paragraph 43 below. Program offices within LEAA shall determine which projects to evaluate, but may consult with the National Institute on the selection of projects, on the development of appropriate evaluation plans, and on the selection of appropriate evaluators.

42. PROGRAM EVALUATION. Selected major LEAA programs, consisting of groups of similar projects or of differing projects aimed at achieving the same objective, will be evaluated in depth by the National Institute of Law Enforcement and Criminal Justice. The criteria for selection of programs for evaluation are set forth in paragraph below. These evaluations will be carried out in accordance with an evaluation plan developed by the National Institute, and by an independent evaluator selected by LEAA. The National Institute will consult with other appropriate LEAA offices about which programs to evaluate, and about selection of evaluators. Although a limited number of programs will be subjected to this level of evaluation initially, it is required that all projects related to a program being evaluated indicate in advance of funding their willingness to cooperate and participate in program evaluation.

43. CRITERIA FOR SELECTION OF PROJECTS AND PROGRAMS TO BE EVALUATED

INTENSIVELY. The decision to evaluate projects and programs intensively will be made by weighing a number of factors of criteria. These criteria include:

- a. Size of Grant. As a general rule, all large projects should be evaluated, because of the potential significance and impact of the expenditure of large amounts of resources. For evaluation purposes, projects approaching or over \$250,000 will be considered large.
- b. Innovative Character. If a project appears to be representative of a relatively new approach, or one which has yet to be tested, an intensive evaluation should be conducted. It is important to learn as much as possible as soon as possible about the effectiveness of new ideas.
- c. Replicability or Transferability. If demonstrated to be successful, many projects can be replicated widely in other jurisdictions and agencies. In those instances where a project holds great potential for replication and transfer to other jurisdictions, an intensive evaluation should be strongly considered. A rigorous evaluation of a new approach could stop the spread of a bad idea or promote the spread of a good one.
- d. Controversial Nature. In those instances in which a project or program is expected to be particularly controversial, an intensive evaluation should be conducted to permit the objective analysis of the project and its results.
- e. Priority Projects. Those activities which related directly to LEAA high priority goals and objectives should be given high priority for intensive evaluations.
- f. Duration and Continuation. Short term projects which are not expected to be continued by LEAA or other agencies SHOULD NOT ordinarily be intensively evaluated. Similarly, those projects which expect to apply for continuation funding SHOULD be considered for intensive evaluation to insure that information about the project's performance is available upon which to base a decision concerning continuation funding. If a strong monitoring effort can provide sufficient information upon which to base a decision on continuation funding, then an intensive evaluation may not be warranted.

- g. Nature of Project. Some projects because of their nature may not require an intensive evaluation. Large equipment purchases or the construction of facilities may be examples. The emphasis here should be placed on evaluating the NEED for the equipment or facility before awarding the grant. It is appropriate to consider an intensive evaluation of the USE of the equipment or the facility when they are directly related to a program with specified objectives.
- h. Cost and Difficulty of the Evaluation. Certain projects, by nature, are far more intellectually difficult and/or costly to evaluate than others. In some instances, to obtain information sufficiently accurate and complete to warrant a reasonable level of confidence, it is necessary to allocate more for the evaluation as for the project than appears reasonable. The results obtained from such an evaluation may not warrant the expense.

44. COSTS OF EVALUATION. The costs of intensive project evaluations should be included in the project budget. Program evaluations should be funded by the National Institute of Law Enforcement and Criminal Justice, but may if a program office within LEAA desires, be funded by that office.

45. SELECTION OF CONTRACTORS TO CONDUCT EVALUATIONS. LEAA reserves the right to select the evaluator chosen to evaluate any project supported by Discretionary Funds. Contractors previously selected by applicants for the conduct of evaluations must, at minimum, be approved by LEAA. In order to assist program offices in the selection of qualified evaluators, the National Institute will maintain and make available a list of potential evaluators. Contractors selected by LEAA to perform evaluations of LEAA grants must be selected on the basis of competitive bidding.

46. DISSEMINATION OF EVALUATION RESULTS. All evaluation reports and results will be made available to the National Institute of Law Enforcement and Criminal Justice, which shall have the responsibility for dissemination of those results, with the advice and assistance of the central LEAA program offices and the Regional Offices.

November 22, 1974

M 4500.1C
Appendix 1

APPENDIX 1. PRELIMINARY APPLICATION

UNITED STATES DEPARTMENT OF JUSTICE
LAW ENFORCEMENT ASSISTANCE ADMINISTRATION
WASHINGTON, D. C. 20530

OMB NO. 60-R0187

PREAPPLICATION FOR FEDERAL ASSISTANCE PART I		1. State Clearinghouse Identifier	
		2. Applicant's Application No.	
3. Federal Grantor Agency		4. Applicant Name	
Organizational Unit		Department Division	
Administrative Office		Street Address - P.O. Box	
Street Address - P.O. Box		City County	
City State Zip Code		State Zip Code	
5. Descriptive Name of the Project			
6. Federal Catalog No.		7. Federal Funding Needed	
		\$	
8. Grantee Type			
State, County, City, Other (Specify)			
9. Type of Assistance			
Grant, Loan, Other (Specify)			
10. Population Directly Benefiting from the Project		12. Length of Project	
11. Congressional District		13. Beginning Date	
b.		14. Date of Application	
15. The applicant certifies that to the best of his knowledge and belief, the data in this preapplication are true and correct, and the filing of the preapplication has been duly authorized by the governing body of the applicant.			
Typed name		Title	
Signature of authorized representative		Telephone Number	
		AREA CODE	NUMBER EXT.
For Federal Use Only			

LEAA FORM 4000/5 (7-73)

November 22, 1974

INSTRUCTIONS

This form shall be used for all Federal assistance projects for construction, land acquisition or land development in excess of \$100,000 Federal funding. It is not applicable to continuing grants after the initial grant has been awarded, or to requests for supplements or revisions to existing grants or loans. However, the applicant may submit the preapplication form for other assistance requests, and the Federal grantor agency may require the preapplication form for other assistance requests.

Submit the original and two copies of all required forms. If an item cannot be answered or does not appear to be related or relevant to the assistance requested, write "NA" for not applicable.

Item 1 — Enter the State clearinghouse identifier. This is the code or number assigned by the clearinghouse to applications requiring State clearinghouse coordination for programs listed in Attachment D, Office of Management and Budget Circular No. A-95.

Item 2 — Enter the applicant's preapplication number or other identifier.

Item 3 — Enter the name of the Federal grantor agency, the name of the primary organizational unit to which the application is addressed, the name of the administrative office having direct operational responsibility for managing the grant program, and the complete address of the grantor agency.

Item 4 — Enter the name of the applicant, the name of the primary organizational unit which will undertake the grant supported activity and the complete address of the applicant.

Item 5 — Enter the descriptive name of this project.

Item 6 — Enter the appropriate catalog number as shown in the Catalog of Federal Domestic Assistance. If the assistance request pertains to more than one catalog number, leave this space blank and list the catalog numbers in Part III.

Item 7 — Enter the approximate amount that is requested from the Federal government. This amount should include the total funds requested in this application and should agree with the total amounts shown in Part III, Line 6, Column (e).

Item 8 — Check one grantee type. If the grantee is other than a State, county, or city government, specify the type of grantee on the "Other" line. Examples of other types of grantees are council of governments, interstate organizations, or special units.

Item 9 — Check the type of assistance requested. If the assistance involves more than one type, check two or more blocks and explain in Part IV.

Item 10 — Enter the number of persons directly benefiting from this project. For example, if the project is a neighborhood health center, enter the estimated number of residents in the neighborhood that will use the center.

Item 11

a. Enter the congressional district in which the applicant is located.

b. Enter the congressional district(s) in which most of the actual work on the project will be accomplished. If the work will be accomplished city-wide or State-wide, covering several congressional districts, write "city-wide" or "State-wide".

Item 12 — Enter the number of months that will be needed to complete the project after Federal funds are made available.

Item 13 — Enter the approximate date the project is expected to begin.

Item 14 — Enter the date this application is submitted.

Item 15 — Complete the certification before submitting the report.

November 22, 1974

PREAPPLICATION FOR FEDERAL ASSISTANCE

PART II

1. Does this assistance request require State, local, regional or other priority rating? _____ Yes _____ No
2. Does this assistance require State or local advisory, educational or health clearance? _____ Yes _____ No
3. Does this assistance request require Clearinghouse review? _____ Yes _____ No
4. Does this assistance request require State, local, regional or other planning approval? _____ Yes _____ No
5. Is the proposed project covered by an approved comprehensive plan? _____ Yes _____ No
6. Will the assistance requested serve a Federal installation? _____ Yes _____ No
7. Will the assistance requested be on Federal land or installation? _____ Yes _____ No
8. Will the assistance requested have an effect on the environment? _____ Yes _____ No
9. Will the assistance requested cause the displacement of individuals, families, businesses, or farms? _____ Yes _____ No
10. Is there other related assistance for this project previous, pending, or anticipated? _____ Yes _____ No

PART III — PROJECT BUDGET

FEDERAL CATALOG NUMBER (a)	TYPE OF ASSISTANCE LOAN, GRANT, ETC. (b)	FIRST BUDGET PERIOD (c)	BALANCE OF PROJECT (d)	TOTAL (e)
1.				
2.				
3.				
4.				
5.				
6. Total Federal Contribution		\$	\$	\$
7. State Contribution				
8. Applicant Contribution				
9. Other Contributions				
10. Totals		\$	\$	\$

PART IV — PROGRAM NARRATIVE STATEMENT

(Attach per instruction)

November 22, 1974

INSTRUCTIONS

PART II

Negative answers will not require an explanation unless the Federal agency requests more information at a later date. All "Yes" answers must be explained on a separate page in accordance with the instructions.

Item 1 — Provide the name of the governing body establishing the priority system and the priority rating assigned to this project. If the priority rating is not available, give the approximate date that it will be obtained.

Item 2 — Provide the name of the agency or board which issued the clearance and attach the documentation of status or approval. If the clearance is not available, give the date it will be obtained.

Item 3 — Attach the clearinghouse comments for the pre-application in accordance with the instructions contained in Office of Management and Budget Circular No. A-95.

Item 4 — Furnish the name of the approving agency and the approval date. If the approval has not been received, state approximately when it will be obtained.

Item 5 — Show whether the approved comprehensive plan is State, local or regional; or, if none of these, explain the scope of the plan. Give the location where the approved plan is available for examination, and state whether this project is in conformance with the plan. If the plan is not available, explain why.

Item 6 — Show the population residing or working on the Federal installation who will benefit from this project.

Item 7 — Show the percentage of the project work that will be conducted on federally-owned or leased land. Give the name of the Federal installation and its location.

Item 8 — Briefly describe the possible beneficial and/or harmful effect on the environment because of the proposed project. If an adverse environmental effect is anticipated, explain what action will be taken to minimize it. Federal agencies will provide separate instructions, if additional data is needed.

Item 9 — State the number of individuals, families, businesses, or farms this project will displace. Federal agencies

will provide separate instructions, if additional data is needed.

Item 10 — Show the Federal Domestic Assistance Catalog number, the program name, the type of assistance, the status, and amount of each project where there is related previous, pending, or anticipated assistance.

PART III

Complete: Lines 1-5 — Columns (a)-(e). Enter the catalog numbers shown in the Catalog of Federal Domestic Assistance in Column (a) and the type of assistance in Column (b). For each line entry in Columns (a) and (b), enter in Columns (c), (d), and (e), the estimated amounts of Federal funds needed to support the project. Columns (c) and (d) may be left blank, if not applicable.

Line 6 — Show the totals for Lines 1-5 for Columns (c), (d), and (e).

Line 7 — Enter the estimated amounts of State assistance, if any, including the value of in-kind contributions, in Columns (c), (d), and (e). Applicants which are States or State agencies should leave Line 7 blank.

Line 8 — Enter the estimated amounts of funds and value of in-kind contributions the applicant will provide to the program or project in Columns (c), (d), and (e).

Line 9 — Enter the amount of assistance including the value of in-kind contributions, expected from all other contributors in Columns (c), (d), and (e).

Line 10 — Enter the totals of Columns (c), (d), and (e).

PART IV

The program narrative statement should be brief and describe the need, objectives, method of accomplishment, the geographical location of the project, and the benefits expected to be obtained from the assistance. The statement should be typed on a separate sheet of paper and submitted with the preapplication. Also attach any data that may be needed by the grantor agency to establish the applicant's eligibility for receiving assistance under the Federal program(s).

November 22, 1974

APPENDIX 2. ADDRESSES OF STATE PLANNING AGENCIES (As of October, 1974)

ALABAMA

Robert G. Davis, Director
Alabama Law Enforcement Planning Agency
501 Adams Avenue
Montgomery, Alabama 36104
205/269-6665

ALASKA

Larry S. Parker, Executive Director
Governor's Commission on the
Administration of Justice
Pouch AJ
Juneau, Alaska 99801
907/465-3530

ARIZONA

Albert N. Brown, Executive Director
Arizona State Justice Planning Agency
Continental Plaza Building
5119 North 19th Avenue, Suite M
Phoenix, Arizona 85015
602/271-5466

ARKANSAS

Ray Biggerstaff, Director
Commission on Crime and Law Enforcement
1000 University Tower Building
12th at University
Little Rock, Arkansas 72204
501/371-1305

CALIFORNIA

Anthony L. Palumbo, Executive Director
Office of Criminal Justice Planning
7171 Bowling Drive
Sacramento, California 95823
916/445-9156

COLORADO

Joseph C. Murdock, Executive Director
Division of Criminal Justice
Department of Local Affairs
1370 Broadway, Room 210
Denver, Colorado 80203
303/892-3331

November 22, 1974

CONNECTICUT

H. Rollie Sterrett, Executive Director
Governor's Planning Committee on
Criminal Administration
75 Elm Street
Hartford, Connecticut 06115
203/566-3020 or 246-2349

DELAWARE

Norma V. Handloff, Director
Delaware Agency to Reduce Crime
Room 405 - Central YMCA
11th and Washington Streets
Wilmington, Delaware 19801
302/571-3430

DISTRICT OF COLUMBIA

Benjamin Renshaw, Executive Director
Office of Criminal Justice Plans and Analysis
Munsey Building, Room 200
1329 E Street, NW
Washington, D.C. 20004
202/629-5063

FLORIDA

Charles Davoli, Bureau Chief
Bureau of Criminal Justice Planning
and Assistance
Byrant Building
620 South Meridian Street
Tallahassee, Florida 32304
904/488-6001

GEORGIA

Jim Higdon, Administrator
Office of the State Crime Commission
Suite 306
1430 West Peachtree Street, NW
Atlanta, Georgia 30309
404/656-3825

GUAM

Edward C. Aguon, Director
Comprehensive Territorial Crime Commission
Office of the Governor
P. O. Box 2950
Agana, Guam 96910
Guam/772-8781

November 22, 1974

HAWAII

Dr. Irwin Tanaka, Director
State Law Enforcement and Juvenile Delinquency
Planning Agency
1010 Richards Street
Kamamalu Building, Room 412
Honolulu, Hawaii 96813
808/548-4572

IDAHO

Robert C. Arneson, Director
Law Enforcement Planning Commission
State House, Capitol Annex No. 3
Boise, Idaho 83707
208/384-2364

ILLINOIS

Dr. David Fogel, Executive Director
Illinois Law Enforcement Commission
120 South Riverside Plaza
Chicago, Illinois 60606
312/454-1560

INDIANA

Frank A. Jessup, Executive Director
Indiana Criminal Justice Planning Agency
215 N. Senate
Indianapolis, Indiana 46202
317/633-4773

IOWA

George W. Orr, Executive Director
Iowa Crime Commission
520 E. 9th Street
Des Moines, Iowa 50319
515/281-3241

KANSAS

Thomas W. Regan, Director
Governor's Committee on Criminal Administration
535 Kansas Avenue
10th Floor
Topeka, Kansas 66603
913/296-3066

November 22, 1974

KENTUCKY

A. Wilson Edwards, Administrator
Executive Office of Staff Services
Department of Justice
209 St. Clair Street - 5th Floor
Frankfort, Kentucky 40601
502/564-6710

LOUISIANA

Wingate M. White, Executive Director
Louisiana Commission on Law Enforcement
and Administration of Criminal Justice
Room 314, 1885 Wooddale Boulevard
Baton Rouge, Louisiana 70806
504/389-7178

MAINE

John B. Leet, Executive Director
Maine Law Enforcement Planning and
Assistance Agency
295 Water Street
Augusta, Maine 04330
207/289-3361

MARYLAND

Richard C. Wertz, Executive Director
Governor's Commission on Law Enforcement
and Administration of Justice
Executive Plaza One, Suite 302
Cockeysville, Maryland 21030
301/666-9610

MASSACHUSETTS

Arnold P. Rosenfeld, Executive Director
Committee on Criminal Justice
Room 1230
80 Bolyston Street
Boston, Massachusetts 02116
617/727-5497

MICHIGAN

Don P. LeDuc, Administrator
Office of Criminal Justice Programs
Lewis Cass Building - 2nd Floor
Lansing, Michigan 48913
517/373-3992

November 22, 1974

M 4500.1C
Appendix 2

MINNESOTA

Dr. Robert E. Crew, Jr., Executive Director
Governor's Commission on Crime Prevention
and Control
444 Lafayette Road, 6th Floor
St. Paul, Minnesota 55101
612/296-3052

MISSISSIPPI

William R. Grissett, Executive Director
Division of Law Enforcement Assistance
Suite 200, Watkins Building
510 George Street
Jackson, Mississippi 39201
601/354-6591

MISSOURI

Robert C. Gruensfelder, Executive Director
Missouri Law Enforcement Assistance Council
P. O. Box 1041
Jefferson City, Missouri 65101
314/751-3432

MONTANA

Michael Lavin, Acting Executive Director
Board of Crime Control
1336 Helena Avenue
Helena, Montana 59601
406/449-3604

NEBRASKA

Harris R. Owens, Executive Director
Nebraska Commission on Law Enforcement
and Criminal Justice
State Capitol Building
Lincoln, Nebraska 68509
402/471-2194

NEVADA

Carrol T. Nevin, Director
Commission on Crime Delinquency
and Corrections
State Capitol
1209 Johnson Street
Carson City, Nevada 89701
702/885-4405

November 22, 1974

NEW HAMPSHIRE

Roger J. Crowley, Director
Governor's Commission on Crime
and Delinquency
80 South Main Street
Concord, New Hampshire 03301
603/271-3601

NEW JERSEY

John J. Mullaney, Executive Director
State Law Enforcement Planning Agency
3535 Quaker Bridge Road
Trenton, New Jersey 08625
609/292-3741

NEW MEXICO

Norman E. Mugleston, Executive Director
Governor's Council on Criminal
Justice Planning
P. O. Box 1770
Santa Fe, New Mexico 87501
505/827-2524

NEW YORK

Thomas S. Chittenden, Deputy Commissioner
State of New York, Division of
Criminal Justice Services
270 Broadway, 8th Floor
New York, New York 10007
212/488-3891

NORTH CAROLINA

Donald R. Nichols, Administrator
Division of Law and Order
North Carolina Department of Natural and
Economic Resources
P. O. Box 27687
Raleigh, North Carolina 27611
919/829-7974

NORTH DAKOTA

Robert Holte, Acting Director
North Dakota Combined Law Enforcement Council
Box B
Bismarck, North Dakota 58501
701/224-2594

November 22, 1974

OHIO

Colonel Alphonso Montgomery
Administration of Justice Division
Ohio Department of Economic and
Community Development
Box 1001
Columbus, Ohio 43216
614/369-7610

OKLAHOMA

James Gleason, Acting Director
Oklahoma Crime Commission
5235 N. Lincoln Boulevard
Oklahoma City, Oklahoma 73105
405/521-3392

OREGON

Robert D. Houser, Administrator
Executive Department, Law Enforcement Council
240 Cottage Street, S. E.
Salem, Oregon 97310
503/378-4347

PENNSYLVANIA

John T. Snavelly, Director
Governor's Justice Commission
Department of Justice
P. O. Box 1167
Federal Square Station
Harrisburg, Pennsylvania 17120
717/787-2042

PUERTO RICO

Dionisio Manzano, Director
Puerto Rico Crime Commission
G.P.O. Box 1256
Hato Rey, Puerto Rico 00936
809/783-0398

RHODE ISLAND

Bradford E. Southworth, Executive Director
Governor's Committee on Crime, Delinquency
and Criminal Administration
265 Melrose Street
Providence, Rhode Island 02907
401/277-2620 or 2621

November 22, 1974

SOUTH CAROLINA

Lee M. Thomas, Executive Director
Office of Criminal Justice Programs
Edgar A. Brown State Office Building
1205 Pendleton Street
Columbia, South Carolina 29201
803/758-3573

SOUTH DAKOTA

Randolph J. Seiler, Acting Director
South Dakota State Criminal
Justice Commission
118 West Capitol
Pierre, South Dakota 57501
605/224-3661

TENNESSEE

Francis W. Norwood, Executive Director
Tennessee Law Enforcement Planning Agency
Suite 205, Capitol Hill Building
301 - 7th Avenue, North
Nashville, Tennessee 37219
615/741-3521

TEXAS

Robert C. Flowers, Executive Director
Criminal Justice Council, Executive Department
610 Brazos
Austin, Texas 78701
512/476-7201

UTAH

Robert B. Andersen, Director
Law Enforcement Planning Agency
Room 304 - State Office Building
Salt Lake City, Utah 84114
801/328-5731

VERMONT

Michael K. Krell, Executive Director
Governor's Commission on the
Administration of Justice
149 State Street
Montpelier, Vermont 05602
802/828-2351

November 22, 1974

VIRGINIA

Richard N. Harris, Director
Division of Justice and Crime Prevention
8501 Mayland Drive, Parham Park
Richmond, Virginia 23229
804/770-7421

VIRGIN ISLANDS

Melville M. Stevens, Administrator
Virgin Islands Law Enforcement Commission
Box 280 - Charlotte Amalie
St. Thomas, Virgin Islands 00801
809/774-6400

WASHINGTON

Saul Arrington, Administrator
Law and Justice Planning Office
Office of Community Development
Office of the Governor
Olympia, Washington 98504
206/753-2235

WEST VIRGINIA

Gerald S. White, Executive Director
Governor's Commission on Crime,
Delinquency and Corrections
Morris Square, Suite 321
1212 Lewis Street
Charleston, West Virginia 25301
304/348-8814

WISCONSIN

Robert Stonek, Executive Director
Wisconsin Council on Criminal Justice
122 W. Washington Avenue
Madison, Wisconsin 53702
608/266-3323

WYOMING

John B. Rogers, Administrator
Governor's Planning Committee on
Criminal Administration
State Office Building
Cheyenne, Wyoming 82002
307/777-7716

November 22, 1974

AMERICAN SAMOA

Clarence E. Scanlan, Director
Territorial Criminal Justice Planning Agency
Office of the Attorney General
Box 7
Pago Pago, American Samoa 96920
Pago, Pago, 33431

November 22, 1974

APPENDIX 3. SUGGESTED FORM OF STATE PLANNING AGENCY APPROVAL
AND CERTIFICATION RE DISCRETIONARY GRANT AWARD



U. S. DEPARTMENT OF JUSTICE
Law Enforcement Assistance
Administration

DISCRETIONARY GRANT APPLICATION
ENDORSEMENT STATE PLANNING AGENCY
CERTIFICATION AND APPROVAL

Discretionary Grant Application Title: _____

Implementing Agency or Governmental Unit: _____

To: Regional Office _____
Law Enforcement Assistance Administration

The undersigned State Planning Agency ("SPA"), duly constituted under P.L. 90-351, as amended, has reviewed the attached grant application and represents as follows:

1. The proposed project is deemed consistent with the State comprehensive law enforcement plan and is endorsed for favorable consideration by LEAA pursuant to the terms of the discretionary funds program under which it is being submitted.
2. If approved for grant award by LEAA, the State Planning Agency will integrate or incorporate the project as an action effort within the current year action plan component of the State's next comprehensive law enforcement plan.
3. If approved for grant award by LEAA, the State Planning Agency is willing to be the grant recipient and, in turn, to subgrant funds to the relevant unit of State or local government, or combination of units, for execution of the project in accordance with the application. This endorsement will constitute the SPA as co-applicant with the implementing agency or unit of government for such purposes and the SPA reserves the right to apply its normal subgrant administration and reporting requirements to this project.
4. If the application is approved for grant award by LEAA, the State Planning Agency certifies that its "block grant" allocations or subgrants to the implementing State agency or unit of local government or to the region or metropolitan area in which it is located will not, by virtue of such discretionary award action, be reduced or curtailed.
5. This application has been submitted to the State, regional and metropolitan Clearinghouses in accordance with OMB Circular A-95. Clearinghouse review ☐ has ☐ has not been completed.

State Planning Agency: _____

Date: _____ By: _____
(authorized officer)

Note: Where the State Planning Agency, for any reason, is unable to complete the endorsement as constituted, it should promptly notify the presenting unit or LEAA and explain the reasons or submit a certification containing such modifications as it may deem acceptable.
Where the State cannot enforce liability, the following SPA certification should be added:

November 22, 1971

"The State does not have an adequate forum in which to pursue subgrantee liability in the event of illegal use of funds under this grant. Therefore, this certification is subject to LEAA waiver of State liability and LEAA agreement to pursue legal remedies for fund misuse if necessary."

CONTINUED
1 OF 3

November 22, 1974

M 4500.1C
Appendix 4

APPENDIX 4. APPLICATION FOR FEDERAL ASSISTANCE (NONCON- STRUCTION PROGRAMS), LEAA FORM 4000/3



U. S. DEPARTMENT OF JUSTICE
LAW ENFORCEMENT ASSISTANCE ADMINISTRATION

OMB NO. 43-R-0528
EXPIRES 6/75

APPLICATION FOR FEDERAL ASSISTANCE (NONCONSTRUCTION PROGRAMS) PART I		1. State Clearinghouse Identifier		
		2. Applicant's Application No.		
3. Federal Grantor Agency Organizational Unit Administrative Office Street Address - P.O. Box City State Zip Code		4. Applicant Name Department Division Street Address - P.O. Box City County State Zip Code		
5. Descriptive Name of the Project				
6. Federal Catalog No.		7. Federal Funding Requested		
8. Grantee Type State, County, City, Other (Specify)				
9. Type of Application or Request New Grant, Continuation, Supplement, Other Changes (Specify)				
10. Type of Assistance Grant, Loan, Other (Specify)				
11. Population Directly Benefiting from the Project		13. Length of Project		
12. Congressional District a. b.		14. Beginning Date		
		15. Date of Application		
16. The applicant certifies that to the best of his knowledge and belief the data in this application are true and correct, and that he will comply with the attached assurances if he receives the grant.				
Typed name		Title		Telephone Number
				AREA CODE NUMBER EXT.
Signature of Authorized Representative				
For Federal Use Only				

LEAA Form 4000/3 (Rev. 8-74) Replaces edition of 6-73 which is obsolete.

November 22, 1974

INSTRUCTIONS

PART I

This form shall be used for all Federal assistance except for (a) construction, land acquisition or land development projects and (b) single purpose one-time assistance requests of less than \$10,000 which do not require a clearinghouse review, an environmental impact statement, or relocation of persons, businesses or farms. This form shall be used also to request supplemental assistance, to propose changes or amendments, and to request continuation or refunding, for approved grants originally submitted on this form.

Submit the original and two copies of the forms. If an item cannot be answered or does not appear to be related or relevant to the assistance required, write "NA" for not applicable. When a request is made for supplemental assistance, amendments or changes to an approved grant, submit only those pages which are appropriate.

Item 1 — Enter the State clearinghouse identifier. This is the code or number assigned by the clearinghouse to applications requiring State clearinghouse coordination for programs listed in Attachment D, Office of Management and Budget Circular No. A-95.

Item 2 — Enter the applicant's application number or other identifier. If a preapplication was submitted, show also the number that appeared on the preapplication if different than the application number.

Item 3 — Enter the name of the Federal grantor agency, the name of the primary organizational unit to which the application is addressed, the name of the administrative office having direct operational responsibility for managing the grant program, and the complete address of the Federal grantor agency.

Item 4 — Enter the name of the applicant, the name of the primary organizational unit which will undertake the grant supported activity, and the complete address of the applicant.

Item 5 — Enter the descriptive name of this project.

Item 6 — Enter the appropriate catalog number as shown in the Catalog of Federal Domestic Assistance. If the assistance will pertain to more than one catalog number, leave this space blank and list the catalog numbers under Part III, Section A.

Item 7 — Enter the amount that is requested from the Federal Government in this application. This amount should agree with the total amount shown in Part III, Section A, Line 5 of Column (e). For revisions, changes, or amendments, show only the amount of the increase or decrease.

Item 8 — Check one grantee type. If the grantee is other than a State, county, or city government, specify the type

of grantee on the "Other" line. Examples of other types of grantees are council of governments, interstate organizations, or special units.

Item 9 — Check the type of application or request. If the "Other Changes" block is checked, specify the type of change. The definitions for terms used in Item 9 are as follows:

- New grant — an action which is being submitted by the applicant for the first time.
- Continuation grant — an action that pertains to the continuation of a multi-year grant (e.g., the second year award for a project which will extend over five years).
- Supplemental grant — an action which pertains to an increase in the amount of the Federal contribution for the same period.
- Changes in the existing grant — Specify one or more of the following:
 - Increase in duration — a request to extend the grant period.
 - Decrease in duration — a request to reduce the grant period.
 - Decrease in amount — a request to decrease the amount of the Federal contribution.

Item 10 — Check the type of assistance requested. If the assistance involves more than one type, check two or more blocks and explain in Part IV — Program Narrative.

Item 11 — Enter the number of persons directly benefiting from this project. For example, if the project is for a neighborhood health center, enter the estimated number of residents in the neighborhood that will use the center.

Item 12

- Enter the congressional district in which the applicant is located.
- Enter the congressional district(s) in which most of the actual work on the project will be accomplished. If the work will be accomplished city-wide or State-wide, covering several congressional districts, write "city-wide" or "State-wide".

Item 13 — Enter the number of months that will be needed to complete the project after Federal funds are made available.

Item 14 — Enter the approximate date the project is expected to begin.

Item 15 — Enter the date this application is submitted.

Item 16 — Complete the certification before submitting the report.

November 22, 1974

OMB NO. 80-RO 186

PART II

PROJECT APPROVAL INFORMATION

Item 1.

Does this assistance request require State, local, regional, or other priority rating?

_____ Yes _____ No

Name of Governing Body _____
Priority Rating _____

Item 2.

Does this assistance request require State, or local advisory, educational or health clearances?

_____ Yes _____ No (Attach Documentation)

Name of Agency or Board _____

Item 3.

Does this assistance request require clearinghouse review in accordance with OMB Circular A-95?

_____ Yes _____ No

(Attach Comments)

Item 4.

Does this assistance request require State, local, regional or other planning approval?

_____ Yes _____ No

Name of Approving Agency _____
Date _____

Item 5.

Is the proposed project covered by an approved comprehensive plan?

_____ Yes _____ No

Check one: State ☐
Local ☐
Regional ☐
Location of Plan _____

Item 6.

Will the assistance requested serve a Federal installation?

_____ Yes _____ No

Name of Federal Installation _____
Federal Population benefiting from Project _____

Item 7.

Will the assistance requested be on Federal land or installation?

_____ Yes _____ No

Name of Federal Installation _____
Location of Federal Land _____
Percent of Project _____

Item 8.

Will the assistance requested have an impact or effect on the environment?

_____ Yes _____ No

See instructions for additional information to be provided.

Item 9.

Will the assistance requested cause the displacement of individuals, families, businesses, or farms?

_____ Yes _____ No

Number of:
Individuals _____
Families _____
Businesses _____
Farms _____

Item 10.

Is there other related assistance on this project previous, pending, or anticipated?

_____ Yes _____ No

See instructions for additional information to be provided.

November 22, 1974

INSTRUCTIONS

PART II

Negative answers will not require an explanation unless the Federal agency requests more information at a later date. Provide supplementary data for all "Yes" answers in the space provided in accordance with the following instructions:

Item 1 — Provide the name of the governing body establishing the priority system and the priority rating assigned to this project.

Item 2 — Provide the name of the agency or board which issued the clearance and attach the documentation of status or approval.

Item 3 — Attach the clearinghouse comments for the application in accordance with the instructions contained in Office of Management and Budget Circular No. A-95. If comments were submitted previously with a preapplication, do not submit them again but any additional comments received from the clearinghouse should be submitted with this application.

Item 4 — Furnish the name of the approving agency and the approval date.

Item 5 — Show whether the approved comprehensive plan is State, local or regional, or if none of these, explain the

scope of the plan. Give the location where the approved plan is available for examination and state whether this project is in conformance with the plan.

Item 6 — Show the population residing or working on the Federal installation who will benefit from this project.

Item 7 — Show the percentage of the project work that will be conducted on federally-owned or leased land. Give the name of the Federal installation and its location.

Item 8 — Describe briefly the possible beneficial and harmful impact on the environment of the proposed project. If an adverse environmental impact is anticipated, explain what action will be taken to minimize the impact. Federal agencies will provide separate instructions if additional data is needed.

Item 9 — State the number of individuals, families, businesses, or farms this project will displace. Federal agencies will provide separate instructions if additional data is needed.

Item 10 — Show the Federal Domestic Assistance Catalog number, the program name, the type of assistance, the status and the amount of each project where there is related previous, pending or anticipated assistance. Use additional sheets, if needed.

November 22, 1974

PART III - BUDGET INFORMATION

SECTION A - BUDGET SUMMARY

Grant Program, Function or Activity (a)	Federal Catalog No. (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					
j. Indirect Charges					
k. TOTALS	\$	\$	\$	\$	\$
7. Program Income	\$	\$	\$	\$	\$

November 22, 1974

INSTRUCTIONS

PART III

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 not 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).

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 were 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-h — Show the estimated amount for each direct cost budget (object class) category for each column with program, function or activity heading.

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

Line 6j — Show the amount of indirect cost. Refer to Office of Management and Budget Circular No. A-87.

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. When additional sheets were prepared, the last two sentences apply only to the first page with summary totals.

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.

November 22, 1974

SECTION C - NON-FEDERAL RESOURCES

(a) Grant Program	(b) APPLICANT	(c) STATE	(d) OTHER SOURCES	(e) TOTALS
8.	\$	\$	\$	\$
9.				
10.				
11.				
12. TOTALS	\$	\$	\$	\$

SECTION D - FORECASTED CASH NEEDS

	Total for 1st Year	1st Quarter	2nd Quarter	3rd Quarter	4th Quarter
13. Federal	\$	\$	\$	\$	\$
14. Non-Federal					
15. TOTAL	\$	\$	\$	\$	\$

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	\$	\$	\$	\$

SECTION F - OTHER BUDGET INFORMATION

(Attach additional Sheets If Necessary)

21. Direct Charges:

22. Indirect Charges:

23. Remarks:

PART IV PROGRAM NARRATIVE (Attach per instruction)

M 4500.1C
Appendix 4

INSTRUCTIONS

PART III
(continued)

Section C. Source of Non-Federal Resources

Line 8-11 — Enter amounts of non-Federal resources that will be used on the grant. (See attachment F, Office of Management and Budget Circular No. A-102.) See LEAA Instructions this page.

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 amount of cash and in-kind contributions to be made by the applicant as shown in Section A. (See also Attachment F, Office of Management and Budget Circular No. A-102.)

Column (c) — Enter the State 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.

LEAA Instructions

Applicants must provide on a separate sheet(s) a budget narrative which will detail by budget category, the federal and nonfederal (in-kind and cash) share. The grantee cash contribution should be identified as to its source, i.e., funds appropriated by a state or local unit of government or donation from a private source. The narrative should relate the items budgeted to project activities and should provide a justification and explanation for the budgeted items including the criteria and data used to arrive at the estimates for each budget category.

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 continuing 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 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 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, pre-determined, 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 required herein or any other comments deemed necessary.

INSTRUCTIONS

PART IV
PROGRAM NARRATIVE

Prepare the program narrative statement in accordance with the following instructions for all new grant programs. Requests for continuation or refunding and changes on an approved project should respond to item 5b only. Requests for supplemental assistance should respond to question 5c only.

1. OBJECTIVES AND NEED FOR THIS ASSISTANCE.

Pinpoint any relevant physical, economic, social, financial, institutional, or other problems requiring a solution. Demonstrate the need for assistance and state the principal and subordinate objectives of the project. Supporting documentation or other testimonies from concerned interests other than the applicant may be used. Any relevant data based on planning studies should be included or footnoted.

2. RESULTS OR BENEFITS EXPECTED.

Identify results and benefits to be derived. For example, when applying for a grant to establish a neighborhood health center provide a description of who will occupy the facility, how the facility will be used, and how the facility will benefit the general public.

3. APPROACH.

- Outline a plan of action pertaining to the scope and detail of how the proposed work will be accomplished for each grant program, function or activity, provided in the budget. Cite factors which might accelerate or decelerate the work and your reason for taking this approach as opposed to others. Describe any unusual features of the project such as design or technological innovations, reductions in cost or time, or extraordinary social and community involvement.
- Provide for each grant program, function or activity, quantitative monthly or quarterly projections of the accomplishments to be achieved in such terms as the number of jobs created; the number of people served; and the number of patients treated. When accomplishments cannot be quantified by activity or function, list them in chronological order to show the schedule of accomplishments and their target dates.

c. Identify the kinds of data to be collected and maintained and discuss the criteria to be used to evaluate the results and successes of the project. Explain the methodology that will be used to determine if the needs identified and discussed are being met and if the results and benefits identified in item 2 are being achieved.

d. List organizations, cooperators, consultants, or other key individuals who will work on the project along with a short description of the nature of their effort or contribution.

4. GEOGRAPHIC LOCATION.

Give a precise location of the project or area to be served by the proposed project. Maps or other graphic aids may be attached.

5. IF APPLICABLE, PROVIDE THE FOLLOWING INFORMATION:

- For research or demonstration assistance requests, present a biographical sketch of the program director with the following information; name, address, phone number, background, and other qualifying experience for the project. Also, list the name, training and background for other key personnel engaged in the project.
- Discuss accomplishments to date and list in chronological order a schedule of accomplishments, progress or milestones anticipated with the new funding request. If there have been significant changes in the project objectives, location approach, or time delays, explain and justify. For other requests for changes or amendments, explain the reason for the change(s). If the scope or objectives have changed or an extension of time is necessary, explain the circumstances and justify. If the total budget has been exceeded, or if individual budget items have changed more than the prescribed limits contained in Attachment K to Office of Management and Budget Circular No. A-102, explain and justify the change and its effect on the project.
- For supplemental assistance requests, explain the reason for the request and justify the need for additional funding.

November 22, 1974

PART V

ASSURANCES

The Applicant hereby assures and certifies that he will comply with the regulations, policies, guidelines, and requirements including OMB Circulars Nos. A-87, A-95, and A-102, as they relate to the application, acceptance and use of Federal funds for this Federally assisted project. Also the Applicant assures and certifies with respect to the grant that:

1. It possesses legal authority to apply for the grant; that a resolution, motion or similar action has been duly adopted or passed as an official act of the applicant's governing body, authorizing the filing of the application, including all understandings and assurances contained therein, and directing and authorizing the person identified as the official representative of the applicant to act in connection with the application and to provide such additional information as may be required.
2. It will comply with Title VI of the Civil Rights Act of 1964 (P.L. 88-352) and in accordance with Title VI of that Act, no person in the United States shall, on the ground of race, color, or national origin, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under any program or activity for which the applicant receives Federal financial assistance and will immediately take any measures necessary to effectuate this agreement.
- 3a. It will comply with the provisions of 28 C.F.R. 42.101 et seq. prohibiting discrimination based on race, color or national origin by or through its contractual arrangements. If the grantee is an institution or a governmental agency, office or unit then this assurance of nondiscrimination by race, color or national origin extends to discrimination anywhere in the institution or governmental agency, office or unit.
- b. If the grantee is a unit of state or local government, state planning agency or law enforcement agency, it will comply with Title VII of the Civil Rights Act of 1964, as amended, and 28 C.F.R. 42.201 et seq. prohibiting discrimination in employment practices based on race, color, creed, sex or national origin. Additionally, it will obtain assurances from all subgrantees, contractors and subcontractors that they will not discriminate in employment practices based on race, color, creed, sex or national origin.
- c. It will comply with and will insure compliance by its subgrantees and contractors with Title I of the Crime Control Act of 1973, Title VI of the Civil Rights Act of 1964 and all requirements imposed by or pursuant to regulations of the Department of Justice (28 C.F.R. Part 42) such that no person, on the basis of race, color, sex or national origin, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under any program or activity funded by LEAA.
4. It will comply with requirements of the provisions of the Uniform Relocation Assistance and Real Property Acquisitions Act of 1970 (P.L. 91-646) which provides for fair and equitable treatment of persons displaced as a result of Federal and federally assisted programs.
5. It will comply with the provisions of the Hatch Act which limit the political activity of employees.
6. It will comply with the minimum wage and maximum hours provisions of the Federal Fair Labor Standards Act, as they apply to hospital and educational institution employees of State and local governments.
7. It will establish safeguards to prohibit employees from using their positions for a purpose that is or gives the appearance of being motivated by a desire for private gain for themselves or others, particularly those with whom they have family, business, or other ties.
8. It will give the grantor agency or the Comptroller General through any authorized representative the access to and the right to examine all records, books, papers, or documents related to the grant.
9. It will comply with all requirements imposed by the Federal grantor agency concerning special requirements of law, program requirements, and other administrative requirements approved in accordance with Office of Management and Budget Circular No. A-102.

November 22, 1974

APPENDIX 5. APPLICATION FOR FEDERAL ASSISTANCE
(CONSTRUCTION PROGRAMS), LEAA FORM 4000/4



U. S. DEPARTMENT OF JUSTICE
LAW ENFORCEMENT ASSISTANCE ADMINISTRATION

OMB NO. 80-R0184

APPLICATION FOR FEDERAL ASSISTANCE (FOR CONSTRUCTION PROGRAMS)		1. State Clearinghouse Identifier	
PART I		2. Applicant's Application No.	
3. Federal Grantor Agency		4. Applicant Name	
Organizational Unit		Department Division	
Administrative Office		Street Address - P.O. Box	
Street Address - P.O. Box		City County	
City State Zip Code		State Zip Code	
5. Descriptive Name of the Project			
6. Federal Catalog No.		7. Federal Funding Requested	
		\$	
8. Grantee Type			
State, County, City, Other (Specify)			
9. Type of Application or Request			
New Grant, Continuation, Supplement, Other Changes (Specify)			
10. Type of Assistance			
Grant, Loan, Other (Specify)			
11. Population Directly Benefiting from the Project		13. Length of Project	
12. Congressional District		14. Beginning Date	
a.		15. Date of Application	
b.			
16. The applicant certifies that to the best of his knowledge and belief the data in this application are true and correct, and that he will comply with the attached assurances if he receives the grant.			
Typed name		Title	
Signature of Authorized Representative		Telephone Number	
		AREA CODE NUMBER EXT.	
Per Federal Use Only			

LEAA Form 4000/4 (Rev. 8-74) Replaces edition of 6-73 which is obsolete.

November 22, 1974

INSTRUCTIONS

PART I

This form shall be used to apply for Federal assistance for all construction, land acquisition or land development projects. Also, this form shall be used to request supplemental assistance, propose changes or amendments to approved grants, and request continuation or refunding for approved grants originally submitted on this form.

Submit the original and two copies of the forms. If an item cannot be answered or does not appear to be related or relevant to the assistance requested, write "NA" for not applicable. When a request is made for supplemental assistance, amendments or changes to an approved grant, submit only those pages which are appropriate.

Item 1 — Enter the State clearinghouse identifier. This is the code or number assigned by the clearinghouse to applications requiring State clearinghouse coordination for programs listed in Attachment D, Office of Management and Budget Circular No. A-95.

Item 2 — Enter the applicant's application number or other identifier. If a preapplication was submitted, show also the number that appeared on the preapplication, if different than the application number.

Item 3 — Enter the name of the Federal grantor agency, the name of the primary organizational unit to which the application is addressed, the name of the administrative office having direct operational responsibility for managing the grant program, and the complete address of the grantor agency.

Item 4 — Enter the name of the applicant, the name of the primary organizational unit which will undertake the grant-supported activity, and the complete address of the applicant.

Item 5 — Enter the descriptive name of this project.

Item 6 — Enter the appropriate catalog number as shown in the Catalog of Federal Domestic Assistance. If the assistance pertains to more than one catalog number, leave this space blank and prepare a separate set of Part III Forms for each catalog number.

Item 7 — Enter the amount that is requested from the Federal Government in this application. This amount should agree with the amounts shown in Part III, Section B, Line 22. For revisions, changes or amendments show only the amount of the increase or decrease.

Item 8 — Check one grantee type. If the grantee is other than a State, county, or city government, specify the type of grantee on the "Other" line. Examples of other types of grantees are council of governments, interstate organizations, or special units.

Item 9 — Check the type of application or request. If the "Other Changes" block is checked, specify the type of change. The definitions for terms used in Item 9 are as follows:

- New grant — a request which is being submitted by the applicant for the first time.
- Continuation grant — a request that pertains to the continuation of multi-year grant (e.g., the second year award for a project which will extend over five years.)
- Supplemental grant — a request which pertains to an increase in the amount of the Federal contribution for the same period.
- Other changes — specify one or more of the following:
 - Increase in duration — a request to extend the grant period.
 - Decrease in duration — a request to reduce the grant period.
 - Decrease in amount — a request to decrease the amount of the Federal contribution.

Item 10 — Check the type of assistance requested. If the assistance involves more than one type, check two or more blocks and explain in Part IV — Program Narrative.

Item 11 — Enter the number of persons directly benefiting from this project. For example, if the project is for the construction of a neighborhood health center, enter the estimated number of residents in the neighborhood that will use the center.

Item 12

- Enter the congressional district in which the applicant is located.
- Enter the congressional district(s) in which most of the actual work on the project will be accomplished. If the work will be accomplished city-wide or State-wide, covering several congressional districts, write "city-wide" or "State-wide".

Item 13 — Enter the number of months that will be needed to complete the project after Federal funds are made available.

Item 14 — Enter the approximate date the project is expected to begin.

Item 15 — Enter the date this application is submitted.

Item 16 — Complete the certification before submitting the report.

November 22, 1974

OMB NO. 50-R0184

PART II

PROJECT APPROVAL INFORMATION SECTION A

Item 1.

Does this assistance request require State, local, regional, or other priority rating?

Yes No

Name of Governing Body _____
Priority Rating _____

Item 2.

Does this assistance request require State, or local advisory, educational or health clearances?

Yes No (Attach Documentation)

Name of Agency or Board _____

Item 3.

Does this assistance request require clearinghouse review in accordance with OMB Circular A-95? (Attach Comments)

Yes No

Item 4.

Does this assistance request require State, local, regional or other planning approval?

Yes No

Name of Approving Agency _____
Date _____

Item 5.

Is the proposed project covered by an approved comprehensive plan?

Yes No

Check one: State ☐
Local ☐
Regional ☐

Location of plan _____

Item 6.

Will the assistance requested serve a Federal installation?

Yes No

Name of Federal Installation _____
Federal Population benefiting from Project _____

Item 7.

Will the assistance requested be on Federal land or installation?

Yes No

Name of Federal Installation _____
Location of Federal Land _____
Percent of Project _____

Item 8.

Will the assistance requested have an impact or effect on the environment?

Yes No

See instruction for additional information to be provided.

Item 9.

Will the assistance requested cause the displacement of individuals families, businesses, or farms?

Yes No

Number of:
Individuals _____
Families _____
Businesses _____
Farms _____

Item 10.

Is there other related Federal assistance on this project previous, pending, or anticipated?

Yes No

See instructions for additional information to be provided.

November 22, 1974

INSTRUCTIONS

PART II - SECTION A

Negative answers will not require an explanation unless the Federal agency requests more information at a later date. Provide supplementary data for all "Yes" answers in the space provided in accordance with the following instructions.

Item 1 - Provide the name of the governing body establishing the priority system and the priority rating assigned to this project.

Item 2 - Provide the name of the agency or board which issued the clearance and attach the documentation of status or approval.

Item 3 - Attach the clearinghouse comments for the application in accordance with the instructions contained in Office of Management and Budget Circular No. A-95. If comments were submitted previously with a preapplication, do not submit them again but any additional comments received from the clearinghouse should be submitted with this application.

Item 4 - Furnish the name of the approving agency and the approval date.

Item 5 - Show whether the approved comprehensive plan is State, local or regional, or if none of these, explain the

scope of the plan. Give the location where the approved plan is available for examination and state whether this project is in conformance with the plan.

Item 6 - Show the Federal population residing or working on the federal installation who will benefit from this project.

Item 7 - Show the percentage of the project work that will be conducted on federally-owned or leased land. Give the name of the Federal installation and its location.

Item 8 - Briefly describe the possible beneficial and/or harmful impact on the environment because of the proposed project. If an adverse environmental impact is anticipated, explain what action will be taken to minimize the impact. Federal agencies will provide separate instructions if additional data is needed.

Item 9 - State the number of individuals, families, businesses, or farms this project will displace. Federal agencies will provide separate instructions if additional data is needed.

Item 10 - Show the Federal Domestic Assistance Catalog number, the program name, the type of assistance, the status and amount of each project where there is related previous, pending, or anticipated assistance. Use additional sheets, if needed.

November 22, 1974

OMB NO. 50-R0184

INSTRUCTION

PART II - SECTION B

11. SITES AND IMPROVEMENTS: _____ Not required, _____ Attached as exhibits Applicant intends to acquire the site through: _____ Eminent domain, _____ Negotiated purchase, _____ Other means (specify)
12. TITLE OR OTHER INTEREST IN THE SITE IS OR WILL BE VESTED IN: _____ Applicant, _____ Agency or institution operating the facility, _____ Other (specify)
13. INDICATE WHETHER APPLICANT/OPERATOR HAS: _____ Fee simple title, _____ Leasehold interest, _____ Other (specify)
14. IF APPLICANT/OPERATOR HAS LEASEHOLD INTEREST, GIVE THE FOLLOWING INFORMATION: a. Length of lease or other estate interest _____, and number of years to run _____ b. Is lease renewable? _____ Yes _____ No c. Current appraised value of land \$ _____ d. Annual rental rate \$ _____
15. ATTACH AN OPINION FROM ACCEPTABLE TITLE COUNSEL DESCRIBING THE INTEREST APPLICANT/OPERATOR HAS IN THE SITE AND CERTIFYING THAT THE ESTATE OR INTEREST IS LEGAL AND VALID.
16. WHERE APPLICABLE, ATTACH SITE SURVEY, SOIL INVESTIGATION REPORTS AND COPIES OF LAND APPRAISALS.
17. WHERE APPLICABLE, ATTACH CERTIFICATION FROM ARCHITECT ON THE FEASIBILITY OF IMPROVING EXISTING SITE TOPOGRAPHY.
18. ATTACH PLOT PLAN.
19. CONSTRUCTION SCHEDULE ESTIMATES: _____ Not required, _____ Being prepared, _____ Attached as exhibits Percentage of completion of drawings and specifications at application date: Schematics _____ % Preliminary _____ % Final _____ %
20. TARGET DATES FOR: Bid Advertisement _____ Contract Award _____ Construction Completion _____ Occupancy _____
21. DESCRIPTION OF FACILITY: _____ Not required _____ Attached as exhibits Drawings - Attach any drawings which will assist in describing the project. Specifications - Attach copies of completed outline specifications. (If drawings and specifications have not been fully completed, please attach copies or working drawings that have been completed.)

NOTE: ITEMS ON THIS SHEET ARE SELF-EXPLANATORY; THEREFORE, NO INSTRUCTIONS ARE PROVIDED.

November 22, 1974

M 4500.1C
Appendix 5

OMB NO. 50-R0164

PART III - BUDGET INFORMATION - CONSTRUCTION			
SECTION A - GENERAL			
1. Federal Domestic Assistance Catalog No.			
2. Functional or Other Breakout			
SECTION B - CALCULATION OF FEDERAL GRANT			
Cost Classification	Use only for revisions		Total Amount Required
	Latest Approved Amount	Adjustment + or (-)	
1. Administration expense	\$	\$	\$
2. Preliminary expense			
3. Land, structures, right-of-way			
4. Architectural engineering basic fees			
5. Other architectural engineering fees			
6. Project inspection fees			
7. Land development			
8. Relocation Expenses			
9. Relocation payments to Individuals and Businesses			
10. Demolition and removal			
11. Construction and project improvement			
12. Equipment			
13. Miscellaneous			
14. Total (Lines 1 through 13)			
15. Estimated Income (if applicable)			
16. Net Project Amount (Line 14 minus 15)			
17. Less: Ineligible Exclusions			
18. Add: Contingencies			
19. Total Project Amt. (Excluding Rehabilitation Grants)			
20. Federal Share requested of Line 19			
21. Add Rehabilitation Grants Requested (100 Percent)			
22. Total Federal grant requested (Lines 20 & 21)			
23. Grantee share			
24. Other shares			
25. Total project (Lines 22, 23 & 24)	\$	\$	\$

November 22, 1974

INSTRUCTIONS

PART III

Section A. General

1. Show the Federal Domestic Assistance Catalog Number from which the assistance is requested. When more than one program or Catalog Number is involved and the amount cannot be distributed to the Federal grant program or catalog number on an overall percentage basis, prepare a separate set of Part III forms for each program or Catalog Number. However, show the total amounts for all programs in Section B of the basic application form.

2. Show the functional or other categorical breakouts, if required by the Federal grantor agency. Prepare a separate set of Part III forms for each category.

Section B. Calculation of Federal Grant

When applying for a new grant, use the Total Amount Column only. When requesting revisions of previously awarded amounts, use all columns.

Line 1 - Enter amounts needed for administration expenses including such items as travel, legal fees, rental of vehicles and any other expense items expected to be incurred to administer the grant. Include the amount of interest expense when authorized by program legislation and also show this amount under Section E Remarks.

Line 2 - Enter amounts pertaining to the work of locating and designing, making surveys and maps, sinking test holes, and all other work required prior to actual construction.

Line 3 - Enter amounts directly associated with the acquisition of land, existing structures, and related right-of-way.

Line 4 - Enter basic fees for architectural engineering services.

Line 5 - Enter amounts for other architectural engineering services, such as surveys, tests, and borings.

Line 6 - Enter fees for inspection and audit of construction and related programs.

Line 7 - Enter amounts associated with the development of land where the primary purpose of the grant is land improvement. Site work normally associated with major construction should be excluded from this category and shown on Line 11.

Line 8 - Enter the dollar amounts needed to provide relocation advisory assistance, and the net amounts for replacement (last resort) housing. Do not include relocation administration expenses on this Line; include them on Line 1.

Line 9 - Enter the estimated amount of relocation payments to be made to displaced persons, business concerns and non-profit organizations for moving expenses and replacement housing.

Line 10 - Enter the gross salaries and wages of employees of the grantee who will be directly engaged in performing demolition or removal of structures from developed land. This line should show also the cost of demolition or re-

moval of improvements on developed land under a third party contract. Reduce the costs on this line by the amount of expected proceeds from the sale of salvage, if so instructed by the Federal grantor agency. Otherwise, show the proceeds on Line 15.

Line 11 - Enter amounts for the actual construction of, addition to, or restoration of a facility. Also include in this category the amounts of project improvements such as sewers, streets, landscaping and lighting.

Line 12 - Enter amounts for equipment both fixed and movable exclusive of equipment used for construction. For example, include amounts for permanently attached laboratory tables, built-in audio visual systems, movable desks, chairs, and laboratory equipment.

Line 13 - Enter amounts for items not specifically mentioned above.

Line 14 - Enter the sum of Lines 1-13.

Line 15 - Enter the estimated amount of program income that will be earned during the grant period and applied to the program.

Line 16 - Enter the difference between the amount on Line 14 and the estimated income shown on Line 15.

Line 17 - Enter amounts for those items which are part of the project but not subject to Federal participation (See Section C, Line 26g, Column (1)).

Line 18 - Enter the estimated amount for contingencies. Compute this amount as follows. Subtract from the net project amount shown on Line 16 the ineligible project exclusions shown on Line 17 and the amount which is excluded from the contingency provisions shown in Section C, Line 26g, Column (2). Multiply the computed amount by the percentage factor allowed by the grantor agency in accordance with the Federal program guidance. For those grants which provide for a fixed dollar allowance in lieu of a percentage allowance, enter the dollar amount of this allowance.

Line 19 - Show the total amount of Lines 16, 17, and 18. (This is the amount to which the matching share ratio prescribed in program legislation is applied.)

Line 20 - Show the amount of Federal funds requested exclusive of funds for rehabilitation purposes.

Line 21 - Enter the estimated amounts needed for rehabilitation expense if rehabilitation grants to individuals are made for which grantees are reimbursed 100 percent by the Federal grantor agency in accordance with program legislation. If the grantee shares in part of this expense show the total amount on Line 13 instead of on Line 21 and explain in Section E.

Line 22 - Show the total amount of the Federal grant requested.

Line 23 - Show the amount from Section D, Line 27h.

Line 24 - Show the amount from Section D, Line 28c.

Line 25 - Self-explanatory.

November 22, 1974

OMB NO. 50-R0184

SECTION C - EXCLUSIONS		
Classification	Ineligible for Participation (1)	Excluded from Contingency Provision (2)
26		
a.	\$	\$
b.		
c.		
d.		
e.		
f.		
g. Totals	\$	\$
SECTION D - PROPOSED METHOD OF FINANCING NON-FEDERAL SHARE		
27. Grantee Share		\$
a. Securities		
b. Mortgages		
c. Appropriations (By Applicant)		
d. Bonds		
e. Tax Levies		
f. Non Cash		
g. Other (Explain)		
h. TOTAL - Grantee share		
28. Other Shares		
a. State		
b. Other		
c. Total Other Shares		
29. TOTAL		\$
SECTION E - REMARKS		

PART IV PROGRAM NARRATIVE (Attach - See Instructions)

November 22, 1974

INSTRUCTIONS

PART III

Section C. Exclusions

Line 26 a-g — Identify and list those costs in Column (1) which are part of the project cost but are not subject to Federal participation because of program legislation or Federal grantor agency instructions. The total amount on Line g should agree with the amount shown on Line 17 of Section B. Show in Column (2) those project costs that are subject to Federal participation but are not eligible for inclusion in the amount used to compute contingency amounts as provided in the Federal grantor agency instructions.

Section D. Proposed Method of Financing Non-Federal Share

Line 27 a-g — Show the source of the grantee's share. If cash is not immediately available, specify the actions completed to date and those actions remaining to make cash available under Section E Remarks. Indicate also the period of time that will be required after execution of the grant agreement to obtain the funds. If there is a noncash contribution, explain what this contribution will consist of.

Line 27 h — Show the total of Lines 27 a-g. This amount must equal the amount shown in Section B, Line 23.

Line 28 a — Show the amount that will be contributed by a State or state agency, *only* if the applicant is *not* a State or state agency. If there is a noncash contribution, explain what the contribution will consist of under Section E Remarks.

Line 28 b — Show the amount that will be contributed from other sources. If there is a noncash contribution, explain what this contribution will consist of under Section E Remarks.

Line 28 c — Show the total of Lines 28a and 28b. This amount must be the same as the amount shown in Section B, line 24.

Line 29 — Enter the totals of Line 27h and Line 28c.

Section E. Other Remarks

Make any remarks pertinent to the project and provide any other information required by these instructions or the grantor agency. Attach additional sheets, if necessary.

November 22, 1974

PART IV

PROGRAM NARRATIVE

Prepare the program narrative statement in accordance with the following instructions for all new grant programs. Requests for supplemental assistance should be responsive to Item 5b only. Requests for continuation or refunding or other changes of an approved project should be responsive to Item 5c only.

1. OBJECTIVES AND NEED FOR THIS ASSISTANCE.

Pinpoint any relevant physical, economic, social, financial, institutional, or other problems requiring a solution. Demonstrate the need for assistance and state the principal and subordinate objectives of the project. Supporting documentation or other testimonies from concerned interests other than the applicant may be used. Any relevant data based on planning studies should be included or footnoted.

2. RESULTS OR BENEFITS EXPECTED.

Identify results and benefits to be derived. For example, include a description of who will occupy the facility and show how the facility will be used. For land acquisition or development projects, explain how the project will benefit the public.

3. APPROACH.

- Outline a plan of action pertaining to the scope and detail of how the proposed work will be accomplished for each grant program. Cite factors which might accelerate or decelerate the work and your reason for taking this approach as opposed to others. Describe any unusual features of the project such as design or technological innovations, reductions in cost or time, or extraordinary social and community involvements.
- Provide for each grant program monthly or quarterly quantitative projections of the accomplishments to be achieved, if possible. When accomplishments cannot be quantified, list the activities in chronological order to show the schedule of accomplishments and their target dates.
- Identify the kinds of data to be collected and maintained, and discuss the criteria to be used to evaluate the results and success of the project. Explain the methodology that will be used to determine if the

needs identified and discussed are being met and if the results and benefits identified in Item 2 are being achieved.

- List each organization, cooperator, consultant, or other key individuals who will work on the project along with a short description of the nature of their effort or contribution.

4. GEOGRAPHIC LOCATION.

Give a precise location of the project and area to be served by the proposed project. Maps or other graphic aids may be attached.

5. IF APPLICABLE, PROVIDE THE FOLLOWING INFORMATION:

- Describe the relationship between this project and other work planned, anticipated, or underway under the Federal Assistance listed under Part II, Section A, Item 10.
- Explain the reason for all requests for supplemental assistance and justify the need for additional funding.
- Discuss accomplishments to date and list in chronological order a schedule of accomplishments, progress or milestones anticipated with the new funding request. If there have been significant changes in the project objectives, location, approach or time delays, explain and justify. For other requests for changes or amendments, explain the reason for the change(s). If the scope or objectives have changed or an extension of time is necessary, explain the circumstances and justify. If the total budget has been exceeded or if individual budget items have changed more than the prescribed limits contained in Attachment K, Office of Management and Budget Circular No. A-102, explain and justify the change and its effect on the project.

November 22, 1974

PART V

ASSURANCES

The applicant hereby assures and certifies that he will comply with the regulations, policies, guidelines and requirements, including Office of Management and Budget Circulars Nos. A-87, A-95, and A-102, as they relate to the application, acceptance and use of Federal funds for this federally-assisted project. Also, the applicant gives assurance and certifies with respect to the grant that:

1. It possesses legal authority to apply for the grant, and to finance and construct the proposed facilities; that a resolution, motion or similar action has been duly adopted or passed as an official act of the applicant's governing body, authorizing the filing of the application, including all understandings and assurances contained therein, and directing and authorizing the person identified as the official representative of the applicant to act in connection with the application and to provide such additional information as may be required.
2. It will comply with the provisions of: Executive Order 11296, relating to evaluation of flood hazards, and Executive Order 11288, relating to the prevention, control, and abatement of water pollution.
3. It will have sufficient funds available to meet the non-Federal share of the cost for construction projects. Sufficient funds will be available when construction is completed to assure effective operation and maintenance of the facility for the purposes constructed.
4. It will obtain approval by the appropriate Federal agency of the final working drawings and specifications before the project is advertised or placed on the market for bidding; that it will construct the project, or cause it to be constructed, to final completion in accordance with the application and approved plans and specifications; that it will submit to the appropriate Federal agency for prior approval changes that alter the costs of the project, use of space, or functional layout; that it will not enter into a construction contract(s) for the project or undertake other activities until the conditions of the construction grant program(s) have been met.
5. It will provide and maintain competent and adequate architectural engineering supervision and inspection at the construction site to insure that the completed work conforms with the approved plans and specifications; that it will furnish progress reports and such other information as the Federal grantor agency may require.
6. It will operate and maintain the facility in accordance with the minimum standards as may be required or prescribed by the applicable Federal, State and local agencies for the maintenance and operation of such facilities.
7. It will give the grantor agency and the Comptroller General through any authorized representative access to and the right to examine all records, books, papers, or documents related to the grant.
8. It will require the facility to be designed to comply with the "American Standard Specifications for Making Buildings and Facilities Accessible to, and Usable by, the Physically Handicapped," Number A117.1-1961, as modified (41 CFR 101-17.703). The applicant will be responsible for conducting inspections to insure compliance with these specifications by the contractor.
9. It will cause work on the project to be commenced within a reasonable time after receipt of notification from the approving Federal agency that funds have been approved and that the project will be prosecuted to completion with reasonable diligence.
10. It will not dispose of or encumber its title or other interests in the site and facilities during the period of Federal interest or while the Government holds bonds, whichever is the longer.
- 11a. It will comply with the provisions of 28 C.F.R. 42.101 et seq. prohibiting discrimination based on race, color, or national origin by or through its contractual arrangements. If the grantee is an institution or a governmental agency, office or unit then this assurance of nondiscrimination by race, color or national origin extends to discrimination anywhere in the institution or governmental agency, office or unit.
- b. If the grantee is a unit of state or local government, state planning agency or law enforcement agency, it will comply with Title VII of the Civil Rights Act of 1964, as amended, and 28 C.F.R. 42.201 et seq. prohibiting discrimination in employment practices based on race, color, creed, sex or national origin. Additionally, it will obtain assurances from all subgrantees, contractors and subcontractors that they will not discriminate in employment practices based on race, color, creed, sex or national origin.
- c. It will comply with and will insure compliance by its subgrantees and contractors with Title I of the Crime Control Act of 1973, Title VI of the

November 22, 1974

Civil Rights Act of 1964 and all requirements imposed by or pursuant to regulations of the Department of Justice (28 C.F.R. Part 42) such that no person, on the basis of race, color, sex or national origin, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under any program or activity funded by LEAA. If any real property or structure thereon is provided or improved with the aid of Federal financial assistance extended to the applicant, this assurance shall obligate the applicant, or in the case of any transfer of such property, any transferee, for the period during which the real property or structure is used for the purpose for which Federal financial assistance is extended or for another purpose involving the provision of similar services or benefits.

12. It will establish safeguards to prohibit employees from using their positions for a purpose that is or gives the appearance of being motivated by a desire for private gain for themselves or others, particularly those with whom they have family, business, or other ties.
13. It will comply with the requirements of Title II and Title III of the Uniform Relocation Assistance and Real Property Acquisitions Act of 1970 (P.L. 91-646) which provides for fair and equitable treatment of persons displaced as a result of Federal and federally assisted programs.
14. It will comply with all requirements imposed by the Federal grantor agency concerning special requirements of law, program requirements, and other administrative requirements approved in accordance with Office of Management and Budget Circular No. A-102.
15. It will comply with the provisions of the Hatch Act which limit the political activity of employees.
16. It will comply with the minimum wage and maximum hours provisions of the Federal Fair Labor Standards Act, as they apply to hospital and educational institution employees of State and local governments.

November 22, 1974

(As of November, 1974)

M 4500. 1C
Appendix 6

APPENDIX 6. ADDRESSES AND MAP OF LEAA REGIONAL OFFICES

REGION 1 - BOSTON

George K. Campbell
Acting Regional Administrator
LEAA - U. S. Dept. of Justice
147 Milk Street, Suite 800
Boston, Massachusetts 02109
617/223-4671 (Admin.)
617/223-7256 (Opns)
617/223-5675 (TA & BOP)
617/223-5665 (Fin.Mgmt Div)

REGION 2 - NEW YORK

Jules Tesler
Acting Regional Administrator
LEAA - U. S. Dept. of Justice
26 Federal Plaza, Rm. 1337
Federal Office Building
New York, New York 10007
212/264-4132 (RA)
212/264-9196 (Admin.)
212/264-4482 (TA)
212/264-2535 (Opns)

REGION 3 - PHILADELPHIA

Cornelius M. Cooper
Regional Administrator
LEAA - U. S. Dept. of Justice
325 Chestnut Street, Suite 800
Philadelphia, Pennsylvania 19106
215/597-9440 thru 9442 (RA & Dep.)
215/597-9443 thru 46 (TA)
215/597-0804 thru 06 (Grants Mgmt Div)

REGION 4 - ATLANTA

Charles Rinkevich
Regional Administrator
LEAA - U. S. Dept. of Justice
730 Peachtree Street, NE., Rm. 985
Atlanta, Georgia 30308
404/526-5868 (Admin.)
404/526-3414 (Opns)
404/526-3556 (TA)

REGION 5 - CHICAGO

Edwin R. LaPedis
Acting Regional Administrator
LEAA - U. S. Dept. of Justice
O'Hare Office Center, Room 121
3166 Des Plaines Avenue
Des Plaines, Illinois 60018
312/353-1203

REGION 6 - DALLAS

Robert Grimes
Regional Administrator
LEAA - U. S. Dept. of Justice
500 S. Ervay Street, Suite 313-C
Dallas, Texas 75201
214/749-7211

REGION 7 - KANSAS CITY

Marvin Ruud
Acting Regional Administrator
LEAA - U. S. Dept. of Justice
436 State Avenue
Kansas City, Kansas 66101
816/374-4501 (Admin.)
816/374-4504 (Opns)
816/374-4508 (TA)

REGION 8 - DENVER

Joseph Mulvey
Regional Administrator
LEAA - U. S. Dept. of Justice
Federal Building, Rm. 6324
Denver, Colorado 80202
303/837-4784 (RA) -2456 (Admin.)
303/837-2367 (Prog) -2385 (Grants)
303/837-4265 (Spec Svc) -4141 (BOP)
303/837-4940 (Indian Desk)

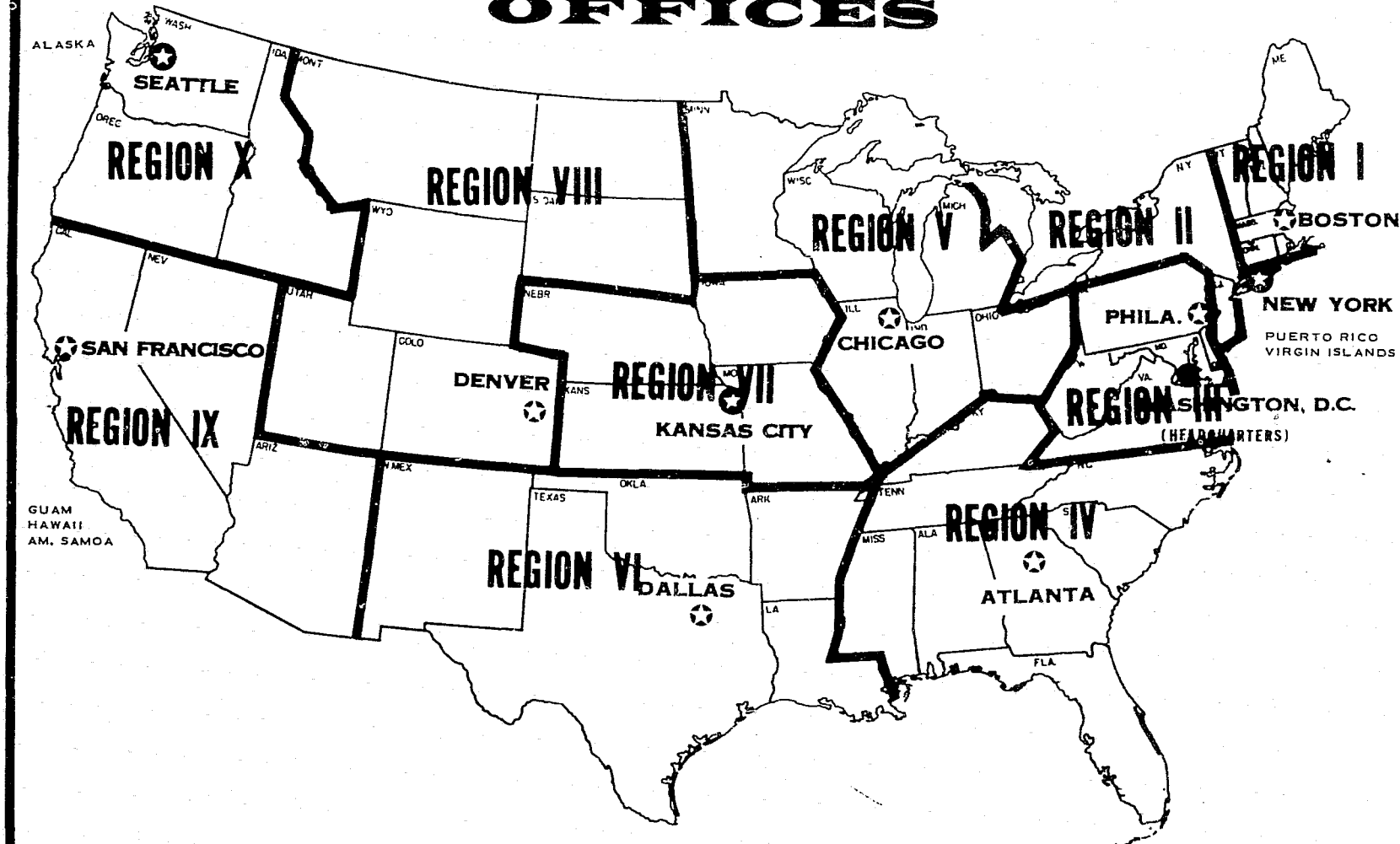
REGION 9 - SAN FRANCISCO

Thomas Clark
Regional Administrator
LEAA - U. S. Dept. of Justice
1860 El Camino Real, 4th Floor
Burlingame, California 94010
415/697-4046 (FTS 415/341-3401)

REGION 10 - SEATTLE

Bernard G. Winckoski
Regional Administrator
LEAA - U. S. Dept. of Justice
130 Andover Building
Seattle, Washington 98188
206/442-1170

LEAA REGIONAL OFFICES



M 4500.1C
Appendix 5

November 22, 1974

APPENDIX 7. APPLICABILITY OF M 7100.1A, FINANCIAL MANAGEMENT
OF PLANNING AND ACTION GRANTS TO THE ADMINISTRATION
OF DISCRETIONARY GRANTS

1. BACKGROUND. Guideline Manual M 7100.1A, Financial Management for Planning and Action Grants has been developed as a complete reference source and guide for financial questions arising in the administration of action grants by State Planning Agencies, including grants from discretionary funds.
2. APPLICABILITY. Since it is anticipated that grants under the discretionary programs will normally be applied for through, and administered by, State Planning Agencies, the provisions of M 7100.1A relating to subgrantees will be directly applicable to projects receiving funds under the discretionary grant program, subject to the exceptions or clarifications which follow in this appendix.
3. STATE PLANNING AGENCY SUPERVISION AND MONITORING RESPONSIBILITY.
 - a. As LEAA's grantee, the State Planning Agency has responsibility for assuring proper administration of subgrants under the discretionary grant program including responsibility for:
 - (1) Proper conduct of the financial affairs of any subgrantee or contractor insofar as they relate to programs or projects for which discretionary grant funds have been made available and
 - (2) Default in which the State Planning Agency may be held accountable for improper use of grant funds.
 - b. When the SPA is the grantee and the ultimate recipient of the funds is a subgrantee, the following approvals are authorized.
 - (1) A SUBGRANTEE may transfer, between direct cost object class budget categories, the following:
 - (a) The cumulative amount of 5 percent of the grant budget (Federal and non-Federal funds) or \$10,000 whichever is greater (for grant budgets in excess of \$100,000) or
 - (b) A cumulative 5 percent change of the grant budget (for grants of \$100,000 or less).

November 22, 1974

- (2) The SPA shall give prior approval for:
- (a) Any cumulative amount of transfers exceeding the limitations set forth in paragraph 3b(1) and (2) above.
 - (b) Extensions of discretionary projects up to three months beyond the approved duration.
 - (c) Cost items normally requiring grantor approval except where a budget change is involved above the limits in paragraph 3b(1) and (2) above.
 - (d) All other deviations from a discretionary grant.
- c. When the GRANTEE is also the ultimate recipient of the funds (No SPA supervision and monitoring), the grantee may:
- (1) Transfer, between direct cost object class budget categories, the following:
- (a) The cumulative amount of 5 percent of the grant budget (Federal and non-Federal funds) or \$10,000 whichever is greater (for grant budgets in excess of \$100,000) or
 - (b) A cumulative 5 percent change of the grant budget (for grants of \$100,000 or less).
- (2) The cognizant monitoring office shall give prior approval for:
- (a) Any cumulative amount of transfers exceeding the limitations set forth in paragraph 3b(1) and 3b(1)b above.
 - (b) Extensions of discretionary projects beyond the approved duration in accordance with approved policy.
 - (c) Cost items normally requiring grantor approval except where a budget change is involved above the limits in paragraph 3b(1)a and 3b(1)b above.
 - (d) All other deviations from a discretionary grant.

November 22, 1974

4. ALLOWABILITY OF COSTS. The allowability of costs incurred under any grant shall be determined in accordance with the general principles of allowability and standards for selected cost items set forth in OMB Circular No. A-87, "Federal Management Circular (FMC)" and in the LEAA Guideline Manual for Planning and Action Grants, M 7100.1A.
- a. Each individual project supported under the discretionary grant program will, unless otherwise provided in program specifications, be subject to a separate grant application to the Administration incorporating a detailed budget of proposed project costs.
 - b. The budget narrative will set forth the details of cost items specified in chapter 3 of M 7100.1A as requiring specific prior approval.
 - c. Award of the discretionary grant will constitute approval in each instance of specified cost items and therefore "prior approval" items will receive consideration and subsequent approval or disapproval as part of the award process.
 - d. Cost items requiring "grantor approval" under M 7100.1A may be handled by the State Planning Agencies exactly as in the case of subgrants under the block grant program EXCEPT where a budget change is involved above the dollar limits set forth in paragraph 3b(2) of this appendix.
 - e. Where M 7100.1A requires the specific approval of LEAA or when changes in any of the budget categories exceed the limitations set forth in paragraph 3b(2) of this appendix, these items will receive consideration and subsequent approval or disapproval by the Administration.
 - f. Changes among items within one of the budget categories may be made by the subgrantee without prior approval but will otherwise remain subject to M 7100.1A cost allowability and budget requirements.
 - g. Limitation of travel and subsistence charges by grantee to levels allowed under Federal travel regulations (or for the grantee's established travel policies if lower), including use of less than first class accommodations in air and rail travel and the applicable per diem rate at the time the expense is incurred. Exceptions to this requirement must have the prior approval of the LEAA awarding office. (See LEAA Guideline G 7100.3, dated September 10, 1974, for further information.)

November 22, 1974

5. GRANTEE CONTRIBUTIONS AND MATCHING SHARES.

- a. All individual grants made under the discretionary grant program are subject to grantee matching contribution requirements as stated in chapter 4 of M 7100.1A.
- b. Not more than one-third of any discretionary grant may be expended for compensation of police, and other regular law enforcement and criminal justice personnel exclusive of time engaged in training programs or in research, development, demonstration, or other short term programs (Indian manpower projects not to exceed 24 months duration excepted).
- c. Matching contribution data, including the cash match, will be presented in each grant application for discretionary funds.

6. AWARD AND PAYMENT OF GRANT FUNDS.

- a. As grant applications are approved by the Administration, grantees will receive formal statements of award evidencing such action and indicating the amount and type of grant and any special conditions of the grant.
- b. State Planning Agencies will normally be the grantees and as such will be obligated to proceed promptly to award subgrants for execution of the project by intended implementing agencies. Exceptions to this requirement must be negotiated with the LEAA awarding office.
- c. Payments of Federal grant funds under the discretionary grant program will be through the Letter of Credit procedure currently in existence with the State Planning Agencies.
- d. Recipients of subgrants will make all applications for Federal funds to the State Planning Agencies through which the discretionary grant application was processed and the grant was awarded, and such applications will be in accordance with normal subgrant regulations and procedures of the State Planning Agency.
- e. The provisions of chapter 5, paragraph 6 of M 7100.1A are not applicable to grants under the discretionary grant program. Discretionary grant funds will be obligated within the specific grant period indicated on grantee's statement of award and must be expended within 90 days after that date.
- f. Request for change or extension of the grant period must be made in advance of expiration and in writing.

November 22, 1974

APPENDIX 8. REGULATIONS IMPLEMENTING TITLE VI OF THE
CIVIL RIGHTS ACT OF 1964, 28 C.F.R. 42.101,
ET SEQ., SUBPART C.

REVISED, JULY 5, 1973

Subpart C—Nondiscrimination in Federally Assisted Programs—Implementation of Title VI of the Civil Rights Act of 1964¹

Authority: The provisions of this Subpart C issued under secs. 601-605, 78 Stat. 252, secs. 1-11, 79 Stat. 828, 80 Stat. 379; 42 U.S.C. 2000d-2000d-4, 18 U.S.C. Prec. 3001 note, 5 U.S.C. 301, sec. 2, Reorganization Plan No. 2 of 1950, 64 Stat. 1261; 3 CFR, 1949-1953 Comp.

Source: The provisions of this Subpart C contained in Order No. 365-66, 31 P.R. 10265, July 29, 1966, unless otherwise noted.

§ 42.101 Purpose.

The purpose of this subpart is to implement the provisions of Title VI of the Civil Rights Act of 1964, 78 Stat. 252 (hereafter referred to as the "Act"), to the end that no person in the United States shall, on the ground of race, color, or national origin, be excluded from participation in, be denied the benefits of, or otherwise be subjected to discrimination under any program or activity receiving Federal financial assistance from the Department of Justice.

§ 42.102 Definitions.

As used in this subpart—

(a) The term "responsible Department official" with respect to any program receiving Federal financial assistance means the Attorney General, or Deputy Attorney General, or such other official of the Department as has been assigned the principal responsibility within the Department for the administration of the law extending such assistance.

(b) The term "United States" includes the several States of the United States, the District of Columbia, the Commonwealth of Puerto Rico, the Virgin Islands, American Samoa, Guam, Wake Island, the Canal Zone, and all other territories and possessions of the United States, and the term "State" includes any one of the foregoing.

(c) The term "Federal financial assistance" includes (1) grants and loans of Federal funds, (2) the grant or donation of Federal property and interests in property, (3) the detail of Federal personnel, (4) the sale and lease of, and the permission to use (on other than a casual or transient basis), Federal property or any interest in such property without consideration or at a nominal

consideration, or at a consideration which is reduced for the purpose of assisting the recipient, or in recognition of the public interest to be served by such sale or lease to the recipient, and (5) any Federal agreement, arrangement, or other contract which has as one of its purposes the provision of assistance.

(d) The term "program" includes any program, project, or activity for the provision of services, financial aid, or other benefits to individuals (including education or training, rehabilitation, or other services or disposition, whether provided through employees of the recipient of Federal financial assistance or provided by others through contracts or other arrangements with the recipient, and including work opportunities and cash or loan or other assistance to individuals), or for the provision of facilities for furnishing services, financial aid, or other benefits to individuals. The disposition, services, financial aid, or benefits provided under a program receiving Federal financial assistance shall be deemed to include any disposition, services, financial aid, or benefits provided with the aid of Federal financial assistance or with the aid of any non-Federal funds, property, or other resources required to be expended or made available for the program to meet matching requirements or other conditions which must be met in order to receive the Federal financial assistance, and to include any disposition, services, financial aid, or benefits provided in or through a facility provided with the aid of Federal financial assistance or such non-Federal resources.

(e) The term "facility" includes all or any portion of structures, equipment, or other real or personal property or interests therein, and the provision of facilities includes the construction, expansion, renovation, remodeling, alteration or acquisition of facilities.

¹ See also 28 CFR 50.3, Guidelines for enforcement of Title VI, Civil Rights Act.

November 22, 1974

(f) The term "recipient" means any State, political subdivision of any State, or instrumentality of any State or political subdivision, any public or private agency, institution, or organization, or other entity, or any individual, in any State, to whom Federal financial assistance is extended, directly or through another recipient, for any program, including any successor, assign, or transferee thereof, but such term does not include any ultimate beneficiary under any such program.

(g) The term "primary recipient" means any recipient which is authorized or required to extend Federal financial assistance to another recipient for the purpose of carrying out a program.

(h) The term "applicant" means one who submits an application, request, or plan required to be approved by a responsible Department official, or by a primary recipient, as a condition to eligibility for Federal financial assistance, and the term "application" means such an application, request, or plan.

(i) The term "academic institution" includes any school, academy, college, university, institute, or other association, organization, or agency conducting or administering any program, project, or facility designed to educate or train individuals.

(j) The term "disposition" means any treatment, handling, decision, sentencing, confinement, or other prescription of conduct.

(k) The term "governmental organization" means the political subdivision for a prescribed geographical area.

§ 42.103 Application of this subpart.

This subpart applies to any program for which Federal financial assistance is authorized under a law administered by the Department. It applies to money paid, property transferred, or other Federal financial assistance extended under any such program after the date of this subpart pursuant to an application whether approved before or after such date. This subpart does not apply to (a) any Federal financial assistance by way of insurance or guaranty contracts, or (b) employment practices except to the extent described in § 42.104(c).

§ 42.104 Discrimination prohibited.

(a) *General.* No person in the United States shall, on the ground of race, color, or national origin be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under any program to which this subpart applies.

(b) *Specific discriminatory actions prohibited.* (1) A recipient under any program to which this subpart applies may not, directly or through contractual or other arrangements, on the ground of race, color, or national origin:

(i) Deny an individual any disposition, service, financial aid, or benefit provided under the program;

(ii) Provide any disposition, service, financial aid, or benefit to an individual which is different, or is provided in a different manner, from that provided to others under the program;

(iii) Subject an individual to segregation or separate treatment in any matter related to his receipt of any disposition, service, financial aid, or benefit under the program;

(iv) Restrict an individual in any way in the enjoyment of any advantage or privilege enjoyed by others receiving any disposition, service, financial aid, or benefit under the program;

(v) Treat an individual differently from others in determining whether he satisfies any admission, enrollment, quota, eligibility, membership, or other requirement or condition which individuals must meet in order to be provided any disposition, service, financial aid, function or benefit provided under the program; or

(vi) Deny an individual an opportunity to participate in the program through the provision of services or otherwise or afford him an opportunity to do so which is different from that afforded others under the program (including the opportunity to participate in the program as an employee but only to the extent set forth in paragraph (c) of this section).

(vii) Deny a person the opportunity to participate as a member of a planning or advisory body which is an integral part of the program.

(2) A recipient, in determining the type of disposition, services, financial aid, benefits, or facilities which will be provided under any such program, or the class of individuals to whom, or the situations in which, such will be provided under any such program, or the class of individuals to be afforded an opportunity to participate in any such program, may not, directly or through contractual or other arrangements, utilize criteria or methods of administration which have

November 22, 1974

the effect of subjecting individuals to discrimination because of their race, color, or national origin, or have the effect of defeating or substantially impairing accomplishment of the objectives of the program as respects individuals of a particular race, color, or national origin.

(3) In determining the site or location of facilities, a recipient or applicant may not make selections with the purpose or effect of excluding individuals from, denying them the benefits of, or subjecting them to discrimination under any program to which this subpart applies, on the ground of race, color, or national origin; or with the purpose or effect of defeating or substantially impairing the accomplishment of the objectives of the Act or this subpart.

(4) For the purposes of this section the disposition, services, financial aid, or benefits provided under a program receiving Federal financial assistance shall be deemed to include any portion of any program or function or activity conducted by any recipient of Federal financial assistance which program, function, or activity is directly or indirectly improved, enhanced, enlarged, or benefited by such Federal financial assistance or which makes use of any facility, equipment or property provided with the aid of Federal financial assistance.

(5) The enumeration of specific forms of prohibited discrimination in this paragraph and in paragraph (c) of this section does not limit the generality of the prohibition in paragraph (a) of this section.

(6) (i) In administering a program regarding which the recipient has previously discriminated against persons on the ground of race, color, or national origin, the recipient must take affirmative action to overcome the effects of prior discrimination.

(ii) Even in the absence of such prior discrimination, a recipient in administering a program may take affirmative action to overcome the effects of conditions which resulted in limiting participation by persons of a particular race, color, or national origin.

(c) (1) *Employment practices.* Whenever a primary objective of the Federal financial assistance to a program, to which this subpart applies, is to provide employment, a recipient of such assistance may not (directly or through contractual or other arrangements) subject any individual to discrimination on the ground of race, color, or national origin in its

employment practices under such program (including recruitment or recruitment advertising, employment, layoff, or termination, upgrading, demotion, or transfer, rates of pay or other forms of compensation, and use of facilities). That prohibition also applies to programs as to which a primary objective of the Federal financial assistance is (1) to assist individuals, through employment, to meet expenses incident to the commencement or continuation of their education or training, or (2) to provide work experience which contributes to the education or training of the individuals involved. The requirements applicable to construction employment under any such program shall be those specified in or pursuant to Part III of Executive Order 11246 or any Executive order which supersedes it.

(2) In regard to Federal financial assistance which does not have providing employment as a primary objective, the provisions of paragraph (c) (1) of this section apply to the employment practices of the recipient if discrimination on the ground of race, color, or national origin in such employment practices tends, on the ground of race, color, or national origin, to exclude persons from participation in, to deny them the benefits of or to subject them to discrimination under the program receiving Federal financial assistance. In any such case, the provisions of paragraph (c) (1) of this section shall apply to the extent necessary to assure equality of opportunity to and nondiscriminatory treatment of beneficiaries.

§ 42.105 Assurance required.

(a) *General.* (1) Every application for Federal financial assistance to carry out a program to which this subpart applies, and every application for Federal financial assistance to provide a facility shall, as a condition to its approval and the extension of any Federal financial assistance pursuant to the application, contain or be accompanied by an assurance that the program will be conducted or the facility operated in compliance with all requirements imposed by or pursuant to this subpart.

In the case where the Federal financial assistance is to provide or is in the form of personal property, or real property or interest therein or structures thereon, such assurance shall obligate the recipient, or, in the case of a subsequent transfer, the transferee, for the period during which the property is used for a purpose for

November 22, 1974

which the Federal financial assistance is extended or for another purpose involving the provision of similar services or benefits, or for as long as the recipient retains ownership or possession of the property, whichever is longer.

In all other cases, such assurance shall obligate the recipient for the period during which Federal financial assistance is extended pursuant to the application. The responsible Department official shall specify the form of the foregoing assurances for each program, and the extent to which like assurances will be required of subgrantees, contractors, and subcontractors, transferees, successors in interest, and other participants in the program. Any such assurance shall include provisions which give the United States a right to seek its judicial enforcement.

(2) In the case of real property, structures or improvements thereon, or interest therein, which was acquired through a program of Federal financial assistance, or in the case where Federal financial assistance is provided in the form of a transfer of real property or interest therein from the Federal Government, the instrument effecting or recording the transfer shall contain a covenant running with the land assuring nondiscrimination for the period during which the real property is used for a purpose for which the Federal financial assistance is extended or for another purpose involving the provision of similar services or benefits. Where no transfer of property is involved, but property is improved under a program of Federal financial assistance, the recipient shall agree to include such a covenant in any subsequent transfer of such property. Where the property is obtained from the Federal Government, such covenant may also include a condition coupled with a right to be reserved by the Department to revert title to the property in the event of a breach of the covenant where, in the discretion of the responsible Department official, such a condition and right of reverter are appropriate to the program under which the real property is obtained and to the nature of the grant and the grantee.

(b) *Assurances from government agencies.* In the case of any application from any department, agency, or office of any State or local government for Federal financial assistance for any specified purpose, the assurance required by this section shall extend to any other department, agency, or office of the same governmental unit if the policies of such other department, agency, or office will substantially affect the project for which Federal financial assistance is requested. That requirement may be waived by the responsible Department official if the applicant establishes, to the satisfaction of the responsible Department official, that the practices in other agencies or parts or programs of the governmental unit will in no way affect (1) its practices in the program for which Federal financial assistance is sought, or (2) the beneficiaries of or participants in or persons affected by such program, or (3) full compliance with this subpart as respects such program.

(c) *Assurance from academic and other institutions.* (1) In the case of any application for Federal financial assistance for any purpose to an academic institution, the assurance required by this section shall extend to admission practices and to all other practices relating to the treatment of students.

(2) The assurance required with respect to an academic institution, detention or correctional facility, or any other institution or facility, insofar as the assurance relates to the institution's practices with respect to admission or other treatment of individuals as students, patients, wards, inmates, persons subject to control, or clients of the institution or facility or to the opportunity to participate in the provision of services, disposition, treatment, or benefits to such individuals, shall be applicable to the entire institution or facility unless the applicant establishes, to the satisfaction of the responsible Department official, that the practices in designated parts or programs of the institution or facility will in no way affect its practices in the program of the institution or facility for which Federal financial assistance is sought, or the beneficiaries of or participants in such program. If, in any

November 22, 1974

such case, the assistance sought is for the construction of a facility or part of a facility, the assurance shall in any event extend to the entire facility and to facilities operated in connection therewith.

(d) *Continuing State programs.* Any State or State agency administering a program which receives continuing Federal financial assistance subject to this regulation shall as a condition for the extension of such assistance (1) provide a statement that the program is (or, in the case of a new program, will be) conducted in compliance with this regulation, and (2) provide for such methods of administration as are found by the responsible Department official to give reasonable assurance that the primary recipient and all other recipients of Federal financial assistance under such program will comply with this regulation.

§ 42.106 Compliance information.

(a) *Cooperation and assistance.* Each responsible Department official shall, to the fullest extent practicable, seek the cooperation of recipients in obtaining compliance with this subpart and shall provide assistance and guidance to recipients to help them comply voluntarily with this subpart.

(b) *Compliance reports.* Each recipient shall keep such records and submit to the responsible Department official or his designee timely, complete, and accurate compliance reports at such times, and in such form and containing such information, as the responsible Department official or his designee may determine to be necessary to enable him to ascertain whether the recipient has complied or is complying with this subpart.

In general, recipients should have available for the Department racial and ethnic data showing the extent to which members of minority groups are beneficiaries of federally assisted programs.

In the case of any program under which a primary recipient extends Federal financial assistance to any other recipient or subcontracts with any other person or group, such other recipient shall also submit such compliance reports to the primary recipient as may be necessary to enable the primary recipient to carry out its obligations under this subpart.

(c) *Access to sources of information.* Each recipient shall permit access by the responsible Department official or his designee during normal business hours to such of its books, records, accounts, and other sources of information, and its facilities, as may be pertinent to ascertain compliance with this subpart. Whenever any information required of a recipient is in the exclusive possession of any other agency, institution, or person and that agency, institution, or person fails or refuses to furnish that information, the recipient shall so certify in its report and set forth the efforts which it has made to obtain the information.

(d) *Information to beneficiaries and participants.* Each recipient shall make available to participants, beneficiaries, and other interested persons such information regarding the provisions of this subpart and its applicability to the program under which the recipient receives Federal financial assistance, and make such information available to them in such manner, as the responsible Department official finds necessary to apprise such persons of the protections against discrimination assured them by the Act and this subpart.

§ 42.107 Conduct of investigations.

(a) *Periodic compliance reviews.* The responsible Department official or his designee shall from time to time review the practices of recipients to determine whether they are complying with this subpart.

(b) *Complaints.* Any person who believes himself or any specific class of individuals to be subjected to discrimination prohibited by this subpart may by himself or by a representative file with the responsible Department official or his designee a written complaint. A complaint must be filed not later than 180 days from the date of the alleged discrimination, unless the time for filing is extended by the responsible Department official or his designee.

(c) *Investigations.* The responsible Department official or his designee will make a prompt investigation whenever a compliance review, report, complaint, or any other information indicates a possible failure to comply with this subpart. The investigation should include, whenever appropriate, a review of the pertinent practices and policies of the recipient, the circumstances under which the possible noncompliance with this subpart occurred, and other factors relevant to a determination as to whether the recipient has failed to comply with this subpart.

November 22, 1974

(d) *Resolution of matters.* (1) If an investigation pursuant to paragraph (c) of this section indicates a failure to comply with this subpart, the responsible Department official or his designee will so inform the recipient and the matter will be resolved by informal means whenever possible. If it has been determined that the matter cannot be resolved by informal means, action will be taken as provided for in § 42.108.

(2) If an investigation does not warrant action pursuant to subparagraph (1) of this paragraph, the responsible Department official or his designee will so inform the recipient and the complainant, if any, in writing.

(e) *Intimidatory or retaliatory acts prohibited.* No recipient or other person shall intimidate, threaten, coerce, or discriminate against any individual for the purpose of interfering with any right or privilege secured by section 601 of the Act or this subpart, or because he has made a complaint, testified, assisted, or participated in any manner in an investigation, proceeding, or hearing under this subpart. The identity of complainants shall be kept confidential except to the extent necessary to carry out the purposes of this subpart, including the conduct of any investigation, hearing, or judicial proceeding arising thereunder.

§ 42.108 Procedure for effecting compliance.

(a) *General.* If there appears to be a failure or threatened failure to comply with this subpart and if the noncompliance or threatened noncompliance cannot be corrected by informal means, the responsible Department official may suspend or terminate, or refuse to grant or continue, Federal financial assistance, or use any other means authorized by law, to induce compliance with this subpart. Such other means include, but are not limited to, (1) appropriate proceedings brought by the Department to enforce any rights of the United States under any law of the United States (including other titles or the Act), or any assurance or other contractual undertaking, and (2) any applicable proceeding under State or local law.

(b) *Noncompliance with assurance requirement.* If an applicant or recipient fails or refuses to furnish an assurance required under § 42.105, or fails or refuses to comply with the provisions of the assurance it has furnished, or otherwise fails or refuses to comply with any requirement imposed by or pursuant to Title VI or this subpart, Federal financial assistance may be suspended, terminated, or refused in accordance with the procedures of Title VI and this subpart. The Department shall not be required to provide assistance in such a case during the pendency of administrative proceedings under this subpart, except that the Department will continue assistance during the pendency of such proceedings whenever such assistance is due and payable pursuant to a final commitment made or an application finally approved prior to the effective date of this subpart.

(c) *Termination of or refusal to grant or to continue Federal financial assistance.* No order suspending, terminating, or refusing to grant or continue Federal financial assistance shall become effective until (1) the responsible Department official has advised the applicant or recipient of his failure to comply and has determined that compliance cannot be secured by voluntary means, (2) there has been an express finding on the record, after opportunity for hearing, of a failure by the applicant or recipient to comply with a requirement imposed by or pursuant to this subpart, (3) the action has been approved by the Attorney General pursuant to § 42.110, and (4) the expiration of 30 days after the Attorney General has filed with the committee of the House and the committee of the Senate having legislative jurisdiction over the program involved, a full written report of the circumstances and the grounds for such action. Any action to suspend or terminate or to refuse to grant or to continue Federal financial assistance shall be limited to the particular political entity, or part thereof, or other applicant or recipient as to whom such a finding has been made and shall be limited in its effect to the particular program, or part thereof, in which such

November 22, 1974

noncompliance has been so found.

(d) *Other means authorized by law.* No action to effect compliance by any other means authorized by law shall be taken until (1) the responsible Department official has determined that compliance cannot be secured by voluntary means, (2) the action has been approved by the Attorney General, and (3) the recipient or other person has been notified of its failure to comply and of the action to be taken to effect compliance.

§ 42.109 Hearings.

(a) *Opportunity for hearing.* Whenever an opportunity for a hearing is required by § 42.108(c), reasonable notice shall be given by registered or certified mail, return receipt requested, to the affected applicant or recipient. That notice shall advise the applicant or recipient of the action proposed to be taken, the specific provision under which the proposed action against it is to be taken, and the matters of fact or law asserted as the basis for that action. The notice shall (1) fix a date, not less than 30 days after the date of such notice, within which the applicant or recipient may request that the responsible Department official schedule the matter for hearing, or (2) advise the applicant or recipient that a hearing concerning the matter in question has been scheduled and advise the applicant or recipient of the place and time of that hearing. The time and place so fixed shall be reasonable and shall be subject to change for cause. The complainant, if any, shall be advised of the time and place of the hearing. An applicant or recipient may waive a hearing and submit written information and argument for the record. The failure of an applicant or recipient to request a hearing under this paragraph or to appear at a hearing for which a date has been set shall be deemed to be a waiver of the right to a hearing afforded by section 602 of the Act and § 42.108(c) and consent to the making of a decision on the basis of such information as is available.

(b) *Time and place of hearing.* Hearings shall be held at the offices of the Department in Washington, D.C., at a time fixed by the responsible Department official, unless he determines that the convenience of the applicant or recipient or of the Department requires that another place be selected. Hearings shall be held before the responsible Department official or, at his discretion, before a hearing examiner designated in accordance with 5 U.S.C. 3105 and 3341 (section 11 of the Administrative Procedure Act).

(c) *Right to counsel.* In all proceedings under this section, the applicant or recipient and the Department shall have the right to be represented by counsel.

(d) *Procedures, evidence, and record.* (1) The hearing, decision, and any administrative review thereof shall be conducted in conformity with 5 U.S.C. 554-557 (sections 5-8 of the Administrative Procedure Act), and in accordance with such rules of procedure as are proper (and not inconsistent with this section) relating to the conduct of the hearing, giving of notices subsequent to those provided for in paragraph (a) of this section, taking of testimony, exhibits, arguments and briefs, requests for findings, and other related matters. Both the Department and the applicant or recipient shall be entitled to introduce all relevant evidence on the issues as stated in the notice for hearing or as determined by the officer conducting the hearing.

(2) Technical rules of evidence shall not apply to hearings conducted pursuant to this subpart, but rules or principles designed to assure production of the most credible evidence available and to subject testimony to test by cross-examination shall be applied whenever reasonably necessary by the officer conducting the hearing. The hearing officer may exclude irrelevant, immaterial, or unduly repetitious evidence. All documents and other evidence offered or taken for the record shall be open to examination by the parties and opportunity shall be given to refute facts and arguments advanced on either side of the issues. A transcript shall be made of the oral evidence except to the extent the substance thereof is stipulated for the record. All decisions shall be based upon the hearing record and written findings shall be made.

(e) *Consolidated or joint hearings.* In cases in which the same or related facts are asserted to constitute noncompliance with this subpart with respect to two or more programs to which this subpart applies, or noncompliance with this subpart and the regulations of one or more other Federal departments or agencies issued under Title VI of the Act, the Attorney General may, by agreement with such other departments or agencies, whenever appropriate, provide for the conduct of consolidated or joint hearings, and for the application to such hearings of rules of procedure not inconsistent with this subpart. Final decisions in such cases, insofar as this subpart is concerned, shall be made in accordance with § 42.110.

November 22, 1974

§ 42.110 Decisions and notices.

(a) *Decisions by person other than the responsible Department official.* If the hearing is held by a hearing examiner, such hearing examiner shall either make an initial decision, if so authorized, or certify the entire record, including his recommended findings and proposed decision, to the responsible Department official for a final decision, and a copy of such initial decision or certification shall be mailed to the applicant or recipient. Whenever the initial decision is made by the hearing examiner, the applicant or recipient may, within 30 days of the mailing of such notice of initial decision, file with the responsible Department official his exceptions to the initial decision, with his reasons therefor. In the absence of exceptions, the responsible Department official may on his own motion, within 45 days after the initial decision, serve on the applicant or recipient a notice that he will review the decision. Upon filing of such exceptions, or of such notice of review, the responsible Department official shall review the initial decision and issue his own decision thereon including the reasons therefor. In the absence of either exceptions or a notice of review the initial decision shall constitute the final decision of the responsible Department official.

(b) *Decisions on the record or on review by the responsible Department official.* Whenever a record is certified to the responsible Department official for decision or he reviews the decision of a hearing examiner pursuant to paragraph (a) of this section, or whenever the responsible Department official conducts the hearing, the applicant or recipient shall be given a reasonable opportunity to file with him briefs or other written statements of its contentions, and a copy of the final decision of the responsible Department official shall be given in writing to the applicant or recipient and to the complainant, if any.

(c) *Decisions on the record whenever a hearing is waived.* Whenever a hearing is waived pursuant to § 42.109(a), a decision shall be made by the responsible Department official on the record and a copy of such decision shall be given in writing to the applicant or recipient, and to the complainant, if any.

(d) *Rulings required.* Each decision of a hearing officer or responsible Department official shall set forth his ruling on each findings, conclusion, or exception presented, and shall identify the requirement or requirements imposed by or pursuant to this subpart with which it is found that the applicant or recipient has failed to comply.

(e) *Approval by Attorney General.* Any final decision of a responsible Department official (other than the Attorney General) which provides for the suspension or termination of, or the refusal to grant or continue Federal financial assistance, or the imposition of any other sanction available under this subpart or the Act, shall promptly be transmitted to the Attorney General, who may approve such decision, vacate it, or remit or mitigate any sanction imposed.

(f) *Content of orders.* The final decision may provide for suspension or termination of, or refusal to grant or continue Federal financial assistance, in whole or in part, under the program involved, and may contain such terms, conditions, and other provisions as are consistent with, and will effectuate the purposes of, the Act and this subpart, including provisions designed to assure that no Federal financial assistance will thereafter be extended under such program to the applicant or recipient determined by such decision to be in default in its performance of an assurance given by it pursuant to this subpart, or to have otherwise failed to comply with this subpart, unless and until, it corrects its noncompliance and satisfies the responsible Department official that it will fully comply with this subpart.

(g) *Post-termination proceedings.* (1) An applicant or recipient adversely affected by an order issued under paragraph (f) of this section shall be restored to full eligibility to receive Federal financial assistance if it satisfies the terms and conditions of that order for such eligibility or if it brings itself into compliance with this subpart and provides reasonable assurance that it will fully comply with this subpart.

(2) Any applicant or recipient adversely affected by an order entered pursuant to paragraph (f) of this section may at any time request the responsible Department official to restore fully its eligibility to receive Federal financial assistance. Any such request shall be supported by information showing that the applicant or recipient has met the requirements of paragraph (g) (1) of this section. If the responsible Department official denies any such request, the applicant or recipient may submit a request for a hearing in writing, specifying why it believes such official to have been in error. It shall thereupon be given an expeditious hearing, with a decision on the record, in accordance with rules of procedure issued by the responsible Department official. The applicant or recipient will be restored to such eligibility if it proves at such a hearing that it satisfied the requirements of paragraph (g) (1) of this section. While proceedings under this paragraph are pending, sanctions imposed by the order issued under paragraph (f) of this section shall remain in effect.

November 22, 1974

ment will be restored to such eligibility if it proves at such a hearing that it satisfied the requirements of paragraph (g) (1) of this section. While proceedings under this paragraph are pending, sanctions imposed by the order issued under paragraph (f) of this section shall remain in effect.

§ 42.111 Judicial review.

Action taken pursuant to section 602 of the Act is subject to judicial review as provided in section 603 of the Act.

§ 42.112 Effect on other regulations, forms and instructions.

(a) *Effect on other regulations.* Nothing in this subpart shall be deemed to supersede any provision of Subpart A or B of this part or Executive Order 11114 or 11246, as amended, or of any other regulation or instruction which prohibits discrimination on the ground of race, color, or national origin in any program or situation to which this subpart is inapplicable, or which prohibits discrimination on any other ground.

(b) *Forms and instructions.* Each responsible Department official, other than the Attorney General or Deputy Attorney General, shall issue and promptly make available to interested persons forms and detailed instructions and procedures for effectuating this subpart as applied to programs to which this subpart applies and for which he is responsible.

(c) *Supervision and coordination.* The Attorney General may from time to time assign to officials of the Department, or to officials of other departments or agencies of the Government, with the consent of such departments or agencies, responsibilities in connection with the effectuation of the purposes of Title VI of the Act and this subpart (other than responsibility for final decision as provided in § 42.110(e)), including the achievement of the effective coordination and maximum uniformity within the

Department and within the Executive Branch of the Government in the application of Title VI of the Act and this subpart to similar programs and in similar situations. Any action taken, determination made, or requirement imposed by an official of another Department or agency acting pursuant to an assignment of responsibility under this subsection shall have the same effect as though such action had been taken by the Attorney General.

APPENDIX A—ASSISTANCE ADMINISTERED BY THE DEPARTMENT OF JUSTICE TO WHICH THIS SUBPART APPLIES

1. Assistance provided by the Law Enforcement Assistance Administration pursuant to the Law Enforcement Assistance Act of 1965, and title I of the Omnibus Crime Control and Safe Streets Act of 1968, as amended by the Omnibus Crime Control Act of 1970, 42 U.S.C. 3711-3781.

2. Assistance provided by the Federal Bureau of Investigation through its National Academy and law enforcement training activities pursuant to title I of the Omnibus Crime Control and Safe Streets Act of 1968, as amended by the Omnibus Crime Control Act of 1970, 42 U.S.C. 3744.

3. Assistance provided by the Bureau of Narcotics and Dangerous Drugs pursuant to the Comprehensive Drug Abuse Prevention and Control Act of 1970, 21 U.S.C. 872.

APPENDIX 9. LEAA EXTERNAL EQUAL EMPLOYMENT OPPORTUNITY
REGULATIONS, 28 C.F.R. 42.201, ET SEQ., SUBPART D.

REVISED AUGUST 18, 1972

**Title 28—JUDICIAL
ADMINISTRATION**

Chapter I—Department of Justice

**PART 42—NONDISCRIMINATION:
EQUAL OPPORTUNITY: POLICIES
AND PROCEDURES**

**Subpart D—Equal Employment Op-
portunity in Federally Assisted Pro-
grams and Activities**

- Sec.
42.201 Purpose and application.
42.202 Definitions.
42.203 Discrimination prohibited.
42.204 Assurances required.
42.205 Compliance information.
42.206 Conduct of investigation, procedures
for effecting compliance hearings,
decisions, and judicial review;
forms, instruction, and effect on
other regulations.

AUTHORITY: The provisions of this Sub-
part D issued under 5 U.S.C. 301; and sec.
501 of the Omnibus Crime Control and Safe
Streets Act of 1968, Public Law 90-351, 82
Stat. 197, as amended.

§ 42.201 Purpose and application.

(a) The purpose of this subpart is to
enforce the provisions of the 14th
amendment to the Constitution by
eliminating discrimination on the
grounds of race, color, creed, sex, or na-
tional origin in the employment prac-
tices of State agencies or offices receiv-
ing financial assistance extended by this
Department.

(b) The regulations in this subpart
apply to the employment practices of
planning agencies, law enforcement
agencies, and other agencies or offices of
States or units of general local govern-
ment administering, conducting, or par-
ticipating in any program or activity
receiving Federal financial assistance ex-
tended under title I of the Omnibus
Crime Control and Safe Streets Act of
1968 (the Act). This subpart shall not
apply to federally assisted construction
contracts covered by Part III of Execu-
tive Order 11246, September 24, 1965; en-
forcement of nondiscriminatory employ-
ment practices under such contracts
shall be effected pursuant to the Execu-
tive order.

§ 42.202 Definitions.

(a) The definitions set forth in
§ 42.102 of Subpart C, Part 42, Title 28,
Code of Federal Regulations are, to the
extent not inconsistent with this sub-
part, hereby made applicable to and in-
corporated in this subpart.

(b) As used in this subpart, the term
"employment practices" means all terms
and conditions of employment including
but not limited to all practices relating
to the screening, recruitment, selection,
appointment, promotion, demotion, and
assignment of personnel, and includes
advertising, hiring, assignments, clas-
sification, discipline, layoff and termina-
tion, upgrading, transfer, leave practices,
rates of pay, fringe benefits, or other
forms of pay or credit for services ren-
dered and use of facilities.

(c) As used in this subpart, the term
"law enforcement," "State," and "unit
of general local government" shall have
the meanings set forth in section 601 of
the Act.

§ 42.203 Discrimination prohibited.

No agency or office to which this sub-
part applies under § 42.201 shall dis-
criminate in its employment practices
against employees or applicants for em-
ployment because of race, color, creed,
sex, or national origin. Nothing con-
tained in this subpart shall be con-
strued as requiring any such agency or
office to adopt a percentage ratio, quota
system, or other program to achieve
racial balance or to eliminate racial im-
balance. Notwithstanding any other
provision of this subpart, it shall not be
a discriminatory employment practice to
hire or assign an individual on the basis
of creed, sex, or national origin where
the office or agency claiming an excep-
tion for an individual based on creed, sex,
or national origin is able to demonstrate
that the creed, sex, or national origin
of the individual is essential to the per-
formance of the job.

§ 42.204 Assurances required.

(a) (1) Every application for Federal
financial assistance to carry out a pro-
gram to which this regulation applies
shall, as a condition of approval of such
application and the extension of any
Federal financial assistance pursuant to
such application, contain or be accom-

November 22, 1974

panied by an assurance that the applicant will comply with the requirements of this subpart, and will obtain such assurances from its subgrantees, contractors, or subcontractors to which this subpart applies, as a condition of the extension of Federal financial assistance to them.

(2) The responsible Department officials shall specify the form of the foregoing assurances. Such assurances shall be effective for the period during which Federal financial assistance is extended to the applicant or for the period during which a comprehensive law enforcement plan filed pursuant to the Act is in effect in the State, whichever period is longer, unless the form of the assurance as approved in writing by the responsible Department official specifies a different effective period.

(b) Assurances by States and units of general local government relating to employment practices of State and local law enforcement agencies and other agencies to which this subpart applies shall apply to the policies and practices of any other department, agency, or office of the same governmental unit to the extent that such policies or practices will substantially affect the employment practices of the recipient State or local planning unit, law enforcement agency, or other agency or office.

§ 42.205 Compliance information.

The provisions of § 42.106 are hereby made applicable to and incorporated in this subpart.

§ 42.206 Conduct of investigations, procedures for effecting compliance, hearings, decisions, and judicial review; forms, instruction, and effect on other regulations.

(a) Each responsible Department official shall take appropriate measures to effectuate and enforce the provisions of this subpart; and shall issue and promptly make available to interested persons forms, instructions, and procedures for effectuating this subpart as applied to programs for which he is responsible. Insofar as feasible and not inconsistent with this subpart, the conduct of investigations and the procedures for effecting compliance, holding hearings, rendering decisions and initiating judicial review of such decisions shall be consistent with those prescribed by §§ 42.107 through 42.111 of subpart C of this part; provided, that where the re-

sponsible Department official determines that judicial proceedings (as contemplated by § 42.108(d)) are as likely or more likely to result in compliance than administrative proceedings (as contemplated by § 42.108(c)), he shall invoke the judicial remedy rather than the administrative remedy; and provided further, that no recipient of Federal financial assistance or applicant for such assistance shall be denied access to the hearing or appeal procedures set forth in sections 510 and 511 of the Act for denial or discontinuance of a grant or withholding of payments thereunder resulting from the application of this subpart.

(b) If it is determined, after opportunity for a hearing on the record, that a recipient has engaged or is engaging in employment practices which unlawfully discriminate on the ground of race, color, creed, sex, or national origin, the recipient will be required to cease such discriminatory practices and to take such action as may be appropriate to eliminate present discrimination, to correct the effects of past discrimination, and to prevent such discrimination in the future.

(c) Nothing in this subpart shall be deemed to supersede any provisions of Subparts A, B, and C of Part 42, Title 28, Code of Federal Regulations, or of any other regulation and instruction which prohibits discrimination on the ground of race, color, creed, sex, or national origin in any program or situation to which this subpart is inapplicable, or which prohibits discrimination on any other ground.

Effective date. This regulation shall become effective upon publication in the FEDERAL REGISTER (8-18-72).

Dated: August 9, 1972.

JERRIS LEONARD,
Administrator, Law Enforcement
Assistance Administration.

Concur:

RICHARD W. VELDE,
Associate Administrator.

CLARENCE M. COSTER,
Associate Administrator.

[FR Doc.72-14083 Filed 8-17-72;8:50 am]

November 22, 1974

APPENDIX 10. LEAA EQUAL EMPLOYMENT OPPORTUNITY PROGRAM
GUIDELINES (AFFIRMATIVE ACTION REGULATIONS).
28 C.F.R. 42.301, ET SEQ; SUBPART E.

REVISED AUGUST 31, 1973

Title 28—Judicial Administration
CHAPTER I—DEPARTMENT OF JUSTICE
PART 42—NONDISCRIMINATION: EQUAL
OPPORTUNITY: POLICIES AND PROCE-
DURES

Subpart E—Equal Employment
Opportunity Guidelines

On March 9, 1973, the Law Enforcement Assistance Administration of the Department of Justice (LEAA), promulgated equal employment opportunity guidelines (28 CFR 42.301, et seq., Subpart E). The second paragraph of those guidelines reads as follows:

In accordance with the spirit of the public policy set forth in 5 U.S.C. 553, interested persons may submit written comments, suggestions, data or arguments to the Administrator, Law Enforcement Assistance Administration, U.S. Department of Justice, Washington, D.C. 20530, Attention: Office of Civil Rights Compliance, within 45 days of the publication of the guidelines contained in this part. Material thus submitted will be evaluated and acted upon in the same manner as if this document were a proposal. Until such time as further changes are made, however, Part 42, Subpart E as set forth herein shall remain in effect, thus permitting the public business to proceed more expeditiously.

In accordance with the preceding paragraph, written comments, suggestions, data or arguments, have been received by the Administrator of the Law Enforcement Assistance Administration. Material submitted has been evaluated and changes deemed by LEAA to be appropriate have been incorporated into revised equal employment opportunity guidelines, the text of which follows.

By virtue of the authority vested in it by 5 U.S.C. 301, and section 501 of the Omnibus Crime Control and Safe Streets Act of 1968, Pub. L. 90-351, 82 Stat. 197, as amended, the Law Enforcement Assistance Administration hereby issues Title 28, Chapter I, Subpart E of Part 42 of the Code of Federal Regulations. In that the material contained

herein is a matter relating to the grant program of the Law Enforcement Assistance Administration, the relevant provisions of the Administrative Procedure Act (5 U.S.C. 553) requiring notice of proposed rulemaking, opportunity for public participation, and delay in effective date are inapplicable.

Subpart E—Equal Employment Opportunity
Guidelines

- Sec.
- 42.301 Purpose.
- 42.302 Application.
- 42.303 Evaluation of employment opportunities.
- 42.304 Written Equal Employment Opportunity Program.
- 42.305 Recordkeeping and certification.
- 42.306 Guidelines.
- 42.307 Obligations of recipients.
- 42.308 Noncompliance.

Authority: 5 U.S.C. sec. 501 of the Omnibus Crime Control and Safe Streets Act of 1968, Pub. L. 90-351, 82 Stat. 197, as amended.

§ 42.301 Purpose.

(a) The experience of the Law Enforcement Assistance Administration in implementing its responsibilities under the Omnibus Crime Control and Safe Streets Act of 1968, as amended, (Pub. L. 90-351, 82 Stat. 197; Pub. L. 91-644, 84 Stat. 1881) has demonstrated that the full and equal participation of women and minority individuals in employment opportunities in the criminal justice system is a necessary component to the Safe Streets Act's program to reduce crime and delinquency in the United States.

(b) Pursuant to the authority of the Safe Streets Act and the equal employment opportunity regulations of the LEAA relating to LEAA assisted programs and activities (28 CFR 42.201, et seq., Subpart E), the following Equal Employment Opportunity Guidelines are established.

November 22, 1974

§ 42.302 Application.

(a) As used in these guidelines "Recipient" means any state, political subdivision of any state, combination of such states or subdivisions, or any department, agency or instrumentality of any of the foregoing receiving Federal financial assistance from LEAA, directly or through another recipient, or with respect to whom an assurance of civil rights compliance given as a condition of the earlier receipt of assistance is still in effect.

(b) The obligation of a recipient to formulate, implement, and maintain an equal employment opportunity program, in accordance with this Subpart, extends to state and local police agencies, correctional agencies, criminal court systems, probation and parole agencies, and similar agencies responsible for the reduction and control of crime and delinquency.

(c) Assignments of compliance responsibility for Title VI of the Civil Rights Act of 1964 have been made by the Department of Justice to the Department of Health, Education, and Welfare, covering educational institutions and general hospital or medical facilities. Similarly, the Department of Labor, in pursuance of its authority under Executive Orders 11246 and 11375, has assigned responsibility for monitoring equal employment opportunity under government contracts with medical and educational institutions, and non-profit organizations, to the Department of Health, Education, and Welfare. Accordingly, monitoring responsibility in compliance matters in agencies of the kind mentioned in this paragraph rests with the Department of Health, Education, and Welfare, and agencies of this kind are exempt from the provisions of this subpart, and are not responsible for the development of equal employment opportunity programs in accordance herewith.

(d) Each recipient of LEAA assistance within the criminal justice system which has 50 or more employees and which has received grants or subgrants of \$25,000 or more pursuant to and since the enactment of the Safe Streets Act of 1968, as amended, and which has a service population with a minority representation of 3 percent or more, is required to formulate, implement and maintain an Equal Employment Opportunity Program relating to employment practices affecting minority persons and women within 120 days after either the promulgation of these amended guidelines, or the initial application for assistance is approved, whichever is sooner. Where a recipient has 50 or more employees, and

has received grants or subgrants of \$25,000 or more, and has a service population with a minority representation of less than 3 percent, such recipient is required to formulate, implement, and maintain an equal employment opportunity program relating to employment practices affecting women. For a definition of "employment practices" within the meaning of this paragraph, see § 42.202(b).

(e) "Minority persons" shall include persons who are Negro, Oriental, American-Indian, or Spanish-surnamed Americans. "Spanish-surnamed Americans" means those of Latin American, Cuban, Mexican, Puerto Rican or Spanish origin. In Alaska, Eskimos and Aleuts should be included as "American Indians."

(f) For the purpose of these guidelines, the relevant "service population" shall be determined as follows:

(1) For adult and juvenile correctional institutions, facilities and programs (including probation and parole programs), the "service population" shall be the inmate or client population served by the institution, facility, or program during the preceding fiscal year.

(2) For all other recipient agencies (e.g., police and courts), the "service population" shall be the State population for state agencies, the county population for county agencies, and the municipal population for municipal agencies.

(g) "Fiscal year" means the twelve calendar months beginning July 1, and ending June 30, of the following calendar year. A fiscal year is designated by the calendar year in which it ends.

§ 42.303 Evaluation of employment opportunities.

(a) A necessary prerequisite to the development and implementation of a satisfactory Equal Employment Opportunity Program is the identification and analysis of any problem areas inherent in the utilization or participation of minorities and women in all of the recipient's employment phases (e.g., recruitment, selection, and promotion) and the evaluation of employment opportunities for minorities and women.

(b) In many cases an effective Equal Employment Opportunity Program may only be accomplished where the program is coordinated by the recipient agency with the cognizant Civil Service Commission or similar agency responsible by law, in whole or in part, for the recruitment

and selection of entrance candidates; and selection of candidates for promotion.

(c) In making the evaluation of employment opportunities, the recipient shall conduct such analysis separately for minorities and women. However, all racial and ethnic data collected to perform an evaluation pursuant to the requirements of this section should be cross classified by sex to ascertain the extent to which minority women or minority men may be underutilized. The evaluation should include but not necessarily be limited to, the following factors:

(1) An analysis of present representation of women and minority persons in all job categories;

(2) An analysis of all recruitment and employment selection procedures for the preceding fiscal year, including such things as position descriptions, application forms, recruitment methods and sources, interview procedures, test administration and test validity, educational prerequisites, referral procedures and final selection methods, to insure that equal employment opportunity is being afforded in all job categories;

(3) An analysis of seniority practices and provisions, upgrading and promotion procedures, transfer procedures (lateral or vertical), and formal and informal training programs during the preceding fiscal year, in order to insure that equal employment opportunity is being afforded;

(4) A reasonable assessment to determine whether minority employment is inhibited by external factors such as the lack of access to suitable housing in the geographical area served by a certain facility or the lack of suitable transportation (public or private) to the workplace.

§ 42.304 Written Equal Employment Opportunity Program.

Each recipient's Equal Employment Opportunity Program shall be in writing and shall include:

(a) A job classification table or chart which clearly indicates for each job classification or assignment the number of employees within each respective job category classified by race, sex and national origin (include for example Spanish-surnamed, Oriental, and American Indian). Also, principal duties and rates of pay should be clearly indicated for each job classification. Where auxiliary duties are assigned or more than one rate of pay applies because of length of time in the job or other factors, a special notation should be made. Where the recipient operates more than one shift

or assigns employees within each shift to varying locations, as in law enforcement agencies, the number by race, sex and national origin on each shift and in each location should be identified. When relevant, the recipient should indicate the racial/ethnic mix of the geographic area of assignments by the inclusion of minority population and percentage statistics.

(b) The number of disciplinary actions taken against employees by race, sex, and national origin within the preceding fiscal year, the number and types of sanctions imposed (suspension indefinitely, suspension for a term, loss of pay, written reprimand, oral reprimand, other) against individuals by race, sex, and national origin.

(c) The number of individuals by race, sex and national origin (if available) applying for employment within the preceding fiscal year and the number by race, sex and national origin (if available) of those applicants who were offered employment and those who were actually hired. If such data is unavailable, the recipient should institute a system for the collection of such data.

(d) The number of employees in each job category by race, sex, and national origin who made application for promotion or transfer within the preceding fiscal year and the number in each job category by race, sex, and national origin who were promoted or transferred.

(e) The number of employees by race, sex, and national origin who were terminated within the preceding fiscal year, identifying by race, sex, and national origin which were voluntary and involuntary terminations.

(f) Available community and area labor characteristics within the relevant geographical area including total population, workforce and existing unemployment by race, sex, and national origin. Such data may be obtained from the Bureau of Labor Statistics, Washington, D.C., state and local employment services, or other reliable sources. Recipients should identify the sources of the data used.

(g) A detailed narrative statement setting forth the recipient's existing employment policies and practices as defined in § 42.202(b). Thus, for example, where testing is used in the employment selection process, it is not sufficient for the recipient to simply note the fact. The recipient should identify the test, describe the procedures followed in administering and scoring the test, state what weight is given to test scores, how a cutoff score is established and whether the

November 22, 1974

test has been validated to predict or measure job performance and, if so, a detailed description of the validation study. Similarly detailed responses are required with respect to other employment policies, procedures, and practices used by the applicant.

(1) The statement should include the recipient's detailed analysis of existing employment policies, procedures, and practices as they relate to employment of minorities and women, (see § 42.303) and, where improvements are necessary, the statement should set forth in detail the specific steps the recipient will take for the achievement of full and equal employment opportunity. For example, The Equal Employment Opportunity Commission, in carrying out its responsibilities in ensuring compliance with Title VII has published Guidelines on Employee Selection Procedures (29 CFR Part 1607) which, among other things, proscribes the use of employee selection practices, procedures and devices (such as tests, minimum educational levels, oral interviews and the like) which have not been shown by the user thereof to be related to job performance and where the use of such an unvalidated selection device tends to disqualify a disproportionate number of minority individuals or women for employment. The EEOC Guidelines set out appropriate procedures to assist in establishing and maintaining equal employment opportunities. Recipients of LEAA assistance using selection procedures which are not in conformity with the EEOC Guidelines shall set forth the specific areas of nonconformity, the reasons which may explain any such nonconformity, and, if necessary, the steps the recipient agency will take to correct any existing deficiency.

(2) The recipient should also set forth a program for recruitment of minority persons based on an informed judgment of what is necessary to attract minority applications including, but not necessarily limited to, dissemination of posters, use of advertising media patronized by minorities, minority group contacts and community relations programs. As appropriate, recipients may wish to refer to recruitment techniques suggested in Revised Order No. 4 of the Office of Federal Contract Compliance, U.S. Department of Labor, found at 41 CFR 60-2.24(e).

(h) Plan for dissemination of the applicant's Equal Employment Opportunity Program to all personnel, applicants and the general public. As appropriate, recipients may wish to refer to the recommendations for dissemination of policy suggested in Revised Order No. 4 of the Office of Federal Contract Compliance, U.S. Department of Labor, found at 41 CFR 60-2.21.

(i) Designation of specified personnel to implement and maintain adherence to the Equal Employment Opportunity Program and a description of their specific responsibilities suggested in Revised Order No. 4 of the Office of Federal Contract Compliance, U.S. Department of Labor, found at 41 CFR 60-2.22.

§ 42.305 Record keeping and certification.

The Equal Employment Opportunity Program and all records used in its preparation shall be kept on file and retained by each recipient covered by these guidelines for subsequent audit or review by responsible personnel of the cognizant state planning agency or the LEAA. Prior to the authorization to fund new or continuing programs under the Omnibus Crime Control and Safe Streets Act of 1968, the recipient shall file a certificate with the cognizant state planning agency or LEAA regional office stating that the equal employment opportunity program is on file with the recipient. The form of the certification shall be as follows:

I, _____ (person filing the application) certify that the _____ (criminal justice agency) has formulated an equal employment opportunity program in accordance with 28 CFR 42.301, et seq., Subpart E, and that it is on file in the Office of _____ (name), _____ (address), _____ (title), for review or audit by officials of the cognizant state planning agency or the Law Enforcement Assistance Administration, as required by relevant laws and regulations.

The criminal justice agency created by the Governor to implement the Safe Streets Act within each state shall certify that it requires, as a condition of the receipt of block grant funds, that recipients from it have executed an Equal Employment Opportunity Program in accordance with this subpart, or that, in conformity with the terms and conditions of this regulation no equal employment opportunity programs are required to be filed by that jurisdiction.

§ 42.306 Guidelines.

(a) Recipient agencies are expected to conduct a continuing program of self-evaluation to ascertain whether any of their recruitment, employee selection or promotional policies (or lack thereof) directly or indirectly have the effect of denying equal employment opportunities to minority individuals and women.

(b) Post award compliance reviews of recipient agencies will be scheduled by LEAA, giving priority to any recipient agencies which have a significant disparity between the percentage of minority persons in the service population and the percentage of minority employees in the agency. Equal employment program modification may be suggested by LEAA whenever iden-

November 22, 1974

tifiable referral or selection procedures and policies suggest to LEAA the appropriates of improved selection procedures and policies. Accordingly, any recipient agencies failing within this category are encouraged to develop recruitment, hiring or promotional guidelines under their equal employment opportunity program which will correct, in a timely manner, any identifiable employment impediments which may have contributed to the existing disparities.

(c) A significant disparity between minority representation in the service population and the minority representation in the agency workforce may be deemed to exist if the percentage of a minority group in the employment of the agency is not at least seventy (70) percent of the percentage of that minority in the service population.

§ 42.307 Obligations of recipients.

The obligation of those recipients subject to these Guidelines for the maintenance of an Equal Employment Opportunity Program shall continue for the period during which the LEAA assistance is extended to a recipient or for the period during which a comprehensive law enforcement plan filed pursuant to the Safe Streets Act is in effect within the State, whichever is longer, unless the

assurances of compliance, filed by a recipient in accordance with § 42.204(a) (2), specify a different period.

§ 42.308 Noncompliance.

Failure to implement and maintain an Equal Employment Opportunity Program as required by these Guidelines shall subject recipients of LEAA assistance to the sanctions prescribed by the Safe Streets Act and the equal employment opportunity regulations of the Department of Justice. (See 42 U.S.C. 3757 and § 42.206).

Effective date.—This Guideline shall become effective on August 31, 1973.

Dated August 24, 1973.

DONALD E. SANTARELLI,
Administrator, Law Enforcement
Assistance Administration.

[PR Doc.73-18555 Filed 8-30-73;8:45 am]

November 22, 1974

M4500.1C
Appendix 11

APPENDIX 11. NEGATIVE DECLARATION

In accordance with the procedures for the preparation of environmental impact statements, 28 C.F.R. 19, an environmental review has been completed on the proposed agency action below:

[Project Description - A paragraph will be sufficient to describe the project]

The environmental evaluation forwarded by the applicant does not indicate a significant environmental impact. Accordingly, based upon this review, I hereby find that implementation of the proposal in this grant request will not significantly affect the environment. The proposal does not, therefore, require a detailed environmental impact statement.

The environmental evaluation and supporting material is on file at the above office and is available for examination upon request.

Sincerely,

TITLE (Appropriate LEAA Office Head)

November 22, 1974

M 4500.1C

PART II. THE PROGRAM PLAN FOR USE OF DISCRETIONARY FUNDS:
NATIONAL PRIORITY PROGRAMS AND OTHER CRIME REDUCTION
AND CRIMINAL JUSTICE SYSTEM CAPABILITY IMPROVEMENT
PROGRAMS

CHAPTER 5. NATIONAL PRIORITY PROGRAMS (U)

47. PURPOSE. The objectives of the national priority programs are to design, develop structure, implement, and evaluate programs in areas which are determined to be the highest priority needs of the criminal justice system. In order to qualify for funding under this part, proposed projects must address stated National Priorities of the Law Enforcement Assistance Administration. Proposed projects should be directed at Systemwide improvement of the criminal justice system in line with LEAA objectives. These programs are designed, then, to add a new dimension of thought to traditional theories of crime prevention and law enforcement.
48. PROGRAM SCOPE.
- a. Programs should be in the following general areas:
 - (1) Implementation of criminal justice standards and goals process (Chapter 6).
 - (2) Citizens initiative program (Chapter 7).
 - (3) Programs for improved efficiency in criminal adjudication (Chapter 8).
 - (4) Programs to prevent and reduce crimes committed by juveniles (Chapter 9).
 - b. In Chapters 6 - 9 which follow, the purpose, scope and specifications of program areas are more specifically outlined. To facilitate project design, each grant application should set forth in detail the manner in which LEAA expectations of the national priority effort could be met. It is the intent of LEAA, under this broad program, to deal only with those projects exhibiting the requisite degree of national impact and potential for system-wide application.
49. PROPOSAL SUBMISSION. Submission of pre-applications should comply with the processes stated in OMB Circular A-102. Such grant applicants are encouraged to coordinate program/project plans with appropriate State Planning Agencies and cognizant LEAA Regional Offices prior to submission to LEAA Central Office. Full applications will be submitted in accordance with directions given in Chapters 1-4.

CHAPTER 7. PROGRAMS WHICH RESULT IN THE PREVENTION AND REDUCTION OF CRIME AS A RESULT OF CITIZENS' INITIATIVES AND CITIZEN ACTION. (U2)

54. PURPOSE. The Citizens' Initiative program was established to develop programs having a significant impact on the reduction of crime through the active involvement of the citizen in the criminal justice process. The major objective of this effort is to implement citizen programs and projects that will heighten the awareness of both the citizen and the criminal justice system to their mutual needs and concerns. The procedures of Citizens' Initiative will be to assist in and coordinate citizen action so that it will join the traditional components of the criminal justice system and evolve a new cooperative spirit. These goals conform to LEAA's mission to "develop, test and evaluate effective programs, projects and techniques to reduce crime and delinquency."
55. RANGE OF GRANTS. It is anticipated that grants will range from \$100,000 to \$750,000 in annual support.
56. PROGRAM SCOPE AND SPECIFICATIONS. Applications will be entertained for studies and innovative demonstration projects with implication for citizen action in the following activities:
- a. Implement public education programs on crime and the criminal justice system through national and local TV and radio programs and advertisements, speeches and conferences.
 - b. Develop and conduct projects which entail direct citizen participation in target hardening programs aimed at reducing the circumstances which promote crime.
 - c. Encourage volunteer programs for citizens to participate in the criminal justice system activities which have the potential to prevent and/or reduce crime and delinquency.
 - d. Develop and encourage the implementation of model projects for jurors, witnesses, rape victims, and other victims in order to serve the needs of citizens as they participate in the criminal justice system.

- e. Fund mechanisms in manageable sized cities to bring together social service and civic agencies with criminal justice agencies to coordinate their activities on a continuing basis in order to explore how social service and civic agencies can assist the criminal justice agencies in preventing and/or reducing crime.
- f. Encourage citizen involvement in criminal justice planning and decision making by reducing obstacles to citizen participation and by encouraging standards and goals development process in all states with high emphasis on citizen involvement.
- g. Develop education and training programs for criminal justice personnel to increase their awareness of citizen concerns and needs, thus being more responsive to citizens in their day to day operational activities.

57. SPECIAL REQUIREMENTS. Projects will be evaluated in terms of the following characteristics:

- a. Statement of goals in clear, measurable terms.
- b. Inclusion of a comprehensive evaluation component.
- c. Replicability of the program.
- d. Relationship to Standards and Goals.
- e. Impact upon crime reduction.
- f. Relationship to the objectives of the National Priority Program, as enunciated in Chapter 5

CHAPTER 8. PROGRAMS TO IMPROVE THE EFFICIENCY OF CRIMINAL ADJUDICATION(U3)

58. PURPOSE. The purpose of this program is to reduce crime by improving and expediting the central part of the criminal justice system--the courts. Relief for several well-recognized substantive deficiencies in the country's court systems is needed. Goals include the development of jurisdiction-wide experimentation projects to test new approaches to court reform; a continuation of efforts at training programs for judicial personnel; and a new effort to meet the needs of witnesses to and victims of crime. Innovative initiative projects are expected to produce results replicable in other jurisdictions.
59. RANGE OF GRANTS. It is anticipated that the bulk of the grants will range from \$200,000 to \$1.5 million in annual support. Applications for multi-year funding will generally be funded by annual increments.
60. PROJECT SCOPE AND SPECIFICATIONS.
- a. Applications will be entertained for studies and innovative demonstration projects with primary consideration given to the following areas:
- (1) Programs to assist the courts in rendering improved service to citizens and to increase citizen involvement in the criminal justice system.
 - (2) Programs which catalyze system-wide coordination, state-wide or metropolitan-wide court reform, and implementation of standards and goals.
 - (3) Programs providing technical assistance, research capabilities, and budget management techniques for the improved operation and management of court systems, prosecutor offices, and defender offices.
 - (4) Programs to provide continuing professional education in the law, trial skills, and administration to judges, prosecutors, and public and private defenders.
 - (5) Programs which promote law reform.
- b. Target areas also include projects for:
- (1) Interdisciplinary approaches to pre-trial delay reduction.
 - (2) Appellate delay reduction, including programs to eliminate current backlog and to investigate possible combination of direct collateral attacks.

November 22, 1974

(3) Introduction of technological innovations in court proceedings.

61. SPECIAL REQUIREMENTS. Each application should include the following:

- a. A clear statement of goals, project milestones, and expected benefits of the particular project.
- b. A comprehensive evaluation component, consistent with the mandate for discretionary grant evaluation expressed in Chapter 5 .
- c. The relationship of this program to the objectives of the National Priority Program, as enunciated in Chapter 5 .

November 22, 1974

CHAPTER 9. PROGRAMS WHICH RESULT IN THE PREVENTION AND REDUCTION OF CRIMES COMMITTED BY JUVENILES (U4)

62. PURPOSE. The Juvenile Justice Division was created in an effort to develop programs which would have a significant impact on both the high rates of crime and delinquency and on the overall operation of the juvenile justice system. The major objective of the Division is to reduce the number of crimes committed by juveniles and to improve the quality of juvenile justice. Such a goal is consistent with LEAA's mission to "develop, test and evaluate effective programs, projects and techniques to reduce crime and delinquency."
63. RANGE OF GRANTS. It is anticipated that grants will range from \$75,000 to \$900,000 in annual support.
64. PROJECT SCOPE AND SPECIFICATIONS. Applications will be entertained for innovative demonstration projects and those with broad implications for the juvenile justice system, with particular emphasis on:
 - a. Establishing mechanisms, at all levels, for coordination among criminal justice agencies and the community in order to maximize necessary service delivery to children and youth and increase the efficient utilization of fiscal and human resources, with emphasis on:
 - (1) New models of interagency coordination
 - (2) Coordination of existing services to fill gaps in services in ways which reduce penetration of youth into the criminal justice system
 - (3) Development of applied models of coordination
 - b. Providing assistance to youth serving professions and agencies, as well as the other established or emerging community based resources, in their efforts to develop the positive potential of young people, thereby reducing the likelihood of behavior warranting criminal justice system intervention, with emphasis on:
 - (1) Development of model prevention programs to integrate services for children and youth along the dimensions of health; education; inter/intra personal development; life activities/ career development, recreation, etc.; and environment
 - (2) Development of programs which identify agencies and services needed to prevent juvenile involvement in crime and develop systems to make these services available to all children

without fear of labeling or demeaning treatment

- (3) Development of prevention programs for youth through maximizing utilization of schools and school resources
- c. Assisting criminal justice and community resources in their effort to control and reduce crime committed by juveniles, to improve the quality of justice for juveniles and to deal effectively and humanely with offenders, with emphasis on:
 - (1) Establishment of an effective system to provide alternatives to incarceration for juveniles, especially for those involved in serious crime
 - (2) Design of programs to train staff to work with children in institutional or non-institutional settings
 - (3) Removal of children from lock-ups, jails and detention facilities
- d. Assisting in the development of systems to channel juveniles in-appropriate for the criminal justice system from courts into professions, human service agencies and community resources in a manner which holds these service deliverers accountable, with emphasis on:
 - (1) Removal of status offenders from the juvenile justice system, while safeguarding their rights
 - (2) Expansion of existing services in the community to become more responsive to the needs of children
- e. Increasing citizen concern and involvement, especially minorities, women and youth, in the juvenile justice system leading to more active participation in planning, policy setting, design, implementation and evaluation of services, with emphasis on:
 - (1) Promotion of citizen knowledge of the issues surrounding juvenile delinquency and juvenile justice
 - (2) Involvement of citizens in career development and recreational activities of youth
- f. Identifying the measures necessary to protect the civil rights of children and ensure the privacy and security of records.

65. SPECIAL REQUIREMENTS. Projects will also be evaluated in terms of the

following characteristics:

- a. Statement of goals in clear, measurable terms.
- b. Inclusion of a comprehensive evaluation component.
- c. Replicability of the program.
- d. Relationship to Standards and Goals.
- e. Avoidance of negative labeling.
- f. The relationship of this program to the objectives of the National Priority Program, as enunciated in Chapter 5.

November 22, 1974

M 4500.1c

CHAPTER 11. OTHER MAJOR CRIME REDUCTION AND CRIMINAL JUSTICE SYSTEM PROGRAMS

74. PURPOSE. The primary goals of the set of programs which follows are:
- a. To develop, test, and evaluate effective programs, projects, and techniques to reduce crime and delinquency.
 - b. To build capacity in state and local governments to manage crime reduction and criminal justice system improvement programs.
75. PROGRAM SCOPE. Programs in this section (chap. 12-25) are aimed primarily at providing support for innovative approaches to the solution of police and corrections problems, but also include programs designed to provide demonstrations of the ways to improve:
- a. The capabilities of criminal justice agencies to attack specific crime problems in selected target cities.
 - b. The ability of state and local governments, as well as Federal agencies, to interdict illicit drug traffic by enforcement of drug laws.
 - c. The quality and effectiveness of law enforcement and criminal justice in Indian tribes and in other aboriginal groups.
 - d. The quality and effectiveness of training of criminal justice system personnel.
 - e. The effectiveness of efforts aimed at organized crime, including among other areas of concern such problems as white collar crime, official corruption, and cargo theft.
 - f. The capability of states and local governments to utilize the Bicentennial celebrations as opportunities to bring about lasting improvements in the effectiveness of local coordination of law enforcement and criminal justice services.
 - g. The capabilities of states and local governments to plan, manage, and evaluate effectively programs and projects aimed at crime reduction and criminal justice system improvements.

November 22, 1974

- h. The capabilities of the states and local governments to acquire and utilize data and information for criminal justice agency operations, and for planning, management, and evaluation of crime reduction programs.

76. PROPOSAL SUBMISSIONS. For details of these programs, see chapters 12 through 25. Proposals and applications should be directed to the appropriate State Planning Agency, LEAA Regional Office, and A-95 Clearinghouse on application forms provided by the Regional Office (See Chapters 1 through 4 for the application process). A list of Regional Offices and a map are provided in Appendix 6.

November 22, 1974

CHAPTER 12. SMALL STATE SUPPLEMENTAL ALLOCATION (E)

77. PURPOSE. The objective of this program is to assure availability of a minimum action grant allocation under Part C of the Act of at least \$1.175 million for all States and of a comparably appropriate amount for smaller territories and possessions and to provide a small supplement to States with action grant allocations in excess of \$1.175 million but less than \$2 million. The program recognizes the minimum costs and obligations required for the maintenance of police, court, and correctional systems to any State no matter how small its population.

78. DISCRETIONARY FUND ALLOCATION. Approximately \$3.0 million.

79. NUMBER AND RANGE OF GRANTS.

- a. Six grants, ranging in amounts from \$86,000 to \$436,000 and in no event less than 10 percent of the jurisdiction's "population basis" allocation are contemplated to provide the minimum \$1,175,000 allocation for States and to supplement territorial and possession allowances. These are as follows:

State	1975 Action Grant Allocation	Supplemental Discretionary Grant	New Minimum Allocation
Alaska	739,000	436,000	1,175,000
Vermont	1,046,000	129,000	1,175,000
Wyoming	786,000	389,000	1,175,000
American Samoa	61,000	86,000	147,000
Guam	191,000	174,000	365,000
Virgin Islands	141,000	224,000	365,000
	2,964,000	1,438,000	4,402,000

- b. Nine additional grants, ranging in amounts from \$121,000 to \$291,000 and providing a 10 percent supplement (rounded to the next highest \$1,000) to States with a "population basis" allocation of more than \$1.175 million but less than \$2 million (in no event to exceed \$2 million) are also contemplated. Two States have been arbitrarily increased slightly more than 10 percent to bring them up to an even \$2 million. The nine grants are as follows:

State	1975 Action Grant Allocation	Supplemental Discretionary Grant	New Minimum Allocation
Delaware	1,298,000	130,000	1,428,000
Hawaii	1,855,000	145,000	2,000,000
Idaho	1,716,000	172,000	1,888,000

<u>State</u>	<u>1975 Action Grant Allocation</u>	<u>Supplemental Discretionary Grant</u>	<u>New Minimum Allocation</u>
Montana	1,627,000	163,000	1,790,000
Nevada	1,211,000	121,000	1,332,000
New Hampshire	1,759,000	241,000	2,000,000
North Dakota	1,441,000	144,000	1,585,000
South Dakota	1,546,000	155,000	1,701,000
District of Columbia	1,709,000	291,000	2,000,000
	<u>14,162,000</u>	<u>1,562,000</u>	<u>15,724,000</u>

80. PROJECT SCOPE AND SPECIFICATIONS. All programs and projects properly includible in a comprehensive State plan may utilize funds made available under these grants. It is contemplated that States will pool these grants with their 1975 block grant allocations and program these funds as the total amount available for State implementation and subgrants in Fiscal Year 1975.
81. SPECIAL REQUIREMENTS. States will report fund utilization, project progress and all other activities supported under these grants as part of their standard reporting requirements for Part C action grants. No separate reporting will be required and all obligations, grant conditions, and guideline requirements applicable to block grants under Part C will apply to the supplemental awards. These small State discretionary supplements are NOT subject to the requirements of Section 303(2), P.L. 90-351, as amended.
82. APPLICATIONS. No special application forms or procedures are involved. Eligible States may rely on the new minimum allocations shown above in preparing 1975 comprehensive plans and action grant applications. Specifically, action programs formulated under Chapter 3, section 3 of Guideline Manual M 4100.1C, State Planning Agency Grants, should absorb the full minimum allocation. States will simply request more funds in their application for action grants pursuant to the 1975 State plan, be awarded larger amounts, and account for the total grant as an entity.

CHAPTER 13. POLICE ASSISTANCE PROGRAMS (F10)

83. PURPOSE. The objectives of the police assistance programs are to improve the security of the citizen, and the criminal apprehension efficiency of law enforcement agencies.
84. NUMBER AND RANGE OF GRANTS. Five to ten grants from \$100,000 to \$500,000 are contemplated.
85. PROJECT SCOPE AND SPECIFICATION.
- a. Applications will be entertained for studies and demonstration projects with primary consideration being given to the development, implementation and evaluation of projects which will have national significance, such as, but not limited to:
 - (1) Training programs which will improve police performance in the following areas:
 - (a) Police operational tactics in citizen hostage situations.
 - (b) A program which addresses current crime prevention techniques and is capable of being introduced into city and county police organizations.
 - (c) A program for basic and refresher training in explosive disposal procedures.
 - (d) An administrative program for newly elected or appointed sheriffs.
 - (2) Programs to increase citizen participation in crime prevention, such as, a program to improve crime reporting and property protection by citizens.
 - (3) A study to improve police selection, such as, a project to evaluate the processes used in the selection and retention of police chief executives.
 - b. Grant applications submitted must conform to the general specifications for discretionary grants contained in Chap. 1 through 4 of this manual.
86. SPECIAL REQUIREMENTS. Not applicable.

CHAPTER 14. CORRECTIONS PROGRAMS (G10)

87. PURPOSE. The objectives of the corrections program are to develop, implement and evaluate programs which address issues and have an impact upon corrections nationally. In order to qualify for funding under this chapter, proposed projects must articulate stated national priorities of the Law Enforcement Assistance Administration and must be directed at the improvement of corrections on a nation-wide basis.
88. RANGE OF GRANTS. 50 grants ranging from \$100,00 to \$350,000 are contemplated.
89. PROJECT SCOPE AND SPECIFICATIONS.
- a. Programs Which Result in Improved Criminal Rehabilitation. Applications will be entertained for studies and innovative demonstration projects with primary consideration given to projects in the following areas:
 - (1) Policy studies leading to new programs of offender rehabilitation, or organization models for delivery of services to offenders.
 - (2) Demonstration projects that test new offender rehabilitation techniques or organizational models.
 - (3) Studies of emerging issues and problems in correctional administration, e.g. unionism, collective bargaining, personnel exchange and personnel performance and evaluation.
 - b. Training Proposals Received Through the National Institute of Corrections.
 - (1) Training proposals received through the National Institute of Corrections:
 - (a) Executive and top level managers, trainers, mid-level managers, and supervisors, correctional officers, probation officers, and other client contact personnel.
 - (b) Programs based on policy studies in emerging correctional issues and problems.
 - (c) Conflict management.
 - (d) Evaluation programs that rigorously test the effectiveness of current and ongoing training programs.

November 22, 1974

- (2) Applications will be judged on their innovativeness and relevance to current and emerging needs. They will also be evaluated on the basis of the following characteristics:
- (a) Innovative, replicable training models.
 - (b) Specific products resulting from the training effort (publications, simulations, materials, etc.).
 - (c) Designs which provide for the accomplishment of measurable objectives and which build specific skills.
 - (d) Designs which involve effective resource people from areas including corrections, management, education, law and the behavioral and social sciences.
 - (e) Designs which develop and test new training techniques.

c. Applications submitted under this chapter must conform to the special requirements for Part E funds, as set forth Chapter 1 of this Guideline Manual.

90. SPECIAL REQUIREMENTS. Not applicable.

November 22, 1974

M 4500.1C

CHAPTER 15. INDIAN LAW ENFORCEMENT PROGRAMS (L)

91. GENERAL. This chapter contains details of three discretionary fund programs available to Indian and other aboriginal groups. These programs are:
- a. Program L1 Criminal Justice Training Grants for Reservations.
 - b. Program L2 Reservation Action Programs, Including Law Enforcement Manpower, Equipment, Records System, Improvement of Tribal Courts, Tribal Codes and Constitution, Crime Prevention and Improvement or Construction of Tribal Criminal Justice Centers.
 - c. Program L3 Corrections, Including Improvement in Probation, Parole, Correctional Centers and Corrections Personnel.
92. ELIGIBLE APPLICANTS. Applicants for grants under these programs must be reservations and communities designated as units of local government under the Omnibus Crime Control and Safe Streets Act of 1968, as amended.
- a. A list of eligible reservations and communities is provided in Guideline Manual M 7100.1A, Financial Management for Planning and Action Grants, appendix 7. This list indicates the areas of criminal justice activity for which the tribes have responsibility. Applications by tribes to fund programs outside their areas of responsibility will not be accepted by LEAA.
 - b. Applications may be developed and initiated by police, courts, or corrections components or provide assistance to more than one of these components of the tribal criminal justice system. However, the eligible unit of government must remain the Indian reservation or community itself and responsibility for grant administration must be fixed in a single entity or designee of the tribal government.
93. NUMBER OF GRANTS. Normally, only one grant per year will be made to an Indian reservation or community. However, more than one grant per year may be made where emergency situations or other extenuating circumstances have been sufficiently justified.
94. CONTINUATION GRANTS. Funding of projects will normally be for one year only. Subsequent year funding will be considered, on an individual project basis, until such time as the need for LEAA support no longer exists.

November 22, 1974

95. SPECIAL REQUIREMENTS.

- a. State Planning Agency Coordination. All grants will be made through the appropriate State Planning Agency. Therefore, all applications must be consistent with the State's comprehensive plan and must include the standard State Planning Agency confirmation and certification for discretionary grant submissions. (Refer to paragraph 8b.) Note that where the State has certified that it is unable to enforce grant provisions imposing liability on Indian Tribes for misuse of funds, the following Special Condition should be added on grants which will be subgranted by the State to Indian Tribes:

"LEAA agrees to relieve the State of _____ of all liability for illegal use of funds by any sub-grantee or subcontractor under this grant. LEAA further agrees to directly pursue legal remedies in the event of the misuse of subgrant funds. This condition does not relieve the State of normal monitoring and reporting requirements."

- b. Tribal Certification. The applicant tribe must submit with every application a tribal resolution endorsing the project. In addition, tribes must certify that their application to LEAA does not duplicate in any way a grant or application for a grant from another Federal or State agency or private foundation.

- c. A-95 Notification Procedures. The A-95 clearinghouse notification procedures described in paragraph 5e are not required for Indian grant applications; however, tribes are encouraged to submit all applications to their cognizant A-95 clearinghouses and obtain assurances that their projects will not endanger or damage the environment.

November 22, 1974

M 4500.1C

CHAPTER 16. CRIMINAL JUSTICE TRAINING GRANTS FOR RESERVATIONS (L1)

96. PURPOSE. The objective of this program is to develop and implement immediate and long-range training programs in all areas of the criminal justice system for Indian reservations and communities.

97. RANGE OF GRANTS. It is anticipated that grants will range in size from \$10,000 to \$60,000. Funding in excess of these amounts is contemplated for multi-reservation or national scope training projects.

98. PROJECT SCOPE AND SPECIFICATIONS.

- a. Character of Projects. Training programs should usually be reservation-wide in scope. Applicants must reflect that training is, or will be geared to existing as well as projected Indian needs. Programs may provide for police, court or correctional training or combined training efforts. Multiple course or workshop presentations may be included. Substantial flexibility will be permitted to respond to grantee needs. Training programs that give attention to Indian citizen participation in crime prevention and public safety efforts should be encouraged.

- b. Application Requirement. Application for and approval of a grant under this program does not preclude that reservation or community from presenting grant applications for consideration under State comprehensive plans. If two or more reservations or communities desire to pool resources, the application may be submitted jointly and grant amounts adjusted accordingly; however, responsibility for project administration must be fixed in a single entity or designee of the tribal government. All applications for grants under this program must meet the requirements set forth in paragraph 95.

99. MATCHING CONTRIBUTION. The Administration has determined that Indian reservations and communities are poverty areas eligible for maximum funding of LEAA programs from Part C funds. For details, see M 7100.1A, chapter 4, paragraph 15. If 100 percent Federal funding is requested, a copy of the tribal law and order budget must be attached to the application for justification purposes.

CHAPTER 17. RESERVATION ACTION PROGRAMS, INCLUDING LAW ENFORCEMENT
MANPOWER; EQUIPMENT; RECORDS SYSTEMS; IMPROVEMENT OF TRIBAL
COURTS; TRIBAL CODES AND CONSTITUTIONS; CRIME PREVENTION;
AND IMPROVEMENT OR CONSTRUCTION OF TRIBAL CRIMINAL
JUSTICE CENTERS (L2)

100. PURPOSE. The objective of this program is to increase the capability of qualified Indian reservations and communities to acquire basic criminal justice equipment, additional manpower resources, suitable records systems, adequate tribal courts, and improved tribal codes and constitution, operate crime prevention programs and improve or construct tribal criminal justice centers in order to better carry out their criminal justice responsibilities.
101. RANGE OF GRANTS. It is anticipated that grants will range in size from \$10,000 to \$200,000. Grants at or near the maximum amount of the dollar range will ordinarily be limited to larger tribes (5,000 or more population). Exceptions to basic funding or population criteria will be made where significant need or critical situations are demonstrated.
102. PROJECT SCOPE AND SPECIFICATIONS.
- a. Application Requirements. Application for and approval of a grant under this program does not preclude that reservation or community from presenting grant applications for consideration under State comprehensive plans. If two or more reservations or communities desire to pool resources, the application may be submitted jointly and grant amounts adjusted accordingly; however, responsibility for project administration must be fixed in a single entity or designee of the tribal government. In addition, all applications for grants under this program must meet the requirements set forth in paragraph
 - b. Scope of Support. Support may cover police, court, correctional and/or crime prevention operations and activities on the reservations which are carried out by a duly authorized arm of the tribal criminal justice system. Funding will be considered for:
 - (1) The acquisition of basic criminal justice equipment essential to the discharge of tribal responsibility for law enforcement.
 - (2) Supplementation of manpower either in regular law enforcement or subprofessional or apprentice positions.
 - (3) Improvement or establishment of records and statistical systems.

November 22, 1974

- (4) Improvement of court systems.
 - (5) Tribal criminal justice codes or constitutions.
 - (6) Crime and delinquency prevention programs for adults and juveniles.
 - (7) Construction or improvement of tribal criminal justice centers.
- c. Application Specifications. All applicants must certify that all equipment, structures, and manpower obtained under this program will be utilized for only criminal justice purposes and evidence given as to how the programs will be supported when LEAA funds are exhausted.
- (1) Equipment.
 - (a) Applications must include data describing existing inventories, both Bureau of Indian Affairs (BIA) and tribal, and must document that these inventories are inadequate or insufficient to meet law enforcement needs. Equipment requests must supplement existing materials or be justified as essential replacement items. Applications should explain and justify the appropriateness of the proposed acquisition in terms of the size, scope and complexity of reservation law enforcement operations.
 - (b) Applications for base station, mobile and hand radio hardware must be coordinated with the applicable State Planning Agency and certification obtained from that agency assuring that such equipment will coexist with existing and/or proposed Statewide law enforcement communications systems. Frequencies reserved for exclusive Federal government usage and being utilized by the applicant reservation or community at the time of application will not require State Planning Agency endorsement.
 - (c) Applications under this category may reflect reasonable operational and maintenance costs for those equipment items purchased from the present grant or for operation of LEAA-purchased equipment from a grant for which the present grant is a continuation. All other operational and maintenance costs for tribal law and order equipment previously owned by the applicant will not be considered an allowable expense. Any and all requests for operational and maintenance costs that appear to supplant BIA or tribal funds will be denied. The purchase of used equipment will not be condoned unless ample justification has been submitted.

November 22, 1974

- (d) Tribal purchasing regulations or in the absence of tribal purchasing regulations, appropriate State purchasing regulations and OMB Circular No. A-87 will apply to all actual equipment purchases.
- (2) Manpower.
 - (a) Requests must indicate the exact extent of existing criminal justice and law enforcement staff; what positions or manpower resources will be added; and, how the supplemental personnel will ease workload burdens, permit more cases to be handled or services to be provided and generally increase the effectiveness and capability of the law enforcement activity involved (courts, police, corrections, crime prevention). Use of citizens or subprofessionals in paid auxiliary staff roles may be an economical way of expanding staff complements and is encouraged.
 - (b) Applications must clearly indicate how financial support for manpower so employed will be accomplished when the LEAA funds are exhausted.
 - (c) Crime prevention programs will only be funded when they are being conducted by an arm of the duly authorized tribal criminal justice system - police, courts or corrections.
 - (3) Records Systems. Applications with this component must demonstrate the desire of the applicant Indian tribe to develop an integrated record system, involving all criminal justice activities and disciplines on the reservation, which will produce statistical information for planning purposes as well as functional data for efficient operations.
 - (a) Submissions must also include a State Planning Agency assurance that proposed record systems are consistent with and can be adapted to Statewide record systems projected in the State's comprehensive law enforcement plan.
 - (b) Purchases made within the category must be consistent with existing tribal purchasing regulations, or in the absence of tribal purchasing regulations, appropriate State purchasing regulations and OMB Circular No. A-87.

- (4) Tribal Courts. Applications with this component must fully describe the present court system and facility on the reservation and show the authority for the tribal court. Requests must justify how the proposals will improve the court system and/or facility and thereby reduce crime and delinquency on the reservation.
- (5) Criminal Justice Codes and Constitutions. Requests must contain a copy of the existing code and/or constitution and explain the deficiencies therein. The application must show how an improved code and/or constitution will improve the criminal justice function and reduce crime and delinquency on the reservation.
- (6) Crime and Delinquency Prevention. Projects in this area involving adults and/or juveniles must be fully justified showing crime rates, repeater rates and how the proposed program will prevent delinquent and criminal behavior. Recreation programs will not be funded under this category. Applications will show crime prevention methods, how it will be accomplished, timetable and expected results.
- (7) Improvement or Construction of Tribal Criminal Justice Centers. Projects must contain a complete report on present facilities, if any, and how construction or renovation of the center will reduce crime and delinquency on the reservation. These centers usually provide for a police station, courtroom and sometimes confinement facilities (confinement areas must have complete separation of juvenile and adult offenders).
 - (a) If confinement facilities are a part of the project, the application must:
 - 1 Contain average daily prisoner statistics and data on corrections and rehabilitation programs in support of the rehabilitation aspects of the project; and
 - 2 Conform to the special requirements for construction of correctional facilities set forth in
 - (b) Applicants are also required to furnish to LEAA copies of floor plans and architect's contracts. (See Indian Program paragraph for information on utilization of architects in connection with reservation construction programs.)

103. MATCHING CONTRIBUTIONS. The Administration has determined that Indian reservations and communities are poverty areas eligible for maximum funding of LEAA programs from Part C funds. For details, see M 7100.1A, chapter 4, paragraph 15. If 100 percent Federal funding is requested, a copy of the tribal law and order budget must be attached to the application for justification purposes.

November 22, 1974

M 4500.1 C

CHAPTER 18. CORRECTIONS, INCLUDING IMPROVEMENT IN PROBATION, PAROLE,
CORRECTIONAL CENTERS AND CORRECTIONS PERSONNEL (L3)

104. PURPOSE. The objective of this program is to develop improved corrections rehabilitation capabilities for qualified Indian reservations and communities. This includes the improvement of probation and parole for misdemeanants, as well as the renovation and/or construction of adult and juvenile correctional centers.

105. RANGE OF GRANTS. It is anticipated that grants will range in size from \$10,000 to \$200,000. Grants at or near the maximum amount of the dollar range will ordinarily be limited to larger reservations (5,000 or more population) or to reservations with extremely critical adult and/or juvenile correctional center needs. Emphasis in this program will be on the probation, parole, community-based correctional projects and other rehabilitative aspects.

106. PROJECT SCOPE AND SPECIFICATIONS.

a. Application Requirements. Application for and approval of a grant under this program does not preclude that reservation or community from presenting grant applications for consideration under State comprehensive plans. If two or more reservations or communities desire to pool resources, the application may be submitted jointly and grant amounts adjusted accordingly; however, responsibility for project administration must be fixed in a single entity or designee of the tribal government. In addition, all applicants for grants under this program must meet the requirements set forth in paragraph

b. Scope of Support. Funding will be considered for:

- (1) The employment of qualified probation and parole personnel and understudies.
- (2) The improvement of the overall correctional and rehabilitative potential of the criminal justice system within the tribal criminal justice system.
- (3) The employment and upgrading of correctional center personnel.
- (4) Renovation and/or construction of rehabilitation and/or correctional facilities for adults or juveniles.

November 22, 1974

November 22, 1974

c. Application Specifications.

- (1) All applications involving recruitment of probation and parole personnel will be accompanied by justification that the need exists, through copies of total arrests, recidivism rates, and inmate population records.
- (2) Construction of correctional centers will be based on critical needs due to limited funds made available. Applications will be judged as to the critical needs that are existent at time of application.
- (3) For projects involving renovation and/or construction of facilities, a pre-application conference is urged. Rehabilitation of offenders must be carried out by a duly authorized arm of the tribal criminal justice system.
- (4) Applicants should furnish detailed information as to how the projected correctional centers will provide rehabilitative services to the inmate population.
- (5) Correctional centers must have juvenile offenders separated from adult offenders.
- (6) Applicants must conform to the special requirements for construction of correctional facilities set forth in
- (7) Applicants for employment of manpower must show how the tribe intends to support the program when LEAA funds are exhausted.

107. BUDGET REQUIREMENTS.

- a. Matching Contribution. Applications under this category may be funded up to 90 percent of the total cost of the project with the tribe contributing the 10 percent cash matching contribution.
- b. Architectural Costs.
 - (1) Some architectural services are available to tribes from the Bureau of Indian Affairs. These services are furnished by either the Branch of Plant Management or various BIA area offices or by the BIA Division of Facility Engineering.

(2) The address of the Division of Facility Engineering is:

Bureau of Indian Affairs
 Division of Facility Engineering
 P.O. Box 1248
 Albuquerque, New Mexico 87103

(3) Tribes are encouraged to utilize these tax-supported architectural services whenever possible.

c. Use of Private Architects. Tribes may elect to utilize private architects at their own expense within the LEAA grant. If private architects are used, the tribe:

- (1) Must submit with the grant application a certification from the appropriate BIA officials that architectural services are not available from that agency.
- (2) Must submit to LEAA for approval the proposed contract stating the architect's fees and all services to be obtained from him by the tribe in connection with the project.
- (3) Must show that the services of the architect were:
 - (a) Secured by competitive proposals from three or more architects; and
 - (b) Selected on the basis of both quality and cost of services to be provided.

CHAPTER 19 ORGANIZED CRIME PROGRAMS (I)

108. GENERAL. This chapter contains details of seven discretionary fund programs relating to the control and prevention of organized crime. These are:
- a. Section 1 (Program I10) Multi-Jurisdictional and Interdisciplinary Organized Crime Control Projects.
 - b. Section 2 (Program I9) Joint Organized Crime Strike Force Projects.
 - c. Section 3 (Program I11) Financial (White-Collar) Crime Projects.
 - d. Section 4 (Program I4) Corruption Control Projects.
 - e. Section 5 (Program I12) Cargo Theft and Anti-Fencing Projects.
 - f. Section 6 (Program I7) State Organized Crime Prevention Councils.
 - g. Section 7 (Program I13) Regional Organized Crime Training for State and Local Law Enforcement Personnel.
109. PROGRAM REVISIONS. Except for Programs I9 and I7 the above programs represent a complete revision of the Organized Crime Programs offered previously by LEAA. These revisions are the result of a review of LEAA's Organized Crime Discretionary Funding experience since FY 1969 and the gradual change in the state-of-the-art for organized crime law enforcement over the preceding five years. It should be noted that the theme for these programs is the development of cooperative efforts with emphasis on bringing together all the resources available to law enforcement in combating organized crime and its corrupting influence. These programs have been structured with the common objective of eliminating the fragmented and duplicative approach to organized crime investigation and prosecution while at the same time allowing for the freer exchange of data between participating agencies. Therefore, applicants must address in their project plans each item listed in the Section or Program Category under which funding is requested.
110. CONTINUATION FUNDING. In addition to the continuation funding requirements listed in each Section or Program Category, the following conditions must also be met before LEAA will consider second year continuation funding:
- a. The availability of funds.
 - b. That every effort has been made by the subgrantee or grantee to secure continuation funding from other than Discretionary Fund sources.

November 22, 1974

- c. That the grant/project is judged by the Regional Office and State Planning Agency as having an effective operation and is considered critical to the organized crime law enforcement in that jurisdiction.
- d. That failure to obtain continued financial support for the grant would mean the termination of the operational unit.
- e. That the request for continuation funding is less than the amount of the original grant award.

November 22, 1974

SECTION 1. MULTI-JURISDICTIONAL AND INTERDISCIPLINARY ORGANIZED CRIME CONTROL PROJECTS (110)

- 111. PURPOSE. The objective of this program is to encourage State and local governments to utilize the multi-jurisdictional and interdisciplinary organized crime control approach when establishing or reorganizing their law enforcement efforts against organized crime. The MJ/ID concept tends to eliminate the fragmented and duplicative approach to organized crime intelligence collection, investigation and prosecution. Also, MJ/ID projects allow for the freer exchange of information and the pooling of resources between cooperating agencies providing a higher level and coordinated organized crime law enforcement capability.
- 112. RANGE OF GRANTS. \$300,000 to \$1 million in Federal support over an 18-24 month period for those jurisdictions having achieved sufficient cooperation and commitment to initiate viable projects.
- 113. PROJECT SCOPE AND SPECIFICATIONS.
 - a. Multi-Jurisdictional Groupings: For the purpose of this program, multi-jurisdictional groupings may consist of any compatible combination of States, counties or cities having mutual and significant organized crime problems. Groupings need not conform to LEAA regions. To the extent practicable, efforts should be made to include, in the groupings, all jurisdictions within the proposed geographical area to be covered by the project.
 - b. Interdisciplinary Requirement. States, counties and cities will be encouraged to examine their organized crime law enforcement efforts and needs on the basis of a systems approach - that is, the coordination and working relationships between (1) intelligence gathering, (2) investigation, and (3) prosecution. Applicants under this program must address the proposed operation of these three functions within the project even though funding assistance may not be requested for all three areas. Applications under this program will not be considered for funding unless it is clearly documented that the project is designed for the operational interaction between the above three functional areas. The disciplines required to meet this requirement should include not only intelligence collectors, investigators and prosecutors, but specialists in such areas as electronics, intelligence analysis, accounting, tax fraud, anti-trust, banking, securities fraud, corporate law, labor racketeering, and others depending upon the organized crime activity within the various jurisdictions. These specialties must be incorporated into the law enforcement structure, recognized as an integral part of the investigatory process, with adequate compensation to attract and hold qualified personnel. Where possible, personnel from

November 22, 1974

licensing and regulatory agencies should also be included, e.g. liquor, real estate, racing, taxes, procurement, insurance, etc. These agencies may invoke administrative and civil penalties against organized criminal groups when criminal prosecution is unlikely.

c. Applicant. The applicant for a grant under this program can be:

- (1) One government unit in the group on behalf of the others,
- (2) All units in the group jointly, and
- (3) A special combination, association or joint venture created by a group of governmental units for general or grant application purposes.

d. Structure of Project. The basic operational structure will be determined by the needs and resources of the applicant; however, it is recommended that a Task Force or Strike Force structure be considered. In addition, each project must have a director supported by adequate administrative staff; to include, a fiscal officer or bookkeeper to handle the financial activities of the grant and project operation.

e. Authorities for Multi-Jurisdictional Operation. Grant applications must specify the extent of each jurisdiction's authority to function within a multi-jurisdictional project. The authority for the use of administrative and civil penalties should also be documented. Where coordinative authority is dependent primarily on voluntary cooperation, applications should describe the steps and techniques to achieve this cooperation and evidence of endorsement by agency heads.

f. Evaluation. Applicants must include within the project plan, a component for effective evaluation of the projects' capabilities and accomplishments.

g. Grantee. Applications must be submitted through a State Planning Agency or to a combination or consortium of the participating State Planning Agencies.

h. Block Grant Funds. States must show a current or planned investment of LEAA block grant funds, in either the project under this program category or in other clearly identifiable organized crime programs, equal to at least 50 percent of the amount of grant funds applied for under this program. If more than one State is involved, the 50 percent requirement may be prorated according to the level of each States' participation in the project.

November 22, 1974

i. Continuation. Discretionary Grants made as part of this program are considered to be developmental and demonstrative in nature, and in no way commit LEAA to future funding. Therefore, applicants must include within the project plan a methodology for continuing the project when Discretionary Funding has ended.

SECTION 2. JOINT ORGANIZED CRIME STRIKE FORCE PROJECTS (19)

114. PURPOSE. The objective of this program is to develop cooperation and coordination between federal, state and local law enforcement units who share the common goal of eliminating organized crime as a national problem. Joint federal and non-federal investigations will reduce the fragmented and duplicative efforts existing in many jurisdictions today and will increase the level of operational security and data exchange between the various cooperating agencies. The close operational ties developed by such a project will enhance the efficiency and expertise of state and local law enforcement officials through on-the-job training and association with their federal counterparts. Specifically, this program will develop a working relationship by use of the strike force concept between the Organized Crime and Racketeering Section, Criminal Division, U.S. Department of Justice, and other comparable federal, state and local law enforcement agencies.
115. RANGE OF GRANTS. \$300,000 to \$600,000 in support over an 18-to 24 month funding period.
116. PROJECT SCOPE AND SPECIFICATIONS.
- a. Lead Responsibility. Because of the national significance of this program and the need for Central Office coordination with OCRS, implementation of this program will be a coordinated effort between the Organized Crime and Racketeering Section officials and Office of Regional Operations Organized Crime and Regional Office staff.
 - b. Structure of Strike Force. The nucleus of the joint strike force is the Joint Strike Force Council composed of the responsible heads of each federal, state and local agency participating. The function of the Joint Strike Force Council is to effectively coordinate the organized crime efforts of the agencies involved. Ad hoc Sub-Committees are formed under the Joint Strike Force Council to organize joint investigations of specific organized criminal activity.
 - c. Administration of Strike Force. The projects will be for the benefit of the state and local participating agencies, but will be administered by the individual Federal Strike Force involved.
 - d. Nature of Support. LEAA funding will include only support for the non-federal participants in the projects. Such funding will include, but not be limited to, the following:

November 22, 1974

- (1) Salaries (overtime) and benefits for non-federal personnel including clerical;
 - (2) Travel and subsistence for non-federal personnel;
 - (3) Office equipment and supplies;
 - (4) Space rental;
 - (5) Investigative support including automobiles;
 - (6) Confidential expenditures, e.g., funds for informants; funds for lodging and other expenses involving witnesses and their families, front money, etc., and
 - (7) Evaluation component.
- e. Matching Funds. Matching funds for these projects will be requested from all non-federal participants on a prorated share based on the level of participation of each agency.
 - f. Continuation. Each project will be funded for an 18 month period. It is anticipated that a second 18 month continuation will be considered for those projects which have been evaluated and are deemed successful.
 - g. Eligible Applicants. Applicants will be invited to participate in the Joint Strike Force Project. Applications must be submitted through a State Planning Agency.
 - h. Joint Projects with Other Federal Agencies. This program may be modified to include special projects involving the grouping of State and local governments with federal agencies other than the Organized Crime and Racketeering Section.

117. SPECIAL REQUIREMENTS. Not applicable.

November 22, 1974

SECTION 3. FINANCIAL (WHITE-COLLAR) CRIME PROJECTS (I11)

- 118. PURPOSE. The infiltration of organized crime and its resources into legal enterprises has resulted in high losses in revenue to the Nation's industrial and business community. State and local governments are also affected by loss of tax revenue and frauds in the area of purchasing. The objective of this program is to encourage State and local governments to broaden their efforts beyond the scope of traditional organized crime law enforcement and establish special projects to investigate complex financial (white-collar) crimes and to prosecute the persons responsible for such crimes through either criminal or civil procedures.
- 119. RANGE OF GRANTS. \$300,000 to \$600,000 in federal support over an 18-24 month period.
- 120. PROJECT SCOPE AND SPECIFICATIONS.
 - a. White-Collar Crime Defined. The term financial or "white-collar crime" is not subject to any one clear definition; however, for the purpose of this program white-collar crime is defined as an illegal act or series of acts committed by non-physical means and by concealment or guile, to obtain money or property, to avoid the payment or loss of money or property, or to obtain business or personal advantage. To qualify for a grant under this program applicants must document the relationship between white-collar crime and organized crime in their jurisdiction.
 - b. Structure of Project. At a minimum, projects must include investigation and prosecution. The use of specialists in the field of finance should also be considered, i.e., corporate accountant, auditor, market analyst, securities analyst, economist, tax analyst, etc.
 - c. Applicant. Applicants need not be limited to police agencies or prosecutors' offices. State or local government agencies such as Departments of Taxation or Revenue or Office of the Comptroller could also apply if they have the proper jurisdiction and authority to investigate and prosecute white-collar crime cases without duplicating the efforts of other law enforcement agencies.
 - d. Training. Applicants may include, as a project component, programs for adequate training of project personnel.
 - e. Evaluation. Applicants must include within the project plan, a component for effective evaluation of the projects' capabilities and accomplishments.

November 22, 1974

November 22, 1974

SECTION 4. CORRUPTION CONTROL PROJECTS (I4)

- f. Grantee. Application must be submitted through a State Planning Agency.
- g. Block Grant Funds. States must show a current investment of LEAA block grant funds, in either the project under this program category or in other clearly identifiable organized crime programs, equal to at least 50 percent of the amount of grant funds applied for under this program.
- h. Continuation. Discretionary Grants made as part of this program are considered to be developmental and demonstrative in nature, and in no way commit LEAA to future funding. Therefore, applicants must include within the project plan a methodology for continuing the project when Discretionary Funding has ended.

121. SPECIAL REQUIREMENTS. Not applicable.

- 122. PURPOSE. The report of the National Advisory Commission on Criminal Justice Standards and Goals (1973) noted that an essential part of eliminating corruption and the influence of organized crime in government is a firm commitment on the part of State and local government to seek out and prosecute vigorously all types of corrupt practices in which the government is involved. Therefore, the objective of this program is to encourage State and local governments to establish special projects to combat corruption at all levels of governmental activity, especially within the Criminal Justice System.
- 123. RANGE OF GRANTS. \$500,000 to \$1.5 million in federal support over an 18-24 month period.
- 124. PROJECT SCOPE AND SPECIFICATIONS.
 - a. Structure of Project. Corruption control projects may be established as a separate governmental unit or as part of an existing branch of government. However, the project must be able to function independently; be staffed with experienced attorneys and investigators; have investigative and prosecutorial power (to include subpoena power and access to a grand jury); have full authority within the jurisdiction to be served; and be devoted exclusively to official corruption at all levels of government within the jurisdictional boundaries of the project. Although the basic operational structure will be determined by the needs and resources of the applicant, it is recommended that the concept which establishes an "office of special prosecutor" be considered.
 - b. Applicant. Applications will be considered for funding from any jurisdiction having a history of official corruption and organized crime at State or local levels.
 - c. Evaluation. Applicants must include within the project plan a component for effective evaluation of the projects' capabilities and accomplishments.
 - d. Grantee. Applications must be submitted through a State Planning Agency.
 - e. Block Grant Funds. States must show a current investment of LEAA block grant funds, in either the project under this program category or in other clearly identifiable organized crime programs, equal to at least 50 percent of the amount of grant funds applied for under this program.

November 22, 1974

- f. Continuation. Discretionary Grants made as part of this program are considered to be developmental and demonstrative in nature, and in no way commit LEAA to future funding. Therefore, applicants must include within the project plan a methodology for continuing the project when Discretionary Funding has ended.

125. SPECIAL REQUIREMENTS. Not applicable.

CONTINUED

2 OF 3

SECTION 5. CARGO THEFT AND ANTI-FENCING PROJECTS (I12)

126. PURPOSE. Organized crime is often directly involved in the execution of cargo thefts, in the redistribution of the stolen goods and in the actual consumption and/or sale of this merchandise through the businesses it owns or controls. This involvement by organized crime in cargo theft requires a sophisticated network of connections and techniques which generally can only be eliminated by a concerted and cooperative effort by business and law enforcement. Therefore, the objective of this program is to encourage state and local governments to establish adequately and professionally staffed cargo theft and anti-fencing law enforcement units in those jurisdictions having substantial organized crime cargo theft and fencing problems in their large seaports, airports, and/or concentrated rail and truck services.
127. RANGE OF GRANTS. \$300,000 to \$500,000 in federal support over an 18-24 month period.
128. PROJECT SCOPE AND SPECIFICATIONS.
- a. Structure of Project. Projects developed as part of this program must be investigative and/or prosecutive in nature. It is not the intent of this program to provide funds for physical security systems at transportation facilities, i.e., security guard force, closed circuit TV monitoring, alarm systems, lighting systems, mechanical security (locks), etc. However, intelligence systems should be considered as part of this program. Consideration will not be given to any application which does not include actual participation or formal, working liaison with other federal, state or local agencies having responsibility for the investigation or prosecution of instances involving cargo theft or fencing within the jurisdiction to be serviced by the applicant.
 - b. Cargo Theft Prevention. Law enforcement is meaningless in this area unless the transportation industry management is encouraged and motivated towards a more effective effort on their part to develop, implement and continuously improve cargo theft prevention measures. Therefore, applications for this program must include a methodology for assisting the transportation industry management in that jurisdiction in developing better security procedures and accountability of cargo. The use of specialists in the area of cargo security and handling is recommended for this component of the program.
 - c. Applicants. The following fifteen (15) jurisdictions have been identified by the transportation industry and government as having the most severe cargo theft problems:

November 22, 1974

Atlanta	Miami
Baltimore	New Orleans
Boston	New York
Chicago	Philadelphia
Dallas	San Francisco/Oakland
Detroit	San Juan
Houston	Seattle
Los Angeles	

(Information compiled by the U.S. Department of Transportation)

The primary emphasis of this program will be directed towards projects in these 15 areas. However, other jurisdictions may be considered for funding if a severe cargo theft problem can be documented by the applicant.

- d. Training. Applicants may include, as a project component, programs for adequate training of project personnel.
- e. Evaluation. Applicants must include within the project plan, a component for effective evaluation of the projects' capabilities and accomplishments.
- f. Grantee. Application must be submitted through a State Planning Agency.
- g. Block Grant Funds. States must show a current investment of LEAA block grant funds, in either the project under this program category or in other clearly identifiable organized crime programs, equal to at least 50 percent of the amount of the grant funds applied for under this program.
- h. Continuation. Discretionary grants made as part of this program are considered to be developmental and demonstrative in nature, and in no way commit LEAA to future funding. Therefore, applicants must include within the project plan a methodology for continuing the project when discretionary funding has ended.

129. SPECIAL REQUIREMENTS. Not applicable.

November 22, 1974

SECTION 6. STATE ORGANIZED CRIME PREVENTION COUNCILS (17)

- 130. PURPOSE. The purpose of this program is to encourage States to improve and strengthen law enforcement by establishing new State organized crime prevention councils or further develop and expand existing councils.
- 131. RANGE OF GRANTS. \$25,000 to \$60,000 in annual support.
- 132. PROJECT SCOPE AND SPECIFICATIONS.
 - a. Resources. Proposed organized crime prevention councils must have a full-time staff with a minimum of an executive director and a secretary. Additional staff would be added as needed. This grant would be limited to paying for the salaries of full-time members, for office space, equipment, office supplies, telephone and other services. Paid staff members would dedicate their entire time and attention to the affairs and duties of the council.
 - b. Council Structure and Role. To qualify for federal discretionary funding such councils would have to meet the general guidelines set forth in Section 601(g), Part F of Title I of the Omnibus Crime Control and Safe Streets Act of 1968, P.L. 90-351, as amended, and those set forth in the manual entitled "The Role of State Organized Crime Prevention Councils." Copies of these publications may be obtained from any LEAA Regional Office.
 - c. Application Content. Applications must specify, in addition to normal content requirements, how the Council was established (executive order, State law or existing agency designated) planned staffing levels, advisory board structures, and initial (or subsequent) program efforts of the Council to be supported under the Discretionary Grant.
 - d. Grantees. Eligible grantees are limited to State Planning Agencies. Such agencies must subgrant funds under this award to the Council (or its parent department or unit).
 - e. Block Grant Contribution. States must show a present or planned future investment of LEAA block grant funds in the Organized Crime Prevention Council at least equal to 50 percent of the amount of grant funds applied for under this program.
 - f. Continuation. Discretionary Grants made as part of this program are considered to be developmental and demonstrative in nature, and in no way commit LEAA to future funding. Therefore, applicants must include within the project plan a methodology for continuing the project when Discretionary Funding has ended.
- 133. SPECIAL REQUIREMENTS. Not applicable.

November 22, 1974

M 4500.1C

SECTION 7. REGIONAL ORGANIZED CRIME TRAINING FOR STATE AND LOCAL LAW ENFORCEMENT PERSONNEL (I13)

134. PURPOSE. The objective of this program is to encourage the development of institutionalized regional organized crime training programs for State and local law enforcement personnel. The training areas covered would be those specifically related to the control of organized crime and corruption.
135. RANGE OF GRANTS. \$100,000 to \$300,000 in federal support over an 18-24 month period.
136. PROJECT SCOPE AND SPECIFICATIONS.
- a. Institute Concept. Institutionalized regional organized crime training programs must provide training on a continuous year-around basis with a methodology for (1) the updating and expansion of established courses and (2) the development of additional courses in new areas of concern to organized crime law enforcement. The project should also include a plan to develop a cadre of qualified instructors for the training program to lessen the reliance on "guest lecturers." Such training programs must also provide for the attendance of qualified persons from States or jurisdictions other than that of the applicant, and their attendance shall be at least 30% of each course offered in the training program. The goal of the institute concept is to establish permanent and relevant training vehicles for organized crime law enforcement personnel. Therefore, applicants must also include within the project plan a methodology for continuing the training program when federal support has ended.
 - b. Instruction. Organized crime law enforcement training should include, but not be limited to, such topics as:
 - (1) Defining and describing organized crime and its various manifestations.
 - (2) Organization, administration, operation and command of specialized organized crime law enforcement units: i.e. strike force or multi-jurisdictional units; intelligence systems; financial or "white-collar" crime units; corruption control units and cargo theft and anti-fencing units.
 - (3) Specialized investigative techniques, skills and equipment used: i.e., intelligence collection and analysis; surveillance operations; undercover operations; handling of informants and confidential expenditures.

November 22, 1974

- (4) Prosecutive techniques, i.e., case organization; working with intelligence and investigation resources; use of civil procedures; use of the grand jury.
- c. Trainees. Training within this program should be considered specialized or advanced. Therefore, those selected for attendance must be experienced investigators or prosecutors who are either assigned or about to be assigned to an organized crime related law enforcement project. Consideration should also be given to including criminal justice planners and judges as attendees in the training program.
 - d. Applicant. The applicant may be a single State or local governmental unit or a grouping of State or local governmental units. Groupings need not conform to LEAA regions.
 - e. Grantee. Applications must be submitted through a State Planning Agency or to a combination or consortium of the participating State Planning Agencies.
 - f. Evaluation. Applicants must include within the project plan, a component for effective evaluation of the project's capabilities and accomplishments.
 - g. Block Grant Funds. States must show a current or planned investment of LEAA block grant funds, either in the project under this program category or in other clearly identifiable organized crime programs, equal to at least 50 percent of the amount of grant funds applied for under this program. If more than one State is involved, the 50 percent requirement may be prorated according to the level of each States' participation in the project.

137. SPECIAL REQUIREMENTS. Not applicable.

CHAPTER 20. HIGH IMPACT ANTI-CRIME PROGRAM (R)

138. PURPOSE.

- a. The major objective of the Impact Program is to effect a tangible reduction in the incidence of stranger-to-stranger crime and burglary in eight large cities. Specifically, the aim is to halt the increase of target crimes and to achieve a five percent reduction in two years and a 20 percent reduction in five years. The program focuses on the three basic elements of any criminal act: the offender; the target/victim and the crime setting; and the development of appropriate criminal justice system response in terms of prevention, deterrence, detection and apprehension, adjudication and post-adjudication processes. A reduction in the incidence of the target crimes will be the focus of actions taken by Impact Program grantees.
- b. A second objective is to offer the results of this program and the lessons learned to other localities in order to provide them with insights into possible approaches to their particular crime problems. To achieve this goal, information regarding the results of the various research and action projects within the target cities will be collected, analyzed and assessed in terms of its usefulness to other communities.

139. PROJECT SCOPE AND SPECIFICATIONS.

- a. Participants. LEAA will continue to focus the Impact Program on the eight previously selected target cities: Atlanta, Georgia; Baltimore, Maryland; Cleveland, Ohio; Dallas, Texas; Denver, Colorado; Newark, New Jersey; Portland, Oregon and St. Louis, Missouri.
- b. Final Phase Funding. All action project applications for final phase funding will be received by the appropriate funding authority by September 30, 1974. All project awards will be completed by December 31, 1974.

CHAPTER 21 DRUG ABUSE ENFORCEMENT (K)

140. GENERAL. This chapter contains details of three discretionary fund programs available in the area of drug abuse enforcement.
- Program K2 Metropolitan Narcotics and Dangerous Drug Enforcement Groups (MEGs).
 - Program K3 Diversion Investigation Units (DIUs).
 - Program K4 Treatment Alternatives To Street Crime (TASC).
141. NEED. The increase in illegal distribution and use of narcotics and controlled substances has necessitated the creation of special operational law enforcement units. Such efforts must not only be directed toward traditional apprehension methods, but should include the capability to gather and transfer intelligence gathered from sources throughout the distribution system. There is also the necessity to identify drug abusers who enter the criminal justice system and refer them into appropriate treatment. Through treatment efforts, the drug abuser's reliance on criminal behavior to support his addiction can be substantially eliminated.
142. PURPOSE. The first two programs are directly oriented toward enforcing state and local drug laws. The third is created to break the drug abuse - crime - arrest - incarceration - drug abuse-crime cycle through the use of court referral mechanisms to place offenders into treatment as an alternative to incarceration. All programs are multijurisdictional in character and mandate close relationships among participating areas. This characteristic attempts to foster and strengthen inter-governmental and enforcement relationships, and should lead to the development of permanent programs among these jurisdictions once discretionary funds have phased out.
143. PRIORITY. Those jurisdictions which substantiate a high drug abusing population, illegal narcotic and dangerous drug distribution system, and extensive illicit diversion of controlled substances will receive priority funding under this chapter.
144. SPECIAL REQUIREMENTS. Not applicable.

SECTION 1. METROPOLITAN NARCOTICS AND DANGEROUS DRUG ENFORCEMENT GROUPS (K2) (MEG)

145. PURPOSE. The purpose of this program is to provide initial funding and support for the planning, establishment and operation of metropolitan narcotics and dangerous drug enforcement units. Such units would provide a capability for overcoming jurisdictional problems, reducing existing duplication of efforts, and developing effective programs in the major metropolitan and suburban areas within a state where drug abuse problems are the greatest.
146. RANGE OF GRANTS. It is anticipated that grants will range from \$90,000 to \$500,000 in annual support. Applicants for new grants are encouraged to request funding for an 18 month period to ensure adequate time for the initial development phase.
147. PROJECT SCOPE AND SPECIFICATIONS.
- Scope of Activity. These grants are intended to focus on support of enforcement activities.
 - Organization of Units. The groups would be established by police and other enforcement agencies with narcotics enforcement responsibilities in a given metropolitan and suburban area. Formal initiations may be by compact or other pooling agreements or through metropolitan councils of government. Establishment should be on a voluntary basis and evidence approval by both the general units of local government involved and the chief law enforcement officers of those units. Operating responsibility would be in a special staff supervised by a board of local police and/or prosecutorial executives from the participating agencies. The special units should normally have full police powers throughout the operational area established for the project.
 - Resources and Staff. Although designed for service primarily as a coordinating mechanism for narcotics operations of individual agencies, the groups should have a central office and a small full-time staff, the latter drawn primarily from personnel loaned or assigned by participating agencies. Location of the central office would depend on the needs and design of the individual groups. They may exercise as much direct control or supervision over narcotics enforcement personnel as the participating agencies are willing to delegate through action of the supervisory board.
 - Large City Cooperation. In programs involving core cities of 500,000 or more, a minimal requirement would be the formal designation of a ranking officer from the core city to serve as liaison

November 22, 1974

and to promote coordination with the participating units.

148. SPECIAL REQUIREMENTS.

- a. Application Content. In addition to normal grant application data, proposals should include material on the scope and size of the metropolitan area's narcotics problem, the organizational make-up, responsibilities and location of the new unit, a clear commitment by major participating units to establish the group, and the projected format and timetable for such activity.
- b. Block Grant Commitment. In addition to standard grantee matching requirements, the proposal must include a State Planning Agency commitment of block grant funds to the project (or to other local level narcotics and dangerous drug problems) equal to at least 50 percent of the amount of the grant applied for. Normal State Planning Agency certification and clearance requirements for discretionary grants will apply.
- c. Liaison. The application must document that liaison has been established with State level drug enforcement units and with the Federal Drug Enforcement Administration (DEA).

November 22, 1974

SECTION 2. DIVERSION INVESTIGATION UNITS (DIUs) (K3)

149. PURPOSE. The purpose of this program is to establish a state wide effort in curtailing the diversion of controlled substances from legitimate retail outlets for illegal distribution. The Drug Enforcement Administration will provide direct technical assistance to selected state and local law enforcement and criminal justice agencies during the operational phase under discretionary funding and thereafter as long as assistance is requested and needed.
150. RANGE OF GRANTS. The dollar range of grants will range between \$200,000 and \$350,000 in annual support.
151. PROJECT SCOPE AND SPECIFICATIONS. Applicants will be selected to participate in this program based upon the available manpower within the state, the total number of registrants, and the presence of intelligence indicating the need for such investigation units.
 - a. Scope of Activity. These grants will focus on coordinating and supporting state and local law enforcement activities over an 18 month grant period.
 - b. Structure of Investigation Units. Participants under this program are those from state licensing boards, local and county prosecutors, and regulatory enforcement units throughout the state. DEA assistance will be primarily of providing a full time agent to the grant for technical advice and promoting the training of participants to ensure effective investigation units.
152. SPECIAL REQUIREMENTS.
 - a. Evaluation. Applicants must include an evaluation component within the grant application.
 - b. Continuation Funding. Beginning with FY 75 funds, States must give assurance that the project will be continued under block funds should the project be deemed effective through evaluation and monitoring.
 - c. Grantees. Eligible grantees are limited to State Planning Agencies.

CHAPTER 22. TREATMENT ALTERNATIVES TO STREET CRIMES (K4)

153. PURPOSE. The purpose of this program is to provide a criminal justice referral mechanism so that drug abusing offenders may obtain drug treatment. The overall goals are to decrease the incidence of drug-related crime with its attendant cost to the community; to interrupt the drug-drive cycle of jail to street crime to jail by providing the possibility of treatment for drug-addicted arrestees; and to decrease the problems in detention facilities resulting from drug-addicted arrestees who are manifesting acute problems such as withdrawal. Participation in this project by drug-addicted arrestees is voluntary.

154. RANGE OF GRANTS. It is anticipated that grants will range from \$60,000 to \$450,000 in annual support.

155. PROJECT SCOPE AND SPECIFICATIONS.

a. Type of Projects. Only those projects will be considered which can demonstrate a coordinated jurisdictional approach to drug treatment which incorporates the resources of both public and private agencies in the criminal justice and health care delivery systems. In developing the particular combination of program components necessary to implement and administer the program locally, prior agreement on the scope and content of the program by participating elements of the community is deemed essential.

b. Continuation Funding. For continuation funding the National Institute on Drug Abuse will provide support for the treatment and rehabilitation component of TASC while LEAA support will be limited to ONLY the criminal justice component. The following elements fall within the criminal justice component:

- (1) General planning and administration.
- (2) Addict screening including urinalysis and diagnosis.
- (3) Addict tracking.
- (4) Apprehension of delinquent clients.
- (5) Detoxification holding units within correctional facilities.
- (6) Program evaluation.

c. Eligible Applicants. Applicants will be invited to participate in the TASC effort.

156. SPECIAL REQUIREMENTS. Not applicable.

CHAPTER 23. BICENTENNIAL PLANNING AND COORDINATION (V)

157. PURPOSE. The purpose of this program is to provide funding for planning and coordination of state and local law enforcement and criminal justice responses to the Bicentennial Celebration. Funds will be made available only on a showing by applicants that there are planned long-range benefits either in crime reduction or in the improvement of the effectiveness of law enforcement and criminal justice systems in the areas affected by the Bicentennial.

158. RANGE OF GRANTS. It is anticipated that grants will range from \$40,000 to \$60,000 per year for one year, with approximately 20 awards made from Fiscal Year 1975 funds. Funds will be made available only during Fiscal Year 1975. Approximately 10 awards will be made in the period from September through November, 1974, and the remainder in the period from December through February, 1975. No applications will be accepted beyond February 1, 1975.

159. PROJECT SCOPE AND SPECIFICATIONS.

a. Application Requirements. Applications must address in specific detail the methods they plan to use and the agencies of government they plan to involve in planning for and responding to the challenges and opportunities offered by the Bicentennial Celebration. Applications must also address the planned long-range benefits which will continue after the Bicentennial Celebration is over from the activities planned for it. These must include either planned benefits in crime reduction techniques or in criminal justice systems improvements or both. Applications must demonstrate innovative approaches to the problems and opportunities of the Bicentennial. Applications must document the projected impact on law enforcement and criminal justice in the affected area.

b. Eligible Applicants. Eligible applicants will include states, local governments, and combinations of local governments which have law enforcement and criminal justice planning and coordination responsibilities. Only those areas which are directly and most heavily impacted by major Bicentennial events will be considered for funding.

160. SPECIAL REQUIREMENTS. Discretionary funds will not be made available for action projects which arise from the planning and coordination activities it supports, or other action projects in support of Bicentennial activities. No state planning agency should encourage submission of planning and coordination grant applications unless the state planning

November 22, 1974

agency is prepared to consider seriously the funding of action grants which are likely to be proposed as a result of that funding, or can certify that alternative sources of funding are expected to be available.

November 22, 1974

CHAPTER 24. COMPREHENSIVE DATA SYSTEM PROGRAM (Q)

161. BACKGROUND. In order to promote the establishment of criminal justice statistics and information systems in cooperation with the national government, state and local governments, and regional agencies, the Law Enforcement Assistance Administration provides funds to states for the full development and complete implementation of the Comprehensive Data Systems (CDS) Program.
162. PURPOSE. The purpose of this program is to assist states, local governments, and regional agencies in the development of their capabilities to acquire, analyze, and utilize effectively statistics and information about crime and the criminal justice system. The program is designed to permit states and local governments to build systems which will support improved planning, management, and evaluation of crime reduction programs, as well as support improvements in the operating efficiency and effectiveness of state and local criminal justice agencies. The program is also aimed at the support and promotion of the transfer and sharing of technology, methods, procedures, policies, and system components by participating users with consideration of the rights of citizens in regard to collection and dissemination of information. Finally, since many data needs are common to the entire criminal justice system, the program encourages cooperation among states, and cooperation within states as among state and local governments and state and local criminal justice agencies.
163. CDS COMPONENTS.
- a. Statistical Analysis Center (SAC) provides, through funds granted to the state by LEAA, for the development in each state of a central capability for assembling and analyzing and interpreting information and statistics about crime and the criminal justice system throughout the state. The state SAC should also provide a capability for providing advice concerning the meaning and uses of statistics. The SAC should participate in a national policy advisory group for purposes of maintaining a high quality standard of statistical analysis and utilization of data. It should contain the capability to develop and implement quality control procedures for each CDS component in the handling, processing, and general utilization of data.

November 22, 1974

The SAC will be responsible for devising procedures for receiving data from the other CDS components in order to undertake analyses. It will be the responsibility of the SAC to provide, coordinate, or otherwise devise means for statistics, information, and results of analysis to be made available to criminal justice agencies of state and local units of governments.

The SAC will coordinate CDS technical assistance to criminal justice agencies of local and state governmental units. The technical assistance function may reside in the SAC. The SAC will assume responsibility for technical assistance until the Technical Assistance (TA) component has been implemented and until its organizational location is established.

- b. Technical Assistance/CDS (TA/CDS). The TA component will be responsible for providing technical assistance to state and local government agencies and to the other CDS components. The development and implementation of the CDS components are expected to require considerable review and coordination of records and data reporting systems of criminal justice agencies. The TA component will provide the expertise necessary in the areas of statistics, information systems, and computer technology for the full coordination and implementation of the Comprehensive Data Systems. In some instances the technical assistance capability will be programmed into the appropriate CDS components; in other instances the capability will consist of resources available in the state such as consultants, employees of local criminal justice agencies, and other resources that can be identified within the state.
- c. Uniform Crime Reports (UCR). This component requires that the state assume the operational responsibility for the collection of statewide Uniform Crime Reports. Currently, in most states, data on crimes known to the police as well as arrest statistics are generally provided by police agencies directly to the Federal Bureau of Investigation (FBI) for the National UCR Report. LEAA and the FBI are encouraging the states to assume responsibility for collecting UCR data from police agencies, with provisions for quality control and audit procedures, and transmit it to the FBI for inclusion in the national report.

November 22, 1974

- d. Offender Based Transaction Statistics/Computerized Criminal History (OBTS/CCH). This component tracks offenders as they pass through the state's criminal justice system. The transaction statistics will serve as indicators of the procedures and interrelationships existing within the state criminal justice system. Concurrent with the Offender Based Transaction Statistics System, the state's capability for participation in the National Computerized Criminal History (CCH) program will be addressed within this component as well as the state's participation in the FBI's NCIC program.
- e. Management and Administrative Statistics (MAS). This component provides the state with a mechanism to collect data on the characteristics of criminal justice personnel, equipment, facilities, and the operations of criminal justice agencies. Data collected is to be made available to the SAC component for analysis as well as to local and state criminal justice institutions for meeting their needs regarding management and short and long range planning. It is the responsibility of the SAC component to insure that the data collection conforms to high quality standards regarding methods of collection, and processing of data.

164. PARTICIPATION IN THE PROGRAM.

- a. State Action Plan. States requesting funds to participate in the CDS program shall submit to LEAA an Action Plan addressing the CDS purpose and including assurances by the appropriate state officials that the state intends to develop and implement fully all five components of the Comprehensive Data System.
- b. Grants for CDS Component. Subsequent to the submission of a state CDS Action Plan to the appropriate LEAA Regional Office through the State Planning Agency and approval by LEAA, the state will be notified that grant applications designed to implement the CDS plan may be submitted. These implementing grants are to be submitted through the State Planning Agency to the appropriate LEAA Regional Office for approval by LEAA. All CDS applications will be submitted to State Planning Agencies for their concurrence, endorsement, and certification that the CDS plan is consistent with the State Comprehensive Plan prior to approval by the LEAA Regional Office. All CDS grant awards will be made by the Regional Office to the State Planning Agency for subgranting to the CDS applicant.

165. RANGE OF GRANTS. Grants will be awarded for CDS components that are consistent with the state's approved CDS Action Plan. Grants will range up to \$1,500,000. Larger grants will generally be limited to the OBTS/CCH component in the larger states, and will be funded out of Part C and Part E discretionary funds. Applications for multi-year funding will generally be funded by annual increments. Funding subsequent to the initial first year award will be subject to the availability of CDS program funds within LEAA.

166. PROJECT SCOPE AND SPECIFICATIONS.

- a. Eligible Applicants. Grants for CDS components will be awarded at the state level only. A state agency may choose to subgrant funds to local or regional agencies for their participation in development of an overall system.
- b. Program Specifications. Detailed guidelines for CDS Action Plans and requirements for development and implementation of CDS components are available from any LEAA Regional Office.

167. SPECIAL REQUIREMENTS.

- a. State Plan Coordination. The State Planning Agency (SPA) must confirm that the CDS Action Plan and each application for funding of CDS components is consistent with the state's Comprehensive Plan. This confirmation must be made a part of each application for funding of CDS.
- b. The state's CDS Action Plan must state, and the Governor or his authorized representative must confirm, that funds made available from block grant funds to the beneficiary agency or to the unit of government, for criminal justice information systems or for statistical purposes, will not be reduced or supplanted by reason of funds received through a CDS discretionary grant award.
- c. Any departure, modification or omission relative to the conditions listed in paragraph 167 must be identified and justified.

- d. National Program Participation. The state must agree to participate in national programs concerning the CDS components. The Criminal Justice Agencies, properly designated and functioning within the CDS program at the state level, will coordinate CDS component interactions with the appropriate national programs. Currently, the properly designated State Criminal Justice Agency must coordinate the Uniform Crime Report (UCR) and Offender-Based Transaction Statistics/Computerized Criminal History (OBTS/CCH) components of CDS with the Federal Bureau of Investigation program sections for UCR and NCIC-CCH. Comments by the FBI concerning this coordination with the state should be attached to the grant application when applicable.
- e. Security and Privacy. The state must adopt policies and procedures to insure system security, protection of individual privacy, and the integrity, accuracy and completion of data consistent with the requirements of Sections 524(a) and 524(u) of the Crime Control Act of 1973, (P.L. 93-83), and any Federal Regulations or Guidelines promulgated thereunder.

CHAPTER 25. ASSISTANCE TO STATE AND LOCAL GOVERNMENTS THROUGH DEMONSTRATIONS DESIGNED TO BUILD CAPACITY TO PLAN, MANAGE, AND EVALUATE CRIME REDUCTION AND CRIMINAL JUSTICE SYSTEM IMPROVEMENT PROGRAMS. (W)

168. PURPOSE. The purpose of the program is to develop through demonstration programs methods which will lead to improvements in the capacity of states and local governments to plan, manage, and evaluate programs aimed at crime reduction and criminal justice system improvements. The program is intended to provide assistance to State Planning Agencies, regional planning units, and criminal justice and law enforcement operating agencies of state and local governments to permit them to develop optimal operating efficiency in their joint and mutually supportive efforts to bring about crime reduction and system improvements. Part C and Part E discretionary funds will be used for selected projects which serve the purposes of this program. For projects which also serve the purposes of this program, but for which Part C and Part E discretionary funds may not be used, LEAA may make available technical assistance funds, NILECJ evaluation funds, and reverted Part B planning funds. The results of the demonstration projects funded under this program will be made available to other agencies to assist them in making determinations about the methods of planning, management, and evaluation which will be of greatest assistance to them in upgrading their capacities.
169. RANGE OF GRANTS. Grants in the range of \$10,000 to \$100,000 are contemplated.
170. PROGRAM SCOPE AND SPECIFICATIONS.
- a. State Planning Agency Applications.
- (1) Applications must be addressed to the development of improved capacity within the State Planning Agency to plan, manage, and evaluate programs.
 - (2) Applications for Part C and Part E discretionary funds may request funds only for the conduct by the SPA of program evaluations. All other projects aimed at building capacity to plan, manage, and evaluate must be funded through other types of LEAA assistance. These other projects would include funds to assist state planning agencies to meet needs identified through the SPA assessment process.

b. Applications by Regional Planning Units, Criminal Justice Coordinating Councils, and Interstate Metropolitan Planning Units.

- (1) Applications must be addressed to the development of improved capacity at the local and regional levels to plan, manage, and evaluate programs.
- (2) Applications for Part C and Part E discretionary funds may request funds only for criminal justice coordinating councils and for interstate metropolitan regional planning units. Applications will be accepted from criminal justice coordinating councils for a unit of general local government or any combination of such units having a population of 250,000 or more to assure improved planning and coordination of all law enforcement and criminal justice activities. Applications will be accepted for establishment of interstate metropolitan regional planning units to prepare and coordinate plans of state and local governments and agencies concerned with regional planning for metropolitan areas.
- (3) Applications for other projects aimed at the purposes of this program at the regional and local planning levels must be funded through other types of LEAA assistance.

c. Applications by Operating Law Enforcement and Criminal Justice Agencies.

- (1) Applications must be addressed to the development of improved capacity by state and local operating law enforcement and criminal justice agencies to plan, manage, and evaluate programs.
- (2) Applications for Part C and Part E discretionary funds may request support for all types of capacity-building projects aimed at developing and implementing improved methods of achieving crime reduction and criminal justice systems improvement.

Examples might include proposed methods or improved court management, a crime analysis team (CAT) in a city police department, or improved in corrections record keeping procedures.

- (3) Applications by operating agencies must address specific needs described in the approved state comprehensive plan.

171. SPECIAL REQUIREMENTS. Applications must demonstrate that a comprehensive approach, based on a thorough analysis of needs, to the development of improved program implementation capacity is intended. The application must meet all the special requirements listed below in this paragraph.

- a. Coordinated Approach to Use of LEAA and State/Regional/Local Funds. All grants must show how other LEAA and/or other state or regional or local funds are being used to complement the proposed grant to achieve the overall purpose of capacity building.
- b. State Planning Agency Coordination. All grants will be made through the appropriate State Planning Agency. Applications must be consistent with the State's comprehensive plan, and must be endorsed by the State Planning Agency.
- c. Consistency With Technical Assistance Support. Applications must incorporate references to any proposed or actual use of technical assistance funds or assistance aimed at improving capabilities at the state or local level, either from LEAA or from the State Planning Agency to other units of state and local government. Applications must show how the proposed or actual use of funds is consistent with and supportive of any use of technical assistance. Technical assistance aimed at improving capabilities and the funds to be used through this program will be targeted initially on problems and needs identified through the assessment process.
- d. Consistency With the Model Evaluation Program of the National Institute of Law Enforcement and Criminal Justice. Applications must incorporate references to any proposed or actual use of funds from LEAA's National Institute of Law Enforcement and Criminal Justice designed to assist the applicant in establishment of a model evaluation unit designed to assist in improving the quality of evaluation. Applications must show how the proposed or actual use of funds under this program is consistent with and supportive of any use of funds for a model evaluation unit.

November 22, 1974

- e. Consistency With the Comprehensive Data Systems Program of the National Criminal Justice Information and Statistics Service. Applications must incorporate references to any proposed or actual use of funds from LEAA's National Criminal Justice Information and Statistics Service designed to assist the applicant in improving the applicant's ability to use information and statistics to build improved management capabilities. Applications must show how the proposed or actual use of funds under this program is consistent with and supportive of funds being used for comprehensive data systems development.
- f. State and Local Management Improvement Efforts. Applications must show how state and local efforts are being made to improve program management capabilities, in a manner consistent with and supportive of the goals noted in this program.
- g. Limits on the Use of Part E Funds. Any application which seeks or is awarded Part E funds must use such funds only for the corrections portion of the application. A pro rate base is acceptable.

END