

# Guideline Manual

M 4500.1G

## GUIDE FOR DISCRETIONARY GRANT PROGRAMS



**September 30, 1978**

UNITED STATES DEPARTMENT OF JUSTICE  
LAW ENFORCEMENT ASSISTANCE ADMINISTRATION

Initiated By: \_\_\_\_\_

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INTRODUCTION

1. PURPOSE. The purpose of this manual is to provide information about major categorical programs of the Law Enforcement Assistance Administration, authorized by the Crime Control and Safe Streets Act of 1968, as amended, and the Juvenile Justice and Delinquency Prevention Act of 1974, as amended. The manual includes information about discretionary grant programs, selected program field tests, technical assistance, and training. Information about how to apply for assistance and who to contact for additional information is also provided.

This manual is complemented by additional guidelines and program announcements and plans, such as the Program Plan of the National Institute of Law Enforcement and Criminal Justice, the Program Plan for Statistics of the National Criminal Justice Information and Statistics Service, program guidelines of the Office of Criminal Justice Education and Training, and program announcements and other documents regarding Incentive Programs. In addition, supplements to this manual will be published as new programs, such as those of the Office of Juvenile Justice and Delinquency Prevention, are developed.

2. SCOPE. This manual is of interest to State and local criminal justice agencies, institutions and organizations who work with criminal justice agencies, State Planning Agencies, regional and local planning units, and LEAA personnel.
3. CANCELLATION. LEAA Guideline Manual M 4500.1F, December 21, 1977, same subject, is herewith cancelled.
4. INTRODUCTION. Many of the programs in this manual reflect the implementation of the Action Program Development Process in LEAA during the past year. The Action Program Development Process is an effort to improve the value and effectiveness of LEAA action programs by systematically building on knowledge about concepts, approaches, and techniques which are successful in controlling crime and improving criminal justice, carefully testing program concepts, demonstrating programs which are successful, and marketing concepts through training and technical assistance.

Programs which are currently in the stages of program design and testing, as well as demonstration, are included in this manual. Major technical assistance and training programs which serve to market program concepts and techniques are also included.

LEAA programs will increasingly be developed through the Action Program Development Process.

5. RELATED GUIDELINES AND DOCUMENTS.

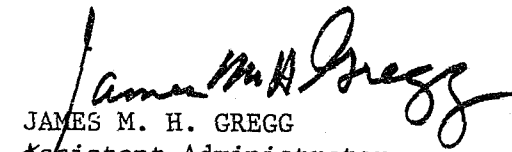
a. The Programs described in this manual are supported and supplemented by a number of other LEAA programs. The major documents describing other programs and the general procedures governing them include:

- (1) Guide for State Planning Agency Grants (effective edition of M 4100.1) which describes the procedures and requirements for planning grants to State Criminal Justice Planning Agencies (SPA's) supported under Part B of the Crime Control and Safe Streets Act of 1968, as amended, and for the development of State comprehensive criminal justice plans required under Part C and E of the Crime Control Act, and the Juvenile Justice and Delinquency Prevention Act of 1974, as amended.
- (2) Program Plan for the National Institute of Law Enforcement and Criminal Justice (NILECJ) which describes the research, development and technology transfer activities planned for NILECJ.
- (3) Program Plan for Statistics FY 1977-81 which describes LEAA's planned statistical activities.
- (4) Law Enforcement Education Program Guideline Manual (effective edition of M 5200.1) which describes the education assistance program of the Office of Criminal Justice Education and Training (OCJET).
- (5) Graduate Research Fellowship Program Guideline (effective edition of G 5400.2) which describes the procedures and requirements for participation in the LEAA Graduate Research Fellows Program.
- (6) Guideline Manual for the Comprehensive Data Systems Program (effective edition of M6640.1) which describes the Comprehensive Data Systems Program (CDS), sets forth guidelines for CDS action plans, and indicates the purpose, available funding, and criteria for evaluation of CDS applications.
- (7) Guideline Manual for Financial Management for Planning and Action Grants (effective edition of M 7100.1), which describes the requirements and procedures for financial management of LEAA grants, including those set forth in this manual.
- (8) Program Announcement for Incentive Fund Programs, which describes the concept, background, and procedures governing LEAA's newly developed Incentive Fund grant programs. The program announcement will be available early in FY 1979.



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- b. These documents are available from LEAA, 633 Indiana Avenue, N.W. Washington, D.C. 20531.
- c. In addition, the National Criminal Justice Reference Service (NCJRS) can provide a wide range of information about specific areas of interest to the criminal justice community. Information about these services is available from LEAA or directly from NCJRS, Box 6000, Rockville, Maryland 20850.
- d. For further information or assistance in the use of this manual, contact LEAA offices referred to herein or the appropriate State Planning Agency.



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CHAPTER 1. PREVENTION PROGRAMS

1. SCOPE OF CHAPTER. This chapter includes descriptions of grant programs and other LEAA activities (technical assistance, training, testing) focused primarily on crime prevention.

Crime prevention includes a variety of community and official strategies for preventing criminal and delinquent behavior. It includes activities designed to protect people from becoming victims or to provide services to people vulnerable to becoming involved in criminal or delinquent behavior.

Activities in this chapter are designed primarily to be carried out by non-criminal justice agencies, although, in many cases, criminal justice agencies may be involved.

2. COMMUNITY ANTI-CRIME PROGRAM.

NOTE: At the time this Manual went to press, budget reductions for the Community Anti-Crime Program resulted in limiting Community Anti-Crime grants to continuations of previously funded projects. If additional funds become available, and it is possible to make new awards, LEAA will notify potential applicants. Before preparing applications for community anti-crime projects, contact the Office of Community Anti-Crime (address and phone number below) for advice.

- a. Program Objective. To assist community organizations, neighborhood groups and individual citizens to become actively involved in activities designed to prevent crime, reduce the fear of crime, and contribute to neighborhood revitalization.
  - (1) To establish NEW community and neighborhood based anti-crime organizations and groups which can mobilize neighborhood residents to conduct crime prevention activities.
  - (2) To strengthen and/or expand existing community and neighborhood based anti-crime organizations and assist existing organizations involved in community improvement efforts to develop anti-crime programs.
  - (3) To develop improved understanding and cooperation of crime prevention activities among criminal justice officials and neighborhood residents.
  - (4) To integrate neighborhood anti-crime efforts with appropriate community development activities.

b. Program Description.

(1) Problems Addressed.

- (a) Increasing social isolation of neighborhood residents resulting from a fear of crime has destroyed the feeling of community necessary for social order.
- (b) The lack of institutional vehicles for organizing community residents into groups which can conduct effective anti-crime programs.
- (c) Increased victimization of the elderly, a problem which is particularly amenable to community and neighborhood based solutions.
- (d) Lack of effective communication and cooperation among neighborhood residents and criminal justice officials.
- (e) Lack of coordination among community development efforts and anti-crime programs.

(2) Results Sought.

- (a) The mobilization of community and neighborhood residents into effective self-help organizations which can develop and conduct anti-crime programs within their communities and neighborhoods.
- (b) Neighborhood anti-crime efforts that promote a greater sense of community and foster social controls over crime occurrence.
- (c) Improved cooperation among community and neighborhood residents and criminal justice agencies concerning the crime problems of communities and neighborhoods.
- (d) Increased awareness and involvement of criminal justice agencies in resident-sponsored neighborhood crime prevention activities and increased opportunities for citizen input into the criminal justice system.
- (e) Integrations of community and neighborhood-based anti-crime programs with other community improvement and neighborhood revitalization programs such as housing, employment, etc.



- (f) The broad scale transfer of information about successful community and neighborhood-based anti-crime programs to other groups throughout the nation.
  - (g) A reduction in the fear of crime among community and neighborhood residents.
  - (h) A reduction in the victimization of community and neighborhood residents.
- (3) Hypotheses to be Tested.
- (a) The provision of financial and technical assistance to community and neighborhood groups will encourage and enable them to mobilize and involve residents in effective anti-crime programs which will prevent crime, reduce the fear of crime and improve cooperation among residents and criminal justice officials.
  - (b) Crime and the fear of crime can be reduced at the community level through increased coordination of anti-crime programming with other neighborhood revitalization efforts, e.g., social services and physical rehabilitation measures.
  - (c) Innovation born from necessity will provide new approaches to the reduction of crime.
- (4) Assumptions Underlying Program.
- (a) Fear of crime can motivate citizens to interact with each other and engage in anti-crime efforts.
  - (b) Many formal and informal neighborhood groups exist with the capability to work on citizen-based anti-crime projects. Supporting these groups as well as newly-forming groups can be an effective crime deterrent through the development of an institutionalized mechanism at the community level with a crime prevention focus.
  - (c) The formal criminal justice system by itself cannot control crime without help from neighborhood residents in fostering neighborhood-level social controls.

c. Program Strategy.

- (1) The program strategy is designed to ensure that funds get to the grass-roots, neighborhood level. It will accommodate newly forming community and neighborhood-level anti-crime groups and encourage existing groups involved in other community improvement efforts to expand their activities to include crime prevention activities. This emphasis at the neighborhood level will be accomplished through two funding models:

(a) The Coalition Model.

- 1 One project type under this approach would consist of an existing community organization (for purposes of this program, community is assumed to be larger than neighborhood) serving as a catalyst to involve smaller, less formal neighborhood groups (block clubs, etc.) in a comprehensive community anti-crime program. The larger, more established organization serves as the coordinator of these grass-roots efforts involving smaller groups in program planning and development, integrating their funding needs into the project proposal, and assisting the smaller groups in project implementation. This approach might also be adapted to rural areas and states, including several jurisdictions. The larger organization is the grant applicant and is responsible for program and financial accountability. These applications should include copies of agreements which have been entered into with participating groups.
- 2 A variation of the above model could consist of a coalition of small neighborhood groups which band together to form a new incorporated non-profit community organization. It should be noted that the length of incorporation will not be the sole criterion for determining an applicant's potential to conduct a successful program.

(b) The Grass-Roots Model

Many community neighborhood groups are, themselves, genuine grass-roots organization consisting of neighborhood residents with elected congresses, etc. Established organizations of this type are eligible to apply as individual applicants, though they may choose to coalesce with other similar organization or to associate with a larger organization.

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- (2) Since the strategy of the program is to support community and neighborhood-based project designed to promote a collective response to crime at the neighborhood level, grants that deal only with the actions of citizens as individuals or provide service that in themselves do not contribute to the organization of the neighborhood. For example, grants will not be awarded for the sole purpose of increasing individual security by purchasing and installing locks and/or alarm systems on individual residences or SOLELY to provide services to juveniles or services to victims (rape, family violence, etc.).
- (3) Project elements. Applicants must describe the activities which they propose to carry out. This description should be included in Part IV of the application. (Appendix 5 provides additional instructions for completing the application form.)

THE TYPE OF ACTIVITIES LISTED BELOW ARE ONLY EXAMPLES. APPLICANTS ARE ENCOURAGED TO DEVELOP INNOVATIVE CRIME PREVENTION PROJECTS, MANY OF WHICH NEED ONLY THE LEADERSHIP OF THE COMMUNITY MANY OF WHICH MAY NOT BE LISTED BELOW. Projects will generally fall into three categories:

- (a) Programs addressing factors that have causal relationships to crime such as:
- 1 Youth crisis centers
  - 2 Projects to strengthen the family to discourage delinquency and criminality
  - 3 Community based programs for delinquents and offenders in need of services
  - 4 Community-based victim assistance programs
  - 5 Volunteer-based recreational programs, e.g., night-time supervision of available facilities.
  - 6 Neighborhood mediation centers
  - 7 Linkages to the police and courts with respect to alternative sanctions (community service orders, for example)
  - 8 Programs that provide community-based support for ex-offenders.
- (b) Programs that emphasize the reduction of crime opportunities such as:
- 1 Block watch programs
  - 2 Tenant security programs
  - 3 Escort services for the elderly
  - 4 Child protective services
  - 5 Residential security education

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- (c) Programs consisting of a particularly innovative approach to a single crime problem which is particularly severe in the applicant's neighborhood. APPLICANTS MUST DEMONSTRATE why this single problem approach is justified and the project must contribute to the organization of neighborhood residents.
  - (d) As a general rule, LEAA will not fund applications of type (a) or (b) which are limited to a single crime prevention activity through the Community Anti-Crime Program. The Community Anti-Crime Program is not solely a target-hardening program (for example, marking valuables) or a recreation program for juveniles. However, if activities like these are integrated into a multi-service model which includes several activities they are permissible. Particular emphasis should be given to programs which are causally related to the prevention of crime and which stand some likelihood of being institutionalized in the community. Further, such activities must be conducted primarily by community residents, not by formal agencies.
  - (e) Projects must consist of a planned approach with evidence of substantial input from neighborhood residents in the identification of crime problems and assessment of needs.
  - (f) Project must have an action orientation, involving volunteers in anti-crime projects. The conduct of meetings, training, and conferences alone will not be considered sufficient.
  - (g) Projects must consist of activities that can reasonably be assessed as having the potential for crime prevention. Applicants must describe how their activities will impact on the crime problems in their communities.
  - (h) Project activities must be cost-effective, i.e., staffing patterns and cost must be a reasonable investment compared with the expected results of the project.
  - (i) Projects must consist of an integrated group of activities which complement and reinforce each other.
- (4) Data and information required in applications. All applications must provide the following information. It should be included in Part IV of the application (See Appendix 5 for additional instructions for completing the application).

- (a) If an applicant is applying in accordance with Coalition Model described in Paragraph 2c(1)(a), above, the application must include a description of the method for making funds available to neighborhood groups within the community. The application must include a description of the participating neighborhood groups, the amount of funds which will be utilized by each group and the specific anti-crime projects that each group will conduct.

Every effort must be made to involve all smaller groups (block clubs, etc.) within the target community. Applicants must document the steps taken to seek out and encourage such groups to participate and be fully involved in the project. Coalition applicants must provide "seed money" to such groups; this outreach effort will be a principal criterion in determining those applicants selected for an award.

- (b) If an applicant is applying as a "grass roots" community/ neighborhood organization (See paragraph 2c(b)) it must demonstrate that it is located within the community to be served and that its membership consists of neighborhood residents.
- (c) Include geographic definition of the community and its neighborhoods to be served and, TO THE EXTENT POSSIBLE, a community profile including but not limited to such factors as crime rates, general economic conditions, percent of elderly residents, etc.
- (d) Include a description, if applicable, of other anti-crime programs operating in the community and an explanation of how the proposed program relates to these other programs.
- (e) Describe the relationship of the proposed anti-crime activities with other federal, state, local community improvement efforts.
- (f) Include evidence that the local criminal justice agencies in the community have been consulted regarding the proposed activities.

d. Dollar Range and Number of Grants

- (1) Up to 60 continuation ranging from \$25,000\* to \$175,000 depending on the number of neighborhood groups participating project activities.

\*NOTE: \$25,000 is not a required minimum.

- (2) There is no matching requirement (grantee contribution) for this program.
- (3) All grants will be for periods of 12 months.
- (4) Refunding consideration will be based on an evaluation of the project's success in mobilizing community residents to engage in anti-crime activities and where measurable, its impact on deterring crime, reducing the fear of crime and improving cooperation among neighborhood residents and criminal justice officials. An additional criterion will be the extent to which grantees can demonstrate steps taken to institutionalize their program.

e. Eligibility to Receive Grants.

- (1) All applicants must be incorporated non-profit community/neighborhood organizations. Smaller neighborhood groups participating in a coalition model with an incorporated applicant need not be incorporated.
- (2) Grants will not be awarded to State or local units of government or their agencies. The provisions of Paragraph 4 of Appendix 2, and Paragraph 5, Appendix 3, regarding State Planning Agency participation, do not apply to this program.
- (3) As a general rule, grants will not be awarded to more than one community organization serving as a coordinator of neighborhood projects within a similar geographic area. In areas where there are two or more community organizations, each must demonstrate that coordination exists and that their activities are not duplicative.

f. Deadline for Submission of Applications.

- (1) Continuation grants will be awarded to grantees who have conducted successful projects. It is estimated that such grants will be awarded at 50 to 70 percent of the first year's funding level. Applicants should apply at least 90 days prior to end of their current grant period.
- (2) A portion of the FY 79 funds will be allocated for a national competition for new grantees. Applications for new projects must be received by December 31, 1978.
- (3) Applications are to be submitted to Grants and Contracts Management Division, Office of the Comptroller, 633 Indiana Avenue, NW, Washington, DC 20531, for logging and referral to the Office of Community Anti-Crime Programs. Copies of the application should also be sent to the appropriate State Planning Agency and the local/regional criminal justice planning units. These agencies will be invited to comment on the application but endorsement of the applications by those agencies is not required.
- (4) A-95 Review (Appendix 1, Paragraph 12e) is applicable to this program.

g. Criteria for Selection.

- (1) Programmatic. Projects will be judged on the extent to which they include the project elements outlined in Paragraph 2c, Program Strategy.
- (2) In addition to the programmatic substance requirements, applicants will be judged on their organizational qualifications to conduct the proposed projects. Newly forming organizations will be judged primarily on criteria (d) and (e) listed below.
- (3) Organization Criteria
  - (a) Experience in community organization efforts.
  - (b) Experience in crime prevention efforts.
  - (c) Experience in managing other Federal/state/local programs.

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- (d) Evidence of a sound financial management capability as shown by an explanation of the organization's capability to plan and administrator Federal funds.
  - (e) Soundness of organizational structure, including the existence of such officers as president, secretary-treasurer; bylaws, etc.
- (4) Consideration will be given to geographic distribution of projects and a mix of jurisdictional sizes and types.

h. Evaluation Requirements.

- (1) An independent national evaluation of this program is being conducted by an independent contractor selected by the National Institute of Law Enforcement and Criminal Justice. The contractor and LEAA will select projects for inclusion in the national level evaluation.
- (2) In addition to the self-assessment and monitoring requirements of Appendix 4, Paragraphs 3 and 4 and Appendix 5, all applicants must propose an evaluation plan for their project containing the evaluation plan elements detailed in Appendix 4, Paragraph 6.
- (3) Grant recipients may be required to modify their proposed project specific evaluation plans in order to be integrated into the national level program evaluation design to be developed by the independent national contractor.
- (4) All grantees must indicate in advance their willingness to cooperate fully with the national contractor to participate in the program evaluation.

i. Special Requirements.

- (1) The Community Anti-Crime Program has a technical assistance component which provides ongoing help in project implementation to grantees at no cost. Types of assistance depend on grantee needs. All successful applicants must agree to participate in this training and technical assistance program. Each application should include a description of what the technical assistance needs of the project will be during the project start-up and project implementation phases.



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- (2) Applicants who do not have an accounting system are advised to include in the grant request the services of a certified public accountant to set up such a system and certify that it is sufficient to ensure proper receipt, obligation, and expenditure of Federal funds.
  - (3) Applications should include travel and per diem funds for two out-of-state regional training conferences for three project-personnel and two trips to Washington, DC, for three project-personnel.
- j. Contact. For further information about the Program, contact the Office of Community Anti-Crime Programs, Law Enforcement Assistance Administration, Washington, DC 20531. (202/376-3985)

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3. COMPREHENSIVE CRIME PREVENTION PROGRAM.

a. Program Objective. To test the effect of establishing well-planned, comprehensive, multifaceted crime prevention programs in medium size local jurisdictions through:

- (1) Coordinating available criminal justice and noncriminal justice governmental resources (e.g., social service agencies, schools, housing agencies, employment services, juvenile advocacy programs and services) in a concentrated crime prevention effort; and
- (2) Enlisting and integrating business, industry, citizen, civic and neighborhood organizations, and other private resources in a coordinated crime prevention effort with criminal justice and noncriminal justice governmental resources in a local jurisdiction.

b. Program Description.

- (1) This program is a successor to many crime prevention programs and research funded by LEAA, each designed to test the validity of a single crime prevention technique or theory. Techniques which have been proven successful in preventing crime against persons and property are combined in this program along with techniques designed to deter young persons from criminal pursuits and reduce alienation in society.
- (2) The general purposes of the program are:
  - (a) To demonstrate the efficacy of controlling crime problems in a specific locality by identifying problems, developing coordination mechanisms and commitment, developing a wide range of programs to respond to identified problems, and implementing the programs throughout the local government jurisdiction.
  - (b) To gain increased knowledge about the management of crime prevention strategies and implementation techniques.
  - (c) To promote and effect improved coordination program planning and implementation among Federal agencies having an interest or responsibility in crime prevention.

(3) Problems Addressed.

- (a) There are a growing number of public agencies and private organizations involved in some type of crime prevention activity throughout the nation. Hundreds of police departments have established crime prevention bureaus in recent years. Other public agencies, civic groups, neighborhood organizations and national organizations are instituting programs in increasing numbers. Many of these efforts meet with only limited success, often because of their inability to reach and involve citizens, and because of a lack of coordination between the public agencies and private groups.
- (b) LEAA sponsored research indicates that there is a lack of citizen action and involvement in reducing the risk of being victimized. Citizens are not taking appropriate and adequate measures, both individually and in concert, which will not only reduce their own vulnerability but also lower their fear of being victimized. The absence of citizen involvement in crime prevention efforts in their communities and with the criminal justice system also impedes the effectiveness of programs to prevent and control crime.
- (c) LEAA victimization surveys in eight U.S. cities show that 63 percent of the respondents believe their chances of being victimized have increased. This study also indicates that nearly half of those surveyed feel unsafe in their neighborhood at night and have limited or changed their activities because of the fear of crime.

(4) Results Sought. In the jurisdictions selected for project implementation, efforts will be made to:

- (a) Successfully integrate government criminal justice and noncriminal justice resources with private business, industry and citizen resources in a comprehensive and coordinated approach to crime prevention.
- (b) Increase local jurisdiction capacity to impact on crime prevention through sound crime data analysis, broad based multidiscipline planning and total community involvement.
- (c) Increase community cohesion and involvement in community crime prevention programs.

- (d) Reduce public fear of crime.
  - (e) Discourage juvenile involvement in criminal and delinquent activity.
  - (f) Improve Federal agency coordination in crime prevention planning and implementation strategies.
- (5) Hypotheses to be tested.
- (a) A combination of crime prevention strategies, designed to respond to the specific crime problems of a locality and implemented simultaneously throughout the community will make each program element more effective in preventing crime and reducing the fear of crime in that community.
  - (b) The provision of financial and technical assistance to local government, community and neighborhood groups, will encourage and enable them to mobilize and involve residents and criminal justice agencies in cooperative and effective crime prevention programs.
  - (c) Crime and the fear of crime can be reduced citywide and at the neighborhood level through increased coordination of comprehensive crime prevention programming with other city and neighborhood revitalization measures.
  - (d) The coordination of Federal agencies (e.g., LEAA, HUD, HEW, DOL, ACTION, CRS, Urban Reinvestment Task Force) can result in a more effective and comprehensive use of crime prevention resources.
- (6) Assumptions Underlying Program.
- (a) The leaders of a city's public and private sectors are concerned about the city's overall crime problems, and are willing to work cooperatively on a program to reduce the problems citywide.
  - (b) Efforts to coalesce leaders of the public and private sectors will be most productive if, first, the city's crime problems are spelled out in detail and, second, the leaders are involved from the outset in identifying and analysing the problems, designing multidisciplinary strategies to attack the problems and in implementing those strategies.

- (c) The kind of coalition needed for this effort requires the commitment of the city's chief executive, plus key leaders of the criminal justice system, of other government agencies, of the business community, and of the private voluntary sector. As the program moves toward implementation, additional leaders from the public and private sectors will join in the cooperative effort.
- (d) Programs designed in this manner will have two characteristics: They will include a mix of previously-tested and newly-invented crime prevention activities; and the strategies will be aimed at all citizens in the city, as well as at selected clusters of citizens or crime targets which are especially vulnerable. Because a number of programs will be operating simultaneously, they will tend to reinforce each other, thereby increasing each component's effectiveness.

C. Program Strategy.

- (1) After sound data analysis and broad-based, multiorganizational planning, all project sites will implement a broad range of crime prevention techniques tailored to the specific crime problems of the jurisdiction, including strategies to prevent crimes against residences, crimes against businesses, and crimes against persons. Special emphasis will be given to crimes against the elderly and crimes involving youth.
- (2) Project Elements. The primary elements of all projects must include:
  - (a) Demonstration of sound data analysis and a detailed description of how the various components of the city will participate in the planning and implementation phases, and how these elements will be programmatically coordinated.
  - (b) Problem identification through crime analysis and citizen surveys.
  - (c) Assessment, recruitment, and coordination of all Federal, state and local resources including major citizen components, which can be utilized in a broad effort to prevent crime.

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- (d) The development of individual program components to address the specific crime problems of the jurisdiction, utilizing the resources previously assessed and recruited. These components may include such strategies as "Neighborhood Watch," "Operation Identification," citizen patrols, security inspections, antishoplifting campaigns, awareness and education programs, crime prevention for the elderly, volunteerism, victim-witness programs, employment and recreational programs for youth, escort services, and improved environmental design concepts.

The Comprehensive Crime Prevention Program will make available to interested applicants additional, suggestive program ideas.

(3) Data and Information Required in Applications

- (a) Description of past and present crime prevention efforts, e.g., local efforts, state assistance, Federal assistance (LEAA, HUD, CETA, etc.).
- (b) Description of present crime analysis capability or of plans to establish such a capability.

For applicants proposing to improve their crime analysis capabilities under a Comprehensive Crime Prevention Program grant, a description of the improvements to be made and the methods whereby crime prevention programs will be revised or refined based on the improved crime analyses.

- (c) Evidence of how the program strategies proposed in the application are related to the best available analyses of local crime problems.
- (d) With respect to noncriminal justice government agencies, evidence of how their administration of state and Federal aid programs will contribute to the city's Comprehensive Crime Prevention Programs.
- (e) A workplan and flow chart diagram which outlines the organizational structure, or mechanism, for coordinating crime prevention activities between the local government and nongovernment groups.

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- (f) Description of the prevention strategies adopted, with specific attention focused on crimes against the elderly and crimes involving youth.
- (g) Evidence of willingness to participate in and to support the program by criminal justice agencies, other agencies of local government, the business community, and the private voluntary sector.

d. Dollar Range and Number of Grants.

- (1) Up to 15 grants will be made ranging from \$200,000 to \$300,000 each. Additional funds may be available for specific community and neighborhood level anti-crime groups and juvenile and delinquency prevention components. Grants will be for a period of 12 months.
- (2) All grants will require cash match of 10 percent (10%) of the total project, except such components as may be funded by the Community Anti-Crime Program or by OJJDP which require no match.
- (3) Continuation funding will be considered for those projects which demonstrate satisfactory progress toward their stated goals.
- (4) The Office of Juvenile Justice and Delinquency Prevention will review all juvenile and delinquency prevention components.

e. Eligibility to Receive Grants. Local units of government in medium size urban areas. This would include jurisdictions with populations in the range of 150,000 to 500,000. Local governments larger than this may be considered if project activities are to be carried out within administratively discreet geographical portions of the urban area.

f. Deadline for Application Submission. Applications must be received by March 15, 1979.

g. Criteria for Selection of Projects.

- (1) Extent of comprehensiveness of approach to crime prevention.
- (2) Uses made of other Federal funding. Special consideration will be given to those cities with public housing agencies that are participating in the HUD Comprehensive Anti-Crime Demonstration Program.

- (3) Crime analysis capability or the willingness to develop such a capability.
- (4) Extent of documentation of serious crime problems.
- (5) The strength of support for the program by criminal justice and other government agencies, plus the business community and private, voluntary sector.

LEAA will also consider diversity of location and size among applicants in making grant awards.

h. Evaluation Requirements.

- (1) An independent national evaluation of this program is planned.
- (2) In addition to the self-assessment and monitoring requirements of Appendix 4, Paragraphs 3 and 4 and Appendix 5, all applicants must propose an evaluation plan for their project containing the evaluation plan elements detailed in Appendix 4, Paragraph 6.
- (3) Grant recipients may be required to modify their proposed project specific evaluation plans in order to be integrated into the national level program evaluation design to be developed by the national contractor.
- (4) All grantees must indicate in advance their willingness to cooperate fully with the national contractor to participate in the program evaluation.

i. Contact.

Office of Community Anti-Crime Programs  
Law Enforcement Assistance Administration  
Washington, D.C. 20531  
202/376-3694



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4. FAMILY VIOLENCE PROGRAM.

- a. Program Objective. The objective of this program is to provide support for several comprehensive program models designed to test appropriate and effective responses to family violence.
  - b. Program Description. Financial and technical support will be provided for comprehensive urban and rural projects to test the effectiveness of a community-wide approach involving the active participation of all relevant criminal justice, social service, medical and mental health agencies, and coordinating their activities in accordance with a specific program design.
- (1) Problem addressed. This program is aimed at violence which occurs between members of the same family or between persons who live together in the same household. This includes spousal abuse, child abuse, sexual abuse of children, abuse of parents by children, and other forms of intra-family violence.

It has been well established that these crimes are interrelated, often occurring in the same family, yet there has been little programming which responds to the needs of entire families, or which formally coordinates a community's domestic violence and child abuse programs.

Because of the nature of these crimes, most go unreported; for those that do come to the attention of the authorities, documentation is inadequate or non-existent, making it impossible to determine the actual incidence of crime. However, the few statistics and estimates that are available show that there is a shockingly high incidence of these crimes and that they present a tremendous burden to the justice system in terms of assaults and homicides of police officers and utilization of police resources. The justice system, as well as the medical and social service system, have given these problems low priority and have failed to adequately respond to the needs of these families.

- (2) Results sought.
- (a) Reduction in community acceptance of intra-family violence.

- (b) Increased reporting of incidents of intra-family violence and documentation of the extent, nature and interrelationship of these crimes.
  - (c) The demonstration of an effective mechanism for institutional coordination among police, prosecutor, protective services, welfare, hospitals, community mental health, and other relevant public and private agencies and community organizations to respond to family violence situations.
  - (d) Documentation of the needs of these families and the development of methods to address these needs, including a reallocation of existing services as well as creation of new services.
  - (e) Improved knowledge, skills, and cooperation of medical and social service agency personnel in the collection and transmission of evidence and information to the legal system in cases of intra-family violence.
  - (f) Reduction in the number of repeat calls to the police related to family disturbances.
  - (g) An increase in the prosecution of cases involving repeated violence of a severe nature.
  - (h) The establishment of community corrections, pre-trial diversion, and other programs specifically designed to improve the criminal justice system's handling of these cases.
  - (i) Reduction in the number of intra-family homicides and serious assaults.
- (3) Hypothesis to be tested. Intra-family violence will be reduced and prevented by a reduction in community acceptance of these crimes and by the provision of a wide range of programming to effectively respond to these families through the coordination of all concerned public and private agencies.
- (4) Assumptions underlying the program.
- (a) The justice system has the responsibility to protect citizens from victimization regardless of whether the crime occurs between strangers or between family members.

- (b) The justice system has a central role in any community-wide effort to combat family violence; however, in order to be effective, justice system programs must be supported by parallel activities in other community agencies and institutions.

c. Program Strategy.

- (1) This program will support up to five urban projects and up to eight rural projects which demonstrate community-wide approaches involving the active participation of all relevant public and private agencies. The program is aimed at coordinating and combining improved police response, more effective prosecution and community-correctional programs for serious cases and the provision of a broad range of mental health and social services for families in which victimization occurs. Grants will provide funds for the planning, coordination, and central data collection, as well as new criminal justice related and/or social service agency components necessary for a comprehensive approach.

All proposed new projects must include plans for specific improvements in the criminal justice system's handling of family violence cases and describe how the authority of the justice system will be used in conjunction with new or existing mental health and social service agency activities.

Applications must include a strategy for coordinating existing programs which have proved successful, improving or eliminating ineffective program activities, and adding new services, procedures or functions, as needed. Applications must also include a plan for evaluation to be conducted by an individual or organization independent of the project and a plan for institutionalization of project activities.

- (2) Project elements. The following elements must be included in projects. They should be described in Part IV of the application. (See Appendix 5 for further instructions for completing Part IV of the application.)
  - (a) An administrative component responsible for overall administration of the project, program planning, coordination, personnel matters, the management of any other grants, subgrants or contracts and uniform data collection. The data to be collected should document the extent and nature of family violence and the interrelationships of spousal abuse, child abuse, and other forms of domestic violence as well as a plan for tracking these cases through the criminal justice system.

- (b) An advisory committee, made up of policy makers from each participating agency and from the community, which will coordinate project activities, training, and program planning.
- (c) Individual police, court, corrections, and family services components to provide as many as possible of the following services:
  - 1 Police: Crisis intervention, protection for victims and social service referrals.
  - 2 Prosecution: Vigorous prosecution of selected cases, special services to encourage victim and witness cooperation, and alternative methods for dealing with these cases, including pre-trial diversion programs, counseling and social service referrals, and arbitration and mediation programs.
  - 3 Legal: Legal representation if necessary, for restraining or protective orders and related matters.
  - 4 Court: Increased access to courts and more timely hearings made possible by better case management and extended court hours.
  - 5 Corrections: Special probation and other community-based treatment programs, possibly including work release and week-end jail programs for selected offenders.
  - 6 Family Services: 24-hour hotline; shelter for battered women and their children; day care facilities; mental health and social services; employment counseling, training and placement; and self-help groups such as Alanon and Parents Anonymous. Although sufficient funds are not available to support all these services, they are necessary for a comprehensive approach. Applicants should specify whether these services already exist, are new and will be supported by a reallocation of existing resources, are to be paid for out of the grant, or will be supported by some other source.
- (d) A public information/media component aimed at informing the community of the intent and nature of family violence, increasing reporting, and reducing community acceptance of intra-family violence.

- (e) A training component responsible for improving the knowledge and skills of selected criminal justice, medical and social service agency personnel in the proper handling of intra-family violence cases.
  - (f) All participating agencies must keep accurate records of pertinent case data, project activities, costs, time and outcomes. Such record keeping must comply with applicable Federal, State and local privacy requirements.
- (3) Applicants should provide the following data and information to the extent possible. Applicants representing more than one jurisdiction should build their problem statement on statistics from the largest jurisdiction but include statistics and information on smaller jurisdictions where feasible. It should be included in Part IV of the application (see Appendix 5 for further instructions for completing Part IV of the application).
- (a) Number of initial and repeat police disturbance calls.
  - (b) Number of initial and repeat formal complaints filed by or on behalf of victims of family violence.
  - (c) Number of intra-family homicides and recorded assaults including wives against husbands, husbands against wives, parent against child and child against any family member.
  - (d) Any available data on the number and kind of cases which are prosecuted and the disposition in these cases.
  - (e) Description of the community's existing programs and services dealing with family violence and significant gaps in programming.
  - (f) A description of existing legislation or agency rules and regulations which would adversely affect project effectiveness, a strategy for how these problems will be overcome, and what steps can be made to change these law and regulations.
  - (g) Information concerning the time and money expended on family violence cases by the police, prosecutor, hospitals, protective services and other agencies.
  - (h) Plan for uniform data collection from the participating agencies.
  - (i) A description of the training currently being provided and the materials being used.

- (j) Written statements from officials of each of the following agencies, describing the nature and extent of each agency's commitment to participate in the project and to institutionalize project activities after LEAA funding ends:

- 1 Judiciary
- 2 Police
- 3 Prosecutor
- 4 Corrections
- 5 Hospital Emergency Services
- 6 Community Mental Health
- 7 Public and Private Social Services
- 8 Welfare (both public assistance and protective services)
- 9 Community groups

d. Dollar Range and Number of Grants.

- (1) Up to five grants to urban areas ranging from \$100,000 to \$300,000.
- (2) Up to eight grants for rural areas ranging from \$75,000 to \$150,000.
- (3) New grants will be awarded on a 18 month basis, with consideration for an additional 18 months based on review of the independent evaluation and agency monitoring. The first 18 months requires a 10% cash match and the second 18 months a 35% cash match. Continuation of projects funded in FY 78 will be for one year with a 25% cash match.

e. Eligibility for Projects.

- (1) Units of local government or combinations of such units.
- (2) Incorporated non-profit agencies or organizations.
- (3) Applicants applying for urban grants must be for communities with populations over 100,000. Cities of a large population could consider a neighborhood or other designated area within the city as a community.

- (4) Applicants applying for rural areas must be for communities of 50,000 or less or a group of small communities of no more than 75,000.
- f. Deadline for Submission of Applications. Applications for new grants must be received by March 2, 1979. Panel Review Selection process will be used (See Appendix 2, Paragraph 6).
- g. Criteria for selection of projects.
- (1) Extent of evidence of a broad base of community support.
  - (2) Extent of significant family violence problem in the community to be served as documented in the application.
  - (3) Extent of the comprehensiveness of the proposed approach and extent to which project elements required in Paragraph 49c, above, are included.
  - (4) Extent of baseline data to assess project impact.
  - (5) Extent to which applicants have been able to obtain a broad-base of financial support for project activities such as contributions from civic organizations, grants from private foundations, other federal grants, and state and local support for individual project components.
  - (6) Extent to which the proposed project includes specific improvements in the criminal justice system's handling of these cases.
  - (7) Extent to which objectives are specific and measurable, activities planned are quantifiable and adequate resources are available to accomplish the objectives.
  - (8) Extent to which the estimated cost of the project is reasonable considering the activities planned and the results anticipated.
- h. Evaluation Requirements.
- (1) An independent national evaluation of this program is planned to be undertaken by an independent contractor selected by the National Institute of Law Enforcement and Criminal Justice. The contractor and LEAA will select projects for inclusion in the national level evaluation.

- (2) In addition to the self-assessment and monitoring requirements of Appendix 4, Paragraphs 3 and 4 and Appendix 5, all applicants must propose an evaluation plan for their project containing the evaluation plan elements detailed in Appendix 4, Paragraph 6.
  - (3) Grant recipients may be required to modify their proposed project specific evaluations plans in order to be integrated into the national level program evaluation design to be developed by the independent national contractor.
  - (4) All grantees must indicate in advance their willingness to cooperate fully with the national contractor to participate in the program evaluation.
- i. Special Requirements.
- (1) Grantees must agree to participate in LEAA supported technical assistance activities aimed at strengthening the family violence program.
  - (2) If applicant is an incorporated non-profit organization, there must be evidence of at least three years effective programs and responsible fiscal management.
- j. Contact. Background papers and additional information is available. For information, contact:

Program Manager, Family Violence Program  
Special Programs Division  
Office of Criminal Justice Programs  
Law Enforcement Assistance Administration  
Washington, D.C. 20531  
(202) 376-3550



5. COMMERCIAL SECURITY PROGRAM TEST.

- a. The National Institute of Law Enforcement and Criminal Justice (NILECJ) is conducting a test to determine the effectiveness of a commercial security strategy composed of various program elements. The test design would draw upon the results of two NILECJ demonstration efforts (the Crime Prevention through Environmental Design program in Portland and the Robbery Deterrence program conducted in 24-hour convenience stores in Southern California), the Prescriptive Package on Security Techniques for Small Businesses, and the NEP on Security Surveys.
- b. Applications are not being sought for these tests. NILECJ will select potential sites according to specified criteria and the nature of the test design. Coordination of this effort with state and local units of government will be initiated by NILECJ.
- c. To obtain a copy of the test design when it is available, write to:

Office of Development, Testing, and Dissemination  
National Institute of Law Enforcement and Criminal Justice  
Law Enforcement Assistance Administration  
U.S. Department of Justice  
Washington, D.C. 20531

6. RESERVED.

7. TECHNICAL ASSISTANCE IN CRIME PREVENTION.

a. Community Anti-Crime Program.

- (1) The Program has several technical assistance resources that can provide assistance to community and neighborhood groups in developing and implementing community anti-crime programs. Assistance ranges from orientation on the Community Anti-Crime Program (including application preparation) through substantive project development to assistance in the administrative and programmatic aspects of program implementation.
- (2) For information contact:

Office of Community Anti-Crime Programs  
Law Enforcement Assistance Administration  
Washington, D.C. 20531  
(202) 376-3985

b. Comprehensive Crime Prevention Program.

- (1) Technical assistance will be provided to urban areas that are selected to participate in this program. Assistance will address areas such as orientation on the Comprehensive Crime Prevention Program, substantive program design, and assistance in the administration and programmatic aspects of program implementation.
- (2) For information contact:

Office of Community Anti-Crime Programs  
Law Enforcement Assistance Administration  
Washington, D.C. 20531  
(202) 376-3694

c. Family Violence Program Technical Assistance.

- (1) The primary purpose of this technical assistance is to provide Family Violence grantees and interested applicants as well as other community organizations, neighborhood groups, and criminal justice agencies with assistance in dealing with sensitive crimes which include rape, sexual assault, sexual abuse of children, and intra-family violence.
- (2) Priority will be given to grantees under the Family Violence Program (Chapter 1, Paragraph 4). To the extent resources are available, assistance may be provided to other family violence programs.

(3) For information, contact:

Family Violence Program  
Office of Criminal Justice Programs  
Law Enforcement Assistance Administration  
Washington, D.C. 20531  
(202) 376-3550

8. TRAINING IN CRIME PREVENTION.

a. Community Anti-Crime Program.

- (1) The Texas Crime Prevention Institute (TCPI) offers a one-week course for representatives of community and neighborhood-based nonprofit organizations. Trainees are selected from among applicants for Community Anti-Crime grants whose proposals, though good, were not identified for funding due to the highly competitive selection process.
- (2) For further information about this training, contact:

Office of Community Anti-Crime Programs  
Community Anti-Crime Program  
Law Enforcement Assistance Administration  
Washington, D.C. 20531  
(202) 376-3653

b. Comprehensive Crime Prevention Program.

- (1) The National Crime Prevention Institute (NCPI) offers on-site training to criminal justice agencies in the techniques and methodology for organizing crime prevention units and for integrating media outreach into crime prevention programming.
- (2) For further information about this training, contact:

Office of Community Anti-Crime Programs  
Law Enforcement Assistance Administration  
Washington, D.C. 20531  
(202) 376-3694

9. RESERVED.

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CHAPTER 2. ENFORCEMENT PROGRAMS

10. SCOPE OF CHAPTER. This chapter includes descriptions of grant programs and other forms of LEAA assistance (e.g., technical assistance, training, testing) focused primarily on enforcement.

Enforcement includes activities related to the deterrence, detection, investigation, and control of crime and delinquency by State and local law enforcement agencies and related organizations.

Typical implementing agencies for programs included in this Chapter are State and local police departments, although others may be involved.

11. ANTI-FENCING PROGRAM.

- a. Objective. The Anti-Fencing Program is a response to the rising incidence of property crime rate experienced throughout the country and the significant role of the receiver of stolen goods (the fence) in the acquisition of stolen property, including determining what type of property is to be stolen, how much of it, and how the property is to be stolen. As a law enforcement strategy, the Anti-Fencing Program is structured to provide support for joint operations by participating Federal, state and local law enforcement agencies to identify and remove the fence and his organized criminal activities.

b. Results Sought.

- (1) It is expected that successful implementation of special anti-fencing operations will have the following results:
- (a) reduction of property crime in the jurisdiction;
  - (b) removal of fencing operations;
  - (c) apprehension of repeat offenders or career criminals;
  - (d) recovery of stolen property;
  - (e) savings to the taxpayer in prosecutorial and judicial resources incurred from large percentage of guilty pleas; and
  - (f) closing of thousands of cases ranging from burglary to rape and homicide.

- (2) Moreover, it is expected that anti-fencing operations will increase the benefits of Federal, state and local agency cooperation in addressing fencing and organized criminal activities within the jurisdiction.
- c. Project Selection. Most of the funds for this program in fiscal year 1979 have already been committed.
- d. For futher information, contact:

Director, Enforcement Division  
Office of Criminal Justice Programs  
Law Enforcement Assistance Administration  
Washington, D.C. 20531  
(202) 376-3990

12. ORGANIZED CRIME PROGRAM

- a. Objective. The Organized Crime Program is designed to assist state and local law enforcement agencies, through joint operations with Federal personnel, to (1) identify major criminal conspiracies, (2) apprehend and prosecute those who operate the conspiracy, and (3) seize the financial assets of the conspiracy to prevent its continuation. A criminal conspiracy is defined in this Program as an agreement between two or more individuals to achieve, by concerted action, either an unlawful objective or a lawful objective by unlawful means where the substantive crime may include, but is not limited to, the following activities: extortion, white collar crimes (major fraud), corruption, narcotics, labor racketeering, and witness and gangland murders.
- b. Results sought. It is expected that the implementation of this program will have the following results:
- (1) reduction of fractional and duplicative investigations and prosecutions,
  - (2) increased effectiveness of joint Federal, state and local cooperation,
  - (3) successful investigation and prosecution of major criminal conspiracies,
  - (4) access to and control of financial assets of conspiracies,
  - (5) increased use of civil remedies, and
  - (6) increased sharing of information among agencies at all levels.
- c. Project Selection. Most of the funds for this program in fiscal year 1979 have already been committed.
- d. For further information, contact:

Director, Enforcement Division  
Office of Criminal Justice Programs  
Law Enforcement Assistance Administration  
Washington, D.C. 20531  
(202) 376-3990

13. COMPREHENSIVE CAREER CRIMINAL PROGRAM: ICAP COMPONENT. The Comprehensive Career Criminal Program is designed to identify, apprehend, and give special handling to habitual, violent offenders.

A major emphasis of the program is systematic and coordinated efforts between police and prosecutors, through the combination of the former Integrated Criminal Apprehension Program (ICAP) and the Career Criminal Program.

Police departments with a strength of less than 1000 sworn officers are eligible for selection.

The Comprehensive Career Criminal Program is fully described in Chapter 3, Paragraph 22 of this Manual.



14. ARSON CONTROL TEST.

- a. The National Institute of Law Enforcement and Criminal Justice (NILECJ) will be conducting a test to determine the impact of various program strategies on the control of arson. Several testable issues will be selected from a Program Model on arson, and implemented in a number of test sites throughout the U.S. Issues to be considered include:
- (1) Alternative legislation which facilitates the investigation of arson and removes legal incentives for committing this crime.
  - (2) Alternative organization approaches (e.g., task force, strike force, etc.) which can be implemented for arson control.
  - (3) Alternative tactics for the investigation and deterrence of arson.
  - (4) Types of technical support and training available.
- b. Applications are not being sought for these tests. NILECJ will select potential sites according to specified criteria and the nature of the test design. Coordination of this effort with state and local units of government will be initiated by NILECJ.
- c. To obtain a copy of the test design when it is available, write to:

Office of Development, Testing, and Dissemination  
National Institute of Law Enforcement and Criminal Justice  
Law Enforcement Assistance Administration  
U.S. Department of Justice  
Washington, D.C. 20531

15-16. RESERVED.

17. TECHNICAL ASSISTANCE IN ENFORCEMENT. This paragraph describes the major technical assistance resources for enforcement available through LEAA.

a. Crime Analysis/Case Management Information Systems.

- (1) This technical assistance program is designed to provide technical assistance and guidance for organizing and updating police records and information system support for tactical crime analysis unit operations. Assistance is provided for establishing offense reporting systems, developing techniques for early suspect and crime series identification of repeat offenders, and implementing methods for increased apprehension and case clearance information for case management and prosecution.
- (2) State planning agencies will select agencies who require and will implement the technical assistance product. Assistance will be provided only to agencies that:
  - (a) Have or will establish tactical crime analysis units to serve police field operations.
  - (b) Will increase patrol officer responsibility for preliminary investigation, witness interview and evidence gathering.
  - (c) Have recognized deficiencies in report and information capabilities.
  - (d) Will document need and indicate by narrative how the technical assistance will be augmented operationally.
- (3) For information, contact:

Enforcement Division  
Office of Criminal Justice Programs  
Law Enforcement Assistance Administration  
Washington, D.C. 20531  
(202) 376-3990

b. Law Enforcement Emergency Technical Assistance.

- (1) Very limited technical assistance is available for requests of an emergency nature to provide on-site consultation for operating agencies in operational and management areas where an extreme crisis exists or is expected.
- (2) State Planning Agencies will screen and endorse requests. Assistance will only be provided to agencies that:
  - (a) Have a need that is truly of an emergency or crisis nature; and
  - (b) Fully detail, in writing when possible, the scope of the problem and type of assistance needed.
- (3) For information contact: Enforcement Division, Office of Criminal Justice Programs, Law Enforcement Assistance Administration, Washington, D.C. 20531. (202) 376-3990.

c. Bombing and Bomb Threat Response. Limited, short term technical assistance is provided by the FBI Bomb Data Center to law enforcement agencies in need of technical assistance in the areas of training, utilization of equipment, and procedures regarding bombings and bomb threats. For information contact:

FBI Bomb Data Center  
10th and Constitution Avenue, N.W.  
Washington, D.C. 20535

d. Terrorist Incidents. Technical assistance regarding response to terrorist incidents can be provided by the FBI to law enforcement agencies in need of such assistance. For information contact:

FBI Special Operations and Research Unit  
FBI Academy  
Quantico, Virginia

e. Communications Operations. Technical assistance is available to criminal justice agencies to improve communications operations. Priority areas include:

- (1) Regionalization of support services;
- (2) Improving out-of-vehicle communications for law enforcement personnel.
- (3) Improving efficiency of communications facilities and procedures for small and medium size agencies.

- (4) Support in the application of new technologies such as computer aided dispatch, mobile and portable digital communications systems, automatic vehicle location and patrol force allocation.

For information contact:

National Criminal Justice Information  
and Statistics Service  
Law Enforcement Assistance Administration  
Washington, D.C. 20531  
(301) 492-9050

f. Computer Crime.

- (1) A basic document describing computer crime and discussing relevant investigatory techniques and the legal status of computer crime under current statutory and case law will be prepared during FY 79. Technical Assistance and Training for law enforcement personnel in this area may also be made available. User documents describing computer techniques to detect or prevent frauds in public assistance programs will also be made available as well as documents describing computer techniques to analyze data relevant to large scale white collar crime prosecutions.

- (2) Contact:

National Criminal Justice Information and Statistics Service  
Law Enforcement Assistance Administration  
Washington, D.C. 20531  
(301) 492-9045

18. TRAINING IN ENFORCEMENT. This paragraph describes the major resources for training in enforcement available through LEAA.

a. Hazardous Devices Course.

- (1) Three-week basic courses and one-week refresher courses in techniques and methods of deactivating improvised explosive devices will be offered at Redstone Arsenal, Huntsville, Alabama.
- (2) Eligible participants are public safety personnel assigned to bomb deactivation duties.
- (3) For information contact:

Wayne Burnett  
Mississippi Criminal Justice  
Planning Division  
510 George Street, Suite 310  
Jackson, Mississippi 39201  
(601) 354-6330

b. Bomb Scene Investigation Training.

- (1) Four and one-half day courses in investigative methods to be utilized at bomb scenes will be held at the FBI Training Academy, Quantico, Virginia.
- (2) Eligible participants are bomb squad command and technical personnel.
- (3) For information contact: FBI resident officer in your area.

c. Management Seminars on Terrorism.

- (1) Five-day classes in anti-terrorism command training will be held at regional locations throughout the country.
- (2) Eligible participants are command and supervisory personnel from law enforcement agencies.
- (3) In Central States, for information contact:

Captain W. John Ryan  
Bureau of Training  
Illinois State Police Academy  
401 Armory Building  
Springfield, Illinois 62706  
(217) 786-6902

- (4) In Eastern States, for information contact:

Captain John Babick  
New Jersey State Police  
Training Academy  
Sea Girt, New Jersey 08750  
(201) 449-6000

- (5) In Western States, for information contact:

James Taylor, Director of Training  
Texas Department of Public Safety  
Training Division  
P.O. Box 4086  
Austin, Texas 78773  
(512) 452-0331 Ext. 387

d. Citizen Protection Training.

- (1) Seven-day classes to upgrade law enforcement methods in protective services are offered at the U.S. Secret Service Training Academy, Washington, D.C.
- (2) Eligible participants are command level police officers.
- (3) For information contact the U.S. Secret Service resident officer in your area.

e. Police Executive Program

- (1) Four-day classes in management training for law enforcement executives will be offered by the Police Foundation at various regional locations.
- (2) Eligible participants are chiefs of police and sheriffs from law enforcement agencies of jurisdictions exceeding 100,000 population.
- (3) For information contact:

Director, Police Executive Program  
Police Foundation  
1909 K Street, N.W., Suite 400  
Washington, D.C. 20006  
(202) 833-1460

f. National Sheriff's Institute

- (1) The National Sheriff's Institute is a training program for newly elected or appointed sheriffs. The Institute is a two week 80 hour course that provides concentrated training in management, leadership, budgeting and planning, jail management, and communication skills. A two and one-half day refresher course is also provided which concentrates on current issues in law enforcement management including productivity, personnel management, recruiting, salaries and classification.
- (2) For further information, contact:

National Sheriffs Association  
Suite 320  
1250 Connecticut Avenue, N.W.  
Washington, D.C. 20036

19. RESERVED.





### CHAPTER 3. ADJUDICATION PROGRAMS

20. SCOPE OF CHAPTER. This chapter includes descriptions of grant programs and other LEAA activities (technical assistance, training, testing) focused primarily on adjudication. Adjudication includes all activities in support of the operation of criminal, juvenile, and civil judicial institutions, from the highest State appellate court to trial courts of least jurisdiction. Pre-trial, trial, and sentencing procedures and related functions of the prosecution, defense and judiciary are included, as are non-judicial court administrative functions and programs providing non-legal services in lieu of continuing court intervention. Additionally, human service programs that provide alternatives to the formal adjudication process fall into the area of adjudication. Implementing agencies for these programs may include State or local courts and related agencies, and non-profit organizations.

21. COURT DELAY REDUCTION PROGRAM.

a. Program Objective. The objective of this program is to demonstrate methods to reduce criminal court case backlog and processing time while maintaining standards of fairness and due process.

b. Program Description.

(1) This program is an essential element of LEAA's court improvement strategy, and implements Section 307 of the Crime Control Act, which requires that the Administration and each State Planning Agency

"shall give special emphasis, where appropriate or feasible, to programs and projects . . . designed to reduce court congestion and backlog and to improve the fairness and efficiency of the judicial system."

This program is part of a long range LEAA effort to reduce criminal court delay and congestion, particularly at the pre-trial stage. Ongoing program efforts include:

(a) A national technical assistance effort through the National Center for State Courts, San Francisco Office. In the first phase, twenty-one jurisdictions have been examined to define criminal and civil case delay. Several trial courts will receive assistance in developing and implementing court delay reduction techniques.

- (b) On-going court delay demonstration projects including Clark County, Nevada and Detroit Recorder's Court.
  - (c) A comparative analysis of state speedy trial provisions, with six in-depth case studies and model speedy trial provisions, by Midwest Research Institute (Kansas City).
  - (d) On-going collection of state-by-state court statistics by the National Center for State Courts. Statistics include caseload, manpower, and other information useful to define delay.
  - (e) A series of prescriptive manuals for court managers on court management, particularly records, personnel, fiscal, and caseflow through LEAA's National Institute.
- (2) This program will support projects to reduce delay which are based on a thorough analysis of the applicant's court delay problem and which consider the entire range of causes contributing to court delay, whether or not the immediate solutions to problems fall within the province of the applicant's direct responsibility.
- (3) Problems addressed. Empirical research and professional opinions agree on some of the probable consequences of delay. The following social and litigant costs have been ascribed to delay:
- (a) Jail overcrowding costing millions of dollars per year. A sizeable percentage of all jailed persons are pretrial detainees, and custody periods for some are unduly long;
  - (b) Abuse of defendant rights, and of the public's right to security: poor defendants facing long pre-trial jailing, and dangerous defendants released for long periods pending trial;
  - (c) Inefficient court operations, victim/witness frustration, and diminished public confidence in the courts;

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- (d) Weakened deterrent and rehabilitative potential of the criminal justice system; and
  - (e) Deterioration of evidence, including that provided by witnesses, for use during trial.
- (4) Assumptions.
- (a) Growth in criminal caseloads is a major reason for increases in criminal trial court delay and backlog. Court resources have generally not kept pace. However, since resources are likely to remain limited, reductions of delays will most likely be found through increased productivity, new procedures and practices, and the development of new attitudes toward a comprehensive treatment of delay.
  - (b) Delay may be reduced where from time of filing in civil matters or initial appearance in criminal proceedings the court itself enforces deadlines applicable to pleadings, monitors the completion of discovery, promptly resolves pretrial motions, sets firm dates for pretrial and trial appearances, and refuses to grant continuances except in the most extreme emergencies which are specified by court rule or policy.
  - (c) Delay may be reduced where new incentives, or rules, for all participants, particularly lawyers, are developed which reduce the potential advantage to any party of delay in proceedings.
  - (d) Crash programs which result merely in incremental resources for court system agencies have only a short term ameliorating effect on the complex problem of delay.
- (5) Results Sought.
- (a) The major result of this program will be the reduction in elapsed time between the following criminal case events (using median time):
    - 1 Arrest
    - 2 First court appearance

- 3 Preliminary hearing (if applicable)
- 4 Bindover from the court of limited jurisdiction (if applicable)
- 5 Indictment or information (as applicable)
- 6 Arraignment
- 7 Commencement of trial
- 8 Verdict or non-trial disposition
- 9 Sentence

(b) A second result sought is the reduction of criminal court backlog, or the number and percentage of pending cases over a certain age, (e.g., 90 days).

- c. Program Strategy. This program employs a two phased approach. Phase I is a planning and analysis period during which local jurisdictions, with LEAA assistance, will select appropriate methods to address their court delay and backlog problems.

Phase II will be an implementation stage for a small number of selected sites. LEAA assistance will be available for Phase II efforts to improve staff, establish control procedures, technical assistance and training.

(1) Phase I: Planning and Analysis

- (a) The objectives of Phase I grants are to assess current court delay and backlog problems and develop a comprehensive strategy addressing the needs of the particular jurisdiction through analysis of the following (examples only):

- 1 Balance between resources and rising caseloads;
- 2 The perception of delay by participants (e.g., victims, witnesses, judges, prosecutors);
- 3 Characteristics of the defendant (e.g., indigency, bail status);
- 4 Concentration of the defense bar (attorney type);

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- 5 Excessive number of decision points (e.g., delay in grand jury, municipal court preliminaries, etc.);
- 6 Prosecutor/police relations, and quality of investigation (e.g., lab work);
- 7 Prosecutor screening and settlement procedures, diversion, discovery practice;
- 8 Type of calendaring system and witness notification procedures;
- 9 Use of court information system;
- 10 Monitors practice, and continuance policy;
- 11 Time limits set and enforced;
- 12 Need for substantive law reform (e.g., decriminalization of alcohol-related cases);
- 13 Quality of cases before the court (i.e., appropriate for judicial decision making); and
- 14 Processing and control of cases in Clerk's Office.

(2) Phase II. Comprehensive Program Implementation

- (a) The objective of Phase II is to implement comprehensive strategies to reduce court delay and backlog, as developed in Phase I or an independent planning effort.
- (b) Applicants are advised that all delay-reduction strategies should be pursued in a way that ensures that there is no diminution in the quality of case processing and due process guarantees.
- (c) It is imperative that the application show an appreciation of the interdependence of different actors within the court environment, and the implications of certain delay-reducing strategies (e.g., effect upon civil case processing, appellate delay, differential treatment of jailed vs. non-jailed defendants). Consequently, this program presupposes a systemic treatment of delay.

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(d) Preparatory to developing a strategy, a court jurisdiction should consider some of the following:

- 1 Identify procedural, rule, or legislative changes affecting the control of unnecessary continuances, effective speedy trial procedures, attorney/police/witness conflicts or unavailability;
- 2 Specify calendar and caseload management practices;
- 3 Explore early case ranking and prosecutor screening of case;
- 4 Review alternatives to or change in the use of grand juries;
- 5 Consider abolition of trial de novo appeals from limited courts;
- 6 Consider expanded use of trials based on stipulated facts or transcripts of probable cause hearings;
- 7 Develop use of felony "conferencing" procedures.

d. Dollar Range and Number of Grants.

- (1) Phase I - Up to twelve sites will receive grants ranging from \$5,000 to \$20,000 for periods up to twelve months to develop implementation plans for court delay reduction. Short term technical assistance in technical areas can also be provided by LEAA.
- (2) Phase II - Up to seven jurisdictions will be selected by LEAA to participate as court delay reduction demonstration projects, based upon Phase I plans or previous planning efforts carried out in the jurisdiction. Phase II grant awards will range in size from \$50,000 to \$250,000. Phase II awards will be used to support the full range of activities needed to meet new case processing standards, and to institutionalize efficient case processing procedures. Projects of 18 months duration are expected with the possibility of follow-up funding to complete implementation.

- e. Project Eligibility. State court systems, local courts serving populations of 200,000 or over, local agencies engaged in planning or support of court operations, and non-profit organizations.

Applications must have the endorsement of local and state court leaders.

- f. Application Submission Procedures and Deadlines. Prospective applicants for Phase I (planning) must submit concept papers by December 1, 1978, outlining specific court delay and backlog problems perceived, the proposed organization and methodology of the study, and the commitment of the court to implement recommendations for improved case processing. Applications for Phase I must be received by February 2.

Applicants for Phase II (implementation) must submit concept papers of no more than 5-7 pages outlining specific court delay problems, scope of proposed project, and proposed strategies by May 4, 1979.

LEAA will review concept papers and make appropriate recommendations to the applicant within thirty days of receipt. Such LEAA staff reviews will be advisory so that prospective applicants can receive a general sense of suitability prior to major investments in time and money for complete applications. Applications must be received by June 29, 1979.

- g. Criteria for Selection:

- (1) Priority will be given to statewide delay reduction projects, followed by innovative local projects in metropolitan areas. Up to three statewide delay reduction projects may be funded.
- (2) Geographical distribution of grants will also be considered, to insure that the program has a national impact.
- (3) Selection criteria are:
  - (a) Magnitude of current delay problem, particularly arrest to disposition time in felony cases;
  - (b) Soundness and completeness of approach, taking into account the current state-of-the-art.
  - (c) Local commitment to develop permanent (vs. short range) solutions to court delay and congestion, including demonstrated cooperation and coordination of the court with related agencies;

- (d) Cost effectiveness - the impact of the proposed solutions compared to the total cost involved; and
- (e) Potential for replicating the delay reduction strategy in similar jurisdictions.

h. Evaluation Requirements.

- (1) An independent national evaluation of this program is planned to be undertaken by an independent contractor selected by the National Institute of Law Enforcement and Criminal Justice. The contractor and LEAA will select projects for inclusion in the national level evaluation.
  - (2) In addition to the self-assessment and monitoring requirements of Appendix 4, Paragraphs 3 and 4, and Appendix 5, all applicants must propose an evaluation plan for their project containing the evaluation plan elements detailed in Appendix 4, Paragraph 6.
  - (3) Grant recipients may be required to modify their proposed project specific evaluation plans in order to be integrated into the national level program evaluation design to be developed by the independent national contractor.
  - (4) All grantees must indicate in advance their willingness to cooperate fully with the national contractor to participate in the program evaluation.
- i. Special requirements. Applicants must include funds to send a staff representative to a two day conference to be held in Washington, D.C.
- j. Contact. For further information, contact:

Court Delay Reduction Program  
Adjudication Division  
Office of Criminal Justice Programs  
Law Enforcement Assistance Administration  
Washington, D.C. 20531  
(202) 376-3615



22. COMPREHENSIVE CAREER CRIMINAL PROGRAM.

- a. Program Objective. To demonstrate that a jurisdiction's rate, and perhaps incidence, of serious and violent crime can be reduced by strengthening and coordinating police capability to apprehend repeat offenders and prosecutor capability to give priority emphasis to the prosecution of repeat criminal defendants.
- b. Program Description.
  - (1) Background. The comprehensive career criminal program is an effort to coordinate the emphasis of two previously independent and highly successful LEAA programs: Integrated Criminal Apprehension Program (ICAP) and Career Criminal Program (CCP). This comprehensive program is a major priority program of LEAA.
  - (2) Problem addressed. A disproportionate amount of a jurisdiction serious and violent crime is committed by a relatively few habitual offenders. These "career criminals" have been able to elude the criminal justice system's proper attention that their current charges should warrant when considered in conjunction with their criminal history. The career criminal utilizes familiarity with the criminal justice system to avoid apprehension, identification, full prosecution and appropriate punishment. These defendants have not been dealt with effectively by the criminal justice system in the past because of a heavy volume of cases, and often, an "assembly line" approach to prosecution; therefore, the career criminals are too often at large committing a significant portion of a jurisdiction's serious and violent crimes.
  - (3) Results sought.
    - (a) Increased apprehension and expeditious prosecution of individuals whose criminal history indicates repeated

commission of serious and violent criminal acts (robbery, aggravated assault, forceable sexual offenses, burglary, and homicide).

- (b) Increased law enforcement agencies' coordination and resource management for crime analysis, identification, apprehension and investigations of cases involving career criminals through increased emphasis on patrol operations.
- (c) Reduction in the number of pretrial release or bail decisions made without knowledge of the career criminal defendant's criminal history.
- (d) Reduction in the incidence and duration of pretrial, trial and sentencing delays.
- (e) Elimination of plea or sentence bargaining in career criminal defendant cases.
- (f) Increased police/prosecutor cooperation and mutual coordination in case preparation and presentment at each stage of the adjudication process.
- (g) Reduction in the number of dismissals for reasons other than the merits of the case by:
  - 1 Ensuring that all necessary evidence is collected and obtained by police in an admissible manner; and
  - 2 Enhancing and improving methods for obtaining the cooperation of key witnesses.

c. Program Strategy.

- (1) Projects in this program are to identify crime patterns leading to apprehension of offenders who frequently commit robbery, aggravated assault, forceable sexual offenses, burglary, and recidivistic homicide; to quickly identify and apprehend those offenders; and to expedite the thorough preparation and presentments of those career criminal defendants' cases to court with due regard for constitutional rights. The major assumption of this operational approach is that there must be coordination at both police and prosecution policy making and operational levels demonstrating a priority commitment to those cases that meet the jurisdiction's career criminal selection criteria.

- (2) The following elements must be included in all projects. Plans for their development and implementation should be discussed in Part IV of the application form (See Appendix 5 for further instructions for completing Part IV of the application).

(a) Police

- 1 Greater involvement and responsibility of patrol operations in crime prevention and service delivery;
- 2 Early and continued involvement of patrol officers in preliminary investigations;
- 3 Development of crime analysis capability;
- 4 Creation of police capacity to provide operational strategic planning;
- 5 Provision of timely and accurate criminal history information on career criminal defendants;
- 6 Provisions to ensure that all evidence is collected and maintained in an admissible fashion.

(b) Prosecutor

- 1 Screen and evaluate all felony cases to identify career criminal cases according to predetermined and evenhandedly applied selection criteria;
- 2 Senior prosecutors assigned career criminal cases;
- 3 Individualized and thorough case preparation (vertical handling);
- 4 A policy of restricted or limited plea or sentencing bargaining;
- 5 Witness coordination;
- 6 Case data collection and analysis to assess project effectiveness
- 7 Representation of state at parole or early release hearings.

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- 8 A quantitatively trained program analyst should be assigned to the prosecutor's office to analyze project data for project performance assessment.

(c) Courts

- 1 Priority docketing of career criminal cases;
- 2 Speedy preparation of pre-sentence reports;

(d) Corrections

- 1 Arrangements to inform prosecutor of upcoming parole or pardon hearings;
- 2 Provision for reporting release.

- (e) It is strongly recommended that, wherever possible, a coordinator or liaison representative be appointed for each participating agency vis-a-vis other affected agencies to reduce the likelihood of programmatic misunderstandings.

- (3) Applications must include the following information. It should be provided in Part IV of the application form (see Appendix 5 for further instructions for completing Part IV of the application.)

- (a) A profile of the local crime problem; i.e., general crime rate (UCR's, victimization data where available); robbery, forceable sex offenses; aggravated assault, burglary and recidivistic homicide rates; clearance rates by crime; court and prosecutor caseloads by crime; conviction rates by crimes; present jail and prison populations and capacities.
- (b) An indication of the number or percentage of a jurisdiction's total felony caseload committed by serious repeat offenders.
- (c) A description of each component of the CJS including, but not limited to, police agencies, pretrial release and bail agencies, the prosecutor, courts, and the public defender. The description should include jurisdiction's felony caseloads professional and support staff, and systems (ADP) resources, if any.

- (d) A criminal justice system description and flow chart of the present case processes from arrest to trial, including elapsed time between key events. Supporting data must also be included. (This would include such data as number of felony arrests, number of cases dismissed, number of cases filed under a reduced charge, conviction rate, time from arrest to arraignment and the time from arraignment to trial). Where available, OBTS/CCH data should be utilized.
- (e) Evidence of cooperation and support from all parts of the criminal justice system, including, in addition to the police and prosecutor, court officials, pretrial or bail agencies, and corrections agencies. Applications should candidly discuss real and potential impediments to such cooperation and enunciate a strategy for ameliorating a negative situation wherever possible.
- (f) The proposed career criminal case threshold or selection criteria to be used in the even-handed selection and prosecution of career criminals. The practical means by which the prosecutor will insure rigid adherence and even-handed application of the established criteria.
- (g) A description of the jurisdiction's proposed approach which shows how career criminal defendants will be processed and how this procedure varies from current practice and the additional resources that will be required by this approach.
- (h) A description of all statutes, court rules and administrative directives pertinent to the program (e.g., habitual offender statutes, speedy trial rules, etc.).
- (i) Anticipated impact upon the criminal justice system. A description of the defense and correction implications of the proposed program as well as a description of action to be taken with respect to any problems posed by the program for the defense and corrections agencies.

d. Dollar Range and Number of Grants.

- (1) Up to eight new grant awards from each of the Police ICAP and Prosecutor CCP programs will be made as follows:

- (a) Up to four new awards will be made to prosecutors whose jurisdiction includes a law enforcement agency presently participating in the I.C.A.P. program.
  - (b) Up to four new awards will be made to prosecutors whose joint (prosecutor-major law enforcement agency) concept paper receives favorable consideration.
  - (c) Up to four police ICAP awards will be made to the major law enforcement agency in a jurisdiction where a prosecutor is presently participating in the career criminal program and in its first funding year.
  - (d) Up to four police ICAP awards will be made to jurisdictions where joint (prosecutor - major law enforcement agency) concept papers have received favorable consideration.
- (2) Successful prosecutor projects may receive two successive one year grants with a decreasing match ratio of 90% Federal/10% local shares in the initial grant year and 80% Federal/20% local shares in the second grant year.
  - (3) Successful law enforcement agencies will receive up to three successive one year grants with decreasing match ratio of 90% Federal/10% local shares for the first year; 80% Federal/20% local shares, second year; and 70% Federal/30% local shares the third grant year.
  - (4) In each program the award of succeeding grants depends on a demonstrated success in accomplishing the objective of the proceeding grant.
  - (5) Grants to prosecutors' offices for the prosecutorial component of the program may range from \$100,000 to \$300,000.
  - (6) Grants to law enforcement agencies (police, sheriff, etc.) for the Integrated Criminal Apprehension Program (ICAP) may range from \$200,000 to \$300,000. A grant award will be made to only one law enforcement agency within the prosecutor's jurisdiction.
  - (7) Technical assistance for Comprehensive Career Criminal Project replication will be available to a limited number of applicants not awarded discretionary funding.

e. Eligibility.

- (1) During FY 79 grant awards to implement Comprehensive Career Criminal projects will be considered for three categories of jurisdictions:
  - (a) Jurisdictions presently funded under former Integrated Criminal Apprehension (ICAP) or Career Criminal (CCP) discretionary program; and which, after a site assessment, are found not to meet minimum eligibility requirements for police or prosecutor participation in this comprehensive program may be continued for one final award.
  - (b) Jurisdictions that presently have a Police ICAP or a Prosecutor CCP grant in the first year of funding and desire to be included in this comprehensive program will receive funding consideration.
  - (c) Jurisdictions that do not have an LEAA grant for either the Police ICAP or the Prosecutorial CCP may apply by the submission of a concept paper for initial funding consideration. Such applicants are advised to contact LEAA before preparing a concept paper.
- (2) Prosecutorial applicants must be public prosecutors who have a staff of at least six (6) full-time assistant prosecutors and have primary responsibility for felony prosecution. The existence or implementation of an automated processing and case management system to support the prosecutor's operation is strongly encouraged.
- (3) Law Enforcement agencies must have a sworn force of less than 1,000 to participate in the ICAP portion of the program.

f. Procedures and Deadlines for Application.

- (1) Potential new applicants must submit concept papers describing the jurisdiction's current law enforcement and prosecutorial capabilities and proposed project plan to deal with career criminals. Concept papers should discuss in concise narrative form the items in Subparagraph C above, Program Strategy.
- (2) If the concept paper received a favorable review by LEAA, a project site assessment team composed of LEAA staff and technical consultants will provide detailed on-site project

development guidance. The site assessment team will determine the jurisdiction's program commitment, coordination and technical capabilities.

- (3) Jurisdictions that presently have either an ICAP project or a CCP project will be assessed by LEAA technical consultants. Based on the results of this assessment, jurisdictions will be advised as to whether to submit a concept paper and formal application.
  - (4) In each case, in deciding or encouraging a full project application, the jurisdiction's prosecutorial policies and elements of this program will govern in the final selection of a jurisdiction.
  - (5) Applications may be submitted for consideration during one of two funding cycles. In each instance an application is expected to be preceded by a concept paper. The deadlines for the first funding cycle are as follows. Concept papers must be received by November 17, 1978, and applications by January 5, 1979. The deadlines for the second funding cycle are April 13, 1979, for concept papers and June 29, 1979, for applications.
  - (6) Applications which are not preceded by concept papers and site visits, as described in this section, are not sought.
- g. Criteria for selection. Applications will be reviewed and decisions made on a comparative analysis of the following criteria:
- (1) Statement of project objectives;
  - (2) Background analysis of serious and violent crime problem and ability to collect and analyze information necessary to identify career criminals.
  - (3) Estimated likelihood of increasing apprehension of career criminals.
  - (4) Existence of a procedure to screen for and select career criminal cases.
  - (5) Ability of the prosecutor to expedite the prosecution of career criminal defendant cases.
  - (6) Evidence of strong cooperation at the policy and operational levels of both the law enforcement and prosecutorial agencies.
  - (7) Projection of the ability of the jurisdiction to assume project costs after two grant awards (approximately 24 months).



- (8) The quality of the project implementation plan and schedule for the integration of the prosecutorial and law enforcement components.
- (9) The quality of planning and arrangements for assessment of project performance.

h. Evaluation Requirements.

- (1) An independent national evaluation of this program is being undertaken by an independent contractor selected by the National Institute of Law Enforcement and Criminal Justice. The contractor and LEAA have selected projects for inclusion in the national level evaluation.
- (2) In addition to the self-assessment and monitoring requirements of Appendix 4, Paragraphs 3 and 4 and Appendix 5, applicants are encouraged to propose an evaluation for their project containing the evaluation plan elements detailed in Appendix 4, Paragraph 6.

- i. Contact. A handbook discussing the coordination of ICAP and CCP programs is available. For further information and published material concerning the program contact:

Comprehensive Career Criminal Program Manager  
Adjudication Division  
Office of Criminal Justice Programs  
Law Enforcement Assistance Administration  
Washington, D.C. 20531  
(202) 376-2275

23. FUNDAMENTAL COURT IMPROVEMENT PROGRAM

- a. Program Objective. To support efforts at the State level to analyze alternatives to the present organization, management, and structure of State court systems or indigent defense delivery, and to assist in the actual implementation of reorganization efforts.

b. Program Description

(1) Problems Addressed

In the past dozen or more years, the justice system and its components have grown in size and complexity. Litigation has increased dramatically and the ability of State court systems to effectively manage their business and to protect the constitutional right to counsel has been threatened. Further, the very structure of State court systems--many being fragmented, underfunded, and lacking uniform policies--has been perceived as a major impediment to improvement. Consequently, national commissions, scholars, the American Bar Association, State court leaders, and national courts organizations have increasingly called for structural improvements in the administration of justice by the courts.

The following additional problems are now evident; while it is not expected that each can be solved by the projects to be initiated under this program, applicants should be cognizant of them:

- (a) Traditional funding and budgeting mechanisms are proving to be increasingly ineffective in ensuring the adequate and equitable funding of courts and defense.
- (b) Reorganization and structural changes alone--without corresponding changes in the administrative decision-making process--may only be palliatives.
- (c) Reorganization efforts, while enjoying a high degree of support by State court leaders, are not necessarily supported by all system actors, and this fact can affect the difficult process of implementation. Adequate data collection,

cost analysis, and planning (e.g., phase-in) can assist the implementation effort.

- (d) Indigent defense representation is one of the least popular criminal justice expenditure items and defense systems are chronically underfinanced.
- (e) There is a paucity of research knowledge about the actual effects of court and defense system consolidation, although there is a growing subjective consensus, as evidenced by various national standards and commissions, that these efforts result in more evenhanded and cost-effective justice.

A growing number of States have chosen to reduce the fragmentation, inconsistency, and inefficiencies that seem to be inherent in more traditional systems by reorganizing their courts and overhauling their procedures through Constitutional revision, legislation, and court rule.

This movement toward improvement in centralized management, planning and budgeting in the courts has been paralleled by similar improvements, often accompanied by State funding in indigent defense delivery. Even so, there remains, according to recent studies, a low level of implementation of recent Supreme Court mandates on the right to counsel.

## (2) Results Sought

Among the results sought through structural reorganization and administrative improvements in State court systems are improved long-range planning and management (financial, personnel, caseload, and other), more uniformity of justice, more effective managerial control of workload, reduced forum-shopping, simplified administration and procedure to aid system participants and litigants, and more equitable funding of the courts.

Among the results sought through improved State-wide indigent defense delivery systems are more adequately funded, independent, and organized defense representation; early entry and wider scope of representation; and compliance with Supreme Court decisions affecting right to counsel.

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c. Program Strategy

This program is designed to support initiatives primarily aimed at improving the management, financing, and organization of both State court systems as well as indigent defense delivery systems.

Funding will be considered only where the problems (e.g., planning for State financing of the courts) cannot be remedied by available technical assistance. Technical assistance is available from LEAA-supported national projects in the following areas: court planning, use of the rule-making authority, State-wide indigent defense feasibility studies, judicial education, court organization standards, and development of uniform personnel and financial systems (see TECHNICAL ASSISTANCE IN ADJUDICATION). Support is targeted towards improvement efforts as identified below; support can range from in-depth feasibility studies to implementation.

## (1) Courts improvement.

## (a) Trial court consolidation and court structure simplification.

ABA, NAC, and other standards agree that court structure should be consolidated and simplified, with the trend toward the creation of a single trial court of original jurisdiction. The intended results are greater flexibility in personnel and facilities utilization; uniformity in forms, procedures, and jurisdiction; and cost savings. This has been one of the more difficult and politicized areas of court unification.

## (b) Centralized management and planning.

The conventional wisdom calls for administrative responsibility for the entire judiciary to be vested in the Chief Justice, a State court administrator (almost every state now has one), local trial administrators, assignment of judges and cases to equalize workload, and Supreme Court control of non-judicial personnel, centralized record-keeping, research, budget preparation, and planning. Generally, this program is not designed

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to hire court administrators and other staff or to support enhancements to State court systems which already possess a fairly high degree of centralized management. Targets do include the development of uniform policies affecting record-keeping, and personnel and budgetary systems.

(c) Centralized rule-making.

A growing number of States vest the rule-making authority in the Supreme Court where it is unencumbered by legislative veto; a trend is toward the adoption of a "rule" which systematizes the promulgation of rules.

(d) Centralized budgeting and State financing of the courts.

Until the early 1970's there was only a limited trend in this direction, but recently there have been an increasing number of States which have moved in the direction of unitary budgeting and state financing. Support is available, through technical assistance and limited discretionary assistance, for efforts to calculate present and prospective court system costs.

(e) Statewide or multi-county pretrial release systems.

Only one state now has a formal, State-funded, statewide pretrial release system under court supervision. Support may be available to other states interested in experimentation in this area, especially where there is a greatly reduced reliance on the money bail system.

(2) Indigent defense improvement.

Support is available to States considering State-wide (usually State-funded) or multi-county organized indigent defender systems, especially as an alternative to ad hoc assigned counsel situations. While technical assistance is available for limited feasibility studies of state-wide orientation, support is also available for

in-depth systems studies aimed at determining the cost of delivery systems at the regional or State level. Implementation assistance is available for the establishment of Statewide appellate defender offices and the development of new Statewide or multicounty (or regional) defender systems. Support is generally not available for enhanced services by existing state systems.

- (3) Funding is not designed to support efforts the major thrust of which is any of the following:
  - (a) in-State courts-related training or education;
  - (b) SJIS or other information system enhancements or implementation;
  - (c) routine or minor criminal code revision;
  - (d) routine planning, as often undertaken by judicial planning committees;
  - (e) bench/bar or judicial membership committee meetings, or conferences;
  - (f) simple increments in the size of administrative or support staff;
  - (g) court delay reduction (see COURT DELAY REDUCTION PROGRAM);
  - (h) local jurisdiction court reform;
  - (i) court construction or renovation.
- (4) Project elements
  - (a) The program requires the existence and support of State court leadership which is actively involved in the planning and implementation of system-wide change.
  - (b) Applicants seeking support for defense improvements must address each of the following issues:
    - 1 early entry
    - 2 independence of chief (or appellate) defender
    - 3 conflict of interest
    - 4 scope of services
    - 5 financing

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- 6 support staff and investigators
- 7 training
- 8 community liaison
- 9 caseload forecasting
- 10 evaluation of effectiveness of counsel
- 11 organization of mixed-systems
- 12 juvenile, civil commitment, and post-conviction relief activities

- (c) Data and information required in applications. LEAA has available a package of materials, including basic data collection instruments, guidelines for evaluation and a listing of key issues, for both court improvement and indigent defense improvement prospective applicants. Every attempt will be made to reduce separate data collection efforts where existing information (e.g., Annual Report, SJIS) will suffice. Applicants should consult LEAA for the respective package of materials as well as available literature.

Prospective applicants may wish to consult some or all of the following relevant materials:

- 1 American Bar Association, "Standards Relating to Court Organization"
- 2 American Judicature Society, (L. Berkson) Court Unification, Its History, Politics, and Implementation (1978)
- 3 National Center for State Courts, "State Court Organization Profiles"
- 4 D. Skoler, Organizing the Non-System: Governmental Structuring of Criminal Justice Systems (Lexington; 1977; Chapters 1,2,4,6,9)
- 5 N.Goldberg, Establishing a Public Defender System (National Legal Aid and Defender Association, 1978)
- 6 National Advisory Commission Courts Report, Chapters 8, 13

- 7 National Legal Aid and Defender Association, Guidelines for Legal Defense Systems in the United States (a Report of the National Study Commission of Defense Services, 1976)
  - 8 R. Tobin, "The Financial Aspects of Judicial Planning" (National Center for State Courts, Paper No. 4 in the series on Establishing Court Planning Capability, 1977)
  - 9 C. Baar, Separate but Subservient: Court Budgeting in the American States (Lexington, 1975)
- d. Dollar Range and Number of Grants. Up to eight in-depth feasibility studies on the reorganization of court or defense services will be supported; grants will range in size from \$20,000 to \$75,000. A 10 per cent cash match is required.
- Up to seven implementation efforts will be supported; grants will range in size from \$50,000 to \$600,000. It is expected that all implementation projects will have substantial block grant or local financial support in addition to a 10 per cent match.
- e. Eligibility for Projects. For court improvement projects, as defined above, the highest State court will be the applicant. For defense improvement projects, applicants may be State governmental entities, bar associations, and non-profit organizations. Any application submitted by a non-profit organization or involving a substantial degree of effort by a non-profit or other private organization must have the clear support of prospective implementing and associated organizations.
- f. Submission and Deadlines. Concept papers will be accepted until April 30, 1979. As noted in Subparagraph c, above, LEAA has available information packets which are to be used in developing concept papers and grant applications. No application will be considered unless it includes a response to the key issues identified in the information packet.



g. Criteria for Selection

- (1) Extent to which discretionary funding is integrated into local, State, and block grant planning.
- (2) Degree of judicial and legislative support for the targeted reform activities.
- (3) Degree to which the proposal is designed to affect not only the structure of court services, but also the actual administrative decision-making practices.
- (4) Degree to which selected changes are likely to lead to further improvements in the State court or indigent defense delivery system.
- (5) The cost-effectiveness of grant activities in support of the intended reforms.
- (6) Willingness to cooperate with national evaluation efforts.
- (7) Immediacy of the initiating change (e.g., judicial article, legislation, or court rule).
- (8) For indigent defense improvement applications, the extent to which the issues listed under c(4)b are addressed.
- (9) Level of local financial support.
- (10) Geographical distribution.

h. Evaluation Requirements. Some projects in this program will be selected for intensive project evaluation. In addition to the self-assessment and monitoring requirements of Appendix 4, Paragraph 3 and 4, and Appendix 5, applicants must meet the project level evaluation requirements specified in Appendix 4, Paragraph 7. Guidelines for design of evaluations will be included with the package of materials referred to under c(4)(c), Data and Information Required, above.

- i. For further information on format for initial concept papers and other issues, contact:

Program Manager  
Fundamental Court Improvement Program  
Adjudication Division  
Office of Criminal Justice Programs, LEAA  
Washington, D.C. 20531  
(202) 376-3615

24. INTEGRATED POLICE AND PROSECUTION WITNESS ASSISTANCE PROGRAM

- a. Program Objective. The objective of this program is to demonstrate the effectiveness of an integrated police and prosecutor victim/witness program model aimed at increased rates of witness cooperation and successful prosecutions.
- b. Program Description.
  - (1) The Integrated Police and Prosecution Witness Assistance Program is an effort to coordinate successful elements of both Police Department Victim/Witness projects and Victim/Witness programs based in the prosecutor's office into an integrated approach. This comprehensive approach will provide a link between the police and prosecutor resulting in improvements of these systems as well as an improved service delivery system to the witnesses and victims of crime.
  - (2) This program will focus not only on tracking the victim/witness throughout his/her movement in the criminal justice system, but on improving procedures and providing services at key points in order to insure witness cooperation. Although these projects will provide a variety of services to witnesses, the success of the projects will be measured by an increase in the rate of successful prosecutions.
  - (3) Problem addressed. Several research efforts have documented the fact that strength of evidence and identification and cooperation of key witnesses is crucial to increased conviction rates. However, more than half of all felony arrests are dropped prior to conviction because evidence or witness strength is inadequate. Information supplied by victims to the officer responding to the call is often incorrect or incomplete. Many citizens are unaware that prompt and accurate reporting of crime has a greater effect on apprehension of suspects than shaving seconds or even minutes from the police response time.
  - (4) Results Sought.
    - (a) The development of an integrated police/prosecution model which utilizes many of the concepts developed by existing victim/witness projects.
    - (b) The development of new procedures within the police department and prosecutor's office designed to better utilize witnesses as well as provide more sensitive treatment to victims and witnesses.

- (c) Documented savings to courts, police, prosecutors and communities made possible by reducing witness waiting time, unnecessary appearances of police and civilian witnesses, and other improvements related to the efficient management of witnesses.
- (d) Improved police interviewing techniques aimed at more accurate and complete crime reports.
- (e) More sensitive treatment of victims and witnesses by enforcement and prosecution personnel.
- (f) Timely reporting of crime by victims and witnesses.
- (g) Reduced waiting time and unnecessary appearances of police and civilian witnesses.
- (h) An increased awareness on the part of criminal justice personnel that witnesses are a valuable resource when treated well and properly utilized.
- (i) An increased awareness of the general public as to the importance of witness cooperation for successful prosecutions as well as awareness of citizens' responsibilities in this regard.

c. Program Strategy.

- (1) This program will support up to eight projects in which the police and prosecutor coordinate and integrate procedures, special services, data collection and other activities designed to improve the treatment of victims and witnesses and ensure better utilization of witnesses, thereby increasing the rate of successful prosecutions. Although police or prosecutor can be the applicant, all program development and implementation must reflect a joint effort by the police and prosecutor.

Large jurisdictions may wish to focus the program in a limited area such as a precinct, court, or district within their jurisdiction.

Technical assistance will be made available to facilitate communication among the projects and assist grantees in need of special attention.

- (2) The following elements must be included in projects. They should be described in Part IV of the application. (see

Appendix 5 for further instructions for completing Part IV of the application).

- (a) Police/prosecutor training aimed at improving
    - (1) the treatment of victims and witnesses and
    - (2) the capability of police and prosecutors to effectively collect and transmit information or evidence supplied by witnesses.
  - (b) Improved methods of witness notification and management, including, if appropriate, some form of on-call system.
  - (c) A public information component aimed at increased reporting of crime and cooperation of witnesses.
  - (d) Victim/witness services such as witness protection; crisis intervention; social service referral and supportive counseling; special transportation; witness reception centers; child care; and speedy return of property.
- (3) The following information, to the extent available, must be provided in Part IV of the application. (see Appendix 5 for further instructions for completing Part IV of the application).
- (a) The present rate of convictions broken down by crime (Part I and II).
  - (b) Description of disposition of cases in each crime category.
  - (c) Data documenting the reasons for witness non-cooperation, unsuccessful prosecutions or other witness problems involved in crime reporting, investigations, and apprehension, arrayed by crime.
  - (d) Available information concerning the need for witness protection.
  - (d) A description of methods currently in use for the notification and management of police and civilian witnesses.
  - (f) Data describing the jurisdiction's capacity for measuring witness cooperation.

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- (g) Detailed description of the planning process and related activities in the development of this application. This should include discussion of meetings and agreements between the police and prosecutor and how coordination between police and prosecutor will be accomplished.
  - (h) The applicant must describe its existing strategy for dealing with what new program elements will be established and how they will interrelate.
- d. Dollar Range and Number of Grants.
- (1) This program will fund up to eight grants from \$50,000 to \$250,000.
  - (2) Grants will be awarded on an 18-month basis, with consideration for one additional funding cycle based on review of project evaluation and LEAA monitoring. First year funding will require a 10% cash match and second year funding will require 30% cash match.
- e. Eligibility for Projects.
- (1) Police departments, prosecutor's office or other agencies of government which can effectively coordinate the police and prosecutor's activities.
  - (2) Communities with a population of 50,000 to 500,000. (May be individual precinct, etc., within larger jurisdictions).
- f. Deadline for Submission of Applications. Applications must be received by April 13, 1979. Panel Review selection process (Appendix 2, paragraph 6) will apply.
- g. Criteria for Selection.
- (1) Extent and evidence of cooperation between the police and prosecutor.
  - (2) Availability of an administrative structure (either within these agencies or other agencies) that can operationally promote an integrated police/prosecution program.
  - (3) Extent to which the jurisdiction has sufficient baseline data to conduct a meaningful evaluation.

- (4) Extent to which serious witness problems are documented and specific program strategies for addressing those problems are proposed.
- (5) Extent to which program requirements (Subparagraph C, above) are met.
- (6) Extent to which objectives are specific and measurable, that activities planned are quantifiable and that there are adequate resources to accomplish the objectives.
- (7) Extent to which the estimated cost of the project is reasonable considering the activities planned and the results anticipated.

h. Evaluation Requirements.

- (1) An independent national evaluation of this program is planned, to be undertaken by an independent contractor selected by the National Institute of Law Enforcement and Criminal Justice. The contractor and LEAA will select projects for inclusion in the national level evaluation.
- (2) In addition to the self-assessment and monitoring requirements of Appendix 4, paragraphs 3 and 4 and Appendix 5, all applicants must propose an evaluation plan for their project containing the evaluation plan elements detailed in Appendix 4, paragraph 6.
- (3) Grant recipients may be required to modify their proposed project specific evaluation plans in order to be integrated into the national level program evaluation design to be developed by the independent national contractor.
- (4) All grantees must indicate in advance their willingness to cooperate fully with the national contractor to participate in the program evaluation.

i. Contact. For further information contact:

Program Manager, Integrated Police/Prosecution Witness Program  
Special Programs Division  
Office of Criminal Justice Programs  
Law Enforcement Assistance Administration  
Washington, D.C. 20531  
202/376-3550

25. STATE JUDICIAL INFORMATION SYSTEM PROGRAM (SJIS)

- a. Program Objective. To support the development, implementation and evaluation of State Judicial Information Systems.
- b. Program Description. The SJIS program focuses on the development of systems to improve the operating and administrative functions of the courts and to provide the judicial-generated data elements at the Offender Based Transaction Statistics (OBTS) and Computerized Criminal History (CCH) file. The program is assisted through the expertise of the State Judicial Information System Committee Organization. The SJIS Committee is composed of State court administrators, representing the chief justices of the twenty-three participating states. Each member State is eligible for two successive grants to further the development of its SJIS.
  - (1) Problem addressed. The lack of timely, accurate and complete information necessary for decision making by State court officials.
  - (2) Results sought.
    - (a) Generation of comprehensive, reliable and timely judicial statistics, court management information, and planning and research data.
    - (b) Development of judicial statistical reporting which permits, to the extent practical, intra- and inter-state comparison of court activities.
    - (c) Development of alternative systems for collecting, analyzing and reporting judicial information and statistics by State judicial departments which could be transferred on a manual or automated basis to different jurisdictions.
- c. Program Strategy.
  - (1) No additional States will be invited to participate in the SJIS program in FY 79. Participating States are eligible for funding as specified in subparagraph d, below.



- (2) Applications must be prepared in draft in consultation with the Grant Review Subcommittee of the SJIS Committee. Grant applications and subsequent workplans should be prepared based on the work products of Phases I and II of the SJIS Program listed below:
- (a) State-of-the-art Report, SEARCH Technical Memorandum No. 11.
  - (b) Requirements Analysis and Systems Design, SEARCH Technical Report No. 12.
  - (c) Guide to Systems Development, Implementation and Evaluation; Functional System Design, Project Description of Participating States, SEARCH Technical Report No. 17.
  - (d) SJIS Documentation; Judicial Data Utilization; SEARCH Technical Report No. 21, Volumes I, II, and III.
  - (e) Early consultation and coordination with State Planning Agencies are encouraged to ensure compatibility with appropriate State plans.
- (3) The application program narrative must include, but is not limited to, the following:
- (a) Current status of the Offender Based Transaction Statistical Computerized Criminal Histories component of the State's Comprehensive Data System.
  - (b) Relevant authority (Statute, Executive Order, Judicial Order or Rule) for statewide collection, processing, quality control, analysis and dissemination of data.
  - (c) Existing system capability for a statewide agency.
  - (d) Selection of one or more of the following subsystems for implementation or upgrade:
    - 1 Criminal subsystem;
    - 2 Appellate subsystem; or
    - 3 Juvenile subsystems.

NOTE: A civil subsystem may be added to any of the above.

- (e) An indication of the manner in which the current project will be integrated into the State judiciary's overall network of information systems.
  - (f) A phased plan for completion and delivery of documentation.
- (4) The budget narrative must include, but is not to be limited to, the following:
- (a) An estimate of annual maintenance costs for the State Judicial Information System including the current project.
  - (b) An indication of the manner of providing financial support for systems created by the current project including source and estimated funding requirements.
- d. Dollar Range and Number of Grants. Current policy provides for a Phase I grant of \$200,000, for twelve months to each member State. Upon successful completion of Phase I grant, a member State may be awarded a Phase II for twelve months and \$200,000.
- e. Eligibility to Receive Grants. Eligibility is limited to member States of the SJIS Committee.
- f. Deadline for Submission of Applications. Draft grant applications may be submitted by the SJIS Committee member States at any time. After review by the SJIS Grant Review Subcommittee, each grant application should be submitted to LEAA.
- g. Criteria for Selection. Selection of projects will be based upon the extent to which the State has formally studied its judicial system, defined the system's goals, determined information needs, performed a feasibility study and developed a long-term plan. Projects must be consistent with the goals and objectives of the SJIS program as indicated in Paragraph 25b, above.
- h. Evaluation Requirements. Evaluation is not required but applicants must meet self-assessment and monitoring requirements of Appendix 4, Paragraphs 3 and 4 and Appendix 5.
- i. Contact. For further information on this program, contact the National Criminal Justice Information and Statistics Service, LEAA, Washington, D.C. 20531. (301) 492-9057

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26. JAIL OVERCROWDING AND PRETRIAL DETAINEE PROGRAM (ADJUDICATION).  
Paragraph 40 of this Manual describes an allied program to reduce jail overcrowding caused in large part by sizeable pretrial populations. This program calls for judicial oversight of pretrial jail populations, and maximizing pre-trial release and alternatives to jail. The Jail Overcrowding program is closely allied to the "Court Delay Reduction" program, and joint projects are encouraged where both jail overcrowding and court delay problems are evident.

27. TECHNICAL ASSISTANCE IN ADJUDICATION. For information about technical assistance listed in paragraphs a through g, below, contact:

Program Manager  
Technical Assistance Activities  
Adjudication Division  
Office of Criminal Justice Programs  
Law Enforcement Assistance Administration  
Washington, D.C. 20531  
(202) 376-3615

- a. General Courts Technical Assistance. Assistance is available to State and local criminal courts and related agencies in support of reform and improvement activities emphasizing Statewide system reform efforts of broad impact and scope, chiefly in the areas of court planning, administration, management, and court delay reduction.
- b. Court Delay Reduction Assistance. Assistance is available to State and local criminal courts in support of court delay reduction efforts. Emphasis is on the transfer of successful delay reduction techniques from one jurisdiction to another.
- c. Defender Services Improvement. Consultants are available to assist in conducting feasibility studies of defense delivery systems for State and local governments and defender agencies and management evaluations of existing defender agencies and programs. Emphasis is given to Statewide reform efforts and other projects involving major systemic changes of broad scope and impact.
- d. Pre-trial Services Assistance. Assistance in evaluation designs, project development, training, research, and standards for pretrial service agencies is available for pretrial release and diversion program administrators, prosecutors, judges, and other criminal justice officials.
- e. Prosecution Technical Assistance. Management and operations studies can be conducted for State and local prosecutors, including Attorney General Offices. To be eligible, offices must employ five or more full-time attorneys.
- f. State Court Planning. Technical assistance is available to State and local courts and judicial planning councils for the development of effective and independent judicial planning capabilities and the implementation of planning programs.

g. Economic Crime Prosecution. Assistance is available to State and local prosecutors for training and organization for prosecution of white collar crime.

h. Career Criminal Prosecution Assistance.

- (1) Assistance is available to determine prosecutor office capability to replicate a career criminal project on a non-funded basis. On-site technical guidance is provided for implementing program concepts.
- (2) Eligibility for assistance is limited to public prosecutors with a staff of at least six full-time attorneys and with primary responsibility for felony prosecution in the jurisdiction served.
- (3) For further information contact:

Career Criminal Program  
Adjudication Program  
Office of Criminal Justice Programs  
Law Enforcement Assistance Administration  
Washington, D.C. 20531  
202-376-2275

i. Court Improvement through Applied Technology.

- (1) Technical assistance is available to State and local courts in the areas of microfilm, business equipment, audio/visual devices and electronic data processing hardware. This technical assistance is provided through seminars, slide presentations, publications and on-site visits.
- (2) For further information, contact: National Criminal Justice Information and Statistics Service, LEAA, Washington, D.C. 20531 (301) 492-9057

j. PROMIS, The Prosecutors and Court Administration Information System.

- (1) Technical assistance for the transfer and installation of PROMIS is provided by the Institute for Law and Social Research (INSLA). TA is provided to prosecutors, public defenders, court officials and other public law agencies interested in PROMIS. Complete PROMIS software, including documentation, is provided without charge.

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- (2) For further information, contact: National Criminal Justice Information and Statistics Service, LEAA, Washington, D.C. 20531. (301) 492-9057

k. Integrated Police and Prosecution Witness Assistance Program Technical Assistance.

- (1) Assistance is available to develop local training programs, to improve witness notification and management systems, to facilitate communication among witness assistance projects, and to respond to specific short-term needs.
- (2) Priority will be given to grantees under the Integrated Police and Prosecution Witness Assistance Program (Chapter 3, Paragraph 24). To the extent resources are available, assistance may be provided to other victim assistance programs.
- (3) For information, contact:

Integrated Police and Prosecution Witness  
Assistance Program  
Office of Criminal Justice Programs  
Law Enforcement Assistance Administration  
Washington, D.C. 20531  
(202) 376-3550

1. Career Criminal Police Assistance.

- (1) A specifically designed technical assistance program is provided to law enforcement agencies participating in the Comprehensive Career Criminal Program. Periodic technical assistance assessments are made of each project in the Comprehensive Career Criminal Program; technical assistance is designed and delivered to participating projects based on those assessments.
- (2) For information, contact:

Enforcement Division  
Office of Criminal Justice Programs  
Law Enforcement Assistance Administration  
Washington, D.C. 20531  
(202) 376-3990

28. TRAINING IN ADJUDICATION.

a. Court Management.

- (1) Three to five day sessions in caseflow, record-keeping, personnel, financial management, information systems, juror management, and workload forecasting are offered by the Institute for Court Management for court administrators, clerks, judges, and other court personnel.

- (2) For information contact:

Institute for Court Management  
1405 Curtis Street, Suite 1800  
Denver, Colorado 80202  
(303) 534-3063

b. Judicial Training.

- (1) Training for State and local trial judges in a wide variety of substantive and procedural topics (the role of the judge, managerial techniques in the courts, court reform, sentencing, etc.) is available from the National Judicial College. Programs will run throughout the year and sessions will range from several days to four weeks.

- (2) For information contact:

National Judicial College  
University of Nevada  
Reno, Nevada 89507  
(702) 784-6747

c. Trial Attorney Training.

- (1) One three-week and several 3-5 day sessions in trial advocacy skills will be offered by the National Institute for Trial Advocacy for ~~new defense counsel, prosecutors and law~~ instructors.

(2) For information contact:

University of North Carolina  
School of Law  
Chapel Hill, North Carolina 27514  
(919) 967-2276

d. Public Defender Training.

- (1) Training sessions, ranging from 3-5 days to 2-3 weeks, will be offered by the National College of Criminal Defense Lawyers and Public Defenders in the areas of investigation, office management, substantive and procedural law, and the role of the defense counsel.
- (2) Eligibility is limited to Public Defenders or private bar handling indigent defense matters.
- (3) For further information, contact the National College of Criminal Defense Lawyers and Public Defenders, Bates College of Law, University of Houston, Houston, Texas 77004.  
(713) 749-2283

e. Pretrial Services Training.

- (1) Training in pretrial release and diversion issues, office management, legal and operational problems, etc. is offered by the Pretrial Services Resource Center for program directors of pretrial service agencies, prosecutors, defense counsel, judges, and court administrators.
- (2) For further information contact:

Pretrial Services Resource Center  
1010 Vermont Avenue, N.W.  
Suite 200  
Washington, D.C. 20005  
~~(202) 638-3080~~

f. Training for Judges of Limited Jurisdiction.

- (1) Three day to two week training sessions are offered by the American Academy of Judicial Education in pre-bench orientation substantive law, procedural law, judicial demeanor, and speciality subjects for judges of limited jurisdiction (including non-lawyer judges).



(2) For information contact:

American Academy of Judicial Education  
Woodward Building, Suite 737  
1426 H Street, N.W.  
Washington, D.C. 20005  
(202) 783-5151

g. Appellate Judges Training.

- (1) Four day seminars covering impact decisions, recent developments in court administration, opinion writing, selected topics in substantive law, and the role of the judiciary are available for appellate judges and clerks.

(2) For information contact:

Appellate Judges Conference  
American Bar Association  
1155 East 60th Street  
Chicago, Illinois 60657  
(312) 947-3842

h. Prosecutor Training.

- (1) Three to five day seminars and three to four week courses are offered in prosecution management techniques, consumer and other fraud investigation, and trial and pretrial techniques.

(2) For information contact:

National College of District Attorneys  
College of Law  
University of Houston  
Houston, Texas 77004  
(713) 749-1571

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29. RESERVED.



**CONTINUED**

**1 OF 3**



#### CHAPTER 4. CORRECTIONS PROGRAMS

30. SCOPE OF CHAPTER. Included in this chapter are descriptions of grant programs and other LEAA activities (technical assistance, training, and testing), which are focused primarily on corrections.

Corrections includes activities in support of the operation and improvement of agencies and programs providing residential and non-residential services to inmates, probationers, parolees and ex-offenders.

Implementing agencies for these programs are usually State or local correctional agencies.

31. CORRECTIONS FACILITY STANDARDS IMPLEMENTATION PROGRAM.

- a. Program Objectives. To support improvements in the humane custody and effective correctional treatment of offenders and encourage the adoption and implementation of standards and advanced practices as required by Part E of Public Law 98-83, as amended.
- b. Program Description.
- (1) Beginning in 1975, LEAA supported programs to develop and test standards in corrections through awards to the American Correctional Association and American Medical Association. Standards have been developed for programs and services within correctional institutions, and for space allocations in institutions to correlate with architectural designs as contained in the Guideline for the Planning and Design of Correctional Institutions and Facilities. The American Medical Association has developed medical standards for jails. The effort to develop and test standards will be continued in FY 1979.
  - (2) It is the intent of LEAA in the making of awards under this program to assure that plans for improvement, expansion, or renovation of facilities meet acceptable standards and guidelines.
  - (3) Definition: For purposes of this program, the following definition of correctional facility renovation will be used: Correctional Facility Renovation is the rebuilding, remodeling and repair (other than routine maintenance) of a State or local correctional facility including the expansion of an existing complex. However, any such expansion must be for the express purpose of meeting advanced design requirements, court orders and/or nationally recognized correctional standards and cannot be for the purpose of expanding institutional capacity.

(4) Standards are available from:

- (a) American Correctional Association, Commission on Accreditation, 6110 Executive Boulevard, Suite 750 Rockville, Maryland 20852.

Manual of Standards for Adult Correctional Institutions.

Manual of Standards for Adult Local Detention Facilities.

- (b) American Medical Association, Division of Medical Practice, 535 North Dearborn Street, Chicago, Illinois 60601.

Jail Health Care Standards

- (c) National Clearinghouse on Criminal Justice Planning and Architecture, 505 E. Green Street., Suite 200 Champaign, Illinois 61820

Guidelines for the Planning and Design of Correctional Institutions and Facilities.

(5) Problem Addressed.

- (a) Many judges have begun to refuse to allow correctional institutions to receive newly sentenced criminal because of overcrowded, substandard, and unhealthful conditions. Court orders have been issued prohibiting incarceration of recently sentenced offenders, until conditions are remedied and reasonable standards met.
- (b) The LEAA program has encouraged the development and implementation of corrections standards at both the national and State level; however, the adoption of standards has been fragmentary, and a focused effort is required to achieve general implementation.
- (c) Lack of uniform and generally accepted standards in a framework of accreditation has made it difficult for state and local jurisdictions to establish goals for the improvement of facilities and programs, to establish priorities in correctional improvement efforts, and to rationally allocate resources.

- (6) Hypothesis to be Tested. The adoption of advanced practices that have been developed and tested by the field of corrections can result in the upgrading of correctional facilities when utilized in accordance with approved guidelines and can have a demonstrable impact on achievement of improved facilities and services.
- (7) Assumptions underlying the program.
  - (a) The adoption and implementation of advanced practices that are generally accepted by the field of corrections will produce improvements in corrections designed to provide humane custody and effective correctional treatment of offenders.
  - (b) Federal support will provide an incentive for agencies to upgrade facilities and services through the adoption and implementation of advanced practices.

c. Program Strategy.

- (1) This program will support projects to improve humane custody and correctional treatment of offenders through the following:
  - (a) Compliance with court orders;
  - (b) Adoption and implementation of standards and advanced practices developed by the American Correctional Association/Commission on Accreditation for Corrections (for administration and programs), American Medical Association (medical care and health services), and the National Clearinghouse Guideline for the Planning and Design of Correctional Institutions and Facilities.
- (2) This program is divided into two program components:
  - (a) Long term adult institutional renovation;
  - (b) Jail renovation.

- (3) This program consists of support for the implementation of advanced practices applicable to renovation of long term adult facilities and jails in combination with technical assistance where appropriate and necessary.
- (4) Projects must include the following information which must be described in Part IV of the application. See Appendix 5 for further information on completing the application.
  - (a) A detailed analysis of the physical condition of the institution or facility with a discussion of where the institution or facility is deficient in meeting advanced practices as defined by current standards and guidelines and plans for renovation, designed to achieve advanced practices.
  - (b) Architectural drawings showing planned renovation.
  - (c) A brief description of existing programs and services and plans for the improvement or expansion of these using advanced practices as a base.
  - (d) Population data to demonstrate the need for the existing capacity and as support for renovation projects.
  - (e) A complete analysis of court orders or findings of legislatively mandated State inspection authorities indicating the deficiencies found and the standards that will be applied to meet those deficiencies. Where standards are applied in the achievement of advanced practices, the standards contained in the Guideline for the Planning and Design of Correctional Institutions and Facilities, the standards of the Accreditation Commission for Corrections, and the standards of the American Medical Association will be used.
  - (f) Documentation of sources of funds other than LEAA that will be required to complete the project including bond issues, legislative appropriations, or other special appropriations.
  - (g) Timetable that will indicate start up of renovation within 90 days of grant award and milestones related to specific phases of the project.



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- (h) Milestones that identify the phasing in of any new programs necessary to meet the requirements of PL 83-93, Sec. 453, Part E.

d. Dollar Range and Number of Grants.

- (1) Long term Adult Institution Renovation: Up to four grants will be awarded not to exceed \$1 million each. The required match is 50%.
- (2) Jail Renovation: Up to twenty-five (25) grants will be awarded. Grants will range from \$75,000 to \$200,000 each. The required match is 50%.
- (3) All awards will be for a period not to exceed eighteen (18) months; no continuations are expected to be awarded.

e. Eligibility. State and local units of government and State correctional agencies and jails. Institutions and facilities holding persons for less than 24 hours are NOT eligible.

f. Deadline for submission of applications. Applications must be received by January 15, 1979. Panel Review Process (Appendix 2, Paragraph 6) will apply.

g. Criteria for Selection of Projects.

- (1) The extent to which the application fully documents need based on court orders, or State jail inspection reports.
- (2) The extent to which the application addresses the standards of the Clearinghouse Guidelines for the Planning and Design of Correctional Institutions and Facilities, and the Commission on Accreditation for Corrections, specifically those standards identified as essential.
- (3) The extent to which the application fully addresses all the project elements as required in subparagraph c above.

h. Evaluation Requirements. Evaluation is not required, but applicants must meet self-assessment and monitoring requirements of Appendix 4, Paragraphs 3 and 4 and Appendix 5.

i. Special Requirements.

- (1) All applications must meet the requirements of Part E of the Crime Control Act as a minimum for further processing. (See Appendix 1, Paragraph 8 and 9) Documentation of programs and plans that currently meet Part E requirements must be included with applications.

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- (2) Applicants must include an Environmental Evaluation (Appendix 1, Paragraph 11c) and State Planning Agency endorsement (Appendix 2, Paragraph 4) with applications.
- (3) Applicants must include with their applications a description of the technical assistance likely to be necessary to meet project objectives. Successful applicants can expect to receive technical as well as financial assistance.

j. Contact. For further information, contact:

Corrections Division  
Office of Criminal Justice Programs  
Law Enforcement Assistance Administration  
Washington, D.C. 20531  
(202) 376-3647

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32. CORRECTIONS PROGRAM STANDARDS IMPLEMENTATION PROGRAM.

- a. Program Objective. To support the adoption and implementation of advanced practices for health care and alcohol and drug treatment programs in long term institutions and jails.
- b. Program Description.

- (1) In 1970 LEAA was mandated by Congress under the Part E requirements of the Omnibus Crime Control and Safe Streets Act to assure that all recipients of awards demonstrate that correctional services reflect advanced practices. Based on this mandate, LEAA has supported programs for the development of correctional standards that contribute to the definition of advanced practices.

Since 1975 LEAA has funded programs to develop standards in corrections and has made awards to the American Correctional Association and the American Medical Association for this purpose. As a result of this effort, standards have been developed for health care programs and services in long term institutions and jails.

Criteria for drug and alcohol programs are currently being developed by LEAA, the National Institute on Drug Abuse (NIDA), and the National Institute on Alcoholism and Alcohol Abuse (NIAAA).

LEAA has also funded two major drug programs: Treatment Alternatives to Street Crime (TASC), and Treatment and Rehabilitation for Addicted Prisoners (TRAP). TASC and TRAP models can serve as guides for drug and alcohol programs in correctional agencies, in addition to the criteria mentioned above.

Increasingly, the courts have found correctional agencies in violation of inmate rights to proper care and treatment.

A review of court orders reveals that the most prevalent deficiencies occur in medical care and drug and alcohol treatment. It is the intent of this program to support the development and implementation of standards, guidelines, or models so that correctional agencies can correct the deficiencies and comply with court orders.

- (2) Results sought.
  - (a) Implementation of health care and drug and alcohol treatment programs in long term institutions and jails.
  - (b) Reduction in class action suits by inmates concerning the lack of medical care.
  - (c) Increased compliance with the requirements of Part E of the LEAA Legislation.
- (3) Hypothesis To Be Tested: Health care and drug and alcohol programs that are implemented based on current standards and models will result in an upgrading of practices and services in long term institutions and jails.
- (4) Assumptions.
  - (a) Current standards for health care represent achievable goals.
  - (b) Drug and alcohol program models and criteria can be modified to meet the minimum requirements of Part E.
  - (c) Implementation of these programs will reduce inmate grievances concerning lack of adequate services.

c. Program Strategy

- (1) This program is divided into two program categories for implementation in long term adult institutions and local jails:
  - (a) Implementation of medical health care standards for the improvement of programs and services in long term institutions and jails.
  - (b) Implementation of drug and alcohol identification and treatment programs and services in long term adult institutions and jails.
- (2) The following information must be included in applications and should be provided in Part IV of the application. (See Appendix 5 for further information on completing the application).

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- (a) A brief description of existing institution programs and services, including number of clients served, personnel resources allocated and space allocations devoted to the proposed project.
- (b) A complete analysis of court orders or findings of legislatively mandated state inspection authorities indicating the deficiencies found in support of the application.
- (c) The advanced practices that will be implemented to meet the deficiencies.
- (d) Project milestones including project start-up within 90 days of award, and for various phases of its implementation.
- (e) Population projects that show the number of clients to be served by the new program.
- (f) Assurances that the program will be continued and funded locally at the end of the project period.

d. Dollar Range and Number of Grants.

- (1) Medical and Health Care Programs. Up to 20 grants will be awarded. Up to four grants, not to exceed \$200,000, will be awarded to long-term correctional institutions and up to 15 grants, not to exceed \$100,000, will be awarded to local jails. The required match is 20 percent.
- (2) Drug and Alcohol Identification and Treatment Program. Up to 20 grants will be awarded. Up to five grants, not to exceed \$200,000, will be awarded to long-term correctional institutions and up to 15 grants, not to exceed \$100,000, will be awarded to local jails. The required match will be 20 percent.
- (3) All awards will be for periods not to exceed eighteen (18) months, and no continuation awards will be made.

e. Eligibility.

- (1) State and local units of government. State corrections agencies and jails must be subgrantees of State Planning Agencies.

- (2) Priority consideration will be given to jurisdictions that are now under court order to improve medical care or drug/alcohol services, under state inspection deficiency notice, or have been found to be in non-compliance with LEAA's Part E requirements.
  - (3) For drug and alcohol grants, corrections agencies must be co-applicants with either Single State Drug/Alcohol agencies, umbrella treatment agencies, or Treatment Alternatives to Street Crime projects.
- f. Deadline for Submission of Applicants. All applications must be received by March 2, 1979. Panel Review Process (Appendix 2, Paragraph 6) will apply.
- g. Criteria for Selection of Projects.
- (1) Medical and Health Care Programs
    - (a) The completeness with which the applicant addresses the essential standards as contained in the Manual of Standards for Adult Correctional Institutions, or the Manual of Standards for Adult Local Detention Facilities as applicable.
    - (b) Demonstrated coordination with the local Medical Society in the planning of the program.
    - (c) The use of existing local medical resources.
    - (d) The cost effectiveness of the proposed approach.
    - (e) The clarity with which the application relates the program to the standards referenced in (a) above.
    - (f) The extent to which the application fully documents the need based on court orders, or state jail inspection reports.
    - (g) The completeness of the application in addressing paragraph 32 c(2) above.
    - (h) Evidence of training for correctional officers and jailers regarding division of responsibilities distinguishing concern for health from concern for security.

(2) Drug and Alcohol Identification and Treatment Program.

- (a) The extent to which the application documents the nature and scope of the drug and alcohol problem in the community and the offender population.
- (b) The existence and use of supporting programs to supplement the proposed program, including medical resources in the institution and the community, release preparation, referral to community resources for after-care, supportive counseling, job placement, etc.
- (c) The cost effectiveness of the proposed approach.
- (d) The extent of availability and use of community organizations to provide services in support of the program.
- (e) The use of medically approved methods for diagnosis or identification of drug usage.
- (f) The extent to which the applicant addresses the minimal institutional treatment criteria developed by LEAA, NIDA and NIAAA.
- (g) The completeness of the application in addressing the requirements of subparagraph c(2) above.

h. Evaluation Requirements. Evaluation is not required but applicants must meet self-assessment and monitoring requirements of Appendix 4, Paragraphs 3 and 4 and Appendix 5.

i. Information on Standards.

- (1) Standards in support of Medical and Health Care Programs are available as follows:

Manual of Standards for Adult Correctional Institutions

Manual of Standards for Adult Local Detention Facilities

Commission on Accreditation  
6110 Executive Blvd., Suite 750  
Rockville, Maryland 20852

- (2) Information on Health Care Models can be obtained from:

American Medical Association  
Division of Medical Practice  
535 North Dearborn Street  
Chicago, Illinois 60601

- (3) Criteria in support of the Drug and Alcohol Identification and Treatment Program can be obtained from:

Corrections Division  
Office of Criminal Justice Programs  
Law Enforcement Assistance Administration  
Washington, D.C. 20531

It should be noted that both Manuals of Standards contain the medical standards of the American Medical Association.

j. Special Requirements.

- (1) All applications must meet the requirements of Part E of the Crime Control Act as a minimum for further processing. (See Appendix 1, Section 3, paragraphs 8 and 9). Documentation of programs and plans that presently meet Part E requirements must be included with the application.
- (2) Applicants must include with their applications the endorsement of their State Planning Agency (SPA).
- (3) Applicants must include with their applications a description of the technical assistance likely to be necessary to meet project objectives. Successful applicants can expect to receive technical as well as financial assistance.

k. For further information, contact:

Corrections Division  
Office of Criminal Justice Programs  
Law Enforcement Assistance Administration  
Washington, D.C. 20531  
(202) 376-3647



33. CORRECTIONAL STANDARDS ACCREDITATION PROGRAM.

- a. This program provides support to 12 states, six demonstration sites and six control sites, in testing the implementation of standards using the accreditation process of the Commission on Accreditation for Corrections. The program provides funding for a standards management team in each of the twelve states. The six demonstration states will receive technical assistance and assistance in cost analysis of standards. An evaluation of the program is being conducted in the twelve states.
- b. States have been selected for this program. No new funding is expected in 1979. States currently in the program will be funded for support of the standards management teams, and depending on availability of funds, for the implementation of standards.
- c. For further information, contact:

Standards Program Management Team  
Office of Criminal Justice Programs  
Law Enforcement Assistance Administration  
Washington, D.C. 20531  
(202) 376-2279

VI. RESTITUTION PROGRAM

a. Program Objective. To test the applicability of the different modes of community service restitution as a sentencing alternative that can reduce system costs and offer specific rehabilitative opportunities to offenders while providing services to the community. Other forms of restitution, i.e. victim monetary or victim service, will not be considered under this program.

b. Program Description.

- (1) Problem Addressed. The LEAA has sponsored programs through its various offices (The National Institute of Law Enforcement and Criminal Justice, Office of Juvenile Justice and Delinquency Prevention, and The Office of Criminal Justice Programs), surveys, research, symposiums and finally in 1977 "Action Research" to test the theory and practice of restitution programs. Of the types of restitution reviewed, the Community Service approach seems the most easily implemented at a variety of entry points within the criminal justice system in a cost effective manner.

Many individuals convicted in the existing criminal justice system are sentenced to probation or incarceration due to a lack of alternative sentences available to judges. Numerous studies have shown that traditional sentencing alternatives have not reduced probation case-loads, or provided adequate support services to offenders in the community.

- (2) Results Sought.

The program seeks to create an innovative alternative to the typical correctional processing of selected offenders that can result in benefits to the criminal justice system, the offender, and his/her community. The criminal justice system is expected to benefit from the lowered costs of non-incarceration; the offender is expected to benefit from the community service experience and/or skills learned in such service, and the community is expected to benefit from the offender's services.

c. Program Strategy.

Up to ten grants will be awarded for programs providing an alternative to incarceration or as a diversion from the criminal justice system. In each project offenders will be required to perform a prescribed regimen of services that propose to benefit the community and the offender, and, thereby, criminal justice. Projects will employ different innovative approaches in terms of type of services employed, organizational structures, and administrative procedures. Comparisons will be made and the consequences of variations in community size and demography will be considered by the evaluation.

(1) Project Elements.

Each funded project must include the following elements:

- (a) Community service placement opportunities for offenders.
- (b) Selection criteria for program participants.
- (c) Use of a contractual agreement to define offender's restitution obligation.
- (d) Availability of voluntary social and vocational rehabilitative services.
- (e) Administrative procedures to assure monitoring of sentence performance.

(2) Data and Information Required in Applications.

Submitted applications shall use the program narrative format recommended by Appendix 5 of these guidelines. Sections of the program narrative (Part IV of the application) shall include coverage of the following, in addition to meeting general requirements.

(a) Statement of Problem Addressed.

Include discussion of the following:

- 1 An analysis of existing local criminal justice system practices and policies (e.g. sentencing patterns) that impact on project operations.
- 2 Indication of number of target offenders within jurisdiction, recidivism rates, etc.

Describe specific criteria used to bound target offender population. Criteria shall be defined to maximize target population; inclusions or exclusions based on age, sex, type or number of offenses must be fully supported by statistics and experience.

(b) Statement of results sought.

1 Performance Goals.

- a Expected project intake. Based upon the established exclusionary/eligibility criteria, explain derivation of projected project intake figures: i.e. arrest rate, crime category, sentencing practices, employment status, residency and family status.
- b Expected demand for voluntarily requested rehabilitative services. Provide this information to extent possible, including reasoning.

2 Impact Goals. See 34h4 evaluation requirements; no impact targets required in application.

(c) How the project will work.

- 1 A detailed description of how the project will operate in the criminal justice system: e.g. how and where will the offender be screened for participation, at what point in the system will the offender enter the project and under what conditions, etc. Description must include as attachments letters from appropriate criminal justice officials indicating support for proposed operating arrangements, e.g., judges, D.A., police.
- 2 Information concerning specific number/type of service positions available for offenders: e.g. CETA slots, special programs. Indicate arrangements made to include a specific number of offenders from the proposed project in slots available within the existing support services agencies. Submit as attachments copies of written agreements documenting the availability of those slots.

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- 3 Procedures for determining the kind and amount of community service to be performed and supportive services to be received. Procedures must include arrangements for development of a contractual agreement with the offender setting forth the tasks of the agreement.
- 4 Description of current or proposed vocational/ career training and other social services available which will aid the offender in successful completion of his/her restitution obligation: Indicate the number and type of programs available that specifically apply to the target population. Submit as attachments letters from relevant agencies supporting the proposed project approach and providing commitments of slots.
- 5 Proposed operations staffing pattern, position descriptions indicating responsibilities, tasks, and expected workload for each staff member involved in delivery of services to participating offenders.

d. Dollar Range and Number of Grants.

Up to ten (10) grants will be awarded with a dollar range of \$100,000 - \$350,000 for an 18-month period. A ten percent cash match is required for first year funding. Consideration for second year funding of only 12 months duration with an increased match requirement of twenty (20) percent will be given based on an assessment of project operations.

e. Eligibility for Projects.

Applications are invited from State Planning Agencies, local units of government and non-profit organizations as co-applicants with appropriate units of government. Applications from co-applicants must clearly and explicitly define lines of authority and performance timetable.

f. Deadline for Submission of Applications.

Applicants are encouraged to submit concept papers by December 15, 1978. Applications must be received by February 1, 1979. Panel review selection process will apply. (See Appendix 2, Paragraph 6)

g. Criteria for Selection.

- (1) The extent to which proposed project provides support services to participants.
- (2) The extent to which documentation is provided as to the availability of community service opportunities for offenders.
- (3) The extent to which the application reflects a well planned and thought out approach integrating the proposed effort into the existing criminal justice system and local community.
- (4) The extent to which project elements are integrated in a cost effective manner.

h. Evaluation Requirements.

- (1) An independent cluster evaluation of this program is planned, to be undertaken by an independent evaluator selected by LEAA. The evaluator and LEAA will select projects for inclusion in the national level cluster evaluation.
- (2) All grantees must indicate in advance their willingness to cooperate fully with the evaluator and to participate in the cluster program evaluation by providing requested data.
- (3) Each application submitted must consider and address measurement of each of the following elements within their proposed evaluation plan:
  - (a) Sentencing of offenders to community service in relation to traditional sentencing practices.
  - (b) Re-entry of participants into the criminal justice system due to the commission of additional criminal acts and/or violation of the terms of the community service contract.
  - (c) Before and after modification of participant skills and attitudes resulting from participation in the

community services practices.

- (d) Cost effectiveness of the community services program compared with cost effectiveness of existing sentencing practices for like offenders.
- i. Special Requirements. Applicants are advised to be thoroughly familiar with current materials available on restitution before filing application. In particular, the following:
  - (1) Restitutive Justice. Herbert Edelhertz, National Institute of Law Enforcement and Criminal Justice. January 1975. Available from National Criminal Justice Reference Service (NCJRS).
  - (2) Sentencing to Community Service. National Institute of Law Enforcement and Criminal Justice. October 1977. Available from NCJRS or Government Printing Office, Washington, D.C. 20402.
  - (3) Offender Restitution. Theory and Action. Burt Galaway and Joe Hudson, University of Minnesota, Second National Symposium on Restitution, 1978. Available from NCJRS or University of Minnesota.
- j. For further information on the program and any of the above, contact:

Corrections Division  
Office of Criminal Justice Programs  
Law Enforcement Assistance Administration  
Washington, D.C. 20531  
(202) 376-3647

35. TREATMENT ALTERNATIVES TO STREET CRIME (TASC) PROGRAM.

- a. Program Objective. To demonstrate methods to improve the processing of drug and alcohol abusing offenders and reduce drug related crime by providing community-based treatment services for substance abusing criminal offenders.
- b. Program Description.
  - (1) Problem addressed. Various studies have indicated that from one-third to one-half of all property crimes committed in the U.S. are directly or indirectly related to substance abuse. Many of the substance abusing offenders committing these crimes are released pending trial without any provision for treatment. As a result, many of them continue to commit criminal acts to support their drug habit while awaiting trial. For those who are convicted, many will be placed on probation with no specific provisions for drug treatment. As a result, many of these probationers will revert to criminal activities.
  - (2) Results sought. The program seeks to create criminal justice intervention mechanisms so that appropriate substance abusing offenders will be referred to community-based treatment programs. This should result in a significant reduction in the recidivism rates of these offenders.
- c. Program Strategy.
  - (1) Project Elements. The following elements must be included in projects. They should be described in Part IV of the application. (See Appendix 5 for further instructions for completing the application).
    - (a) Appropriate community-based treatment programs available to accept referrals.
    - (b) A screening unit to identify and recruit potential clients entering the criminal justice system, accompanied by project eligibility criteria.
    - (c) A diagnostic/evaluation or intake unit to provide appropriate diagnostic services to determine the nature of the client's drug use and his/her appropriate treatment placement.
    - (d) A court liaison representative(s) or other staff to represent the client in court.



- (e) A tracking unit to monitor the progress of the client, to include random weekly urinalysis reports.
  - (f) Client escort from jail or court to intake and from intake to treatment.
  - (g) Optional components may include support services coordination and a small jail treatment unit.
- (2) Data and Information required in Application. The following information should be provided, to the extent possible, in Part IV of the Application (See Appendix 5).
- (a) Nature and scope of the drug problem in community;
  - (b) Arrests by various offense categories (particularly drug possession and property crimes);
  - (c) Number of clients placed on probation;
  - (d) Current criminal justice "client flow" and how TASC project will fit in or intervene in that process.
  - (e) Likely impact of project on the criminal justice system (e.g., reduction in number of drug abusing offenders sentenced to prison) and the impact upon criminal recidivism rates.
  - (f) Description of how recidivism of active clients will be monitored.
  - (g) Discussion of potential sources of future funding and plans for local assumption of costs.
- d. Dollar Range and Number of Grants. Up to five new grants and 10 continuation grants will be awarded, ranging from \$100,000 - \$450,000 per year. The upper limits will be restricted to high target population programs. Grant periods will be 18 months. A ten (10) percent cash match is required for first year funding. Consideration for second year funding with an increased match requirement of twenty (20) percent will be given based on the assessment of the project through evaluation and monitoring.
- e. Eligibility. State Planning Agencies and local units of government under Part E requirements. Jurisdiction should have a population of 200,000 or more.

- f. Deadline for Submission of Applications. Applications must be received by March 16, 1979.
- g. Criteria for Selection.
  - (1) The extent to which the jurisdiction has a significant drug-related crime problem as documented in response to requirements in c(2), above.
  - (2) The extent to which there is an availability of community-based treatment slots.
  - (3) Feasibility of project design and extent to which application includes all program requirements specified in subparagraph c, above, in a cost effective manner.
- h. Evaluation Requirements. Some projects in this program will be selected for intensive project evaluation. In addition to the self-assessment and monitoring requirements of Appendix 4, Paragraphs 3 and 4, and Appendix 5, applicants must meet the project level evaluation requirements specified in Appendix 4, Paragraph 7.
- i. Special Requirements. All applicants must document the availability of adequate community-based treatment resources for the anticipated TASC caseload.
- j. Contact. For further information, contact:

Corrections Division  
Office of Criminal Justice Programs  
Law Enforcement Assistance Administration  
Washington, D.C. 20531  
(202) 376-3944

36. TREATMENT AND REHABILITATION FOR ADDICTED PRISONERS PROGRAM (TRAP)

- a. Program Objective. The objectives of the TRAP Program are to reduce illicit drug use and criminal activity associated with drug use by providing treatment and rehabilitative services for offenders with a history of serious drug abuse while they are incarcerated in state correctional institutions and while on subsequent parole status.
- b. Program Description.
  - (1) Problem Addressed. Numerous studies have indicated that there is a large number of drug abusing offenders entering state correctional systems. A recent study conducted by the U.S. Bureau of the Census showed that 61 percent of over 10,000 inmates from 190 state correctional institutions across the country had used illicit drugs. Many of these offenders are incarcerated in prisons which offer little or no institutional or aftercare services for those released on parole. As a result, it is believed that many of these offenders will return to illicit drug use and criminal activity.
  - (2) Results Sought.
    - (a) Improved coordination of treatment service delivery for offenders while incarcerated and on parole.
    - (b) Improved information base for use in parole hearings, parole plans, and parole supervision.
    - (c) Decreased use of illicit drugs by inmates placed on parole through this program.
    - (d) Decreased recidivism rates among program participants and graduates.
- c. Program Strategy.
  - (1) The TRAP program, which is based upon the LEAA Prescriptive Package entitled "Drug Programs in Correctional Institutions", combines several key elements in the Prescriptive Package into a unified program approach. The approach requires a 12-18 month program for voluntary offender participants which encompasses a 6 to 9 month correctional phase and a 6 to 9 month parole phase. The Correctional phase must be housed in a "functional unit" setting designed to treat a minimum of 30 inmates at any given time. Three or four projects will be awarded to continue the testing of the feasibility and effect-

iveness of this approach.

(2) Project Elements.

The following elements must be included in each project and described in Part IV of the application:

- (a) A classification procedure to screen and identify all inmates with a history of drug abuse. The procedure must provide methods to make the inmates aware of the TRAP program while stressing that participation in the program is voluntary.
- (b) A coordinating committee evenly composed of inmates and staff. This committee will establish program rules and procedures and may also act as a screening unit for offenders wishing to enter the program.
- (c) Provision for supportive services for participating inmates (including the extent to which existing facilities, programs and staff will be used to provide these services). Supportive services which must be provided are those required under LEAA's Part E Guidelines and include, but are not limited to: medical examinations, vocational training, and educational training.
- (d) Provisions for group counseling, individual counseling and alternative therapeutic programs. Three hours of group counseling and three hours of individual counseling must be provided to each participant each week. Alternative therapeutic programs include, but are not limited to: Transcendental Meditation, Yoga, and Physical Fitness Training.
- (e) Procedures for utilizing the Mutual Agreement Pact (MAP) must be included. The Pact must be a signed document covering all requirements of the participant's conduct while in prison and on parole. The Pact must include the following stipulation: Failure to agree with the terms of the Mutual Agreement Pact while in prison will result in the return of the offender to the main prison inmate population. The Pact will be made a part of the offender's conditions for parole, and information concerning compliance with the Pact must be used by the parole board as an information base and serve as a key factor in granting parole.
- (f) A process for identifying and evaluating community based treatment resources for use by participants while in the institution or on parole.

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- (g) Provision for restricted use of urinalysis both in the correctional setting and during parole. Urinalysis may only be used in special cases for inmate participants. However, parole participants will be required to submit one random weekly urine sample for the first four months. After four months, urinalysis testing may be reduced to as few as one random test per month.
  - (h) Full-time project staff. Full-time staff should minimally include a full-time project director, a secretary/bookkeeper, a parole agent liaison assigned to the parole board, a parole agent liaison for aftercare services and monitoring, and therapeutic staff (possibly including para-professional). All staff must volunteer for participation.
- (3) Data and Information Required in Applications.
- TRAP applications are expected to be submitted in the general format specified by Appendix 5 of these guidelines. Further detail to guide submission of the following types of required information is available from the Corrections Division.
- (a) A discussion of the extent of drug abuse in the corrections population and the need to provide drug treatment. Include relevant supportive data.
  - (b) A description of present procedures and services including how the drug abusing offender is presently processed through the correctional system, and what services are presently available for the drug abusing offender.
  - (c) Quantifiable process and outcome goals and objectives.
  - (d) A timetable for implementing major activities of TRAP operations.
  - (e) Letters of endorsement and firm commitments of intention to participate and cooperate from all relevant criminal justice/correctional agencies or individuals such as the warden, parole board, etc. and drug abuse treatment/planning agencies or individuals.
  - (f) Documentation of the availability of community based treatment slots to service anticipated TRAP clients.
  - (g) A description of the proposed project's structure and organization including an organizational chart, job descriptions, and staffing.
  - (h) Specific discussion on how central referral agencies

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will be utilized by the TRAP program. If central referral agencies exist such as Treatment Alternatives to Street Crime projects or Central Intake Units, there must be a discussion of how the services of these agencies will be used by program participants and TRAP staff. There should also be adequate discussion on coordination with the responsible Single State Agency for Drug Abuse Prevention.

- (i) Specific discussion of supportive services with emphasis upon facilities to be utilized, staffing, and applicability or conformance of existing programs.

d. Dollar Range and Number of Grants.

Up to four grants of up to \$330,000 each for 18 months (including three months for start-up) will be awarded. Successful projects may be continued for an additional 12 months. First year match requirement shall amount to 20 percent; second year match requirement shall increase to 30 percent.

e. Eligibility.

State planning agencies or state drug abuse planning or correctional agencies as sub-grantees of state planning agencies are eligible.

f. Deadline for Submission of Applications.

Applicants are encouraged to submit concept papers by December 1, 1978. Applications must be received by January 15, 1979. Panel Review Selection process will be used. (See Appendix 2, Paragraph 6)

g. Criteria for Selection.

- (1) Applications will be judged on the extent to which they respond to the requirements of this program description, particularly item c, Program Strategy.
- (2) Applicants must be able to demonstrate support among all concerned agencies and document the availability of a diversity of treatment resources for institutional and community-based clients.

h. Evaluation Requirements.

- (1) An independent national evaluation of this program is planned to be undertaken by an independent contractor selected by the National Institute of Law Enforcement and Criminal Justice. The contractor and LEAA may select projects for inclusion in the national level evaluation.

- (2) In addition to the self-assessment and monitoring requirements of Appendix 4, Paragraphs 3 and 4 and Appendix 5, all applicants must propose an evaluation plan for their project containing the evaluation plan elements detailed in Appendix 4, Paragraph 6. The evaluation plan itself must be submitted within 90 days of the award.
- (3) Grant recipients may be required to modify their proposed project specific evaluation plans in order to be integrated into the national level program evaluation design to be developed by the independent national contractor.
- (4) All grantees must indicate in advance their willingness to cooperate fully with the national contractor to participate in the program evaluation.

i. For further information on the program and any of the above, contact:

Corrections Division  
Office of Criminal Justice Programs  
Law Enforcement Assistance Administration  
Washington, D.C. 20531  
(202) 376-3644

37. JAIL ACCOUNTING MICROCOMPUTER SYSTEM (JAMS) PROGRAM.

- a. Program Objective. To demonstrate the applicability of low cost microcomputers for improving the quality of record keeping and providing timely and accurate information concerning the status and location of prisoners in small and medium sized jails.
- b. Program Description. The JAMS Program is a coordinated effort involving the development, test, and demonstration of a set of procedures suitable for automation on various microcomputer configurations at small and medium size jails. During FY 77, a pilot JAMS was developed and operationally tested at one site. During FY 78 and 79, a comprehensive JAMS Transfer Package will be developed and the system will be implemented and tested at two additional sites. Upon completion of this implementation, a limited number of jails will be eligible to receive a one-year grant for participation in the JAMS Demonstration Program.
  - (1) Problem Addressed. The lack of timely, accurate, and complete information concerning the status and location of prisoners in jail.
  - (2) Results Sought.
    - (a) The immediate logging and retrieving of information concerning the status and location of all prisoners in jail.
    - (b) The capability to produce periodic hard copy reports, as necessary, to support both operational and administrative functions of a jail.
    - (c) The ability to provide management with both statistical and factual information concerning economical and efficient use of available resources.
- c. Program Strategy.
  - (1) In FY 1979, a limited number of small and medium size jails will be selected to participate in the demonstration phase of the program.



- (2) The grant application program narrative must include:
- (a) Information concerning other automated capabilities either in operation or available for use by the jail.
  - (b) A commitment to implement the basic JAMS software which will be provided by LEAA subsequent to grant award.
  - (c) A willingness to support LEAA's system transfer program and act as a donor site for subsequent transfer of the JAMS software.
  - (d) A general description of operational and administrative procedures and a description of the jail facilities.
  - (e) A commitment to assume operational costs after implementation.
  - (f) A commitment to allow the operation of JAMS to be observed by interested personnel from other jails.
- d. Dollar Range and Number of Grants. Up to eight grants ranging up to \$25,000, excluding hardware costs, will be awarded. Part E funds will be used and a 10 percent match is required.
- e. Eligibility. Jails with an average daily inmate population between 50 and 600.
- f. Application submission and processing procedures. Jurisdictions interested in possible participation in the JAMS program should submit concept papers by March 30, 1979. Based on a review of these concept papers, LEAA will select sites from which to solicit formal applications.
- g. Criteria for Selection of Projects. Selection of demonstration sites will be based on the following criteria:
- (1) Size of jail population;
  - (2) Evidence of commitment of personnel and resources to support the demonstration; and
  - (3) Evidence of ability to continue operation of project after Federal funds are no longer available.

- h. Evaluation Requirements. Evaluation is not required by applicants must meet self-assessment and monitoring requirements of Appendix 4, Paragraphs 3 and 4 and Appendix 5.
- i. Contact. For additional information on this program, contact National Criminal Justice Information and Statistics Service, LEAA, Washington, D.C. 20531 (301) 492-9053

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38. OFFENDER BASED STATE CORRECTIONS INFORMATION SYSTEM (OBSCIS) PROGRAM.

- a. Program Objective. The objective of this program is to assist in the development of information systems which support corrections systems decision making for operations and planning.
- b. Program Description. OBSCIS is a model state level information system, under concurrent development in over 30 States, to provide corrections agencies with improved operational and administrative information while also supporting overall, integrated national reporting and analysis capabilities. It interfaces with other systems of national scope such as National Prisoner Statistics (NPS) and Offender Based Transaction Statistics and Computerized Criminal Histories (OBTS/CCH). This program is coordinated with the Corrections Master Planning program and the Corrections System Management Improvement program.
  - (1) Problem Addressed. Few systems for Corrections departments exist which provide readily retrievable and accurate data for decision making.
  - (2) Results Sought.
    - (a) Provide population statistics and reports and, as authorized, provide evaluative studies, including program and rehabilitative information.
    - (b) Provide information about inmates to make proper decisions concerning inmate behavioral and rehabilitative change and to monitor the progress of inmates in terms of health, education, attitude adjustment and other factors.
    - (c) Maintain information on program activities that allows evaluation of their success.
    - (d) Provide the capability for retrieving historical data, providing feedback and projections for planning of facilities, programs, personnel and funding.
  - (3) Assumptions underlying program. It is possible to provide State corrections agencies with improved operational and administrative capabilities, geared to their own requirements, while meeting the objectives of national reporting systems and generating information to be used in developing state corrections master plans. This goal can be accomplished by designing a conceptual model which individual states may tailor for their own use while achieving commonality among all states.

c. Program Strategy.

- (1) Applicants must agree to follow the basic development procedures, applications, and data elements contained in SEARCH OBSCIS publications (Volumes I-VII). Initially, a state should concentrate development in the following eight application areas:

- (a) Admissions
- (b) Assessment
- (c) Institutions
- (d) Parole
- (e) Movement Status
- (f) Legal Status
- (g) Management and Research
- (h) National Reporting

The order of development is dependent upon the level of corrections information systems development in each state and the priorities of that state. Other applications should not be developed until a minimal level operating capability has been achieved in Admissions, Movement Status and National Reporting areas.

Support for these applications will be built upon a uniform data base established by the corrections authority in each participating state. The OBSCIS data base has three separate strata of data elements:

- (a) CORE - The minimum level necessary to support all national programs and interface with OBTS/CCH;
- (b) RECOMMENDED - The basis for correctional information systems in individual states;
- (c) OPTIONAL - The addition of data elements which enhance the system and allow individual states to tailor their system to the particular requirements of their state authorities.

A state must agree to accept the CORE level of data elements and acceptance of the RECOMMENDED and OPTIONAL is encouraged.

- d. Dollar Range and Number of Grants. Grants will range from \$75,000 to \$200,000 each according to the following limitations:

<u>Development Phase</u>	<u>1st YR</u>	<u>2nd YR</u>	<u>3rd YR</u>
OBSCIS Phase I (WA., MD., FL., IL., MN., CA., HI., GA., CO.)	\$250	\$200	\$75
OBSCIS Phase II (NY., VA., SC., MI., OH., NM., MT., AZ., AL., NV.)	250	100	--
OBSCIS Phase III (CT., AR., PA., NJ.)	175	75	--
OBSCIS Phase IV (ME., DE., IA., DC., NH., KS., WI., VT.)	150	--	--
OBSCIS Phase V (states entering the program in FY 79)	150	--	--

- e. Eligibility for Projects. The State Department of Corrections or other authority charged with statewide corrections management as co-applicant with or subgrantee of the State Planning Agency. The Chief Administrator of such agency must sign the application.
- f. Deadline for Submission of Applications. New applications may be submitted any time in FY 79. Continuation grant applications should be submitted by states 90 days before expiration of their current grant. It is anticipated that there will be six new and six continuation grants in FY 79.
- g. Selection Criteria. Approval of grant applications for OBSCIS will be based upon the following criteria:
- (1) Fulfillment of the special requirements in item i;
  - (2) Current status of the CDS Action Plan;
  - (3) SPA endorsement, approval and certification that the project is consistent with state comprehensive planning.

- (4) Extent of development of existing corrections information systems within the State;
- (5) Commitment of State to assume operational costs upon termination of Federal development funding.
- h. Evaluation Requirements. Evaluation is not required but applicants must meet self-assessment and monitoring requirements of Appendix 4, Paragraphs 3 and 4 and Appendix 5.
- i. Special Requirements. States seeking participation must meet the following special requirements:
  - (1) The State must assure that OBSCIS will interface with other State level criminal justice information systems including OBTS/CCH, SJIS, and SACs where such systems are being implemented or are operational.
  - (2) A state must agree to meet national reporting requirements of the National Prisoner Statistics Series and the Uniform Parole Report Series.
  - (3) In those states in which the parole functions are distinctly separate from the corrections functions, the applicant shall show commitment to the OBSCIS project from both parole and corrections agencies. The applicant must also describe the method by which the parole and corrections segment of OBSCIS will be developed and which agencies are responsible for providing State and national data.
  - (4) A state must agree to accept the basic development procedures, applications and data elements contained in SEARCH OBSCIS Publications (Volumes I-VII).
  - (5) A state must agree to participate in the SEARCH OBSCIS committee. Funds for one state representative to attend committee meetings will be provided by SEARCH Group, Inc.
  - (6) With its application, a State must submit a written commitment, signed by the Chief Administrator of the State Department of Corrections to participate in the total project.
  - (7) A state must agree to complete an analysis and comparison of the State's systems requirements and the capabilities of the Basic OBSCIS computer software before development of computer programs by the State.
- j. Contact. National Criminal Justice Information and Statistics Service, Systems Development Division (SDD), LEAA, Washington, D.C. 20531. (301) 492-9060

39. INMATE LEGAL SERVICES PROGRAM.

- a. Objective. An on-going demonstration of prisoner legal services programs at adult State institutions will be continued during 1979.
- b. Results sought. The primary goal of the program is to demonstrate the most effective and economical ways to insure that prisoners are not denied the right of access to the courts as assured by the Constitution and reaffirmed by recent Supreme Court rulings.
- c. Project selection. No new projects will be awarded in 1979.
- d. For further information, contact:

Corrections Division  
Office of Criminal Justice Programs  
Law Enforcement Assistance Administration  
Washington, D.C. 20531  
(202) 376-9944

40. JAIL OVERCROWDING AND PRETRIAL DETAINEE PROGRAM.

a. Program Objective: To reduce jail overcrowding in selected jurisdictions which have demonstrated jail overcrowding caused, in large part, by a sizable pretrial population.

b. Program Description

- (1) This program concentrates LEAA's past research and training efforts related to jails into a cohesive package that can be utilized by jurisdictions facing a "jail crisis." This program forms a link in LEAA's court improvement strategy, since it recognizes that courts have an inherent responsibility to monitor pretrial detainees in local jails and correctional institutions. It is thus linked to court delay reduction because speedy case dispositions have a direct impact on jail populations, and it incorporates past LEAA efforts to improve jail management and pretrial services.
- (2) Two interrelated problems exist: First, there are a number of this nation's 4,000 jails which are severely overcrowded. A growing number of these local jails are under court orders (or the threat of court orders) to reduce population levels. Secondly, as a direct result of the excessive length of time required by some courts to process cases, some detainees experience an excessive custodial period prior to adjudication.

These conditions raise legitimate legal and constitutional questions for states and local jurisdictions, as well as practical supervision issues for jail administrators.

(3) Assumptions

- (a) There are a significant number of local jails with overcrowding and pretrial detention problems.
- (b) The court is a key to any comprehensive solution to reduce jail overcrowding and excessive detainee custody time, since it can effectuate and encourage the release of arrestees, expedite the flow of criminal cases and employ sentencing alternatives. However, the court operating alone cannot accomplish these goals to their fullest extent. The sheriff, police, prosecutor, and defense counsel must play an instrumental role.
- (c) Most jurisdictions, even those faced with a pressing jail overcrowding problem, may not be inclined to take comprehensive and drastic steps to reduce jail intake and court delay. A first inclination will be to build more jail



facilities or hire more staff. This inclination can be overcome in many cases through data collection, analysis, and strategic technical assistance.

- (d) "Crash" court programs designed to handle large numbers of jailed defendants with additional court resources will have transitory effects, but the problem is likely to reoccur.
  - (e) The cost of booking, jailing, and other system processing grows more sizeable each day, and while the cost for any individual may be relatively low, the cumulative cost is enormous.
  - (f) Excessive detention time is costly in economic terms, may lead to frustration and inmate disturbances, and is illegal for some classes of defendants.
  - (g) Centralizing pretrial decision-making can improve referral procedures, emergency services, early entry of prosecution and defense counsel, and more equal treatment and accountability.
- (4) Results Sought.
- (a) Reduction of jail overcrowding and jail costs.
  - (b) Reduction of pretrial detainee custody time.
  - (c) Increased alternatives to arrest and incarceration in appropriate cases.
  - (d) Establishment of active judicial involvement in overseeing jail population levels.
  - (e) Improved jail management.

- c. Program Strategy. This program employs a two phased approach. Phase I is a planning and analysis period during which local jurisdictions, with LFPA assistance, will select appropriate methods to address their overcrowding and pretrial detention problems.

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Phase II is an implementation stage for a small number of selected sites. LEAA assistance will be available for Phase II efforts to increase efficient pretrial decision making through additional pretrial services, staffing, training and technical assistance. Re-allocation of local resources may be essential.

(1) Phase I: Planning and Analysis

- (a) The objectives of Phase I grants are to assess current jail overcrowding and pretrial detention problems and develop a comprehensive strategy addressing the needs of the particular jurisdiction through the following activities:
  - i. Identify and assess the roles played by various system components who impact the jail population under current arrest-to-trial procedures (i.e., police, judge, sheriff, jail administrator, prosecution, defense counsel, pretrial staff, etc.).
  - ii. Collect and standardize jail population statistics (i.e., intake, length of stay, average daily population, etc.).
  - iii. Develop routinized jail population reporting procedures.
  - iv. Establish goals for jail population levels and system-wide performance at the pretrial stage.
- (b) The following problems are to be addressed in Phase I:
  - i. Lack of jail population classification system.
  - ii. Lack of jail management information system.
  - iii. Inadequate reporting procedures for proper oversight function.
  - iv. Inadequate planning structure to ensure interface of key agencies that impact jail population.
- (c) LEAA will provide assistance, through a national program coordinator, to:
  - collect and analyze jail population data,
  - facilitate local planning and coordination,

- help identify training and technical assistance needs within the jurisdiction,
- schedule and coordinate training and technical assistance.

The national program coordinator will serve as the overall grantee for Phase I of the program, and provide assistance with data collection, recommendations on technical assistance needs and the development of alternative programs and structures within the local criminal justice system. Funding for Phase I activities at the local level will be in the form of a cost-reimbursable contract with the National Program Coordinator.

- (d) Up to 15 local jurisdictions will be selected by LEAA to participate in a data collection and planning phase (Phase I) and awarded a contract from the National Program Coordinator of Part E funds. Each local site may receive up to \$20,000 for Phase I planning purposes.
- (e) Local jurisdictions will be chosen by LEAA according to the following criteria:
  - i. A six-month or more documented history of jail overcrowding generated, in large part, by pretrial detainees;
  - ii. The existence of, or willingness to provide, community-based or other release options to jail and bail, and a six month or more documented history of underutilization of these alternatives;
  - iii. Evidence of Sheriff, Department of Corrections, County Board, and Judicial sponsorship and participation;
  - iv. The documented willingness to apply local financial resources to this overall detainee/jail overcrowding reduction effort;
  - v. An information system capability (manual or automated) to support program management and accountability needs;

- vi.. Pending or past legislation which facilitates or promotes pretrial release alternatives.
- (f) Additional consideration will be given to jurisdictions participating in one or more of the following national LEAA programs where they can be shown to impact either pretrial detention or jail overcrowding:
- i. Prosecutor Management Information System (PROMIS)
  - ii. Restitution Program
  - iii. Career Criminal Program
  - iv. Integrated Criminal Apprehension Program (ICAP)
  - v. Court Delay Reduction Program
  - vi. Treatment Alternatives to Street Crime Program (TASC)
- (g) Phase I Application Procedure and Deadline. Applicants should submit to Adjudication Division, OCJP, LEAA a brief paper indicating:
- i. Interest in the program;
  - ii. Summary of current overcrowding problems and causes;
  - iii. Proposed alternatives to current system processing to be investigated under Phase I; and
  - iv. Support from key court, county, prosecution, defense, and enforcement officials.

These papers will be accepted by LEAA through January 15, 1979. Applicants will then be mailed a guide to data collection which specifically addresses each Phase I site selection criterion. This guide to data collection will be used for final site selections.

(2) Phase II: Comprehensive Program Implementation

- (a) The objective of Phase II is to implement comprehensive strategies to reduce pretrial detainee custody time and jail overcrowding as identified under Phase I. The following activities should be included:

- i. Begin routinized reporting procedures to monitor jail population and system flow.
  - ii. Promulgate and implement court rules and policies with respect to pretrial release criteria and early appointment of defense counsel.
  - iii. Expand alternatives to jail in cooperation with community agencies.
  - iv. Develop improved jail management and oversight procedures.
  - v. Establish central intake unit, or variation, to coordinate, process and administer a comprehensive jail reduction strategy.
  - vi. Continue coordination and planning activities among system components.
  - vii. Evaluate project strategy and effectiveness in meeting project goals.
- (b) The following problems are to be addressed under Phase II of the Pretrial Detainee Program:
- i. Lack of stated policy with respect to eligibility criteria for release and appointment of defense counsel resulting in unnecessary detention and the late entry into the case of defense counsel.
  - ii. Lack of single administrative unit with screening and reporting responsibilities to the court to assist the judicial decision making process at the critical pretrial stage.
  - iii. Lack of jail population and system flow accountability.
  - iv. Lack of on-going coordination among system actors to address pretrial issues.
- (c) LEAA, with the assistance of the National Program Coordinator, and other national organizations, will provide financial, technical assistance and training support to:

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- i. Establish a central intake unit, or variation, to process, monitor and administer the jail reduction strategy developed under Phase I.
  - ii. Increase the sensitivity of the judiciary to the importance of pretrial decisions and increase the leadership of the court in establishing and implementing policies affecting the release or control and custody of pretrial defendants.
  - iii. Improve jail management.
  - iv. Develop and expand the capabilities of information systems to track population and case flow through the system.
  - v. Expand alternatives to pretrial detention;
  - vi. Monitor program efficiency and effectiveness;
  - vii. Coordinate efforts between jurisdictions nationally;
- (d) Up to seven jurisdictions will be selected by LEAA to participate in Phase II of the Jail Overcrowding Program. Phase II grant awards will range in size from \$50,000 to \$250,000 and will be made directly to local sites. Phase II grant awards will be used to support the full range of alternatives to jail, improve pretrial services and jail management improvements including information systems.
- (e) Jurisdictions will be chosen by LEAA on a competitive basis according to the following criteria:
- i. The comprehensiveness of approach and likelihood of addressing the problems mentioned above;
  - ii. Evidence of Judicial leadership;
  - iii. Evidence indicating maximum use of alternatives to pretrial detention.
  - iv. Firmly established procedures to guarantee inmate population control and accountability.
  - v. Documented procedures to assure early entry into case processing by prosecuting and defense counsel.
  - vi. Willingness to experiment with central intake concept or variation.

vii. Evidence of willingness to apply local financial assistance to help support these efforts.

(f) Applications for Phase II of the Pretrial Detainee Program must be received by June 15, 1979.

d. Eligibility. Eligibility for participation in this program is limited to jurisdictions with populations over 150,000. Applicants will normally be metropolitan counties in cooperation with the court of general jurisdiction.

Applicants must meet Part E requirements in program areas as defined in the Crime Control and Safe Streets Act of 1968, as amended. Applications must have the endorsement of state and local planning units. Letters of cooperation from the Sheriff/Department of Corrections and the Chief Judge must accompany the application.

e. Evaluation Requirements.

- (1) An independent national cluster evaluation of this program is planned, to be undertaken by an independent evaluator selected by the Office of Criminal Justice Programs. The evaluator and LEAA will select projects for inclusion in the national level cluster evaluation.
- (2) In addition to the self-assessment and monitoring requirements of Appendix 4, Paragraph 3 and 4 and Appendix 5, all applicants must propose an evaluation plan for their project containing the evaluation plan elements detailed in Appendix 4, Paragraph 6.
- (3) Grant recipients may be required to modify their proposed project specific evaluation plans in order to be integrated into the national level cluster program evaluation design to be developed by the independent national evaluator.
- (4) All grantees must indicate in advance their willingness to cooperate fully with the national evaluator to participate in the cluster program evaluation.

f. For further information, contact: Adjudication Division, Office of Criminal Justice Programs, LEAA, Washington, D.C. 20531, (202) 376-3615.

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47. TECHNICAL ASSISTANCE IN CORRECTIONS.

- a. Part E assessment and planning technical assistance. Assistance is available to provide assessments of existing facilities and programs using Part E requirements as the basis for determining deficiencies and for identifying methods of improving the system through planned implementation of advanced practices.

Areas identified for specific assistance in FY 1979 are:

- (1) Medical Care/Health Services in Adult long term institutions and local correctional facilities. Assessment of existing systems and planning to upgrade the system will be based upon the current standards and Models developed by the American Medical Association and as the base for meeting the special requirements of Part E of Public Law 93-83 as amended. Assistance is available for:

- (a) Medical Care/Health Service Delivery Systems including:

Administration  
Organization  
Personnel  
Records

- (b) Medical Care, including:

Emergency procedures/plans  
Short terms treatment plans  
Long term treatment plans

- (c) Health Services, including:

Intake  
Diagnosis  
Screening  
Referral Resources

- (2) Pre-Application and Advanced Planning Assistance for Renovation Projects. Technical assistance will be limited to the assessment of the existing facility and the impact of space allocation on staff, inmate population, programs and services. The assessment and recommendations for upgrading the system will be based upon the current guidelines established by the National Clearinghouse Criminal Justice Planning and Architecture. Assistance is available for:



- (a) Population projections
  - (b) Assessment of existing facilities including:
    - Housing areas
    - Medical areas
    - Food service areas
    - Recreation areas
    - Visiting areas
    - Industrial areas
    - Security
    - Fire Safety
    - Sanitation
    - Heat
    - Light
    - Ventilation
  - (c) Assessment of existing facilities in terms of planned:
    - Renovation
    - Expansion
    - Replacement
- (3) Assessment of existing Prison Industries and planned implementation of the Free Venture Model. Technical assistance will be limited to the assessment of existing prison industry facilities and programs and recommendations on upgrading the system using the Free Venture Model Prison Industries as the basis for planned system improvement. Assistance is available for:
- (a) Assessment of existing prison industries.
  - (b) Presentation of the Free Venture Model, including:
    - Accounting Procedures
    - Marketing Analysis
    - Management
- (4) State and local corrections administrators are eligible.
- (5) Process for applying for technical assistance:

- (a) Applicants should develop their requests based upon the topic for which assistance has been developed. These requests are to be forwarded to:

Corrections Division  
Office of Criminal Justice Programs  
Law Enforcement Assistance Administration  
Washington, D.C. 20531  
(202) 376-3647

- (b) Applicants should forward a copy of the technical assistance request to the State Planning Agency concurrent with their request to LEAA.
- (c) Request for assistance will be screened and forwarded to the LEAA contractor for appropriate action.
- (d) Contractor assessment reports and recommendations will be forwarded to Corrections Division for review.
- (e) Corrections Division will forward the report to the applicant with copies to State Planning Agencies.

b. Corrections Innovations Assistance.

- (1) This effort is directed at providing assistance:
  - (a) In initiating a specific, discrete activity which provides a service not previously available from the agency;
  - (b) Or, for teaching and training staff how to make use of a specific skill or program model.

In any case, the rendering of the assistance is for a specific purpose and must result in a demonstrated agency change.

- (2) Traditional technical assistance (TA) efforts have provided advice and consultation to requesting agencies on a no-cost basis. At the same time, grant-in-aid programs have established new programs in operating agencies. This project is designed to fill the gap between these two approaches. Assistance will be provided to agencies only where the assistance will result in a "deliverable," i.e., a specific product or an observable change in the practices of the agency. Requesting agencies will also be required to share the cost for this assistance.

- (3) The topics selected for demonstration are limited to those topics where there is existing validated research findings and/or national corrections standards, as well as an identified need in the field for problem resolution. Topics include the following:
- (a) Guidelines for Parole Decision Making;
  - (b) Cost Analysis for Implementing Corrections Programs;
  - (c) Inmate Grievance Procedures;
  - (d) Administration and Management of Community-Based Residential Facilities;
  - (e) Probation Management and Programs;
  - (f) Corrections Programs for Women Offenders;
  - (g) Health Care in Correctional Facilities;
  - (h) Free Venture Model in Prison Industries;
- (4) The National Institute of Law Enforcement and Criminal Justice (NILECJ) has developed program models for each of the selected topics. Program models represent a composite of the current "best thinking" in a topic area. They are supported by research and evaluation findings, operational experience, expert opinion, and/or national standards. NILECJ background source documents for the program models selected here include the following:
- (a) Parole Decision-Making
    - Classification for Parole Decision Policy, Gottfredson et al July, 1978.
  - (b) Cost Analysis
    - Cost Analysis of Correctional Standards: Pre-Trial Diversion, October, 1975.
    - Cost Analysis of Correctional Standards: Pre-Trial Programs, May, 1978.
    - Cost Analysis of Correctional Standards: Institutional Based Programs and Parole, January, 1976.

- Cost Analysis of Correctional Standards: Community Supervision, Probation, Restitution, Community Service, May, 1978.
- Cost Analysis of Correctional Standards: Halfway Houses.

(c) Inmate Grievance Systems

- Controlled Confrontation: The Ward Grievance Procedure of the California Youth Authority, August, 1976.
- Grievance Mechanism in Correctional Institutions: Prescriptive Package, September, 1975

(d) Community-Based Residential Facilities

- Community-Based Corrections in Des Moines: Exemplary Project, November, 1976.
- Montgomery County Work Release Pre-Release Program: Exemplary Project, June, 1978.
- Halfway Houses: Prescriptive Package, available November, 1978.
- National Training Institute on Community Residential Treatment Centers Handbook.

(e) Probation

- Evaluation of Intensive Special Probation Projects: National Evaluation Program, September, 1977.
- Critical Issues in Adult Probation, March, 1978.

(f) Correctional Programs for Women Offenders

- National Study of Women's Correctional Programs. June, 1977.
- Prescriptive Package for Women Offenders, available October, 1978.

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(g) Health Care

- Health Care in Correctional Institutions:  
Prescriptive Package, September, 1975.

(h) Free Venture Model

- Study of the Economic and Rehabilitative Aspects  
of Prison Industry
- Volumes 1-7, ECON, Inc., September, 1976.
- Volumes 6-7, published by NILECJ, June, 1978.

(5) Eligibility and procedures

- (a) State and local criminal justice officials and agencies which provide direct services to offenders are eligible to request assistance. Requests should be sent to the Law Enforcement Assistance Administration Project Manager, Corrections Division. The request can be in the form of a letter. It should be directed to one of the target areas listed above and describe the changes in the agency's policies or practices which are expected to result from the assistance provided. Commitment of the agency to change will be strongly considered.
- (b) The requesting agency will be required to provide a portion of the total cost of the assistance rendered; IN NO CASE will this amount be less than 10 percent of the total cost.
- (c) It is anticipated that assistance through this project will be available from February 1, 1979 through July 30, 1980. However, agencies are encouraged to submit their requests or indicate their interest immediately so as to ensure effective resource planning for this program.

(6) For further information, contact:

Project Manager  
Corrections Innovations Assistance  
Office of Criminal Justice Programs  
Law Enforcement Assistance Administration  
Washington, D.C. 20531  
(202) 376-3697

c. Offender Restitution Assistance.

- (1) Assistance is available in the development, implementation, and management of programs involving offender restitution.
- (2) Agencies and organizations participating in restitution projects are eligible.
- (3) For information contact:

Corrections Division  
Office of Criminal Justice Programs  
Law Enforcement Assistance Administration  
Washington, D.C. 20531  
(202) 376-3647

d. Treatment Alternatives to Street Crime Assistance.

- (1) Assistance is available for the development, implementation, and management of programs for the diversion of drug abusing offenders.
- (2) TASC projects and agencies serving other communities of 200,000 population are eligible.
- (3) For information, contact:

Corrections Division  
Office of Criminal Justice Programs  
Law Enforcement Assistance Administration  
Washington, D.C. 20531  
(202) 376-3647

e. Treatment and Rehabilitation for Addicted Prisoners Assistance.

- (1) Assistance is available for the development, implementation, and management of programs for treatment of substance abusing inmates.
- (2) TRAP projects and correctional agencies interested in the programs for the treatment of substance abusing inmates are eligible.
- (3) For information, contact:

Corrections Division  
Office of Criminal Justice Programs  
Law Enforcement Assistance Administration  
Washington, D.C. 20531  
(202) 376-3647

f. Corrections Standards Implementation Assistance

- (1) Technical assistance is available through the review of plans and drawings and program plans to jurisdictions applying for funding under Part E of the Act. Similar review will be provided to jurisdictions that have developed architectural plans and programs for locally funded efforts. Population projects will be done based on data supplied by the applicant. Technical assistance is also available for prison and jail health care programs and for standards implementation.
- (2) State and local corrections facilities are eligible.
- (3) For information, contact:

Corrections Division  
Office of Criminal Justice Programs  
Law Enforcement Assistance Administration  
Washington, D.C. 20531  
(202) 376-3550

g. Correctional Standards Accreditation Program Technical Assistance

- (1) The purpose of the technical assistance is to provide the six states in the accreditation program with assistance in implementing no cost standards during Phase I of their projects. Technical assistance will be limited to the six states in the program.
- (2) For information, contact:

Standards Program Management Team  
Office of Criminal Justice Programs  
Law Enforcement Assistance Administration  
Washington, D.C. 20531  
(202) 376-2779

48. TRAINING IN CORRECTIONS

a. TASC.

- (1) Three day training sessions will be conducted for TASC project personnel and other professionals interested in learning the TASC approach to drug diversion programs.
- (2) For further information, contact:

Corrections Division  
Office of Criminal Justice Programs  
Law Enforcement Assistance Administration  
Washington, D.C. 20531  
(202) 376-3647

49. RESERVED.



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## CHAPTER 5. SYSTEM SUPPORT PROGRAMS

50. SCOPE OF CHAPTER. This chapter includes descriptions of grant programs and other LEAA activities (technical assistance, training, testing) which are designed to improve the criminal justice system as a whole. Included are such activities as comprehensive programs serving criminal justice agencies, their clients, or special system-wide interests.
51. COMPREHENSIVE DATA SYSTEMS (CDS)
- a. Program Objective. To assist States in the development of State level capacity for collection, utilization, dissemination and evaluation of criminal justice statistics and information from all agencies within the State.
  - b. Program Description.
    - (1) Problem addressed. The lack of sufficient and comparable data about the operation of criminal justice agencies and systems for use in planning, management and evaluation.
    - (2) Results sought. The Comprehensive Data Systems program seeks to develop, within each State, an integrated criminal justice information and statistics system.
    - (3) Assumptions underlying program.
      - (a) Increased availability, accuracy, and comprehensiveness of criminal justice statistics will lead to improved planning, management, and evaluation.
      - (b) National criminal justice statistical reporting should ultimately be based on data compiled at the State level.
  - c. Program Strategy.
    - (1) This program provides for the implementation within each state of the three CDS program components at the State level. The components will provide uniform and reliable data on a year-to-year, state-to-state, agency-to-agency, and national basis without unnecessary duplication of data collection. The three modules of the CDS program and their functions are:
      - (a) The Statistical Analysis Center (SAC) serves the information needs of planners, administrators, legislators, and the general public by providing management and administrative statistics and coordinating technical assistance to facilitate implementation of this program.

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- (b) Offender Based Transaction Statistics and Computerized Criminal Histories (OBTS/CCH) enables States to rapidly and accurately exchange information on individuals. It also provides the basis for effective planning and evaluation. It facilitates compliance with DOJ's Privacy and Security Regulations by providing complete and secure criminal history record information.

Beginning in FY 79, consideration will be given to applicants for developing OBTS data separately from CCH. Full details regarding separate OBTS funding will be detailed in the revised CDS Guidelines Manual (M 6640.1A) scheduled for publication in October, 1978.

- (c) Uniform Crime Reports (UCR), compiled at the State level, provides a central collection point for crime data.
- (d) Priority will be given to continuing development in States currently in the program.

It is expected that requests from new States may be considered in FY 79 as States currently in the program complete the funding cycle in one or more of the components.

- (2) Funds are to be made available to the states to establish the three CDS components. Each of these components can be established as a module, giving the State the capability to develop the information needed for program and budgetary planning and evaluation.
- (3) Further information and details about projects are covered in the CDS Guideline Manual (M 6640.1 effective edition).

d. Funding Policy.

(1) Uniform Crime Reports (UCR)

The funding policy established for FY 1978 for UCR projects will be at half the level indicated in the CDS Guideline Manual M 6640.1 and is as follows:

State Size (Number of Agencies)	(Part C)		
	Year 1	Year 2	Year 3
Over 400	\$125,000	\$112,500	\$100,000
200 - 399	100,000	87,500	77,500
Less than 200	75,000	62,500	50,000

(2) Statistical Analysis Centers (SAC)

The policy concerning the level and source of SAC funding effective during FY 1977 will be continued. In addition, an assumption of costs policy will be implemented in FY 1979. Under this policy, states requesting a fourth year of support for SAC in FY 1979 will be eligible for one half the current limit while no funds will be available for states seeking a fifth grant in FY 1979. The following outlines the SAC funding policy to be used in FY 1979:

<u>1970 State Population</u>	(Part E and No Match)		
	<u>Years 1-3</u>	<u>Year 4</u>	<u>Year 5</u>
More than 3,500,000	\$175,000	\$87,500	-0-
2,100,000 to 3,500,000	147,500	73,750	-0-
Less than 2,100,000	122,000	61,000	-0-

(3) Offender Based Transaction Statistics/Computerized Criminal Histories (OBTS/CCH)

Due to the limited amount of funds available for CDS and the lessons learned from prior projects, funding maximums will be placed on OBTS/CCH awards. Beginning in FY 1978, states will be eligible for funding as follows:

<u>1970 State Population</u>	<u>Annual Funding Maximum</u> (Part E and Part C)
More than 3,500,000	\$300,000 - \$450,000
2,100,000 to 3,500,000	200,000 - 300,000
Less than 2,100,000	150,000 - 200,000

While states will be permitted to receive funding over a five year period, the total amount awarded to any OBTS/CCH effort cannot exceed three times the annual rate listed above.

- e. Eligibility. 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. To become eligible for funding for a component of the CDS, the State must first submit to LEAA a CDS Action Plan for approval in accordance with the CDS Guideline Manual (M 6640.1, effective edition).
- f. Deadline for Submission of Applications. Applications may be submitted at any time. Continuation applications should be submitted at least 90 days prior to termination of the current grant.

- g. Evaluation Requirements. Evaluation is not required but applicants must meet self-assessment and monitoring requirements of Appendix 4, Paragraphs 3 and 4 and Appendix 5.
- h. Other Special Requirements. Grantees must meet requirements and criteria specified in the CDS Guideline Manual (M 6640.1, effective edition).
- i. Contact. For additional information on this program, contact:

The National Criminal Justice Information and Statistics  
Service  
Law Enforcement Assistance Administration  
Washington, D.C. 20531  
(301) 492-9066

52. SMALL STATE SUPPLEMENT PROGRAM. This program provides 16 States and territories with supplements to their block grant allocations to bring them to a minimal level for effective criminal justice improvement programming. Grantees have already been selected and awards made based on population and statutory allocations of Crime Control funds. No further grants will be made in fiscal year 1979 in this program.

53. INDIAN CRIMINAL JUSTICE PROGRAM.

- a. The objective of the Indian Program is to assist Indian tribes and aboriginal groups to reduce crime and improve the criminal justice system by developing and implementing projects which impact the Indian community. The scope of the Indian Program can involve a series of tribes, a regional area, or national coverage.
- b. In FY 1979 specific Indian funding will be directed at tribal judiciary training, standards and goals for police, a regional corrections program, an applied juvenile research project in Alaska and in Indian criminal justice system development. Indian tribes are also eligible to apply for and participate in other programs in this guide.
- c. Training for Indian tribal judges is available for those judges needing training in Indian law and procedures at the beginning or advanced level.
- d. Consultants are available to provide technical assistance to assist the tribal police programs and police programs of Alaska Native villages, certified to receive such services.
- e. For additional information about the Indian Program and participation in other LEAA Discretionary Grant Programs contact:

Indian Desk  
Law Enforcement Assistance Administration  
U.S. Department of Justice  
Washington, D.C. 20531  
(202) 376-8104

54. MANPOWER PLANNING AND DEVELOPMENT.

The major components of the manpower planning and development initiative are the Educational Development Program, the Graduate Research Fellowship Program, the Law Enforcement Education Program (LEEP) and the Internship Program. These four programs provide an integrated thrust for the improvement of criminal justice and criminology education at over 1,000 institutions of higher education throughout the country. Research indicates that the necessity to upgrade the quality of criminal justice offerings in colleges and universities and to make them responsive to identified personnel needs is critical. The manpower planning and development program represents a coordinated effort to achieve this goal.

a. Educational Development Program.

- (1) This program provides grants to institutions of higher education for the development of criminal justice curricula, the education and training of criminal justice faculty, and research in criminal justice teaching methods. The current program emphasis is directed toward projects that contribute to the improvement of the quality of criminal justice educational programs and the improvement of the educational response to criminal justice manpower needs.
- (2) Most grant funds for the program in 1979 have been committed. For further information, contact the Office of Criminal Justice Education and Training, LEAA, Washington, D.C. 20531. (301) 492-9144

b. Graduate Research Fellowship Programs

- (1) This program encourages the development of educators and researchers required by the criminal justice system. It is designed to improve the quality and quantity of knowledge concerning crime and the criminal justice system. The program also supports academic research that contributes to new perspectives on criminal justice problems.
- (2) Doctoral candidates wishing to participate in the program who are prepared to write dissertations in a crime-related area should submit concept papers describing the project and a proposed budget to the Office of Criminal Justice Education and Training. Concept papers are reviewed by qualified criminal justice academicians and a panel of LEAA specialists. Proposals are judged on the basis

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of the perceived need for the subject matter, the originality of the research subject, the quality and feasibility of the methodology, the practical applicability of the findings, and the applicant's qualifications to produce an acceptable dissertation.

Based on the recommendations of the panels, candidates are requested to submit formal applications for fellowships through their sponsoring universities. Maximum grants of \$10,000 are awarded to the universities on behalf of chosen candidates for a one year period. The grants include a stipend for the fellow, allowance for dependents, major project costs and some fees.

- (3) Full details of the program are provided by LEAA Guideline 5400.2B.
- (4) For further information, contact the Office of Criminal Justice Education and Training, LEAA, Washington, D.C. 20531. (301) 492-9144

c. Law Enforcement Education Program. This program provides grants to institutions of higher education for financial assistance to criminal justice students. The program is designed to improve and strengthen the criminal justice system by upgrading the educational level of criminal justice practitioners.

- (1) LEEP funds are awarded to institutions whose programs are responsive to the manpower needs identified by LEAA. Program guidelines pertaining to preferred faculty qualifications and accreditation standards insure that program funds are directed to criminal justice degree programs of the highest caliber. Participating institutions must meet established criteria to award loans to new preservice students. Colleges and universities are required to offer a crime-related degree program headed by a full-time director and supplemented by a placement service for criminal justice students. The degree program must include student work experience in the criminal justice system.
- (2) Full-time criminal justice personnel enrolled in a degree program that will enhance professional competence can receive grants up to \$400 per academic semester or \$250 per quarter. These funds are used to defray the cost of tuition, books and fees.

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- (3) Maximum loans of \$2,200 are available to both in-service criminal justice students enrolled full-time in degree programs that will enhance professional competence and preservice students enrolled full-time in degree programs directly related to law enforcement and criminal justice.
- (4) Full details of the program are contained in LEAA guideline M 5200.1C.
- (5) For further information, contact the Office of Criminal Justice Education and Training, LEAA, Washington, D.C. 20531. (301) 492-9040

d. Internship Program.

This program is designed to enhance a student's academic experience by providing an opportunity to acquire a working knowledge of the practical aspects of the criminal justice system. The program provides operational agencies exposure to qualified personnel that can be recruited to meet manpower needs.

- (1) Criminal justice students chosen for program participation receive maximum weekly stipends of \$55. Interns work for criminal justice agencies during summer recess or while on leave from an academic degree program for a minimum eight week period. Student participants must be junior, senior or graduate student enrolled full-time in a criminology or criminal justice degree program.
- (2) A college or university receiving an internship grant is responsible for the development of internship positions with criminal justice agencies, the selection of student interns, and the general supervision of internship funds. Participating institutions are selected for their capability to provide an acceptable response to identified manpower needs. Institutions must be capable of designing a year-round internship program that provides for intern placements, student counseling, and agency guidance necessary for a meaningful work-study experience for the student interns.
- (3) Full details of the program are contained in LEAA guideline G 5500.1C.
- (4) For further information contact the Office of Criminal Justice Education and Training, LEAA, Washington, D.C. 20531. (301) 492-9144

55-56. RESERVED.



57. TECHNICAL ASSISTANCE IN SYSTEM SUPPORT.

a. National Clearinghouse for Criminal Justice Information Systems

- (1) SEARCH Group, Incorporated provides technical assistance to any governmental agency with criminal justice responsibilities interested in transferring operational systems. The Clearinghouse maintains an on-line directory of criminal justice information systems which can be queried to identify information systems similar to the requesting agencies' requirements. Transfer assistance is available in such areas as problem identification, analyses of requirements, identification of alternatives, cost-benefit analysis and general system design.
- (2) Contact. National Criminal Justice Information and Statistics Service, LEAA, Washington, D.C. 20531. (301) 492-9063

b. Automated Criminal Justice Information Systems

- (1) The program will provide assistance in two areas:
  - (a) To State level agencies involved in the development and operation of Computerized Criminal History (CCH) Systems; and
  - (b) To State and local criminal justice agencies involved in the development and operation of automated systems which have been identified as high priority by the National Criminal Justice Information and Statistics Service.
- (2) Under the CCH part of the program, technical assistance will be available for on-site technical assistance and a series of regional CCH workshops supporting the interstate exchange of information. Under high priority systems, NCJISS will designate specific automated information systems or functions lending themselves to automation and provide for on-site technical assistance to these areas.
- (3) Contact. National Criminal Justice Information and Statistics Service, LEAA, Washington, D.C. (301) 492-9053

53. TRAINING IN SYSTEM SUPPORT.

a. Privacy and Security.

- (1) Training sessions will be held to provide guidance to criminal justice agencies in the implementation of LEAA's privacy and security regulation. A simplified guideline manual will also be prepared describing requirements and procedures for compliance with LEAA Privacy and Security Regulations and States will receive assistance in preparation of short state-specific manual to serve as a companion to the general guideline. Additionally, individual brochures regarding Individual Access, Security and Audit will also be prepared and distributed. National level seminars will be conducted on relevant privacy and security policy issues and documents analysing these issues will be made available. Technical Assistance in the utilization of the privacy and security cost-model presently being developed may also be available. Additional information regarding the changing status of privacy and security legislation and regulations can be obtained through a Privacy and Security Index maintained by SEARCH Group, Inc., and through updates of the Compendium to State Privacy and Security legislation being prepared by NCJISS.
- (2) Contact. National Criminal Justice Information and Statistics Service, LEAA, Washington, D.C. 20531 (301) 492- 9045

b. Planning, Evaluation, and Analysis Training.

- (1) Criminal Justice Planning. This one-week course, designed for planners, analysts, monitors, evaluators, and policy makers of criminal justice planning and operational agencies, provides a comprehensive introduction to the criminal justice planning process, prepares participants to utilize planning skills across the criminal justice spectrum, and provides instruction and practical experience in several of the techniques used in planning.
- (2) Criminal Justice Evaluation and Monitoring. These one week courses are designed to serve the needs of criminal justice personnel having responsibilities for managing, planning or conducting monitoring or evaluation at State, regional and local levels. They emphasize the role of evaluation in criminal justice planning, describe the benefits of evaluation in forming decisions, examine the characteristics of different evaluation technologies for different information needs, and identify specific planning, collection and analysis procedures appropriate for the various evaluation technologies.

- (3) Criminal Justice Analysis. Designed for analysts, monitors, evaluators and policy makers of criminal justice planning and operational agencies, the purpose of this course is to increase skills in the collection and analysis of crime and system performance data for program planning and evaluation. Course goals include definition of analysis and understanding of its tools and skills; understanding the range and type of data necessary for criminal justice planning; building a working knowledge of analytic techniques and their limitations; understanding criminal justice systems components' interactions; and developing and identifying new data.
- (4) For further information about these programs, contact:

Training Division  
Office of Operations Support  
Law Enforcement Assistance Administration  
Washington, D.C. 20531

or the Criminal Justice Training Center serving your area:

- (a) Northeastern University - Criminal Justice Training Center  
360 Huntington Avenue  
Boston, MA 02115

Serving the following jurisdictions:

New York, New Jersey, Connecticut, Rhode Island, Massachusetts, Maine, New Hampshire, Vermont, Puerto Rico, and the Virgin Islands.

- (b) University of Wisconsin - Milwaukee  
Criminal Justice Training Center  
Milwaukee, WI 53201

Serving the following jurisdictions:

Wisconsin, Minnesota, Illinois, Michigan, Indiana, Ohio, Pennsylvania, Delaware, W. Virginia, Virginia, Maryland, and the District of Columbia.

- (c) Florida State University  
Criminal Justice Training Center  
Tallahassee, FL 32306

Serving the following jurisdictions:

Florida, Mississippi, Alabama, Georgia, S. Carolina,  
N. Carolina, Tennessee, and Kentucky

- (d) Washburn University of Topeka  
Criminal Justice Training Center  
11th and College  
Topeka, KS 66621

Serving the following jurisdictions:

Kansas, Missouri, Nebraska, Iowa, Oklahoma, Arkansas,  
New Mexico, Texas, and Louisiana.

- (e) University of Southern California  
Criminal Justice Training Center  
University Park, CA 90007

Serving the following jurisdictions:

California, Oregon, Washington, Idaho, Montana,  
North Dakota, South Dakota, Wyoming, Nevada, Utah,  
Colorado, Arizona, Alaska, Hawaii, Guam, Trust  
Territories of the Pacific Islands and American  
Samoa.

59. RESERVED.

CHAPTER 6. JUVENILE JUSTICE AND DELINQUENCY PREVENTION PROGRAMS

60. SCOPE OF CHAPTER. This chapter includes descriptions of grant programs and other LEAA activities (technical assistance, training) designed for prevention of juvenile delinquency and improvement of juvenile justice systems. Programs in this chapter are administered by LEAA's Office of Juvenile Justice and Delinquency Prevention.

A list of programs to be conducted follows. The program guidelines will be announced and published in the Federal Register later in fiscal year 1979.

61. YOUTH ADVOCACY. Reserved.
62. ALTERNATIVE EDUCATION. Reserved.
63. CHILDREN IN CUSTODY -- ALTERNATIVE PROGRAMS PART II. Reserved.
64. PROJECT NEW PRIDE -- REPLICATION PROGRAM. Reserved.
65. JUVENILE JUSTICE SYSTEM REFORM. Reserved.
66. ANNOUNCEMENT OF OJJDP UNSOLICITED PROPOSAL CYCLE. Reserved.
- 67-70. RESERVED.

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71. TECHNICAL ASSISTANCE IN JUVENILE JUSTICE AND DELINQUENCY PREVENTION

- a. Capacity Building and Concentration of Federal Effort. Arthur D. Little, Inc., and its subcontractor, the Center for Action Research, Inc., are responsible for providing technical assistance to Juvenile Justice formula grantees. Their primary area of focus is capacity building and Concentration of Federal Effort. In addition, Arthur D. Little conducts an assessment of needs for all juvenile justice technical assistance regardless of which contractor will respond. The purpose is to provide technical assistance to OJJDP, to state and local governments, to public and private agencies, and interested groups and individuals, related to the attainment of the objectives of the formula grants program. A primary feature of the technical assistance provided is that it addresses programs delivered at the state and local level as well as the delivery system, i.e., OJJDP, the SPAs and RPUs, and related or parallel delivery system.
- b. Separation of Adults and Juveniles. The National Clearinghouse for Criminal Justice Planning and Architecture provides technical assistance to formula grantees around the issue of separation of adults and juveniles. The Clearinghouse also responds to requests relating to the programming of juvenile facilities. In addition, they provide technical assistance relating to the monitoring requirements of the Juvenile Justice and Delinquency Prevention Act of 1974, as amended.
- c. Deinstitutionalization and Diversion. The National Office for Social Responsibility provides assistance to Special Emphasis grantees for deinstitutionalization of status offenders and diversion. NOSR also responds to technical assistance needs of formula grantees in the areas of deinstitutionalization of status offenders and diversion. The objectives of this contract include:
  - (1) Providing technical assistance to 20 to 26 local grantees of OJJDP's deinstitutionalization and diversion programs that will be in operation over the next three years;
  - (2) Managing the provision of technical resources by a range of technical assistance providers to be identified by OJJDP and the contractor;
  - (3) Providing technical resources through the contractor's own staff;
  - (4) Providing TA support to relevant and interested organization in the area of deinstitutionalization and diversion (other than special emphasis grantees).

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- d. Juvenile Delinquency Prevention. The Westinghouse National Issues Center provides technical assistance to the Special Emphasis programs in Delinquency Prevention, and to SPA's and RPU's, selected formula grantees, and other organizations engaged in delinquency prevention. The contractor provides technical assistance resources by a range of consultants, including the contractor's own staff, and preparation of technical papers, monographs and program strategy papers.
- e. For Information About Juvenile Justice Technical Assistance,  
contact:

Office of Juvenile Justice and Delinquency Prevention  
Law Enforcement Assistance Administration  
Washington, D.C. 20531  
(202) 376-3622

72. TRAINING IN JUVENILE JUSTICE AND DELINQUENCY PREVENTION. RESERVED.





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APPENDIX 1. GENERAL SPECIFICATIONS AND REQUIREMENTS FOR  
DISCRETIONARY GRANTS

1. SCOPE. This appendix contains general requirements for and limits on use of discretionary funds grants, including eligibility rules, general requirements, prohibitions and restrictions, and other technical requirements.

SECTION 1. ELIGIBLE PROJECTS AND APPLICANTS

2. ELIGIBLE PROJECTS.

- a. Applications will normally be considered only if they fall within the scope and coverage of programs described in Chapters 1 through 6 of this Manual.
- b. Applicants seeking categorical funds for projects which do not fall within the scope and coverage of programs described in this Manual should submit a brief pre-application or concept paper describing the objectives, strategies, and resources required for the proposed project, before submitting a formal application.
- c. Applicants are advised that categorical funds for projects not covered by this Manual or by the Program Plan of the National Institute of Law Enforcement and Criminal Justice are extremely limited.

3. ELIGIBLE APPLICANTS.

- a. Discretionary grants authorized under Part C (Grants for Law Enforcement Purposes) and Part E (Grants for Correctional Purposes) of the Crime Control and Safe Streets Act can be made only to:
  - (1) State Planning Agencies;
  - (2) Local units of government;
  - (3) Combinations of local units of government; or
  - (4) Non-profit organizations.
- b. Grants may be made to State agencies as co-applicants with or subgrantees of State Planning Agencies.

- c. Special emphasis grants authorized under Section 224 of the Juvenile Justice and Delinquency Act (Grants for Juvenile Delinquency Prevention and Treatment Programs) can be made to public and private agencies, organizations and institutions. Private non-profit agencies, organizations or institutions must have had experience in dealing with youth.
- (1) A private non-profit agency, organization or institution is defined as any corporation, foundation, trust, association, cooperative, accredited institution of higher education, and any other agency, organization or institution which is operated primarily for scientific, educational, service, charitable, or similar public purposes, but which is not under public supervision or control, and no part of the net earnings of which inures or may lawfully inure to the benefit of any private shareholder or individual, and which has been held by IRS to be tax-exempt under the provisions of Section 501(c) (3) of the 1954 Internal Revenue Code.
  - (2) (a) Experience in dealing with youth means that the non-profit agency, organization or institution has been in existence for at least two years and has established program services for youth related to the program or project for which funding is sought;
  - (b) Under special circumstances the two year requirement may be waived by the Administrator of the Office of Juvenile Justice and Delinquency Prevention.
- d. 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.

SECTION 2. GENERAL REQUIREMENTS

4. GRANTEE MATCHING CONTRIBUTION. Applicants for grants authorized under Parts C and E of the Crime Control Act (except Indian Tribes, the Trust Territories, Guam, American Samoa and the Marianas) must provide at least 10 percent of the total project costs. For some programs a larger matching contribution is required for second and subsequent years of award.
  - a. Matching contributions must be in cash rather than in-kind goods and services.
  - b. Matching contributions may be funds from State, local or private sources but may not include other Federal funds except where the Federal statute governing the other funds authorizes those funds to be used to match other Federal grants, e.g.:
    - (1) Funds provided by the Housing and Community Development Act of 1974;
    - (2) Funds provided by the Appalachian Regional Development Act of 1965; and
    - (3) Funds provided by the State and Local Fiscal Assistance Act of 1972, as amended (General Revenue Sharing Funds).
  - c. Projects funded under the Juvenile Justice and Delinquency Prevention Act of 1974, as amended, do not require matching funds, unless otherwise designated in the program description
  - d. Community Anti-Crime Program projects (Chapter 1, Paragraph 2) do not require matching funds.
  - e. For more detailed information regarding grantee matching contributions see the effective edition of LEAA M 7100.1.
5. ASSUMPTION OF COSTS. It is LEAA policy that funds are awarded for initial development and demonstration and not for long term support.
  - a. Projects will not be funded for a total of more than three years absent specific justification and approval at the initial award by the Administrator of LEAA.
  - b. Applicants must indicate as part of the initial application how project activities will be paid for when Federal funding ceases and what plans will be made during the period of Federal funding to arrange for that funding. This information will be used as one criterion for evaluating applications for funding.

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- c. It is LEAA policy to encourage increasing grantee matching contribution for second and third years of award.
- d. Juvenile Justice and Delinquency Prevention Act funded programs may be continued for longer periods consistent with LEAA Financial Guideline M 7100.1A, Change 3, Chapter 7, Paragraph 12.
- e. See individual program descriptions (Chapters 1 through 6) for any special requirements or exemptions with respect to assumption of costs.

6. PERIOD OF SUPPORT.

- a. Projects will normally be awarded funds for a twelve month period.
- b. Awards for longer periods, not to exceed eighteen months, may be made subject to grantee and LEAA needs.
- c. Projects exceeding eighteen months require separate applications for specific periods of eighteen months or less.
- d. Juvenile Justice and Delinquency Prevention Act funded programs may be supported for longer periods of time, consistent with LEAA Financial Guideline M 7100.1A, Change 3, Chapter 7, Paragraph 12.
- e. Exceptions to funding period limitations, where applicable, are noted in program descriptions (Chapters 1 through 6).

7. GRANT ASSURANCES. The grant assurances contained in Part V of SF 424, Application for Federal Assistance (Appendix 6) 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 grantees and their subgrantees and express commitments that have binding contractual effect when the award is 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. These 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 specific grant administration policies;
  - (2) Set forth LEAA regulations (e.g., written approval of changes);
  - (3) Seek additional project information or detail;
  - (4) Establish special reporting requirements; and/or
  - (5) Provide for LEAA approval of critical project elements such as key staff, evaluation designs, dissemination of manuscripts, contracts, etc.
- c. All grants are subject to applicable other LEAA guidelines and regulations. Copies of these and other grant condition references may be obtained from LEAA. Major other guidelines and regulations are:
- (1) M 7100.1, Financial Management for Planning and Action Grants, which is the basic fiscal administration manual for LEAA grants;
  - (2) LEAA regulations implementing the provisions of Title VI of the Civil Rights Act of 1964 with respect to LEAA grants (28 CFR 42.101, et. seq., Subpart C);
  - (3) LEAA Nondiscrimination in Federally Assisted Crime Control and Juvenile Delinquency Program (28 C.F.R. 42. 201, et. seq., subpart D) and equal employment opportunity program guidelines (28 C.F.R. 42.301 et. seq., subpart E) with respect to LEAA grants;
  - (4) Department of Justice-LEAA regulations on privacy and security of criminal history information systems (28 C.F.R. Part 20);
  - (5) Department of Justice-LEAA regulations on the Confidentiality of Identifiable Research and Statistical Information (28 C.F.R. Part 22).
- d. The following condition applies 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, PUBLIC LAW 93-344, 88 STAT. 297 (JULY 12, 1974)."

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SECTION 3. SPECIAL REQUIREMENTS

8. SPECIAL REQUIREMENTS FOR PART E (CORRECTIONS) GRANTS. As a condition for receipt of Part E funds for the planning, construction, acquisition, or renovation of adult or juvenile correctional institutions or facilities, ALL applicants for such must demonstrate and provide the following to the extent applicable:
- a. Evidence of 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. Evidence of 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. Architectural design for new facilities providing for appropriate correctional treatment programs, particularly those involving other community resources and agencies;
  - e. 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;
  - f. Certification that, where feasible and desirable, provisions will be made for the sharing of correctional institutions and facilities on a regional basis;
  - g. Certification that Part E funds will utilize advanced techniques in the design of institutions and facilities;
  - h. Satisfactory assurances that the personnel standards and programs of the institutions and facilities will reflect advanced practices including designation of the kinds of personnel standards and programs which will be sought in institutions and facilities receiving Part E support; and

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- i. Certification that special administrative requirements dealing with objectives, architectural and cost data, contractual arrangements, etc., will be made applicable to contractors.
- j. 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 4063.2 (effective edition) to the national contractor to be selected by LEAA for clearance of the architectural plans, designs and construction drawings. Applications should be forwarded to the contractor at the same time they are submitted to the State Planning Agency and to LEAA. In turn, the contractor will respond to the applicant, the State Planning Agency and LEAA.

9. SPECIAL REQUIREMENTS FOR CONSTRUCTION PROJECTS.

- a. Construction grants under Part C are intended to be supportive of and supplemental to programs aimed at crime reduction and criminal justice system improvement. Construction grants under Part E are intended to meet the need for improved correctional facilities, with prime emphasis on community-based correctional facilities, and must be an integral part of a comprehensive plan for correctional programs and facilities.
- b. New construction projects will be considered for funding only when they represent the only method available to meet program goals of LEAA national programs or of State comprehensive plans.
- c. Construction projects will be funded only when they meet critical needs, are innovative, and when they involve approaches which are replicable to other jurisdictions:
  - (1) An innovative approach to construction involves special attention to the needs of citizens who come in contact with the criminal justice system, special attention to possible multi-jurisdictional, regional, or multi-purpose use of the facility, among other elements.
  - (2) To be replicable, projects must show how requirements for the facility were developed, how the facility supported the goals, objectives, and priorities of LEAA national programs or State comprehensive plans, and how considerations of program objectives were built into the design of the facility.

- d. Applicants must comply with LEAA Guidelines, G 7400.1B, Equal Employment Opportunity Procedure for Submitting Information on Construction and Renovation Contracts and with Executive Orders 11246 and 11375.
  - e. In accordance with the provisions of the Rehabilitation Act of 1973, Pub. L. 93-112, 29 U.S.C. §792, et seq., any building construction funded under the Act for which there is an intended use that will require that such building or facility be accessible to the public or may result in the employment or residence therein of physically handicapped persons must be so constructed as to assure that physically handicapped persons will have ready access to, and use of, such buildings.
  - f. Construction programs and projects funded under the Juvenile Justice and Delinquency Prevention Act are limited to construction of innovative community based facilities for less than 20 people. Facilities include both buildings, and parts or sections of a building to be used for a particular program or project.
    - (1) Erection of new buildings is not permitted with Juvenile Justice and Delinquency Prevention funds.
    - (2) Federal funds may not be used for more than 50 percent of the cost of construction of a facility developed pursuant to Section 227 of the Juvenile Justice and Delinquency Prevention Act.
  - g. Application for construction projects must be made on Standard Form 424 with LEAA Form 4000/4 (Application for Federal Assistance Construction Program) attached.
  - h. Preapplications must be submitted for construction grants exceeding \$100,000 in Federal funds.
  - i. For more information on definitions and requirements with respect to construction programs, see the effective edition of M 7100.1.
10. SPECIAL REQUIREMENTS FOR GRANTS INVOLVING AUTOMATED DATA PROCESSING (ADP).  
In addition to the conditions set forth in this manual which apply to all grants, grantees receiving funds for automated data processing (ADP) must agree:
- a. To use, to the maximum extent practicable, computer software already produced and available without obligation.



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- b. That all application programs will be written in Federal Standard COBOL or ANS FORTRAN (where the nature of the task requires a scientific programming language) whenever possible. Programs may be written in ANS BASIC for microcomputers and minicomputers subject to the following conditions: grantees will require hardware vendor assurance that the BASIC language facility (including any extensions or additions to the instruction set of ANS BASIC) will be validated by the National Bureau of Standards validation routine; extensions to the ANS BASIC instruction will be limited to those instructions agreed upon by mutual agreement after consultation with at least three hardware manufacturers; program applications, whether new or transferred, will run on the hardware of at least three manufacturers.
- c. That grant funds will not be used for lease, maintenance, or engineering costs of proprietary applications software packages without specific, prior approval of LEAA.
- d. That all computer software written under the grant will be made available to LEAA for transfer to authorized users in the criminal justice community without cost other than that directly associated with the transfer and that the system will be documented in sufficient detail to enable a competent data processing staff to adapt the system, or portions thereof, to usage on a computer of similar size and configuration, of any manufacturer.
- e. To provide a complete copy of documentation, upon request, to the Systems Development Division, National Criminal Justice Information and Statistics Service, LEAA. Documentation will include, but not be limited to, Systems description, Operating Instructions, User Instructions, Program Maintenance Instructions, input forms, file descriptions, report formats, program listings, and flow charts for the system and programs. Grantee agrees to produce system documentation for this grant in accordance with Federal Information Processing Standards (FIPS PUB 38).
- f. To incorporate the provisions of all applicable conditions of the grant into all requests for proposal (RFP), requests for quotation (RFQ), information for bid (IFB), and contracts utilizing funds from the grant in order that contractors concerned will be guided by the LEAA requirements.
- g. That conversion cost in itself will not be used to justify sole source procurement of ADP equipment.
- 11. SPECIAL REQUIREMENTS FOR MULTI-STATE OR MULTI-UNITS PROJECTS. Several discretionary programs encourage multi-State, regional, or cooperative projects involving multiple units of State or local government.
  - 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.
12. SPECIAL REQUIREMENTS OF OTHER FEDERAL LEGISLATION AND REGULATIONS.  
LEAA is required to insure that all discretionary grants meet certain administrative and legal requirements imposed by other laws and administrative issuances. Therefore, the applicant must insure that the following requirements are met:
- 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 (effective edition of LEAA Guideline G 4061.1, Relocation Assistance and Payments):
    - (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.
- (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 harmful radiation (x-rays, etc.).
  - (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 LEAA to possibly have a significant effect on the quality of the environment.

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- (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.
  - (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 will be filed by LEAA if the environmental evaluation does not indicate a significant environmental impact.
  - (6) Environmental Analysis Impact and Negative Declaration forms are available from Grants and Contracts Management Division, Law Enforcement Assistance Administration, 633 Indiana Avenue, Washington, D.C. 20531.
- d. Historic Sites. Before approving grants involving construction, renovation, purchasing or leasing of facilities LEAA 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 undertakings may have an effect on the listed properties, LEAA shall notify the Advisory Council on Historic Preservation.
- e. A-95 Notification Procedures. Applicants must notify appropriate areawide and State Clearinghouses of their intent to apply for Discretionary Grants, in accordance with LEAA's A-95 requirements (28CFR Part 30).
- f. Flood Disaster Protection Act of 1973, Pub. L. 93-234, 42 U.S.C. §4001, et seq. LEAA will not approve any financial assistance for construction purposes in any area that has been identified by the Secretary of HUD as an area having special flood hazards unless the community in the hazardous area is then participating in the National Flood Insurance Program.
- g. Rehabilitation. In accordance with the Rehabilitation Act of 1973 (P.L. 93-112), no otherwise qualified handicapped individual in the United States, as defined in Section 7(6) of that Act, shall, solely by reason of his handicap, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any program or activity receiving Federal financial assistance.

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- h. Safe Drinking Water Act, Pub. L. 93-523, 42 U.S.C. §300f, et seq. If the Administrator of the Environmental Protection Agency determines that an area has an aquifer (a water-bearing stratum of permeable rock, sand or gravel) which is the sole or principal source of drinking water for an area, and which if contaminated would create a significant hazard to public health, he shall publish notice of that determination in the Federal Register. After publication of such notice, no commitment of Federal financial assistance (through a grant, contract, loan or otherwise) may be entered into for any project which the EPA Administrator determines may contaminate such an aquifer. Any prospective subgrantee of Parts C and E funds shall assure that the project will have no effect on an aquifer so designated by the EPA Administrator.
- i. Endangered Species Act of 1973, Pub. L. 93-205, 16 U.S.C. §1531, et seq. The Secretary of Interior shall publish in the Federal Register, and from time to time he may by regulations revise a list of species determined by him or the Secretary of Commerce to be endangered species and a list of all species determined by him or the Secretary of Commerce to be threatened species. Each list shall refer to the species contained therein by scientific and common name and shall specify with respect to each such specie over what portion of its range it is endangered or threatened. Any prospective recipient of LEAA funds shall certify in writing prior to a grant award that the proposed action will not jeopardize the continued existence of an endangered specie or a threatened specie or result in the destruction or modification of the habitat of such a specie.
- j. Wild and Scenic Rivers Act, Pub. L. 90-542, 16 U.S.C. §1271, et seq. LEAA must notify the Secretary of the Interior and, where National Forest lands are involved, the Secretary of Agriculture of any activities in progress, commenced or resumed which affect any of the rivers specified in the Wild and Scenic Rivers Act. Any prospective grantee or subgrantee of LEAA grant funds will certify in writing that LEAA will be notified if any of the designated rivers are or will be affected by any program or project.
- k. Fish and Wildlife Coordination Act, Pub. L. 85-624, 16 U.S.C. §661, et. seq. LEAA must notify the Fish and Wildlife Service of the Department of Interior and the head of the State administrative agency exercising administration over the wildlife resources of the State wherever the waters of any stream or other body of water are proposed to be diverted or controlled by LEAA, a grantee, or subgrantee. Any prospective recipient of LEAA grant funds will certify that LEAA will be notified if any of the actions specified in 16 U.S.C. §662(a) are anticipated.

1. Historical and Archeological Preservation Act, Pub. L. 93-291, 16 U.S.C. §469, et seq. Any prospective recipient of LEAA funds shall notify LEAA if the funded activity may cause irreparable loss or destruction to significant historical or archeological data. LEAA will then notify the Secretary of the Interior who shall conduct a survey and investigation of the area which may be affected and recover and preserve such data.
- m. Coastal Zone Management Act of 1972, Pub. L. 92-583, 16 U.S.C. §1451, et seq. Each LEAA-supported activity which directly affects the Coastal Zone shall be conducted in a manner, which to the maximum extent feasible, is consistent with the approved State management program for the protection of the Coastal Zone. Every applicant submitting an application for grant funds supporting programs affecting land or water uses in the Coastal Zone shall attach the views of the appropriate State or local agencies on the relationship of the proposed activity to the approved management program. This applies to subgrant applications submitted to the State planning agency as well as to discretionary grant applications. Such applications shall be submitted in accordance with the provisions of Title IV of the Intergovernmental Cooperation Act of 1968, Pub. L. 90-577.
- n. Animal Welfare Act of 1970, Pub. L. 91-579, 7 U.S.C. §2131, et seq. This act establishes recordkeeping and animal treatment standards for schools, institutions, organizations and persons that use or intend to use live animals in research, tests or experiments, and that receive Federal funds for the purpose of carrying out research, tests or experiments. No grant or contract for this assures compliance with the provisions of the Animal Welfare Act of 1970.
- o. Criminal Penalties.
  - (1) Whoever embezzles, willfully misapplies, steals, or obtains by fraud or endeavors to embezzle, willfully misapply steal or obtain by fraud any funds, assets, or property which are the subject of a grant or contract or other form of assistance pursuant to this title, whether received directly or indirectly from the Administration, or whoever receives, conceals, or retains such funds, assets, or property with intent to convert such funds, assets, or property to his use or gain, knowing such funds, assets, or property have been embezzled, willfully misapplied, stolen, or obtained by fraud, shall be fined not more than \$10,000 or imprisoned not more than five years, or both.

- (2) Whoever knowingly and willfully falsifies, conceals, or covers up by trick, scheme, or device, any material fact in any application for assistance submitted pursuant to the Act or in any records required to be maintained pursuant to the Act shall be subject to prosecution under the provisions of Section 1001 of Title 18, United States Code.
- (3) Any law enforcement and criminal justice program or project underwritten, in whole or in part, by any grant or contract or other form of assistance pursuant to the Act, whether received directly or indirectly from the Administration, shall be subject to the provisions of Section 371 of Title 18, United States Code.

#### SECTION 4. PROHIBITIONS AND RESTRICTIONS

- 13. LETHAL WEAPONS, AMMUNITION AND RELATED ITEMS. LEAA Discretionary Funds may not be used to purchase lethal weapons, ammunition, armored vehicles, explosive devices, and related items.
- 14. MEDICAL RESEARCH AND PSYCHOTHERAPY. LEAA discretionary funds may not be used 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 should be submitted to the Secretary of the Department of Health, Education and Welfare for funding consideration. This policy does not apply to 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), specifically approved in advance by the Office of the Administration, LEAA, or to programs of behavior modification which involve environmental changes or social interaction where no medical procedures are utilized.
- 15. EXPENDITURES FOR PERSONNEL.
  - a. Not more than one-third of any discretionary grant may be expended for compensation of police or 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.
  - b. Indian manpower projects not exceeding 24 months duration are excepted from this restriction.





## APPENDIX 2. PREPARATION AND SUBMISSION OF APPLICATIONS

1. SCOPE. This appendix provides information on how to prepare applications and on the process for submitting applications.

### SECTION 1. PREPARATION OF APPLICATIONS

#### 2. STANDARD APPLICATION FORMS.

- a. Applications for non-construction projects must be made on Standard Form 424, Application for Federal Assistance with Attachment LEAA Form 4000/3.
- b. Applications for construction projects must be made on Standard LEAA Form 424 with Attachment Form 4000/4, Application for Federal Assistance (Construction Program).
- c. Application forms may be obtained from Financial Management and Grants Administration Branch, Grants and Contracts Management Division, Office of the Comptroller, Law Enforcements Assistance Administration, Washington, D.C. 20531.
- d. Applicants must follow the Special LEAA instructions for Parts III and IV of the application found in Appendix 5.
- e. Some program descriptions require special data, information or evaluation plans from applicants. This should be added to the standard information required by the application forms and instructions.
- f. Because of the variety of discretionary programs, parts of the standard forms may not seem appropriate for certain applications. In such cases, applicants should be as responsive as possible and seek assistance from their State Planning Agencies or LEAA.

#### 3. PREAPPLICATIONS.

- a. Preapplications, concept papers, or preaward site visits are required for some programs. These requirements, where applicable, are included in program descriptions (Chapters 1 through 6).
- b. All applicants are encouraged to contact LEAA for advice and assistance prior to submitting full grant applications. Offices from which information is available about specific programs are indicated in program descriptions (Chapters 1 through 6).

SECTION 2. SUBMISSION OF APPLICATIONS

4. CONSULTATION AND PARTICIPATION WITH STATE PLANNING AGENCIES.

NOTE: The requirements of this paragraph regarding review of applications by State Planning Agencies and award of grants through State Planning Agencies do not apply to applications for the Community Anti-Crime Program (Chapter 1, Paragraph 2). Applicants for Community Anti-Crime projects are encouraged, however, to consult with their State Planning Agency and regional or local planning unit and to submit copies of their applications to them for comment and advice.

- a. Applicants must consult with the State Planning Agency of their State before making application for funds to LEAA. Names and addresses of State Planning Agencies are available from LEAA. Applicants are encouraged to review the most recent Comprehensive State Plan produced by the State Planning Agency and to request a conference with the SPA to discuss the proposed project. The conference should also include regional and/or local planning unit representatives.
- b. When an application is submitted to LEAA for consideration, it MUST BE submitted at the same time to the State Planning Agency for review and comment.
- c. The State Planning Agency has thirty days from the receipt of the application to comment to LEAA. It is not required to provide Certification, as indicated in subparagraph 4e, at this time although it may if it wishes (Certification is required before grant award, if the grant is awarded to the SPA.) It should provide LEAA with its comments regarding the desirability and feasibility of the proposed project. If no comments are received within 30 days, LEAA will assume that the SPA has no major objections to the proposed project.
- d. Grants will normally be made to State Planning Agencies which will in turn subgrant to the applicant unless:
  - (1) The program description (Chapters 1 through 6) indicates that direct award will be made to implementing agencies; or
  - (2) The State Planning Agency declines to accept the award.
- e. If the award is made to the State Planning Agency, the State Planning Agency must certify that it is willing to administer the grant and that:

- (1) The proposed project is not inconsistent with the overall goals and general thrust of the State Comprehensive Plan;
  - (2) Block grant allocations to the beneficiary agency, unit of government, or region will not be reduced by virtue of the discretionary award; and
  - (3) The State Planning Agency will assist the subgrantee to obtain incorporation of the project's costs in State or local budgets, if the project is successful.
- f. If the State Planning Agency declines to accept the award, LEAA may award the grant directly to the applicant, after consulting with the State Planning Agency.
5. SUBMISSION AND PROCESSING PROCEDURES.
- a. Prior to application, applicant discusses proposed project with appropriate State Planning Agency and regional and/or local planning units.
  - b. Prior to submission of applications to LEAA, applicant notifies or submits application to appropriate A-95 Clearinghouse(s) in accordance with A-95 requirements. (28 CFR Part 30)
  - c. Applicant sends original and two copies of application to:  
  
Control Desk  
Grants and Contracts Management Division  
Law Enforcement Assistance Administration  
633 Indiana Avenue, N.W.  
Washington, D.C. 20531  
  
by the deadline indicated in program description (Chapters 1 through 6).
  - d. Applicant sends one copy of application to State Planning Agency (or Agencies in the case of multi-state projects) at the same time as applications are sent to LEAA.
  - e. Grants and Contracts Management Division reviews application and refers it to appropriate LEAA program office for program review.

- f. LEAA program office reviews application and comments from State Planning Agency and A-95 Clearinghouse, if such comments have been submitted.
- g. If necessary, LEAA program office requests additional information from applicant or discusses proposed project by phone or in person with applicant.
- h. LEAA program office recommends approval or disapproval to Administrator, LEAA.
- i. Administrator, LEAA, approves or disapproves application.

6. PANEL REVIEW PROCESS.

- a. In many program areas, LEAA receives more grant applications than can be supported by available funds. The Panel Review Process is intended to promote more effective use of discretionary funds by providing for a comparison of each grant application with all of the other grant applications under the same program. In addition, advisory reviews permit a broader range of judgements about proposed projects to be used in making award decisions.
- b. Applications for grants under any LEAA discretionary programs which employ the Panel Review Process (indicated in Program Descriptions, Chapters 1-6) are to be submitted so as to be received by LEAA at any time up to the deadline stated in the program description. Additional material or replacement material also may be submitted and will be considered, provided that it reaches LEAA before the applicable deadline. Applications will not be processed prior to the deadline but after the deadline, all applications will be reviewed concurrently by a panel of experts; the panel's rankings and recommendations will be forwarded to the cognizant LEAA staff members for consideration in further processing and selection of projects to be funded. Applicants will be informed of LEAA's decision concerning funding as expeditiously as possible within 90 days of the program's closing deadline date.

7. NOTIFICATION.

- a. Applicants will normally be notified of approval or disapproval of their applications within 90 days of the indicated program deadline date for programs utilizing the Panel Review process (paragraph 6) or within 90 days of LEAA's receipt of application for programs not utilizing the panel review process.

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- b. Under certain circumstances, application processing exceeds the 90 day period. In such cases applicants will be notified.
- c. If application is not approved, applicant will be given written reasons for rejection.



APPENDIX 3. AWARD AND ADMINISTRATION OF GRANTS

1. SCOPE. This appendix describes procedures for awarding and administering grant funds, for grantee reporting, and for termination of grants.
2. APPLICABILITY OF FINANCIAL MANAGEMENT GUIDE. Discretionary grants will be administered in accordance with M 7100.1, effective edition, Financial Management for Planning and Action Grants.
3. AWARD AND PAYMENT OF FUNDS.
  - a. When applicants are notified of grant approval they will receive formal statement of award indicating amount and type of grant and any special conditions.
  - b. Applicants receiving an award of \$250,000 or more must promptly file their current updated Equal Employment Opportunity Program with the LEAA Office of Civil Rights Compliance.
  - c. When awards are made to State Planning Agencies they are obligated to promptly award subgrants to the intended implementing agency.
  - d. Payment of funds will be through Letter of Credit procedure in use by State Planning Agencies. Grantees not under the Letter of Credit system, the Request for Advance or Reimbursement, LEAA Form 7160/3 (H3 Report) to the Control Desk, Office of the Comptroller, LEAA, 633 Indiana Avenue, N.W., Washington, D.C. 20531
  - e. Recipients of subgrants will make all applications for funds to the State Planning Agency through which the grant was awarded, and such applications will be in accordance with normal subgrant regulations and procedures of the State Planning Agency.
  - f. The provisions of Chapter 5, paragraph 6 of M 7100.1A, are not applicable to discretionary grants. Discretionary grant funds will be obligated within the specific grant period indicated on grantee's statement of award.
  - g. Requests for change or extension of the grant period must be made in writing at least 90 days in advance of the expiration of the grant.

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 GSA FMC-74-4, "Cost Principles Applicable to Grants and Contracts with State and Local Government" and in LEAA Guideline Manual, (effective edition, M 7100.1), Financial Management for Planning and Action Grants.
- a. Each individual project supported under the discretionary grant program will, unless otherwise provided in program specifications, be subject to a separate grant application incorporating a detailed budget of proposed project costs.
  - b. The budget narrative will set forth the details of cost items specified in the effective edition of M 7100.1 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. Changes among items within one of the budget categories may be made by the subgrantee without prior approval but remain subject to M 7100.1 cost allowability and budget requirements and may not constitute a change in the scope or objectives of the approved project.
  - e. Limitations of travel and subsistence charges by grantee personnel who are in travel status on official business incident to a grant program shall be consistent with those normally allowed in like circumstances in the non-Federally sponsored activities of the grantees. (See LEAA Guideline G 7100.3, effective edition, Principles for Determining Travel Cost Applicable to LEAA Grants, for further explanation of the LEAA travel policy.)
  - f. Grants to nonprofit organizations are subject to OMB Financial Management Circulars setting forth cost principles for such organizations.
  - g. Upward revisions of provisional indirect cost rates which cause expenditures of grant funds in excess of the amount obligated by LEAA will normally be absorbed by grantee or rebudgeted in lieu of supplementary awards by LEAA.



h. Prior written approval of LEAA is required for major project changes such as the following:

- (1) Change in objective or scope of work;
- (2) Change in project site;
- (3) Change in project period (except where authority is delegated to the SPA by Paragraph 5e (2) below);
- (4) Change which increases or decreases the total cost of project;
- (5) Transfer of the grant to another grantee or subgrantee;
- (6) Transfer of any principal activity of the grant to another organization.

5. STATE PLANNING AGENCY (SPA) SUPERVISION AND MONITORING RESPONSIBILITY.

- a. State Planning Agencies are responsible for supervising and monitoring only those grants which have been awarded to them.
- b. When it is the grantee, the State Planning Agency has the responsibility for assuring proper administration of discretionary subgrants 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.
- c. The State Planning Agency should incorporate Discretionary Grants into its system for subgrant monitoring and supervision and, to the extent appropriate and consistent with this guideline, use the same procedures for supervision of discretionary subgrants as are used with block subgrants.
- d. Subgrantees have the authority to transfer, between direct cost object class budget categories:
  - (1) 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

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- (2) A cumulative 5 percent change of the grant budget (Federal and non-Federal funds) for grants of \$100,000 or less.
- e. The State Planning Agency has the authority to make the changes listed below, provided that the State Planning Agency informs LEAA in writing of the request, and the action, within 14 calendar days of the SPA action and prior to the original termination date of the grant. Exceptions to this authority may be made, but will be made known before the SPA has been made the grantee. The areas where SPA's may make changes are:
  - (1) Minor deviations from discretionary grants necessary to assure efficient administration, but not including departures which change the scope or objectives of the approved project or which vary from the program description published in this Manual.
  - (2) Cumulative transfers which exceed the limitations set forth in paragraph 5d above but which do not change the scope or objective of the approved project.
  - (3) Extensions of discretionary projects up to three months beyond the initially approved duration, not to exceed a total grant period of 24 months.
- f. Changes not authorized to be made by subgrantees in paragraph 5d above, or by SPA's in paragraph 5e above, must receive prior approval from LEAA.
- g. State Planning Agencies must submit discretionary subgrantee quarterly reports to Financial Management and Grants Administration Branch, Grants and Contracts Management Division, Office of the Comptroller, LEAA, Washington, D.C. 20531.
- h. In the case of grants for which the SPA is both grantee and implementing agency, prior approval for budget changes, beyond those specified in paragraph 5d, must be obtained from LEAA.
- 6. AUDIT RESPONSIBILITIES. Pursuant to Office of Management and Budget Circulars A-102, revised, Uniform Administrative Requirements for Grants-in-Aid to State and Local Government, Attachment H, and A-110, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations, Attachment F, grantees have the responsibility to provide for an audit of their activities.

- a. When grants are awarded to a State Planning Agency.  
this responsibility may be fulfilled by including discretionary grants in their annual audit plan setting forth the subgrants selected for audit in accordance with Federal Management Circular FMC 73-2. The audit responsibility may also be satisfied by the SPA requiring the discretionary grant subgrantees to provide their own audit services.
- b. When grants are awarded directly to governmental units, when grants are not awarded through an SPA, or when grants are awarded to non-profit organizations, the audit responsibility must be fulfilled by the grantee. This responsibility may be satisfied by including discretionary grants in the scope of their annual or biennial audit of their organizational activities.

7. SUSPENSION AND TERMINATION OF GRANTS.

- a. If a subgrantee fails to comply with the terms and conditions of a grant, the SPA may recommend:
  - (1) Suspension of the grant.
  - (2) Termination of the grant for cause, or
  - (3) Such other remedies as may be legally available and appropriate in the circumstances.
- b. A recommendation to terminate or suspend a subgrant is a serious action that must reflect a thorough analysis of all relevant factors. The SPA must determine that the subgrantee has failed to comply with one or more of the terms and conditions of the grant, and that such non-compliance is of sufficient magnitude to warrant suspension or termination of support. Each case must be considered on the basis of its individual set of circumstances. The principles of due process must be conformed to.
- c. An SPA considering termination or suspension of a subgrant should seek early advice from LEAA and at the same time should notify the subgrantee or local funding unit of its intention.
- d. When conditions are identified which may be serious enough to cause the SPA to consider termination or suspension of a subgrant, the SPA must advise the subgrantee by letter of the nature of the problem and that failure to correct the deficiency may result in suspension or termination of the grant. The subgrantee shall be required to respond in writing within 30 days of the date of such letter, describing the action taken or the plan designed to correct the deficiency.



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- e. If a satisfactory written response to the letter described in paragraph 7d is not received within 30 days of the date of such letter, the SPA shall inform LEAA of its recommendation to suspend or terminate the subgrant. Such notice shall fully set forth the reasons for the action.
  - f. Upon recommendation by an SPA to suspend or terminate the subgrant, LEAA shall determine the action to be taken. Where the SPA is authorized to terminate a grant, such action must be in accord with the State's hearing and appeal procedures. If LEAA takes direct action to terminate, such action will be taken in accord with LEAA's hearing and appeal procedures. LEAA will be responsible for forwarding the information to all parties concerned.
8. REPORTS REQUIRED OF GRANT RECIPIENTS. Grant recipients (subgrantees or direct grantees) must submit the following reports:
- a. Categorical Grant Progress Reports (LEAA Form 4587/1) and Financial Status Reports (LEAA Form 7160/1) must be submitted quarterly to:  
  
Control Desk  
Grants and Contracts Management Division  
Office of the Comptroller  
Law Enforcement Assistance Administration  
Washington, D.C. 20531
  - (1) Form 4587/1. Original and one copy should be submitted for quarterly reports and the quarterly reports are due 30 days after the end of the quarter. An original and three copies should be submitted for final reports and are due 90 days after the end of the grant period.
  - (2) Form 7160/1. An original and two copies (white, yellow and pink copies of snap-out form) should be submitted for both the quarterly and final reports. Quarterly reports are due 45 days after the end of the quarter and final reports are due 90 days after the end of the grant period.
  - b. Grantees receiving funds directly from LEAA and not through letters of credit must submit Requests for Advance or Reimbursement, LEAA Form 7160/3 (H-3 Report), to the Control Desk, Grants and Contracts Management Division, Office of the Comptroller, LEAA.
  - c. For additional information on financial reports and reporting procedures, see effective edition of M 7100.1.

APPENDIX 4. MEASUREMENT OF PERFORMANCE: EVALUATION  
AND MONITORING OF DISCRETIONARY GRANTS

1. BACKGROUND. The measurement of performance of discretionary grants by LEAA has been clearly mandated by the Crime Control Act of 1976 and the Juvenile Justice and Delinquency Prevention Act of 1977. Performance measurement is required because it is essential to know which programs are working and which programs are failing and why. LEAA considers it to be of the highest priority that performance measurement be made an integral part of the LEAA program at all levels. Every effort must be made to learn whether programs and projects are having the effect intended and whether they are cost effective. It is therefore LEAA policy that every application for discretionary funds contains a fully developed plan for generating on a regular basis sufficient performance data to allow LEAA to closely monitor grant progress. In addition, for certain programs, selected on an annual basis as part of the annual LEAA agency-wide evaluation plan, it is LEAA policy that applications contain separate and distinct evaluation plans which fully meet the criteria set forth in paragraph 6 of this appendix and which enable LEAA to intensively evaluate grants for those projects and programs in addition to the normal monitoring of grant activity.
2. THE FOUR TYPES OF PERFORMANCE MEASUREMENT. The performance measurement requirements set forth in this appendix are designed to assure that information is systematically generated about the level of, and the 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. Finally, these requirements are designed to determine the relative effectiveness and costs of different approaches to the same objectives. Grantees can expect that the measurement of performance of projects funded with discretionary funds will be undertaken in as many as four ways. These include:
  - a. Self-Assessment through which all recipients of discretionary funds assess their own project results in accordance with an assessment plan approved by LEAA.
  - b. Monitoring and program/project review through which projects supported by discretionary funds are subject to periodic review or checking on implementation of operations and results of projects by appropriate SPA and LEAA personnel.

- c. Program Evaluation through which selected LEAA programs, consisting of groups of similar projects or of projects of different kinds aimed at achievement of the same objectives, are evaluated by independent evaluators selected by LEAA in accordance with an evaluation design approved by LEAA. Only a limited number of LEAA programs will be selected each year for this type of intensive program level evaluation. These programs will be selected as part of the development of an annual LEAA agency-wide evaluation plan.
- d. Intensive Project Evaluation through which selected projects are intensively evaluated by an independent evaluator approved by LEAA and in accordance with an evaluation plan approved by LEAA.
- 3. SELF-ASSESSMENT. Requirements for developing a self-assessment plan are contained in Appendix 5, Paragraph 4b(5). The self-assessment plan is used as the basis for preparing quarterly progress reports to LEAA.
- 4. LEAA PROJECT MONITORING.
  - a. All projects supported by discretionary funds will be monitored by LEAA and SPAS on a periodic basis. Monitoring involves reviewing planned project results and comparing these planned results with actual project achievements. Monitoring, therefore, provides current information on project performance (resources expended, activities implemented and objectives achieved), comparing project performance with some relative or absolute standard of expected performance to determine to what extent project objectives are being met. 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) LEAA assistance when appropriate in solving implementation problems.
  - b. Monitoring will involve periodic site visits by LEAA project monitors and interviews with project staff and clients.



- c. Monitoring will be based on the grantee's Grant Implementation Plan and Self-Assessment Plan described in Appendix 5, Paragraph 4.
  - d. Program/Project Review is the gathering and assessment of monitoring information at a particular point in time for management review.
5. EVALUATION REQUIREMENTS. In addition to the performance measurement requirements for all discretionary grants, discretionary grants in certain selected LEAA programs will be intensively evaluated by an independent evaluator either as part of an intensive program level evaluation or individually as intensive project level evaluations. Evaluation involves much more intensive analysis than monitoring and utilizes more accurate or conclusive information that infers a causal relationship or that changes or achievements are, in fact, attributable to project activities. Evaluation, therefore, is designed to determine to what extent a specific set of program/project activities can be said to be directly related to the accomplishment of program objectives. The crucial difference between evaluation and monitoring is that monitoring is designed to measure activities and outputs, whereas evaluation is designed to determine the extent to which those outputs and their impact on the problem can be attributed directly to the program or project when that cannot be directly and conclusively ascertained by direct measures from monitoring. Evaluations will be undertaken each year only in selected program areas which have been determined as part of the process of developing the annual LEAA agency-wide evaluation plan. In such cases where intensive project or program level evaluation is required, the grantee will be required to submit as part of the discretionary grant application an evaluation plan in addition to the assessment plan required for all discretionary grants. This evaluation plan is to be included in Part IV, Program Narrative, of the grant application, under Section 3, Approach. The required components of the evaluation plan are defined for both program level evaluation and project level evaluation in paragraphs 6 and 7 below.
6. PROGRAM EVALUATION.
- a. Those major LEAA programs which have been selected for program level evaluation according to the LEAA annual evaluation plan will usually be evaluated in depth by the National Institute of Law Enforcement and Criminal Justice or the National Institute of Juvenile Justice and Delinquency Prevention. The programs which have been selected this year for national program level evaluation are indicated in the appropriate program descriptions.

(Chapters 1 through 6). These evaluations will be carried out in accordance with an evaluation plan developed by the appropriate Institute and conducted by an independent evaluator selected competitively by LEAA. Program level evaluations not selected for implementation by the National Institute may, if the relevant LEAA program office so desires, be funded by that office.

- b. Although these programs will be evaluated at the national level in accordance with an evaluation plan developed by the appropriate Institute or the cognizant office, and conducted by an independent contractor, applicants for grants in these programs must submit as part of the discretionary grant application a proposed evaluation plan for their particular projects. This proposed evaluation plan is to be included in Part IV, Program Narrative, of the grant application, under Section 3, Approach. This evaluation plan must:
- (1) Specify any assumptions on which the project is based:
    - (a) about the need or target population;
    - (b) about the existence and function of the organizational unit that will implement the project; and
    - (c) assumptions about the immediate social environment on which the project is premised, if any.
  - (2) Specify the cause-effect hypothesis underlying the project concept. This is usually based on the objectives and strategy contained in the program description in Chapter 1 through 6 of this Guide.
  - (3) Propose the measures of effectiveness that should be used to evaluate the impact of 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.
  - (4) Describe the evaluation data and information which should be necessary to establish a cause-effect relationship between project inputs and activities and the achievement of objectives, and to test the assumptions identified in a. above. These should include:

- (a) The kinds of data to be obtained to test or measure --
  - 1 Assumptions;
  - 2 Inputs and activities that the underlying hypothesis states will lead to the achievement of objectives;
  - 3 Organization and procedures constituting the delivery system through which the treatment or service is to be provided; and
  - 4 Elements of the social and organizational environment (that is, elements not under the control of the project) that are important to project success.
- (b) The source and date of the data (e.g., 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; and
- (d) The frequency and format in which the data can be collected. Where possible, examples of all forms that can be used in collecting data and information should be included with the application attached to the Evaluation Plan.
- (5) Indicate what steps should be taken to provide regular reporting of evaluation findings to the project and the uses to which evaluation results are likely to be put.
- (6) Propose an administrative plan and conceptual model for the evaluation.
  - (a) The administrative plan should include evaluation activities such as site visits, interviews with staff and clients, record keeping and data collection, submission of reports, etc., and who should be responsible for these activities.
  - (b) The conceptual model describes how the evaluation will measure and analyze project performance against the underlying hypothesis. It should identify the questions to be answered by the evaluation, the logical cause-effect

flow of all elements of the project, and the methodology for analyzing the data in order to answer the evaluation questions.

- c. Although only a limited number of LEAA programs will be subjected to this level of evaluation each year, all projects related to the program being evaluated will be required to provide each of the elements of the evaluation plan indicated above and in addition will be required to modify their proposed evaluation plan as necessary in order to be integrated into national level program evaluation to be undertaken by the nationally selected independent contractor. All projects related to the program being evaluated will be required to indicate in advance their willingness to cooperate fully with the national contractor by providing data, records and reports generated by the project and facilitating additional site visits and data collection by the contractor.

## 7. INTENSIVE PROJECT EVALUATION.

- a. In addition to the major program level evaluations which are undertaken by LEAA each year, selected projects for which more definitive information is desired than routine monitoring can provide will be selected by LEAA for intensive impact and cost-benefit evaluation. These are indicated in the program descriptions (Chapters 1 through 6).
- b. Each application for a grant under a program for which intensive project evaluation is required must contain a separate Evaluation Plan. This Evaluation Plan is to be included in Part IV, Program Narrative of the grant application, under Section 3, Approach. The Evaluation Plan must:
  - (1) State the project objectives or goals in terms of tangible, measurable impacts on criminal justice improvement;
  - (2) Nominate for LEAA approval an independent, professional evaluation subcontractor, selected by the grantee and paid out of grant funds; evidence must be presented to show that the people responsible for conducting the evaluation portion of the project have specific education and experience in the design and conduct of experiments, objective measurement and data collection, statistical analysis, and cost analysis;

- (3) Contain an evaluation plan agreed to by the evaluator which specifies:
  - (a) What data will be collected;
  - (b) How the data will be collected;
  - (c) How the data will be analyzed;
  - (d) What schedule of events will be followed; and
  - (e) What reports, including quarterly and final evaluation reports at a minimum, will be made during the course of the project being evaluated and after its other activities have been completed.
- (4) Project evaluations shall incorporate sound evaluation methodology, including control groups and independent data collection where appropriate.
- c. Services of evaluators will be obtained in conformity with the requirements of LEAA Guideline Manual M 7100.1 (effective edition), with respect to obtaining competition to the maximum extent practical. The costs of intensive project evaluations shall be included in the project budget and identified as a separate additional grant activity on the application form. In general, the costs of intensive project evaluation should not exceed 15% of the total project cost. Budget allocations for evaluation may not be changed by the grantee without prior LEAA approval.
- d. Although only a limited number of projects are selected each year for intensive project level evaluation and these are indicated in the program descriptions (Chapters 1 through 6), applicants may include an evaluation component in any grant application to the extent to which the applicant believes that an evaluation effort would assist to improve the project or to improve decisions relative to future resource allocations.



APPENDIX 5: SPECIAL INSTRUCTIONS FOR NON-CONSTRUCTION GRANT APPLICATIONS, STANDARD FORM 424: PART I, PART III BUDGET INFORMATION AND BUDGET NARRATIVE, AND PART IV PROGRAM NARRATIVE

1. SCOPE. This appendix provides information to assist the applicants in developing the information required by the instructions for Parts I, III, and IV of the form for application for non-construction grants, Standard Form 424. (Appendix 6 of this Manual) For instructions concerning specific items of content required in applications for grants in program areas, consult the program descriptions in Chapters 1 through 6 of this Manual.
2. PART 1, (STANDARD FORM 424)
  - a. Item No. 5, Federal Employer Identification Number. Enter the employer identification number assigned to the organization by the United States Internal Revenue Service.
  - b. 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.
  - c. Item No. 7, Title and Description. Indicate the title of the program listed in Chapters 1-6 of this Manual from which funding is sought. Summarize the project in one or two sentences.
  - d. Item No. 8, Type of Applicant. Applicant 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.
  - e. Item No. 23, 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. (Signature is required on original of submitted application copies.)

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3. PART III, BUDGET INFORMATION AND BUDGET NARRATIVE. (Pages 7 through 10 of Application)

a. Budget Information. (Section A)

- (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. Grant applications requesting a combination of Part C and Part E funding should place the designation on line 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 of Part I of the application.

b. Budget Narrative. Applicants for grants must submit on separate sheets a budget narrative. The budget narrative should detail by budget category the Federal and non-federal (in kind and cash) share. The purpose of the budget narrative is to relate items budgeted to project activities and to provide justification and explanation for budget items, including criteria and data used to arrive at the estimates for each budget category. The following information is provided to assist the applicant in developing the budget narrative.

- (1) Personnel Category. List each position by title (and name of employee if available), show annual salary rate and percentage of time to be devoted to the project by the employee. Compensation paid for employees engaged in Federally assisted activities must be consistent with that paid for similar work in other activities of the applicant.
- (2) Fringe Benefits Category. Indicate each type of benefit included and the total cost allowable to employees assigned to the project.
- (3) Travel Category. Itemize travel expenses of project personnel by purpose (e.g., faculty to training site, field interviews, advisory group meetings, etc.) and show basis or 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 for trainees is included, this should be separately listed indicating the number of trainees and the unit costs involved.



- (a) Identify the tentative location of all training sessions, meetings, and other travel.
- (b) Applicants should consult such references as the Official Airline Guide and the Hotel and Motel Redbook in projecting travel costs to obtain competitive rates.
- (4) Equipment. List each type of equipment to be purchased or rented with unit or monthly costs.
- (5) Supplies. List items within this category by major type (office supplies, training materials, research forms, postage) and show basis for computation. Provide unit or monthly estimates.
- (6) Contractual Category. State the selection basis for any contract or subcontract or prospective contract or subcontract, (including construction services and equipment).
  - (a) For individuals to be reimbursed for personal services on a fee basis, list by name or type of consultant or service, the proposed fee (by day, week or hour), and the amount of time to be devoted to such services.
  - (b) For construction contracts and organization, (including professional associations and education institutions performing professional services), indicate the type of services to be performed and the estimated contract cost data.
- (7) Construction Category. Describe construction or renovation which will be accomplished using grant funds and the method used to calculate cost.
- (8) Other Category. Include under "other" such items as rent, reproduction, telephone, and janitorial or security services. List items by major type with basis of computation shown. (Provide square footage and cost per square foot for rent-provide local and long distance telephone charges separately.)
- (9) Indirect Cost Category. The Administration may accept any indirect cost rate previously approved for an applicant by a Federal agency. Applicants must enclose a copy of the approved rate agreement with the grant application.

In lieu of an approved flat rate, amounts not in excess of five percent of total direct cost or ten percent of salaries and wages, including fringe benefits, may be claimed. If this method is used, the applicant must justify the requested amount.

- (10) Program Income. If applicable, provide a detailed estimate of the amount of program income to be generated during the grant period and its proposed application (to reduce the costs of the project or to increase the scope of the project). Also, describe the source of program income, listing the rental rates to be obtained, sale prices of publications supported by grant funds, and registration fees charged for particular sessions. If scholarships (covering, for example registration fees) are awarded by the organization to certain conferences attendees, the application should identify the percentage of all attendees that are projected as "scholarship" cases and the precise criteria for their selection.
- (11) Matching Funds. Describe the source and amount of matching funds.
- (12) Evaluation. If an independent evaluation is included as part of the project, the cost of the evaluation contract or subgrant should be included under item (6) Contractual Category. In addition, a separate budget narrative for the evaluation grant or contract should be appended to the budget narrative.

#### 4. PART IV - PROGRAM NARRATIVE INSTRUCTIONS.

- a. Standard Form 424 Instructions require applicants to prepare a program narrative. Items 1 through 3 of the instructions essentially require applicants to answer the following five questions:
  - (1) What problems are to be addressed by project activity? (Item 1 of Part IV)
  - (2) What results are to be sought by the project for which support is requested? (Items 1 and 2 of Part IV)

- (3) How is the project expected to work? (Items 2 and 3b of Part IV)
  - (4) What steps will be involved in setting up and operating the project? (Items 3a, 3b, and 3d of Part IV)
  - (5) What arrangements will be made for review of project progress? (Items 3b and 3c of Part IV)
- b. These questions should be used as the basis for preparing the program narrative as discussed below. If a particular section levies a requirement which is not practical or possible given the nature of the grant, a justification for not completing that section must be given. All applicants must follow the format provided.
- (1) Statement of problem addressed. Describe the problem to be addressed in measurable terms. (A listing of key data elements will usually be found in the program description).
  - (2) Statement of results sought.
    - (a) State the objectives of the project indicating the intended impact of the project upon problems of crime or delinquency or improvement of the criminal justice system. General objectives and results sought are usually stated in the program description. This section should relate those general objectives and results to the specific project location and target population or clientele.
    - (b) This section should describe both performance goals and impact goals.
      - 1 Performance Goals. Performance goals help to measure the progress of project implementation. Performance goals relate therefore to the "means" selected to accomplish the project. In a crime prevention project, for example, a performance goal might be "to target harden (lights and locks) one hundred residences within census tract three by month six." (For comparative purposes see the impact goals example for this same type of project given below.)

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- 2 Impact Goal. An impact goal helps to measure the effect that the project is expected to have on crime or the criminal justice system itself. An impact goal relates therefore to project "ends" rather than project "means". To use the crime prevention example again, an impact goal might be "a 5% reduction in residential burglaries within census tract three by month eight."
- (3) How the project will work. Describe the activities that will be undertaken and the resources that will be required to support those activities. Indicate how project elements will be implemented. (A listing of key project elements usually will be found in the program description).
- (4) Steps involved in setting up and operating the project. (Grant Implementation Plan). The grant implementation plan should indicate implementation steps, operating activities, milestones, and a timetable for review of project progress. The grant implementation plan details the major steps which must be taken to carry the grant through to completion and goal achievement. It consists of two parts, a "start-up" plan and a "program operations" plan. The entire grant implementation plan should consist of a step-by-step process for completing the grant and achieving its goals. If the plan does not achieve this, it will not support an LEAA decision to fund the grant application.
  - (a) Start-up. For each of the following identify the major activities involved in starting and completing each step. If a particular step will take longer than two months to complete, divide it into substeps so its progress can be measured.
    - 1 Contract Staff/Consultant Hiring. List each staff and consultant position which is critical to project start-up program operations. Indicate the target dates for starting to recruit and fill each critical position.
    - 2 Space, Major Equipment and Services. Identify the major space, equipment and services items which must be acquired before the grant can become operational. Indicate for each item the target dates for starting and completing acquisition efforts.

- 3 Preparatory Program Steps. Identify and list the program steps that must be accomplished before the grant can become operational. Include target start and completion dates for each step. Examples of preparatory program steps include data or clients to the grant program, design and production of survey instruments, etc.
  - 4 Establishment of Administrative Controls. List critical administrative controls that must be established during the start-up period of the grant. A critical control is one that is essential to the management of resources and project implementation. Include start and completion dates for establishing
  - 5 Anticipated Start-up Delay. Indicate whether a delay can be expected from date of LEAA award to project start-up. For example, the project may be delayed by the requirements that Federal funds be "passed-through" other levels of government before they reach the project. Another delay might be caused by state legislative action required to approve matching funds.
- (b) Program operations plan. Identify the tasks involved in carrying the project through to its objectives once services have begun, the milestones for review of project operations, and the performance targets set for each milestone. If a particular step will take longer than two months to complete, break it down into substeps so progress towards it can be measured.
- (5) Plans for review of project progress. Describe how the achievement of objectives will be measured. Identify what data will be collected, by whom, and on what schedule to assess the progress of the project. This section should serve as the basis for obtaining and analyzing data and information required for progress reporting to LEAA (See Appendix 3, Paragraph 8 and Appendix 16 of M 4500.1F).



**END**