

v01
2431

applicants guide 1976



New Jersey State Law Enforcement Planning Agency

Dissemination Document No. 23

New Jersey State Library

DEFINITIONS

Act—Omnibus Crime Control and Safe Streets Act of 1968 (P.L. 90-351, 82 Stat. 197) as amended by the Crime Control Act of 1973 (P.L. 93-83, 87 Stat. 197).

Action Grant—A specific project approach, utilizing block grant funds, aimed at controlling or reducing criminal behavior or improving and upgrading the criminal justice system and its personnel.

Agency—The State Law Enforcement Planning Agency (SLEPA).

Calendar Year—Refers to the standard calendar year, January 1 to December 31.

Consultant—A person, group or firm which provides professional advice or services for remuneration.

Discretionary Grant—A project funded with monies controlled exclusively by LEAA and used to advance national priorities, draw attention to programs not emphasized in State Plans, and provide special impetus for reform and experimentation within the system of criminal justice.

Fiscal Year—Refers to the federal fiscal year, July 1 of one year to June 30 of the next.

Governing Board—A body appointed by the Governor which has responsibility for reviewing, approving and maintaining general oversight of the State Plan and its implementation of action priorities, of subgrants or allocations to localities, and of other planning agency functions.

Hard Cash Match—Earmarked monies appropriated for the express purpose of matching federal funds.

H.E.W.—The United States Department of Health, Education and Welfare.

JJDP Act—Juvenile Justice and Delinquency Prevention Act of 1974 (P.L. 93-415, 88 Stat. 1109).

Law Enforcement—It is used to describe the entire criminal justice system (police, courts, corrections, prosecution and defense). The phrases "criminal justice" and "criminal justice system" are synonymous with "law enforcement".

Law Enforcement Assistance Administration (LEAA)—The division of the Justice Department that administers the provisions of the Omnibus Crime Control Act of 1968 as amended.

LEEP—The Law Enforcement Education Program is administered by LEAA. The purpose of LEEP is to upgrade the performance of those engaged in the

administration of criminal justice by encouraging attendance at colleges offering courses generally related to their vocational development. Eligible institutions are awarded funds with which to provide grants and loans to both in-service and pre-service students.

Local Units of Government—Consists of the 21 counties, the 567 municipalities, and combinations of one or more of the preceding.

Negative Environmental Impact Statement—Declaration required of all applicants in an effort to measure the environmental impact of potential subgrants as required under the National Environmental Policy Act of 1969.

Part B Funds—Applies to planning funds available to local planning units, and those monies used for the operation of the State Planning Agency.

Part C Funds—Action funds available for implementing projects throughout the criminal justice system.

Part E Funds—Action funds for use in corrections projects only.

Planning Grant—A specific project approach, utilizing Part B grant funds, designed to develop within eligible units of government a comprehensive criminal justice planning capability, promoting realistic and effective improvements in existing law enforcement and crime control systems.

Program Year—Refers to the approved period for operation of a project.

Public Agency—A duly elected political body or subdivision thereof. It includes any agency emanating from such political body or subdivision.

State Agency—A public agency having as its jurisdiction the entire State.

State Buy-In—Federal provision requiring the State to provide no less than one-half of the required non-federal funding of any Part C action program or project.

Subgrantee—Any local unit of government or state office or agency awarded funds by a State Planning Agency for planning programs under Part B of the Act or action programs under Part C or Part E of the Act.

Subgrantee Official File—An accumulation of recommended data necessary for proper control of project records.

State of New Jersey

BRENDAN T. BYRNE
Governor

STATE LAW ENFORCEMENT PLANNING AGENCY

Governing Board

WILLIAM F. HYLAND
Chairman

STANLEY C. VAN NESS
Vice Chairman

WILLIAM D. ANDERSON
RAYMOND H. BATEMAN
KENNETH A. GIBSON
GERALD GOLDMAN
EDWARD HOFGESANG
LAWRENCE HOUSTON

VINCENT J. INFINITO
ANN KLEIN
BENJAMIN H. MABIE
RAYMOND MASS
KENNETH N. MACDONALD
ALICIA NETTLES

CLINTON PAGANO
BARRY T. PARKER
MARGARET PERRYMAN
ARTHUR SANTUCCI
PATRICIA Q. SHEEHAN
ARTHUR J. SIMPSON

JOHN J. MULLANEY
Executive Director

(The 1976 Plan for Criminal Justice and this Guide were prepared entirely by the SLEPA staff. It contains procedures for applying for a grant, the action programs which comprise Section C of the *1976 Plan for Criminal Justice*, SLEPA forms in use and an appendix which contains valuable references for the administration of funds under the Crime Control Act. This document is published and disseminated under U.S. Department of Justice Grant No. 76-PF-02-0034 in accordance with the ongoing dissemination responsibility assigned to SLEPA by Public Law 93-83, 87 Stat. 197).

CONTENTS

Definitions	(Inside Front Cover)
Organization of SLEPA	1
General Information for Applicants	2
Types of Grants	
Criteria	
Eligibility	
a. Planning	
b. Action	
Application Preparation Instructions	3
Attachment I Description of Project	3
a. Statement of Problem	
b. Goals	
c. Objectives	
d. Project Activities	
e. Project Management	
f. Personnel	
g. Brief Personnel Biographies or Job Specifications	
h. Participating Agencies	
i. Project Evaluation	
j. Alternative Methods	
k. Assumption of Costs	
l. Civil Rights Compliance	
Attachment II Budget Detail/Budget Explanation	5
Cash Match	
Allowable Costs	
Unallowable Costs	
Budget Categories	
a. Salaries and Wages	
b. Purchase of Services	
c. Travel, Transportation, Subsistence	
d. Consumable Supplies	
e. Facilities, Office Space, Utilities, Equipment Rental	
f. Equipment	
g. Indirect Costs	
1975 Action Program—Listing with page references	19
Provision for Evaluation	68
Forms—Listing of SLEPA Forms and Uses	69
Appendix	101
Executive Order Creating Agency	102
General Services Administration, Federal Management	
Circular FMC 73-2	103
General Services Administration, Federal Management	
Circular FMC 74-4	106
General Services Administration, Federal Management	
Circular FMC 74-7	114
Hatch Act Provisions	133
SLEPA Staff	(Inside Back Cover)

ORGANIZATION AND FUNCTION OF THE STATE LAW ENFORCEMENT PLANNING AGENCY

The State Law Enforcement Planning Agency (SLEPA) was created by an executive order of the Governor of the State of New Jersey in August of 1968 in compliance with the Omnibus Crime Control Act of 1968. Actual operation of the agency began in early 1969 with the major task being the development of a comprehensive plan for the improvement of the criminal justice system. This planning phase continued through 1970 when the focus of the Agency turned toward the implementation of programs and the increased emphasis on monitoring and evaluating projects.

Organizationally, SLEPA is located in the Governor's Office and is administered by the Executive Director who reports to the Board of Governors. The Board is appointed by the Governor to represent various components of the criminal justice system and the general public.

SLEPA is charged with three main responsibilities: The annual development and updating of the comprehensive plan, the review of applications from units of government; the fiscal and program monitoring of funded projects. To fulfill these functions, SLEPA is divided into three units, each administered by an Assistant Director.

The Planning Unit has the prime responsibility of collecting data, coordinating the local planning and State planning efforts, disseminating information to the public, and the actual drafting of the comprehensive plan.

Applicants for funds deal with the Operations Unit which provides technical assistance for the development of fundable projects, reviews applications, evaluates ongoing projects for possible refunding, and makes recommendations to the Board of Governors for the final decision on funding.

Once a project has been funded, the Administration Unit prepares the necessary documents for the contract, releases funds after review of reports submitted by a subgrantee, coordinates the fiscal reporting to the State and federal governments, and conducts interim and final audits.

Technical assistance to subgrantees is an ongoing activity of the State Law Enforcement Planning Agency. Since the planned delivery of technical assistance is an essential ingredient of effective plan implementation, this Agency offers a broad-based strategy encompassing 1) an explanation of the Crime Control Act and State Law Enforcement Planning Agency Program, 2) assistance in the development of comprehensive planning techniques, including the creation of local criminal justice planning units, 3) the identification of effective crime control methods and programs within the prevention, police, court and corrections disciplines, 4) assistance in the preparation of requests for action funds, 5) an explanation of the various federal and State admin-

istrative regulations affecting program implementation and 6) a full range of post grant award services including financial monitoring, review of project activities, site visits and project audit and evaluation.

The Agency has been awarded an LEAA discretionary grant to hire an electronic communications engineer who: provides technical assistance in planning and designing communications systems; makes recommendations for awarding funds and participates in the evaluation of the program area entitled "Increase Police Efficiency By Improved Communications Methods"; and works with a task force studying the feasibility of implementing statewide tactical frequencies and developing a master plan for implementation.

Technical assistance is also rendered to subgrantees by other agencies in the following areas:

The New Jersey Division of Budget and Accounting on matters of financing and contract procedures;

The New Jersey Department of Community Affairs in planning areas dealing with Community Action programs, housing, community relations and comprehensive health;

The Department of Higher Education in curriculum design of programs;

The Department of Institutions and Agencies and the New Jersey Association on Correction in the field of corrections and rehabilitation;

The Department of Law and Public Safety in law enforcement systems including police, prosecution and organized crime and legal advice;

The Division of Systems and Communications in the coordination of this aspect of the criminal justice system;

The Office of the Public Defender in matters pertaining to legal defense of indigent criminal defendants;

The New Jersey Police Training Commission on the development and training of law enforcement personnel and management services;

The New Jersey Administrative Office of the Courts on court related matters;

The Department of Health in the area of drug abuse and alcohol control program development; and

Other departments of State government and private agencies when specific needs are identified.

As outlined above, the Agency has developed a strong working relationship with many of the components of the criminal justice system both through its role as a grantor of funds and as a resource for other types of technical assistance.

GENERAL INFORMATION FOR APPLICANTS

I. TYPES OF GRANTS:

A. Grants administered directly by SLEPA

Planning: Federal funds provide support to local criminal justice planning units. No more than 90% of the total project will be paid for by federal funds.

Action: Program areas under which application for action projects may be made are grouped under the following general categories:

1. Legislation—This category includes activities which relate primarily to the legislative process.

2. Planning and Evaluation—This category includes those activities related to the general process of program development and system "overhead".

3. Research and Information Systems—Activities which are basically of a research nature are included in this functional category, as well as those activities relating to general information systems and data collection.

4. Prevention—Included within this category are those efforts aimed at crime prevention used in its broad context, whether undertaken by criminal justice or non-criminal justice agencies.

5. Detection, Deterrence, Apprehension—Included in this category are those activities involving direct law enforcement functions.

6. Diversion—Included here are those activities primarily designed to divert persons from further processing within the criminal justice system following initial contact.

7. Adjudication—All efforts related to the adjudicative process are included within this category.

8. Institutional Rehabilitation—This category includes those programs which operate within an institutional setting.

9. Non-Institutional Rehabilitation—Included are those rehabilitative efforts which take place outside the conventional institutional setting.

JJDP: Federal funds have recently become available to expand juvenile justice programming. Action projects as well as small grants for the criminal justice planning units may be supported by these funds. For detailed information on the program areas for which JJDP Act funds will be made available, please refer to the JJDP Plan Supplement to the 1976 Comprehensive Plan.

B. Other LEAA Programs

1. Law Enforcement Education Program (LEEP).
2. Law Enforcement Assistance Administration Discretionary Grants.
3. National Institute for Law Enforcement and Criminal Justice Research Grants.

II. CRITERIA:

Planning: The intent of awarding planning grants in New Jersey is to develop and implement within local

units of government a comprehensive planning capability for the entire criminal justice system and thereby serve as an input to the state comprehensive plan for criminal justice. In addition, the development of comprehensive plans at the local level will facilitate application for action funds by presenting needs, problems, and priorities in a rational manner.

Action: The intent of awarding action grants is to meet the needs and problems in the areas concerning law enforcement and the administration of justice encompassing the functional categories of prevention, apprehension, adjudication and rehabilitation.

III. ELIGIBILITY:

Planning: The eligibility for planning grants is based on the State Law Enforcement Planning Agency's determination of local eligibility for each calendar year based on a weighted system of criteria which includes population, crime rate, law enforcement activity intensity, proven planning ability, crime centers within a region, and existing trends in population and crime index.

To qualify for planning funds, an otherwise eligible locality must do the following:

1. The locality must form a Criminal Justice Planning Board.
2. The local unit of government must designate a full time Criminal Justice Planner.
3. The unit of government must designate a project director and fiscal officer.
4. The unit of local government must furnish the Agency with an application for funds in a form approved by the Governing Board.
5. The application itself must fully explain the methodology to be used in achieving the objective of the planning program.
6. Four copies of the application will be prepared by the local unit of government and submitted to SLEPA.

Action: Any State agency or local unit of government eligible under the current year programs for action grants may apply for action funds if they meet the following:

1. Within the State comprehensive plan are program approaches aimed at controlling or reducing criminal behavior or improving and upgrading the criminal justice system and its personnel. Only applications for action funds designed to implement and carry out projects which fall within the objectives of these programs will be considered by SLEPA for funding.

2. The implementing agency, if not a State agency or local unit of government, must be represented and supported by a State agency or local unit of government before application for action funds can be submitted. The signature of the state department head, Mayor, or Freeholder Director is required on

all applications as an endorsement and evidence of support for the projects.

3. The applicant must provide assurance that the legal matching requirement percentage of the total project cost will be supplied by the applicant.

IV. APPLICATION PREPARATION INSTRUCTIONS

The Omnibus Crime Control and Safe Streets Act has been amended to require that State Planning Agencies complete their review process of applications within a 90-day period from the time an application is received. For purposes of this requirement, the 90-day review period will commence only when the application in question is in compliance with LEAA and SLEPA guidelines as set forth in the 1976 *Applicants Guide*.

Prior to the submission of a formal application, it is strongly advised that a letter of intent accompanied by a brief project description be filed with the appropriate desk (police, courts, corrections, prevention) within the SLEPA Operations Unit.

The required application format is outlined on page two of the application (SLEPA 101). Each of the four attachments presented therein must be completed as part of any formal application. Instructions for Attachment Three "Non-Supplanting Certification" and Attachment Four "Negative Environmental Impact Statement" appear within the application itself and should need no further explanation. Attachments One and Two constitute the major components of the application. In an effort to promote a high level of consistency and as an aid in the development of applications by prospective subgrantees, the following instructions and guidelines are offered for the completion of each attachment. While content may vary by type of project, the format which follows must appear within every application.

Attachment One: Description of Project

Each of the following sections must be included as part of this attachment:

A. Statement of Problem

Define the problem or need as you see it. The following questions may be used as a guide:

1. What specific problem(s) will the project address? (Example: an increasing incidence of breaking and entering, a low clearance rate, and mounting public complaints).
2. What is the *scope* of the problem?
 - a. Geographical
 - Is it concentrated in one neighborhood or several with similar characteristics?
 - Is it a region-wide problem, or does it appear in two or more adjacent towns?
 - Is it a Statewide problem for which you may have a model solution?

b. Socio-cultural

- What population group is affected by this problem or need?
- In what way is this population group involved—as causing the problem, as victim, as responsible for providing a service?

c. Organizational

- Are other agencies affected by the need or problem?
- In what way do such agencies feel the impact of the stated problem?

3. What is the *magnitude* of the problem?

- All available, pertinent statistical data (e.g. arrest rates, agency referrals, caseloads, clearance rates, etc.) should be included. Also, any other indicators that further define the problem should be described.

4. How has the municipality, county or State agency dealt with this problem in the past? What were the limitations in that approach? Describe factors which limited the unit of government's handling of the problem to date.

5. Why must the problem be addressed at this time?

B. Goals

When the problem has been identified and the need documented, the particular proposal for attacking the problem(s) should be stated. This is the heart of the application, the content of which enables the reviewer to assess the probability that the measures proposed will produce the desired impact or results. The following framework may serve as a guide with regard to definition of terms and contents:

A **goal** may be defined as a general statement of an undesirable condition to be improved, or a desired state of affairs toward which to stride. Criminal justice goals can fall into broad types.

For example:

1. Crime specific—the reduction of property crime, and
2. System improvement—the provision of alternative diagnostic, treatment, and rehabilitation services for the first time juvenile offenders.

C. Objectives

An **objective** is a **specific** statement of a **measurable** end condition to be achieved within a **stated** period of time. Examples:

1. Crime specific—The reduction of breaking and enterings in the 20-block South End neighborhood by 3% over the next 12 months; improvement of the apprehension rate by 2%.
2. System improvement—The diversion of 15 girls, aged 11-18, from institutionalization, by providing a community-based home with supportive diagnostic, treatment and vocational services.

D. Project Activities

Having specified the Goals and Objectives, state

the method of approach or Project Activities you propose to use. For example, having identified the problem of breaking and enterings, the causes might have been defined as a combination of poor patrol methods, slow response time, lack of coordination between patrol and detective divisions, and public apathy. The approach might be Team Policing (i.e., a multi-expertise group of patrol, investigative and community relations officers assigned to the problem neighborhood, fully responsible for all operations during the project period).

On the basis of progress to date (past progress, for prior funded or ongoing projects, preliminary arrangements for new projects), this section should address key project elements, such as: (1) sequence and time schedule involved, (2) resources required (i.e., staff, training, support services, public relations, etc.) and (3) the expected outcome or impact from the project in terms of explicit needs, goals and objectives.

Examples of the type of information sought would include but not be limited to the following:

1. A project schedule detailing what will be accomplished at each phase, including the division of labor and the estimated time intervals involved;
2. A description of criteria to be used in deciding when to advance from phase to phase;
3. A description of equipment to be purchased as a part of the project, including its proposed use and the manner in which it will enhance project capabilities;
4. A description of any special or technical assistance from outside the applicant agency which will be required to complete the actual work, including the manner in which this assistance is to be utilized;
5. An outline of available resources;
6. A description of the specific gains, benefits, improvements, increased efficiencies, changes or other planned impact on the existing problem area or operating system that are expected to occur as a direct result of the project (i.e., workloads to be handled, persons to be treated, type of clientele to be served, new services to be provided, new systems capabilities to be established).

While not a requirement, applicants may wish to consider the development of a detailed Work Plan. The purpose of a Work Plan is to help applicants pre-plan realistically by breaking down major elements and phases identified as Project Activities into more detailed steps or "milestones" within a specific time frame. Experience has shown that it is careful attention (or lack of it) to just such detailed operational procedures that has been a major factor in determining the smooth implementation or ongoing difficulties of a funded project. The Work Plan is designed to elicit the applicant's knowledge of local conditions and implementing agency procedures that might affect project implementation, particularly in the crucial start-up phase. Additionally, the Work

Plan provides the applicant and the funding agency with a realistic basis for project monitoring and required progress reporting once the project is funded.

E. Project Management

Describe the proposed duties and responsibilities of the Project Director (if appropriate). Indicate to whom the Director reports and the manner in which project accountability will be maintained.

F. Personnel

If the project requires the employment of full or part-time personnel, indicate the positions to be filled and the duties or responsibilities of each. If training is involved, indicate the number of persons (by position) to be trained.

G. Brief Personnel Biographies or Job Specifications

Include a detailed resume or biography for each person selected to work on the project. If personnel are not selected at time of submission, describe position qualifications.

H. Participating Agencies

List all State or local jurisdictions, agencies or organizations directly participating in the project. Describe the responsibilities of each and include letters of intent.

I. Project Evaluation

Presented within this section should be the evaluation methodology to be used by the applicant in answering the following types of questions about the project: Did the project accomplish what it said it would? What impact, expected or unexpected, did it have? What were the key factors that made the project a success or failure? How should the project be modified?

The elements of the evaluation design which should be addressed in each application are outlined as follows:

1. **DEFINITION OF PROGRAM OBJECTIVES**—The evaluation design should contain an explicit restatement of the end(s) for which the project is designed (e.g., effectively remove from further juvenile justice contact those youth whose problems could more appropriately be handled by direct 'social' service staff or other appropriate community resources).
2. **STATEMENT OF ASSUMPTIONS**—Every program makes assumptions as to the nature of the problem it addresses (e.g., there are individual juvenile offenders who are unnecessarily processed through the juvenile justice system for whom referral to direct 'social' services would be more appropriate). These assumptions have significance for the mode in which the problem will be addressed.

3. **CRITERIA FOR GOAL ATTAINMENT**—Establish criteria (indicators or measures) that will demonstrate the degree to which stated goals and objects were achieved (e.g., an increase in the number of juvenile offenders removed from and/or provided alternatives to further juvenile justice involvement).
4. **DATA COLLECTION**—In view of the listed indicators, what records must be kept, for what period and by whom?
5. **DATA ANALYSIS**—Within this section, outline the methods of analyses which will be utilized to assess the extent of relationships between the variables (e.g., time series analysis, pre and post comparisons and/or comparison groups).

The above outline may be used by the applicant for developing the evaluation component tailored specifically to the evaluation needs of the proposed project.

Certain program areas are selected for intensive evaluation by the State Law Enforcement Planning Agency. Projects funded under the program areas that are selected for evaluation will be expected to conform with the established evaluation design.

J. Alternative Methods

List any alternative methods that could be used for solving the problem and the reason(s) for selecting the method proposed in this application.

K. Assumption of Costs

If the project will last more than one year, describe how the applicant agency plans to eventually assume the total costs of the program (after a limited period of SLEPA assistance).

L. Civil Rights Compliance

If an Affirmative Action Plan is not complete or it is not required for the jurisdiction, provide the explanation in this section.

**Attachment Two: Budget Detail/
Budget Explanation**

Estimated cost details of the project's budget should be itemized on Attachment Two. Additional pages should be used to provide narrative justification for all budget items. Costs should be broken down as indicated within the column headings appearing on Attachment Two. All projects funded with FY 75 LEAA funds and after will adhere to the following matching formula: 90% federal funds and 10% cash match. Note that particular items of cost may appear as 100% federal, while others may be funded with a combination of federal, State and/or local money.

CASH MATCH:

1973 amendments to the Act included two

important fiscal conditions affecting subgrantee matching funds. These amendments became effective with FY 1974 funds and have been extended to subsequent block grant appropriation, as well.

The first of these is the "hard match" provision, contained in Section 301(c) of the Act, which states:

"The non-federal funding of the cost of any program or project . . . shall be of money appropriated in the aggregate, by State or individual units of government for the purpose of the shared funding of such programs or projects."

In essence, all requests for funds starting with the FY 75 block grant appropriation must include cash as the required matching share. In-kind goods and services are not acceptable as a matching contribution.

In order to meet the "hard match" requirement, funds must be for the express purpose of matching federal LEAA funds. These new funds for law enforcement purposes must be specifically earmarked for the project in the budget of the jurisdiction being funded. Private or Model Cities fund sources may be used as hard cash match. Identification requires an earmarking in some document associated with the appropriation or budget process, which by local government law or practice binds local units to use the funds for the purposes of the Act. This cash must be supplied during the life of the project which may carry over into a new fiscal year.

The simplest way to follow this change is through a sample project funding. If the total project cost (non-construction project) is \$100,000, the following breakdown would be made:

\$ 90,000 LEAA funds	(90%)
\$ 10,000 Cash match	(10%)
\$100,000 Total project cost	100%

The second fiscal amendment is the State "buy-in" provision, Section 303 (2) of the Act, which states:

"With respect to such programs or projects the State will provide in the aggregate no less than one-half of the non-Federal funding."

The New Jersey Legislature has appropriated sufficient funds in the budget to cover the "buy-in" provision. It is important to note that municipalities and counties benefit from the "buy-in" provision, since the State funds are used to meet part of the hard cash match requirement. Using the same example above, a non-construction project to a local unit of government would be as follows:

\$ 90,000 LEAA funds	(90%)
5,000 State Buy-In	(5%)
5,000 Local Cash	(5%)
\$100,000 Total project cost	100%

Note that the cash match requirement of 10% of the total project cost is met in part through the State buy-in (5% of the total project cost or one-half of the matching share) leaving only 5% to be provided

through local cash appropriation. Subgrantees applying for funds under the Juvenile Justice and Delinquency Prevention Act of 1974 will be required to put up a 10% match without any contribution through State Buy-In.

Local applicants should refer to Section XII of this Guide for instructions issued by the N.J. Department of Community Affairs, Division of Local Government Services, outlining the proper procedures for budgeting and accounting for hard cash match monies.

ALLOWABLE COSTS

The allowability of charges made to funds granted under the Act shall be determined in accordance with the general principles of allowability and standards for selected cost items set forth in General Services Administration Federal Management Circular FMC 74-4 entitled "Principles for Determining Costs Applicable to Grants and Contracts with State and Local Government;" Federal Management Circular FMC 74-7 entitled "Uniform Administrative Requirements for Grants In-Aid to State and Local Governments;" and the LEAA Financial Guide. (FMC 74-4 and FMC 74-7 appear in the Appendix).

Costs allowable only with specific prior approval of LEAA include:

1. Automatic Data Processing—Prior approval is required only for the acquisition of equipment, whether by outright purchase, rental purchase agreement or other method of purchase.
2. Professional (including contract and consultant) services—Prior approval is required where costs for arrangements with individuals will exceed \$135 per day.
3. Confidential Expenditures—Prior approval is required. Confidential expenditures include payment to informants, purchase of materials as evidence (such as narcotics), or other uses as may be required by law enforcement personnel working in an undercover capacity.
4. Medical Research—Prior approval is required for any medical research not specifically documented in the *New Jersey Plan for Criminal Justice*.
5. Foreign Travel—Any travel outside of the United States and its territories and possessions or Canada must receive specific prior approval.
6. Sole Source Procurement—On all sole source procurements over \$2,500, a justification for the use of this method must be contained within the application. When the amount involved exceeds \$5,000 prior approval from LEAA is required.

UNALLOWABLE COSTS

1. Personnel Costs—Expenditure of more than one-third of the costs of any action grant for compensation of regular criminal justice per-

sonnel (police, prosecutors, public defenders, judges, probation officers, and all correctional personnel.) The costs of consultants and/or private or educational institution contractors providing services to a subgrantee are excluded. Also, this limitation does not apply to Part B Planning grants.

2. Land Acquisition—Federal funds granted for renting, leasing, or constructing facilities may not include land acquisition. Land acquisition, if necessary, should be included within the subgrantee matching share.
3. Compensation of Federal Employees—Salary payments, consulting fees, and travel costs (including subsistence and lodging) of full-time federal employees are unallowable.
4. Bonuses or Commissions—Payment to any individual for the purpose of obtaining approval of an application for federal assistance is unallowable.

All allowable items of cost will be reviewed by SLEPA to determine acceptability. Costs generally allowable, may be rejected if in SLEPA's determination such costs are deemed excessive or not integral to the success of the project for which said costs are requested.

BUDGET CATEGORIES

Budget categories appearing on the application form are listed and explained below. Note that applicants should use only whole dollars when itemizing costs.

A. Salaries and Wages.

List each position that will be involved, indicating the percent of time and annual salary of each. Employee benefits, such as retirement, FICA, health insurance and vacation should be shown separately.

The project staff should be divided into two categories. The first group would include all regular criminal justice personnel. The total cost of compensating this group out of federal (SLEPA) funds may not exceed one-third of the total SLEPA grant. (This requirement may be waived by SLEPA on a case-by-case basis).

The second group would include all other personnel costs "whose primary responsibility is to provide assistance, maintenance or auxiliary services or administrative support to the regular operational components". There is no limitation placed on the proportion of these salary costs.

To illustrate this requirement: Salaries for police and other regular law enforcement and criminal justice personnel on a project for which an applicant requests \$60,000 of SLEPA funds may not exceed \$20,000 (1/3 of \$60,000). However, salaries for other personnel may be in addition to the \$20,000.

With respect to ongoing SLEPA funded projects, federal funds may be used to provide no more than

50% of any salary increases from one grant period to another. The subgrantee is not required to apply this special matching requirement to new project personnel. To illustrate: a subgrant project conducted in a particular law enforcement agency involves an outlay of \$5,000 from federal funds to increase the compensation of existing project personnel and an outlay of \$20,000 for new project personnel. The special matching requirement will be deemed to have been met if subgrantee funds of at least \$5,000 are provided during the project period to increase the compensation of existing project personnel.

It is essential that subgrantees adequately forecast salary requirements (including base salaries and anticipated increments) when submitting applications to SLEPA. All requests for salary increases, not provided within the approved project budget, will be reviewed on a case by case basis. Approval of such requests will be based upon reasonableness, consistency with local policy and availability of funds within the project budget. In no case will the amount of the original subgrant award be increased.

Line items appearing within the application under Category A, Salaries and Wages must be paid in accordance with established state or local employment procedures. Under no circumstances will payment of gross wages to project personnel be accepted.

B. Purchase of Services.

1. Individual Consultants. List by name or type the consultant to be selected, and show the total estimated costs. As a general rule, a maximum of \$135 per day (8-hour day) including fringe benefits may be charged.

SLEPA reserves the right to approve or disapprove consultant services prior to commitment for such services.

2. Contracting or Service Organizations and Associations. With respect to such services, the arrangement should be formal and proper and consistent with the usual practices and procedures governing the subgrantee unit of government in contracting for or otherwise obtaining services of the type required. Selection of contractors should involve securing of competitive bids or proposals from a group of qualified organizations. On all sole source contracts over \$2,500, justification for use of this method must be included in the application.

A detailed cost estimate should be shown in the Budget Explanation, including the scope of services to be performed, professional qualifications, and the basis for calculating fees including the estimated number of man days required, rate travel, overhead, profit charges etc. Prior to obtaining the services of any organization, a

copy of the proposed contract must be submitted to the State Law Enforcement Planning Agency for review and approval. The proposed contract will not be reviewed for legal sufficiency, but rather to insure that the scope of services to be provided is consistent with overall project goals and objectives. The proposed contract should be submitted along with the Consultant Report Form (SLEPA 109).

3. Instructional Costs for Training Seminars. Provide details that show the basis for the amount requested.
4. Other costs for professional services i.e., psychological/social services. Show rates and method for calculating budget request.

C. Travel, Transportation, Subsistence.

Show travel costs by estimating the number of trips, multiplied by the estimated cost per trip. Where possible, show the proposed destination and purpose of the trip(s). In the absence of a locally approved rate, costs for travel and subsistence should be budgeted in accordance with State regulations, e.g. \$.14 per mile, maximum of \$12.00 per day for three meals, maximum of \$28.00 per day room costs. (Full details should be obtained from the "State of New Jersey Travel Regulations".)

Applicants desiring to use travel rates in excess of the State maximums must submit such requests in writing to SLEPA. Written approval from SLEPA must be received prior to the expenditure of funds for travel costs. Justification must include assurances that travel rates being requested are consistent with rates normally authorized by the applicant unit of government. Copies of any documentation outlining and authorizing local travel rates should be included in the request.

D. Consumable Supplies.

Estimate the cost of materials directly required by the project, such as office supplies, postage, printing and other expendable materials needed during the course of normal operation of the project.

E. Facilities, Office Space, Utilities, Equipment Rental.

Estimate the cost of construction, office space rental, furniture or equipment rental, maintenance costs, utilities, telephone, etc. Show the cost per square foot for office space.

Note that rent may not be charged for the use of public buildings, however, actual costs that can be accounted for may be used.

Rental space, including space for file, conference, mail, supply, reproduction, and storage rooms should not exceed 150 square feet per employee. Costs should be consistent with prevailing rates in the area and should not exceed \$7 annually per square foot.

Costs for rearrangements and alteration in excess

of \$1,500 must be justified in the application to show that:

1. The building involved is in reasonably good condition with a life expectancy of five or more years.

F. Equipment.

A condition of all LEAA grants including the purchase of equipment is that a search and examination of existing excess federal property be made *prior to* the issuance of purchase orders. This action is required by the Federal Property Management Regulations. One or both of the forms shown on pages 97 and 98 must be submitted, in accordance with the instructions included on page 99. Only if a negative reply results from the submission of ADM Form 5 or the equipment is unsuitable after inspection may orders be submitted to vendors. The above circumstances must be adequately documented in the subgrantee's records, with copies submitted to SLEPA.

SLEPA may approve the purchase of equipment deemed appropriate and essential to the successful operation of projects under the State Plan. Requests for equipment should contain adequate cost specifications, including equipment type, quantity and estimated cost.

In preparing requests for acquisition of equipment, the following general cost allowability principles should be kept in mind:

1. Federal Management Circular FMC 74-4 prohibits the purchase of automatic data processing equipment without specific approval by the grantor agency (LEAA).
2. Equipment should be requested only after determination by responsible officials that no other identical or similar equipment owned by the applicant is available for project use.
3. SLEPA funds will not be authorized to provide reimbursement for the purchase price of equipment already owned by the applicant.
4. If equipment purchased is used commonly for two or more Federal grant programs or for a Federal grant program and a non-federally supported State or local government activity, appropriate proration of cost to each activity involved must be effected.
5. All equipment specifications, requests for proposals, and bid awards will be made no later than ninety (90) days after the release of initial grant funds. Failure to do so may result in termination of the grant award.
6. All contracts shall contain a performance clause fixing a specific date for work completion.

A detailed explanation of equipment utilization should be included in the application. If training in the use of equipment is necessary a schedule of training, including length of training, trainees and instructors should be presented.

Applicants should become familiar with Federal Management Circular FMC 74-7, Appendix N, Property Management Standards. This guideline outlines subgrantee responsibilities in developing and maintaining adequate property records, internal control systems and periodic physical inventory checks.

Further specific guidelines governing equipment purchases may be issued by the various desks within the Operations Unit. Applicants for radio communications equipment should follow the requirements outlined in Section XIV of this Guide.

G. Indirect Costs.

These costs are limited to the applicant's match and are not chargeable to the SLEPA share. Refer to item "I", part 1 in Section B for a more complete discussion of limitations.

Application Authorization.

The final page of the application requires the signature of the applicant unit of government's chief executive officer (mayor, freeholder-director, State department head). Signature indicates that the information provided within the application is accurate and complete and that the applicant intends to comply with all conditions applicable to grants awarded pursuant to the Crime Control Act. Additionally, applicants should complete the information requested insuring compliance with federal guidelines for Civil Rights Compliance and A-95 Clearinghouse Review. An explanation of each guideline is offered below.

CIVIL RIGHTS COMPLIANCE.

Applicants are required to comply with the Equal Employment Opportunity Guidelines issued by LEAA and appearing in the Federal Register, 28 C.F.R. 42.301 et seq., Subpart E (complete text reprinted in Appendix). These guidelines provide recognition of the fact that "full and equal participation of women and minority individuals in employment opportunities in the criminal justice system is a necessary component of the Safe Street Act's program to reduce crime and delinquency in the United States."

In accordance with LEAA guidelines, development of an Equal Employment Opportunity Program is required of all applicants meeting the following criteria:

Each recipient of LEAA assistance within the criminal justice system (project implementing agency not overall unit of government) which has 50 or more employees *and* which has received subgrants of \$25,000 or more since enactment of the Safe Streets Act in 1968 *and* which has a service population with a minority representation of three percent or more.

Where a recipient has 50 or more employees,

and has received subgrants of \$25,000 or more, and has a service population of less than three percent, such recipient must develop an equal employment opportunity program relating to employment practices effecting women.

For purpose of these guidelines, the relevant service population is determined as follows:

1. For adult and juvenile correctional institutions, facilities and programs (including probation and parole programs), the "service population" shall be the inmate or client population served by the institution, facility, or program during the preceding fiscal year.
2. For all other recipient agencies (e.g., police and courts), the "service population" shall be the State population for state agencies, the county population for county agencies, and the municipal population for municipal agencies.

Applicants affected by these guidelines will be required to formulate, implement and maintain a written Equal Employment Opportunity Program (Affirmative Action Plan) relating to employment practices affecting minority persons and women. "Minority persons" shall include persons who are Negro, Oriental, American-Indian, or Spanish-surnamed Americans. "Spanish-surnamed Americans" means those of Latin American, Cuban, Mexican, Puerto Rican or Spanish origin.

Equal Employment Opportunity Programs should include as a minimum:

1. An evaluation of the following factors cross classified by race, ethnicity and sex:
 - a. Analysis of present representation of women and minority persons in all job categories;
 - b. Analysis of all recruitment and employment selection procedures;
 - c. Analysis of seniority, promotion and transfer procedures;
 - d. Analysis of external factors such as available housing and transportation which may inhibit minority employment.
2. A written Program which includes:
 - a. A job classification table indicating numbers of employees, numbers of employees in each classification cross classified by race, ethnicity and sex including rates of pay;
 - b. Disciplinary actions by race, ethnicity and sex, including sanctions imposed;
 - c. Number of entrance applicants by race, ethnicity and sex and resulting new hires by race, ethnicity and sex;
 - d. Number of transfer or promotion applicants by race, ethnicity and sex and number promoted or transferred by race, ethnicity and sex;
 - e. Number of employees terminated by race, ethnicity and sex and identification of voluntary or involuntary terminations;
 - f. Available labor market characteristics;

g. Detailed narrative of existing employment policies, including:

- (1) Necessary steps needed to be taken to assure full and equal employment opportunity.
 - (2) Recruitment program, if necessary.
- h. Plan for dissemination of EEO program;
- i. Designation of personnel for implementation and maintenance of the program.

Affected applicants must file a certificate with SLEPA indicating the existence of such an EEO program. The written EEO program need not be filed with SLEPA but must be made available for subsequent review and audit. The certification format is shown below.

CERTIFICATION OF EQUAL EMPLOYMENT OPPORTUNITY PROGRAM

I, _____ (Mayor, Freeholder-Director, State Department Head) certify that the _____ (criminal justice agency) has formulated an equal employment opportunity program in accordance with 28 CFR 42.301, et seq., subpart E, and that it is on file in the office of _____ (name), _____ (address), _____ (title), for review or audit by officials of the cognizant state planning agency or the Law Enforcement Assistance Administration, as required by relevant laws and regulations.

(signed)

(Title)

A-95 CLEARINGHOUSE REVIEW.

In accordance with the provisions of the Intergovernmental Cooperation Act of 1968, applicants will be required to comply with the Project Notification and Review System as outlined in Office of Management and Budget Circular A-95. Prospective applicants for SLEPA funds will be required to file a notification of intent to apply for federal assistance with the New Jersey State Clearinghouse and the appropriate metropolitan or non-metropolitan clearinghouse.

Executive Order No. 35 issued by Governor Cahill creates the following clearinghouse system:

- A. *State Clearinghouse*: Division of State and Regional Planning of the Department of Community Affairs, P.O. Box 2768, Trenton, N.J. 08625
- B. *Metropolitan Clearinghouses*:
 1. Tri-State Regional Planning Commission, 1 World Trade Center South, 82nd Floor, New York 10048—Bergen, Essex, Hudson, Middlesex, Monmouth, Morris, Passaic, Somerset and Union Counties.

2. Delaware Valley Regional Planning Commission, 1819 John F. Kennedy Blvd., Penn Towers Building, Philadelphia, Pennsylvania 19103—Burlington, Camden, Gloucester and Mercer Counties.
3. Wilmington Metropolitan Area Planning Coordinating Council, 2062 New Castle Avenue, New Castle, Delaware 19720—Salem County.
4. Atlantic County Planning Board, 25 Dolphin Avenue, Northfield, New Jersey 08225—Atlantic County.
5. Cumberland County Planning Board, 800 Commerce Street, Bridgeton, New Jersey 08302—Cumberland County.

C. *Non-Metropolitan Clearinghouses:*

1. Cape May County Planning Board, County Court House, Cape May Court House, New Jersey 08210—Cape May County.
2. Hunterdon County Planning Board, Flemington, New Jersey 08822—Hunterdon County.
3. Ocean County Planning Board, 119 Hooper Avenue, Toms River, New Jersey 08753—Ocean County.
4. Sussex County Planning Board, Administration Building, 39 High Street, Newton, New Jersey 07860—Sussex County.
5. Warren County Planning Board, Oxford and Hardwick Streets, Belvidere, New Jersey 07823—Warren County.

The responsibilities of these clearinghouses are:

- a. to receive from prospective applicants within their jurisdiction all notices of intent to apply for federal aid under programs covered by OMB Circular A-95;
- b. to determine the State, regional or local interests in the project in light of the comprehensive development plans and policies of the agencies represented by the clearinghouse;
- c. to arrange conferences between the applicant and the appropriate agencies to identify and resolve conflicts pursuant to the application;
- d. to prepare evaluative comments to be submitted with the final applications; and
- e. to issue letters of clearance attesting that the applicant has complied with the provisions of the A-95 Project Notification and Review System.

State, metropolitan and non-metropolitan clearinghouses may have a period of thirty days after receipt of the project notification in which to distribute the notification to their respective reviewing agencies. Within this thirty-day period, the clearinghouses will solicit the comments of the reviewing agencies. Based on these comments, they will notify the applicant that (a) the project does not apparently conflict with the development programs and policies of the agencies within the clearinghouse's jurisdiction, in which case the applicant may complete and submit the application directly to SLEPA; or (b)

issues or conflicts have arisen pursuant to the application which will require additional review and discussion.

In cases where conflicts arise, the application will enter an indeterminate period, during which time the clearinghouse will attempt to resolve the conflict, either through informal meetings with the applicant or through formal conferences. If the conflicts cannot be resolved through discussions during the indeterminate period, a clearinghouse may exercise its option to review the applicant's formal application for thirty days. During this final review period, the clearinghouse will prepare formal comments to be returned to the applicant for submission with the application to SLEPA.

Applicants should use the final page of the SLEPA application form entitled "Application Authorization" to indicate full compliance with the A-95 review process. A copy of the cover letter forwarded to the appropriate clearinghouse(s) as notification of intent to apply to SLEPA for assistance should be included as part of the application.

SLEPA staff will give due consideration to all clearinghouse comments submitted with applications. Also, SLEPA will notify the appropriate clearinghouse of substantive action—approvals, amendments, rejections—taken on applications. These notifications of action taken will be channeled through the Central Receiving House (New Jersey Bureau of the Budget).

V. STAFF SCREENING:

A. Funding decisions for all grants will be made solely on the basis of the formal application submission prepared on the official agency forms (SLEPA 101).

- B. A formal application consists of the following:
 1. Four copies of the application (SLEPA 101), all with original signatures presented in the proper format and including Attachments One through Four and the Application Authorization page.
 2. Two certified copies of a resolution of the local governing body (illustrated on SLEPA 102), duly signed and sealed, approving the applicant's participation with the State of New Jersey in the SLEPA programs.
 3. In the case of State agencies, all applications must be reviewed by the Bureau of the Budget as outlined in Budget Circular 74-5. Applications will be handstamped by the Budget Bureau as evidence that this review has been completed. Budget Circular 74-5 is reprinted as Section XI of this Guide.

C. The Omnibus Crime Control and Safe Streets Act has been amended to require that State Planning Agencies complete their review process of applications within a 90-day period from the time an appli-

cation is received. For purposes of this requirement, the 90-day review period will commence only when the application in question is in compliance with LEAA and SLEPA guidelines as set forth in the *1976 Applicants Guide*.

Any submission that does not comply with LEAA and SLEPA application requirements as set forth in this Applicants Guide will not be accepted as an application for purposes of the 90-day review requirement. An application filed in compliance with these guidelines will be acted upon within 90 days.

D. Every application received will be dated and logged into the incoming mail book. Action grant applications will then be referred to the Operations Unit of SLEPA; Planning Grant Applications to the Planning Unit.

E. The project controller assigns each application a project number and this number is logged in the project control log. Two copies of the application are filed in the Administration file, and two copies are referred to the Assistant Director.

F. The Assistant Director completes a preliminary screening process, and if the application is not within the purview of the comprehensive plan, the applicant is so advised in a letter of acknowledgement. Any deficiencies are itemized and the application is assigned to a unit staff member to follow through with the applicant until the application is technically correct.

G. A technically correct application is then forwarded to the Application Review Committee composed of the Executive Director, the Assistant Director-Planning, the Assistant Director-Operations, and the Assistant Director-Administration. The Committee meets for the final review of the application to determine the staff recommendations to the SLEPA Governing Board.

H. Staff recommendations will be based upon the relative merits of applications, within any one program category, in contributing to the goal under which submitted, and with due regard for a distribution of funds that will assist those jurisdictions with the most serious crime problems.

VI. APPLICATION REVIEW AND AWARD:

A. Applications for projects specifically outlined in the 1976 Plan will be reviewed and acted upon by the Application Review Committee, and will not require Governing Board approval.

B. The Governing Board will review all other action grant applications which have been recommended for funding.

C. The Board will approve action grants at a regularly scheduled meeting based on the following criteria:

1. Conformity to the purposes of the Act and its regulations and guidelines, i.e. LEAA Financial

Guide, federal circulars contained in Appendix of this document, etc.

2. Compliance and coordination with New Jersey's current comprehensive law enforcement plan.
3. The estimated impact on the support of the State's priority programs.
4. The degree of probable constructive contribution to the improvement of the State of New Jersey's criminal justice system.
5. The likelihood of achieving stated grant objectives.
6. The amount of estimated benefit derived versus the cost incurred as compared to similar projects and to those other action grant applications being considered.
7. The degree of innovation displayed.

D. When a decision is reached, the applicant is so notified by letter. If the decision is favorable, a subgrant award (SLEPA 103) form is executed. The applicant is also sent appropriate forms to request funds. Subgrantees will be required to file periodic narrative reports (SLEPA 106) and fiscal statements per instruction on Form 107.

VII. APPEAL PROCEDURES:

Upon receipt of notification of denial, the applicant has twenty (20) days after receipt to request in writing that an appeal be held on the denial. SLEPA Form 104 (Notice of Appeal) is forwarded to the applicant for the signature of the Mayor, Freeholder Director or State department head.

The Board Chairman of SLEPA or any authorized officer thereof, will convene the Governing Board to hold a hearing at the next regularly scheduled Board meeting providing at least thirty (30) days have elapsed after the SLEPA Form 104 has been returned to the SLEPA offices. Such hearings or investigations will be held at such times and places as designated following appropriate written notice to such applicant or subgrantee.

The hearing shall not be bound by the rules of evidence whether statutory, common law, or adopted by Rules of Court. The Governing Board may in their discretion exclude any evidence if they find that its probative value is substantially outweighed by the risk that its admission will either (1) necessitate undue consumption of time, or (2) create substantial danger or undue prejudice or confusion. In that event, they will accept for filing a written offer or proof which may also argue relevancy to the issue at hand.

The Governing Board will render its decision and so inform the appellant immediately following the hearing. There shall be ten (10) days after the hearing to file written exceptions, objections and replies to the findings of the Governing Board.

The findings of fact and determinations made by the Governing Board of SLEPA shall be final and

conclusive, unless the Governor shall, within thirty (30) days of the Governing Board decision, reverse that decision.

VIII. SUSPENSION OR TERMINATION OF GRANT:

Determination for suspension or termination of funds will initiate with SLEPA and will be based upon the subgrantee's inability to perform in accordance with the conditions of the grant award; upon the unsatisfactory or non-filing of cost statements and/or the unsatisfactory or non-filing of quarterly reports as required under the grant conditions.

SLEPA will notify the subgrantee by letter to the Mayor, Freeholder Director or State department head advising of SLEPA's initial determination and citing the reasons for such termination or suspension of funds. This will be followed immediately by a letter to the subgrantee, with copies to the Project Director and the Financial Officer, detailing the exact discrepancies with regard to the grant award.

Reinstatement of funding may be approved by SLEPA after satisfactory compliance by the subgrantee.

IX. REPORTING PROCEDURES:

A. Quarterly Narrative Reports: Subgrantees are required to submit quarterly narrative reports (SLEPA 106) for the duration of the project period to SLEPA, describing the project activities and progress made during the reporting period. Quarterly narratives are required on a calendar year basis (i.e. January 1-March 31, April 1-June 30, July 1-September 30, and October 1-December 31) for all subgrants.

If a subgrant begins less than one month before termination of a calendar quarter, a narrative report is not due for that quarter. Activities for this shortened period should be accounted for in the subsequent quarterly report. (e.g. Contract date is March 2, 1975, quarterly narrative due June 30, 1975, covering all activities from March 2 to June 30).

Two copies of all quarterly narrative reports should be submitted to SLEPA.

B. Final Narrative Reports: Upon termination or completion of a subgrant, a final narrative report (SLEPA 106), in addition to the scheduled quarterly report, will be required by SLEPA and will be submitted within 30 days of the termination or completion date of the project. This report should contain a complete description of the project including goals, problems, results, recommendations, and an evaluation of effectiveness. If this information is contained in sufficient detail in the publication normally the result of a planning grant, this may suffice as the final narrative report. Subgrantees should remember that this report will be one of the criteria upon which any application for an action grant, based on or related to the planning grant, will be judged.

Two copies of all final narrative reports should be submitted to SLEPA.

C. Interim Evaluation Report: Should a subgrantee wish to reapply for a continuation action grant, an interim evaluation report will be required by SLEPA to be submitted after the third quarter of the project period along with four copies of the new Grant Application. This interim report will replace the third quarter narrative report and will include a complete evaluation, both narrative and fiscal, on the progress of the project up to that point. Upon review of this interim evaluation report and the application, SLEPA will decide on the funding of any continuation action grant for the next project period. This process will alleviate funds from expiring, and will keep the flow and progress of a project continuing from one project period to another.

X. TIMING OF STATE AND/OR LOCAL CONTRIBUTIONS:

State and local contributions need not be made in exact proportion with and time concurrence of withdrawal and expenditure of federal funds. During the first months of program or project operation, for example, the subgrantee may spend a greater proportion of its matching funds to meet program expenses than may be required by the applicable statutory ratio, or it may spend a larger proportion of federal funds. However, the full subgrantee matching share must be contributed by the end of the period that federal funds are available for obligation or expenditure under a given subgrant and in no event later than the date at which the complete federal award has been expended.

XI. SUBGRANTEE FISCAL RESPONSIBILITY:

The subgrantee shall be responsible for maintaining a bookkeeping system, records and files to account for all grant monies spent and all matching funds contributed to the project.

SLEPA is in no way specifying a definite system, but it will expect subgrantees to develop one that conforms to good accounting practices.

SLEPA has members of its staff with fiscal responsibility who will be available to subgrantees to provide technical assistance with respect to fiscal administration of the subgrants.

A. Special consideration should be given to the following general conditions pertaining to the administration of subgrants:

1. Fiscal Control and Fund Accounting. Procedures will be established which assure proper disbursement of, and accounting for grant funds and required non-federal expenditures.
2. Accounting Procedures. Accounting procedures must provide for an accurate and timely recording of receipt of funds by source of expenditures made from such funds, and of

unexpended balances. Controls will be established which are adequate to ensure that expenditures charged to subgrant activities are for allowable purposes and that documentation is readily available to verify that such charges are accurate.

3. **Retention of Records.** Financial records of the grantee and its subgrantees and contractors, including books of original entry, source documents supporting accounting transactions, the general ledger, subsidiary ledgers, personnel and payroll records, cancelled checks, and related documents and records must be retained for a period of at least three years. The retention period starts from the date of the receipt of the final expenditure report. Records must be retained beyond the three year period if an audit is in progress and/or findings of a completed audit have not been resolved satisfactorily. If an audit is completed and the findings are resolved prior to the three year period, records will be retained until the end of the three year period. If the three year period has passed and no audit has been initiated, the records will be retained in accordance with other State and local law. If State or local law requires a longer period of record retention, access to the records will be allowed for purposes of a federal audit. If after the three year period no audit has been initiated and State or local law does not require record retention beyond the three year period, subgrantees must receive prior approval from SLEPA before disposing of any grant records.
4. **Fund Payment.** All payments made to the subgrantee under this grant will be recorded by the subgrantee in accounting records separate from all other fund accounts, including funds derived from other grant awards. Amounts paid shall be available for expenditure by the subgrantee in accordance with the provisions of the subgrant throughout the project period subject to such conditions as the State Law Enforcement Planning Agency may prescribe.
5. **Use of Grant Funds.** Funds granted may be used only for the purposes required to carry out the approved project and identified in the approved project budget. Any deviation of \$100 or more within or between budget categories requires prior written approval of SLEPA.
6. **Project Income.** All interest or other income earned by the grantee with respect to grant funds or as a result of conduct of the grant project (sale or publications, registration fees, service charges on fees, etc.) must be accounted for. Refer to FMC 74-7 in Appendix for a complete discussion of this topic.
7. **Obligation of Grant Funds.** Grant funds may not, without advance written approval by

SLEPA, be obligated prior to the effective date or subsequent to the termination date of the grant period. Obligations outstanding as of the termination date must be liquidated within 90 days. Such obligations must be related to services provided within the grant period or to goods as specified in the approved project budget. Subgrantees will be required to submit additional monthly Detailed Cost Statements during the time period in which obligated funds are being liquidated.

8. **Return of Unobligated Funds.** Funds that remain unobligated at the end of the fiscal budget period shall be returned to SLEPA within sixty (60) days after the end of such budget period.
 - B. Consideration should also be given to the following Agency policies concerning budgetary and payment procedures.
 1. Grants are awarded for a one-year period or a part thereof.
 2. The starting date for the grant period is established by SLEPA at the time of approval of the application.
 3. No later than three months prior to the expiration of a grant period the applicant must submit a continuation application to SLEPA for the subsequent year if additional funds are being requested.
 - C. **Cost Allowability**—Refer to Federal Management Circular FMC 74-4 in the Appendix.
 - D. **Fiscal Reporting Requirements.** The grantee must maintain a generally accepted accounting system which provides, as a minimum:
 1. A separate account for the grant project (this means a separate appropriation account for State agencies) with separate accountability of receipts, expenditures, and balances for each Fiscal Budget Period.
 2. Itemization of all supporting records of grant receipts, expenditures and State/local contributions in sufficient detail to show exact nature for each Fiscal Budget Period.
 3. Provision of data and information for each expenditure and State/local contributions with proper reference to a supporting voucher or bill properly approved.
 4. Maintenance of payroll authorizations and vouchers.
 5. Maintenance of a time-reporting system for personnel charged to the grant and also covering State/local contributed services. (If your present system of reporting does not adequately provide for this, obtain copies of SLEPA Form 105 from the Agency.)
 6. Maintenance of adequate records supporting charges for fringe benefits.
 7. Maintenance of adequate inventory records for equipment bought, rented and contributed.
 8. Provisions for payment by check.

E. Procedures for Excess Property—When the location and identification numbers for excess personal property are not known, a general request to the General Services Administration to search their catalogs is made via ADM Form 5 "Request For Location Of Excess Personal Property". The quantity, unit description (each, dozen, etc.), and a description sufficiently detailed to enable GSA to identify the equipment desired are entered on the form. Four copies of the form, with a narrative explaining the relevance of each requested item, are submitted to the program analyst.

Any request for excess property will be made through SLEPA on Form 122 with assurance that the unit of government will accept responsibility for the cost of transportation, accountability, insurance where applicable, proper care and maintenance, and return of property on request of the Federal Government.

In making this request for federal excess personal property on the Transfer Order Form SF-122, it is understood that the following conditions apply and that there will be compliance with all other applicable regulations, both current and future, as established by the federal government and the State Law Enforcement Planning Agency:

Title to all personal property shall remain with the cognizant federal agency, the Law Enforcement Assistance Administration. The property will be surrendered on demand.

The subgrantee is responsible for accountability, management maintenance, and protection from loss, damage, theft, and unauthorized use. The subgrantee is also responsible for making shipping arrangements and the costs required for initial acquisition, maintenance, and storage pending final disposition. If the property is transferred to another agency, it will be the next recipient's responsibility for the cost of such shipment and he may be charged only for actual packing and loading costs.

Upon receipt of the property, the subgrantee will complete the Property Transaction Document, LEAA 1825/1 and submit five (5) copies to the program analyst at SLEPA. Property identification labels provided by LEAA will be affixed to each item received for identification and to facilitate the annual physical inventory required of each recipient subgrantee.

In the event of damage, theft, or loss, the subgrantee will complete the Property Transaction Document, LEAA 1825/1 and submit three (3) copies to the program analyst at SLEPA.

When vehicles are acquired for use on public streets, the subgrantee will provide evidence of liability insurance in the following minimum amounts: \$200,000/\$500,000 personal injury and \$100,000 property damage. Three (3) copies must be submitted to the program analyst at SLEPA.

The subgrantee covenants and agrees to save harmless the federal government and its agencies

from all liabilities and costs resulting from suits related to the use of property acquired under this program.

The subgrantee will prepare the Report of Excess Personal Property, SF120 when there is no longer a need for any property item and submit three (3) copies to the program analyst at SLEPA.

The narrative attached to each form SF122 explains in detail the relevance of each item requested to the goals of the subgrant.

XII. BUDGETING AND ACCOUNTING REGULATIONS FOR LOCAL UNITS OF GOVERNMENT PARTICIPATING IN THE STATE LAW ENFORCEMENT PLANNING AGENCY PROGRAM.

The following memorandum issued by the Director, Division of Local Government Services, Department of Community Affairs should be adhered to when budgeting funds received through grant awards from SLEPA.

After meeting with officials of the State Law Enforcement Planning Agency, the Director of Local Government Services hereby prescribes the following budgeting and accounting regulations for grants allocated to counties and municipalities by the above-named agency.

1. All State Law Enforcement Planning Agency grants shall be processed through the budget of the local unit at the time of the adoption of the budget or by a budget amendment utilizing N.J.S. 40A:4-87. No such grants shall be accounted for through the "Trust Fund" as a dedication by rider.
2. All such grants shall be designated in the budget as follows:

REVENUE: State Law Enforcement Planning Agency Grant—Subgrant No.

APPROPRIATION: Unclassified:
State Law Enforcement Planning Agency Grant—Subgrant No.

3. The appropriation shall be a separate line item without a designation as to "Salaries and Wages" and "Other Expenses" and shall not be made a part of any existing appropriation.
4. The revenue when anticipated at the time that the budget of the local unit is introduced, shall be a "Special Item of Revenue with Prior Written Consent of the Director of Local Government Services.
5. Commencing with the 1974 budget, all SLEPA grants will require a 5% "hard cash match." This 5% cash requirement of the local unit cannot be taken from any other appropriation but must be "new" money.

Continued on page 16

**FORM OF RESOLUTION PROVIDING FOR THE INSERTION OF ANY SPECIAL
ITEM OF REVENUE IN THE BUDGET OF ANY COUNTY OR MUNICIPALITY
PURSUANT TO N.J.S. 40A:4-87 (CHAPTER 159, P. L. 1948)**

WHEREAS, N.J.S. 40A:4-87 provides that the Director of the Division of Local Government Services may approve the insertion of any special item of revenue in the budget of any county or municipality when such item shall have been made available by law and the amount thereof was not determined at the time of the adoption of the budget, and

WHEREAS, said Director may also approve the insertion of an item of appropriation for equal amount.

Section 1

NOW, THEREFORE, BE IT RESOLVED that the *jurisdiction* hereby requests the Director of the Division of Local Government Services to approve the insertion of an item of revenue in the budget of the year 19____ in the sum of \$_____ which item is now available as a revenue from *State Law Enforcement Planning Agency Subgrant No. _____* pursuant to the provisions of statute, and

Section 2

BE IT FURTHER RESOLVED that a like sum of \$ _____
be and the same is hereby appropriated under the caption of

State Law Enforcement Planning Agency Subgrant No.

(In some cases where there is appropriate provision for the municipality's share of any amounts made available by existing statutes, the following Section 3 must be adopted as a part of the resolution. In some cases where no appropriation for the municipality's share has been provided, the resolution captioned 3a will be required:)

Section 3

BE IT FURTHER RESOLVED that the sum of \$ _____
representing the amount required for the municipality's share of the aforementioned
undertaking appears in the budget of the year 1974 under the caption of *Matching Funds
for Grants* , and is hereby appropriated under the caption of *State Law
Enforcement Planning Agency Subgrant No.*

Section 3a

BE IT FURTHER RESOLVED that the sum of \$ _____
be anticipated from the proceeds of an emergency resolution heretofore adopted providing
for the municipality's share of the said project or undertaking and the appropriation of the last
named sum shall be added to and be supplementary to the appropriation provided in
Section 2 hereof.

Adopted this ____ day of _____, 19____
and certified as a true copy of an original.

Clerk

Approved _____, 19 ____

DIRECTOR, DIVISION OF LOCAL GOVERNMENT SERVICES

Note: — This form must be filed in duplicate where special items of revenue are made available by any statute or authorization. In cases where Section 3 is used the "caption" on the last line must be the same as the "caption" on the last line of Section 2. 3a will apply where no appropriation is provided for the municipal share and the emergency resolution must accompany this resolution.

It is hereby recommended to all local units of government considering submission of applications to the State Law Enforcement Planning Agency for a 1974 grant to provide an appropriation entitled, "Matching Funds for Grants" in the 1974 budget under the classification of "Unclassified."

6. *In the event that a local unit has not provided an appropriation and did not consider applying for any SLEPA grant, but now has an opportunity to do so, then the local unit will, by necessity, have to provide for the hard cash match by the adoption of an emergency resolution.*
7. *When a local unit has provided for the "hard cash match" in the budget and an application is approved by the State Law Enforcement Planning Agency which was not included in the budget, as adopted, the local unit must adopt an amending resolution to include the revenue and offsetting appropriation and also denote that the hard cash match is available. (See attached sample resolution).*
8. *Since the State Law Enforcement Planning Agency grants in most instances cover a fiscal year other than as provided by statute for New Jersey local units, the Division is allowing the appropriation as budgeted to be set up as a "Reserve" from which commitments and charges can be made beyond the calendar year. The revenue anticipated can be fully realized with any amount not received set up as a receivable and pledged to surplus. However, it is the determination of the Director that the portion of non-cash surplus attributed to the receivable will not be allowed to be anticipated in the following year's budget as surplus with prior written consent of the Director of Local Government Services.*

XIII. SUBGRANTEE OFFICIAL FILE

Combine all files into a manageable holding system and check to assure that the following documents are included when applicable:

- a. Copy of approved Application for Subgrant
- b. Copy of award letter
- c. Copies of all Project Modification Requests and related written approvals from the SLEPA
- d. Copies of all Fiscal Reports
- e. Copies of all Subgrant Progress Reports
- f. Copies of any required prior approvals
- g. Personnel information
 - Copies of all necessary payroll evidence
 - Copies of all necessary staff assignment forms
 - Copies of all necessary time reports and certifications

- h. Consultants and Contract Services
 - Copies of all necessary contracts and bid documents where appropriate
 - Copies of all necessary prior approvals
 - Copies of all invoices
 - Copies of all payments
- i. Equipment
 - Copies of all purchase orders
 - Copies of all receiving documents
 - Copies of all invoices
 - Copies of all bid or competitive quotations information
 - Copies of all paid vouchers
 - Copies of all inventory data
 - Copies of all in-kind certification forms
- j. Supplies & Operating Expenses
 - Copies of all space contracts and/or certificates
 - Copies of all bid information
 - Copies of all purchase orders
 - Copies of all invoices
 - Copies of all payments
- k. Renovation and Alteration and Construction
 - Copies of all necessary approvals
 - Copies of all bids
 - Copies of all contracts
 - Copies of all invoices
 - Copies of all records of project completion
 - Copies of all payments
- l. Travel
 - Copies of all travel authorization
 - Copies of all travel vouchers
 - Copies of all payments
- m. Banking Information
 - Cash verification
 - Receipts documentation
 - Check register
 - Cancelled checks
 - Bank statements

XIV. BUDGETING AND ACCOUNTING REGULATIONS FOR STATE AGENCIES PARTICIPATING IN THE STATE LAW ENFORCEMENT PLANNING AGENCY PROGRAM.

The following memorandum issued by the Director, Bureau of the Budget, should be adhered to when budgeting funds received through grant awards from SLEPA.

Effective July 1, 1973, the following procedures shall be followed in accounting for Federal and State funds transferred for Federal Law Enforcement Projects.

1. *The State Law Enforcement Planning Agency (SLEPA) will prepare the Annual Plan in accordance with and at times required by directives issued by the Law Enforcement*

Assistance Administration (LEAA). The completed Plan along with a Budget Bureau Form BB-4 (Application for Non-State Funds) will be submitted to the SLEPA Governing Board for review and approval.

2. The Plan and Form BB-4 as approved by the Governing Board will be forwarded to the Budget Bureau for review and approval.
3. The Budget Bureau will return a copy of the approved Form BB-4 to SLEPA with an authorization for SLEPA to submit the Plan to the Federal Government for approval.
4. After notice of Plan approval is received from the Federal Government, SLEPA is thereby authorized to administer the Plan, not to exceed the limitations set forth in the approved Plan and Form BB-4.
5. Each Sub-grantee agency shall submit to the Budget Bureau for approval a Grant Application (SLEPA Form #101 with Attachments One and Two) for each sub-grant request. The Budget Bureau will review and forward approved Grant Applications to SLEPA.
6. After review and approval of individual sub-grant requests by SLEPA and its Governing Board, the applicant agency will be notified of such approval by SLEPA.
7. Upon receipt of notification of approval of a sub-grant, the recipient agency shall:
 - (a) Submit to Division of Budget and Accounting, Accounting Bureau, a written request to establish two separate accounts for each sub-grant which involves both Federal and State funds. If only Federal funds are involved, one account will be requested for each sub-grant. The account structure shall be as follows:

	Program Agencies	Non-Program Agencies
For Federal Funds	XXXXX-XXX-2XX-0XX or XXXXX-XXX-2XX-5XX	XXX-2XX-0XX or XXX-2XX-5XX
For State Funds	XXXXX-XXX-1XX-0XX or XXXXX-XXX-1XX-5XX	XXX-1XX-0XX or XXX-1XX-5XX

- (b) Upon receipt of account number(s), transmit the following to SLEPA for the Federal share of the grant: a Request for Transfer of Appropriation, Form AA-5 ("Transfer from" section left blank) and a SLEPA Form #107 (Detailed Cost Statement, Cash Report/Cash Request Form) prepared in accordance with SLEPA instructions.

- (c) If all or a portion of matching funds for the sub-grantee Agency are to be provided from the State funds appropriated in account 190-1XX-000, prepare a Request for Transfer of Appropriation to cover the amount required for either the grant period or fiscal year, whichever is less. The sub-grantee will forward the Request for Transfer of Appropriation (unsigned) to SLEPA.
8. Upon receipt of the Request(s) for Transfer of Appropriation, SLEPA shall:
 - (a) Complete the "Transfer from" section and approve the Request for Transfer of Appropriation involving Federal funds for the grant request.
 - (b) When required, review and approve a Request for Transfer of Appropriation if all or a portion of matching funds for the recipient agency are to be provided from State funds appropriated in account 190-1XX-000.
 - (c) Forward documents covered in (a) and (b) above to the Budget Bureau.
9. The Budget Bureau shall review and process all documents received, obtain necessary approvals and provide approved copies of related documents to the affected organizations—in accordance with established procedures.
10. Each sub-grantee agency, upon receipt of SLEPA Funds, should administer those funds in accordance with Circular Letter #74-4, "Administration of Projects Funded by State and Non-State Fund Sources."
11. Upon receipt of Federal funds, SLEPA will prepare a Transmittal of Income Form and forward it to the Department of the Treasury; thus reducing the account receivable on the appropriation ledger sheets.
12. Unexpended or unencumbered State matching funds at the end of the fiscal year will be transferred back to account 190-1XX-000 by the recipient agency. Any continuation of a project into the new fiscal year will necessitate the re-establishment of funds in the project account as outlined in steps 7 and 8.

XV. GUIDELINES FOR APPLICANTS REQUESTING RADIO COMMUNICATIONS EQUIPMENT.

No application will be considered without a copy of a frequency license on the channel(s) to be utilized.

Certain minimal requirements for any radio communications system have been set by the Police Program Unit. Based upon the operational experience of funded programs these items have proved

exceedingly beneficial to an orderly systemized approach.

A. Citizen Access

1. The reason that any police department exists is for the purpose of serving the public. Of paramount concern, therefore, is the capability for citizens to contact the police department in time of need. In examining an application the Police Program Staff will be looking for:

a. Statistics that verify an adequate citizen input system through those devices utilized by the police department for such purpose including:

1. Telephone
2. Voice Call Boxes
3. New Systems

b. Dispatchers and Operators must attend special classes to insure proper training and attitudes to deal effectively with the public.

Note: If funds are being requested for either a. or b. above, justification must be provided by means of sufficient explanation.

B. Data Capture

1. Response time must be measured by use of a stamped key tab card. The times required to be kept are as follows:

- a. Time telephone or desk complaint was taken.
- b. Time patrol was dispatched.
- c. Time patrol arrived at scene.
- d. Time patrol completed/back in service.
- e. Applicants should coordinate the data capture system with the Uniform Crime Reporting unit of the New Jersey State Police to insure crime reporting compatibility.

2. Information recorded on the card relevant to the incident must be data captured. This will allow for a dispatch analysis system in the following method:

a. A software program is developed to allow different configurations of print-outs from the material contained on the key-tab cards. Some of the reports available are as follows:

1. UCR
2. Officer Profile
3. Daily Log
4. Response Times

b. Computer time rental arrangements (where applicable) are made.

c. Cards are key-punched on a per/card cost basis.

C. Hardware

1. Base stations — no duplexing or back-up equipment is allowable
2. Consoles — only that portion associated with the dispatch function will be allowed. Adminis-

trative areas are excluded from funding.

a. The number of dispatching positions must be supported by verifiable statistics.

b. Costs associated with alarms are excluded from funding.

3. Mobile/Portable Radios

a. Where possible portable radios will be used in place of mobile radio units. In/out radio systems and mobile units will be considered on a case by case basis. The number of units fundable will not exceed the total amount of vehicles utilized for the PATROL FUNCTION in the department.

4. Equipment excluded:

a. Status maps.

b. Internal and external security equipment, i.e.:

1. Closed circuit television
2. Electric door
3. Jail monitoring equipment

D. Recording Equipment

1. Track (Channel) recorder must be part of the system. Number of channels will be based upon documented need.

2. Instant recall capability must be provided at the dispatch position.

3. Portable relay units are excluded.

E. Equipment Specifications

1. All equipment specifications, requests for proposals, and bid awards will be made no later than ninety (90) days after the release of initial grant funds. Failure to do so may result in termination of the grant award.

2. All contracts shall contain a performance clause fixing a specific date for work completion.

F. Coordination

1. Applicants seeking a revision of an existing communications system must coordinate changes with the Office of the Radio Frequency Coordinator prior to submitting formal application.

G. Special Notation

1. Existing radio systems must remain the property of the requesting municipality until a determination of frequencies allocated to statewide tactical channels are completed.

Requirements are subject to change based upon evaluation of existing systems. Jurisdictions should contact the Police Programs Desk before preparing an application.

H. Existing System

The requesting agency must submit documentation outlining the elements of the existing communications system along with an equipment inventory. An explanation concerning the proposed plan for the existing communications equipment must also be included in the application.

THE ANNUAL ACTION PROGRAMS

The annual action programs have changed significantly from those in last year's Plan. Several new programs have been initiated, others combined and several discontinued. In order to clarify the relationship between the 1976 programs and the 1975 Plan, appearing below is a cross reference. A list of programs handled by each of the desks is included in the Applicants Guide.

The nine LEAA functional categories were used to group the action programs in the New Jersey Plans from 1973 through 1975. Beginning with this Plan, the programs will be grouped into four sections modifying the systems approach used in recent years. Group A programs "Legislation, Support Services and Prevention" incorporate the first four functional categories (Legislation; Planning and Evaluation; Research and Information Systems; Prevention) and additionally include all manpower development, recruitment and training programs which were previously listed in the separate criminal justice activity areas. Group B programs will be the same as category 5 from the 1975 Plan, "Detection, Deterrence and Apprehension". Group C programs combine categories 6 and 7 into "Diversion and Adjudication". Group D programs consolidate categories 8 and 9 into "Institutional and Non-Institutional Rehabilitation". **The portion of each program "Relationship to Problem Analysis" has been omitted from this document but is included in the Criminal Justice Plan for New Jersey 1976.**

CROSS REFERENCE OF 1976 PROGRAMS WITH 1975 PLAN

1976 Program Number	1976 Program Title	1975 Program Number(s)	1976 Program Number	1976 Program Title	1975 Program Number(s)
A-1	Improvement of State Level Program Monitoring and Evaluation Resources	New	B-1	Increase Police Patrol Effectiveness Through More Efficient Allocations of Police Resources	5-1
A-2	Crime Analysis — Mass Transportation	New	B-2	Apprehension and Conviction Through the Use of Physical Evidence	New
A-3	In-Service Training — Patrol Officers	Part of 5-7	B-3	Establishment of Public Housing Units	5-3
A-4	Educational and Professional Development For Criminal Justice Personnel	5-7	B-4	Prevention of Crime Through Improvement of Combined Police-Community Efforts	5-4
A-5	Recruitment, Selection and Upgrading of Criminal Justice Personnel	New	B-5	Team Policing	New
A-6	Specialized Training of Court Professionals and Supporting Judicial Personnel	7-8	B-6	Crime Specific — Rape	5-5
A-7	State Advisory and Training Services For Local Corrections	8-3	B-7	Increase Police Efficiency by Improved Communication Methods	5-2
A-8	Community Youth Services Programs	4-2, 6-2	B-8	Coordinated State and County-wide Police Legal Advisory Units	5-8
A-9	Residential Facilities For Juveniles in Need of Supervision and Community Treatment Facilities For Juvenile Delinquents	4-1	B-9	Specialized Patrol and Crime Analysis Units	New
			B-10	Establishment of Regionalized Narcotic and Organized Crime Investigation/Prosecution Units	5-6

1976 Program Number	1976 Program Title	1975 Program Number(s)	1976 Program Number	1976 Program Title	1975 Program Number(s)
B-11	Statewide Expanded Specialized Investigation of Organized Crime	5-10	C-10	Office of the Public Advocate Activities	7-10
B-12	Increased Crime Laboratory Services	5-9	C-11	Support of Statewide Court Activities	7-9
B-13	Major Crime Fugitive Squad	New	D-1	Local Correctional Institution Rehabilitation System Management and Service Delivery	8-1
C-1	Improvement of Police Services to Juveniles	6-1	D-2	Improvement of Juvenile Detention and Shelter Care Practices	8-2
C-2	Community Resource Systems For Treatment of Adult Drug and Alcohol Offenders	6-3	D-3	State Corrections Support Program	8-4
C-3	Improvement and Expansion of Juvenile and Domestic Relations Court Intake Screening	7-2	D-4	State Correctional Education Programs	8-5
C-4	Municipal Court Management and Improvement Program	7-1	D-5	State Correctional Treatment of Special Offender Types	8-6
C-5	Justice for Victims, Witnesses, Jurors	7-6	D-6	Development of Community Resource Systems to Aid the Adult Offender	9-1
C-6	Pre-Trial Service Programs	7-3	D-7	Community Based Adult Residential Facilities and Programs as Alternatives to Incarceration	9-2
C-7	Improvement of Services to the Juvenile Court	7-4	D-8	Improvement of Parole Case Management	9-3
C-8	Prosecutor's Office Management Improvement	7-5			
C-9	Improvement of Technological Resources Available to the Courts	7-7			

PROGRAM ASSIGNMENT BY OPERATIONS DESK

Adult Corrections and Rehabilitation

A-7
C-2
C-6
D-1
D-3
D-4
D-5
D-6
D-7
D-8

Courts & Ancillary Services

A-1
A-4
A-5
A-6
C-4
C-5
C-8
C-9
C-10
C-11

Juvenile Justice and Delinquency Prevention

A-8
A-9
C-1
C-3
C-7
D-2

Police

A-2
A-3
B-1
B-2
B-3
B-4
B-5
B-6
B-7
B-8
B-9
B-10
B-11
B-12
B-13

A. LEGISLATION, SUPPORT SERVICES AND PREVENTION

Program A-1: Improvement of State Level Program Monitoring and Evaluation Resources

Objectives:

To establish up to three comprehensive management and planning units within State level components of the criminal justice system to improve management capability, program effectiveness and operational evaluation services.

To develop evaluation procedures for all programs administered by the grantee department.

To develop and utilize evaluation feedback from program efforts as a management tool in decision making for program direction and continuation.

General Strategy for Implementation:

Criminal justice agencies have long had a need to build their capacity to evaluate and monitor their operations and programs. Criminal justice management has often lacked the resources to collect data, engage in systematic analysis, improve program development and measure program effectiveness.

Funds will be made available to create units within the criminal justice sub-systems, to formulate long-term objectives and to design management systems to achieve these objectives. These units will engage in coordinated planning. Their functions will include gathering and analyzing data, setting priorities, and analyzing needs and problems for the purpose of developing a comprehensive plan of action for the participating agencies within the department; evaluating alternative programs, making staffing recommendations and conducting monitoring activities.

An advantage of this type of capacity building is the decreasing dependence on outside expertise. Management objectives should be reached more effectively if the planning is done by individuals

directly responsible to management and who are intimately acquainted with the specific problems within a given sub-system.

Applicants will document their needs in terms of size of their activity, general resources available, number and types of projects currently administered, research contemplated and planning, monitoring and evaluation objectives to be attained.

Subgrant Data:

State agencies will be the only eligible applicants with priority given to department-wide activities. Applications should be submitted prior to March 31, 1976, so that proposals may be considered on the basis of demonstrated need. Subgrants will range between \$50,000 and \$75,000 with smaller grants possible to supplement present efforts.

Budget:

	LEAA	State, Local or Other	Percentage of State or Local Match
Total Part C			
Block Support	\$245,550	\$27,283	10%

Evaluation Information:

The evaluation of these units will consist of an examination of the planning accomplishments in terms of the quality of data gathering methods, guidelines established for monitoring and evaluation programs and the impact on the agency's decision-making processes.

Program A-2: Crime Analysis — Mass Transportation

Objectives:

To identify the specific needs and problems affecting crime and vandalism at mass transit facilities throughout the State, and to recommend appropriate measures to reduce and eliminate these problems.

General Strategy for Implementation:

A management study will be conducted by the

Department of Transportation. The study will involve the general security needs at each mass transit facility. It will include but not be limited to the following specific areas: Locked fare boxes, radio communications, station improvements with concentration on improved lighting, personnel-increased patrol coverage at mass transit facilities and the possible utilization of closed-circuit television at the facilities.

Concentration on the recommended five areas of

study will be made in the urbanized areas where it is felt that such targeting could greatly improve public confidence in mass transportation. Once the study is completed it will be reviewed to determine what recommendations, if any could be included in the Agency's 1977 Plan.

Subgrant Data:

The New Jersey Department of Transportation will be eligible for a \$50,000 grant to conduct this study.

Program A-3: In-Service Training — Patrol Officers

Objectives:

To improve the performance of 1,000 patrol officers by providing 40 hours of annual in-service training within four selected police departments.

To test the relevance and effectiveness of various in-service curricula.

To determine improved performance through training by analyzing performance ratings.

General Strategy for Implementation:

Most police departments throughout the state have been unable to provide their line officers with minimum in-service training. It is virtually impossible for a police chief to train his patrol force without first providing replacements. Replacements could generally be secured only through an overtime program, which is very costly. Therefore, because of the lack of training funds in police budgets, the patrol officer's retraining has, for the most part, been neglected.

For several years, a number of police departments have given in-service training a high priority in their problems and needs statements. This year, the State Law Enforcement Planning Agency will attempt to address the problem on a pilot basis.

The training will consist of one week (40 hours) of full-time training for as many patrol officers, including superior officers, as possible. Hopefully, the project will be able to provide training to all patrol officers in the selected communities. The training should be designed to meet the current needs arising from changes in policy, the introduction of new techniques and the noticeable weaknesses of the particular class of students.

Some subjects to be considered in the in-service training course are: Criminal Law; Ethics; Field Reporting; Community Relations; Crime Prevention; Arrest, Search and Seizure; Investigative Procedures; Patrol Procedures; Proper Use of Force; Safety in Pursuit Driving; Court Presentations; Juvenile Offenders; Crisis Intervention; and Unusual Events Training (riots, snipers, floods, etc.).

Budget:

	LEAA	State, Local or Other	Percentage of State and Local Match
Total Part C			
Block Support	\$50,000	\$5,556	10%

Evaluation Information:

The program's worth will be measured by the recommendations that are accepted for implementation. The findings of the report will address specific implementation strategy.

The training curriculum development and presentation will be coordinated with the New Jersey Police Training Commission.

This program will be offered on a pilot basis in 1976 and will provide the participating agencies, the New Jersey Police Training Commission and the State Law Enforcement Planning Agency with the opportunity to provide the needed training on a one year basis.

Subgrant Data:

There will be four projects implemented. The maximum for each subgrant will be \$50,000. Priority considerations will be given to the Cities of Trenton, Camden and Jersey City which have recognized this area as a high priority, and who have police academies approved by the New Jersey Police Training Commission. Applications will be reviewed from other police agencies that demonstrate the ability to provide the type of training required. Smaller agencies which offer the training on a regional basis will also be given consideration.

Grant funds may be used for the following purposes:

A. Direct training costs — This includes the cost of books, supplies, films, or other items justified as needed for training. Funds may also be used for instruction where it does not supplant existing staff assigned for this purpose.

B. Indirect training costs — Grant funds may be used to help defray the per diem cost of replacing a duty officer on training. The use of funds for this purpose will be on a straight salary basis (no overtime rate) and will be completely documented with time and attendance records evidencing the trainee's attendance in training and the substitute covering the trainee's post.

It is anticipated that training grants will be for one year only.

Budget:

	LEAA	State, Local or Other	Percentage of State and Local Match
Total Part C			
Block Support	\$200,000	\$22,223	10%

Evaluation Information:

Participating agencies will be required to maintain a record of all police officers participating in the

Program A-4: Educational and Professional Development for Criminal Justice Personnel

Objectives:

To continue upgrading the performance of criminal justice personnel by providing a specialized training experience for 7,000 members of the criminal justice system.

To provide training in criminal justice titles where previous training efforts have been minimal or non-existent.

To develop at least fifteen programs focusing on areas of operation requiring current knowledge and highly developed skills.

General Strategy for Implementation:

No longer can criminal justice agencies rely almost exclusively on "on-the-job" training. As part of the application, agencies seeking training and professional development funds will be required to detail their plans for long-range, comprehensive training programs. They must demonstrate that the proposed training function is part of a coordinated, planned effort. They will be required to outline how the proposed training interfaces with other training projects which may be available. SLEPA will encourage the development of inter-disciplinary training councils, to establish priorities to begin structuring comprehensive criminal justice training.

Emphasis will be given to the development of executive and organizational skills at the management and supervisory level.

A system of training "trainers" to provide in-service training to other members of their departments will be encouraged.

There will be four basic areas of funding.

First, as in 1975, funds will be available to criminal justice agencies or institutions of higher education in cooperation with appropriate units of government to develop and implement in-service professional development projects, seminars and workshops. These training projects may include, but are not restricted to: organized crime, criminal investigation, major crime investigation, sex crimes investigation, supervision and management, case analysis, correctional counseling and crime prevention. Preference will be given to applications where the funding requested is

training program.

The participating officer's performance ratings for 1976 will be compared with their 1975 records to determine what effect the training has on their performance.

Grant effectiveness will also be assessed by the number of agencies that institutionalize continuing in-service training following the grant period; and by the formulation of training curricula that will have long term value with periodic minor updating.

primarily for direct training costs; travel and subsistence costs should be no more than a small fraction of any application.

A second approach will provide grants to agencies to permit attendance at special LEAA-sponsored seminars, institutes or workshops, or projects where LEAA specifically requests state planning agencies to make funds available for interest groups to attend an activity.

Funds will be provided under the third approach to the New Jersey Police Training Commission to continue improving the quality of basic training for law enforcement personnel in the State.

Under the fourth approach the Division of State Police will be provided funds for organized crime investigation training and narcotics enforcement training. The State Police effort will concentrate on skills and methods training.

The following projects or activities are excluded from funding:

1. Self-instructional type courses, correspondence courses and general self-improvement courses not directly related to a specific aspect of criminal justice activity.
2. Collegiate "courses", credit or non-credit.

Subgrant Data:

Under approach one, \$265,000 will be made available to criminal justice agencies or institutions of higher education in cooperation with appropriate units of government to develop training projects. It is anticipated that up to 20 grants will be awarded.

Under approach two, \$25,000 will be made available to criminal justice agencies to supplement their training efforts through participation in special LEAA-sponsored projects.

Under approach three, \$75,000 will be made available for the New Jersey Police Training Commission.

Under approach four, \$115,000 will be made available to the Division of State Police.

Budget:

	LEAA	State, Local or Other	Percentage of State and Local Match
Total Part C			
Block Support	\$480,000	\$53,334	10%

Evaluation Information:

The design of this program area results from input from major training entities and monitoring experience with existing projects.

All projects will be required to submit evaluation data including reactions from those being trained. Evaluation should show how responsive the training program is to the perceived needs of those being trained, how job-related the training is and what impact the training activity has on those being trained and the impact on the criminal justice subsystem being served. Projects will be required to keep data on

Program A-5: Recruitment, Selection and Upgrading of Criminal Justice Personnel

Objectives:

To recruit minorities and females into criminal justice titles, increasing the number of such candidates from 18% of the total applicants to 25%.

To upgrade and conduct job analysis in at least five related criminal justice titles to be selected by Civil Service and the State Law Enforcement Planning Agency.

To prepare two police promotional tests which are more relevant to job-related performance standards.

General Strategy for Implementation:

It is recognized that the improvement of the recruitment and selection is a basic, on-going function of the New Jersey Department of Civil Service; however, some of these activities are so critical to a fair and efficient criminal justice process that a special effort must be made to broaden and accelerate certain priority activities.

The New Jersey Department of Civil Service will undertake a vigorous recruitment program and will endeavor to increase the number of minorities being tested and ultimately appointed to criminal justice titles.

A full-time personnel technician will attend career days at high schools, placement bureaus at colleges and junior colleges, make speaking engagements to minority groups and prepare newspaper advertisements and brochures. Improvements in the police promotional examination process will be undertaken.

With funding assistance from the State Law Enforcement Planning Agency, much has been done to improve the calibre of police officers entering the field. Now, the concern should be with improving the upgrading and promotion process. Civil Service staff members will conduct a job analysis, collect data, improve measurement criteria, and prepare a more job-related promotion procedure. The New Jersey Department of Civil Service has identified the police promotional examination as one of its most sensitive areas of testing.

the number of individuals trained, the length of training, the content of the training, the types of training materials used and the method of training utilized. Projects will undertake to supply this data in reference to previous training programs. For those groups who have previously received minimal or no training, an indication should be given of how training needs were analyzed and how the training program was developed in response to those needs. Evaluation data should indicate in what way training courses are kept current and related to present job requirements. Evaluation data should also include what changes in training content are indicated.

Major emphasis in prior plans has been on the Municipal Police Officer and State Correction Officer titles. Now, attention must be given to analyzing the entire area of testing for other positions, such as County Correction Officer, Sheriff's Officer, Court Attendant, Juvenile Shelter Worker and titles within probation.

The Department of Civil Service, itself, has staff capable of rendering technical assistance to those individuals hired to perform these additional duties.

Subgrant Data:

The New Jersey Department of Civil Service will be the sole applicant for this grant.

Budget:	State,	Percentage
	or Local	of State or
	Match	Local Match
Total Part C	LEAA	
Block Support	\$110,000	\$12,223 10%

Evaluation Information:

The Department of Civil Service will utilize previously developed data as a basis for evaluation.

A final evaluation of these programs will be furnished by the Department of Civil Service as a condition of the grant. This evaluation will contain information about the numbers of minorities and females recruited and selected, specific recruitment efforts, actual actions initiated to upgrade fitness standards, steps taken to improve the testing mechanisms, measurement devices used to improve the testing procedures and the specific activities undertaken in the analysis of criminal justice titles. An increase of 25% in the number of blacks, women and Spanish Americans tested for Civil Service titles is anticipated. Promotional examinations for police sergeants and lieutenants will be developed and implemented during this period, and efforts to analyze and improve the testing and selection process will focus on five criminal justice related titles.

Program A-6: Specialized Training of Court Professionals and Supporting Judicial Personnel

Objectives:

To continue the Office of Judicial Education within the Administrative Office of the Courts to maintain and expand the comprehensive training program for court personnel.

To provide for at least seventeen specialized training activities, conferences, seminars and courses for the judiciary and supporting personnel.

To establish, with the cooperation of New Jersey's three schools of law, a New Jersey College for Continuing Judicial Education.

To continue to provide for training within the Office of Probation Training; this training will provide for 600 training experiences for probation personnel.

General Strategy for Implementation:

The in-state training program conducted by the Administrative Office of the Courts will include orientation programs for Superior Court, County Court and Municipal Court judges and Supreme Court and Appellate Division law clerks. Seminars will be held for upper court judges, trial court law clerks, assignment judges, trial court judges, court reporters and interpreters. Other types of activities to be presented may include a State institution visitation program, regional mini-seminars and a judicial conference.

Out-of-State programs will include, but will not be limited to, attendance at the National College of the State Judiciary, National College of Juvenile Justice, National Conference of State Trial Judges and the American Academy of Judicial Education.

Additionally, the Judiciary Training Coordinator, will be responsible for publication of the *Court Interpreters Manual* and for the development of a comparison between New Jersey cases, statutory law and court rules with the American Bar Association and the National Advisory Commission on Standards and Goals reports. He will distribute periodic supplements of the Criminal Law Digest. The Training Coordinator will also develop a central index for all Appellate Division unpublished opinions, briefs and memoranda into a central information bank.

The Office of Judicial Education will coordinate the training of personnel in several court related activities including juvenile intake officers. He will also assist in the regionalized training of volunteers and members of juvenile conference committees.

The Office of Judicial Education will oversee all aspects of the court training program and provide the State Law Enforcement Planning Agency with a comprehensive plan for further development. Although the Office of Judicial Education itself will not require further State Law Enforcement Planning Agency funding, support for training programs will probably

continue at approximately the same level of funding through the present multi-year forecast.

The Office of Judicial Education will plan to establish a college for continuing judicial education in the State. The college will provide the judiciary with a unique resource, directly responsive to the needs perceived by the New Jersey judiciary; it will probably require three years of State Law Enforcement Planning Agency funding.

This program area also supports the Office of Probation Training (OPT). This office will coordinate the efforts of the county probation training officers through the scheduling of meetings on a monthly basis to discuss local training problems and to provide Administrative Office of the Courts assistance in the development and implementation of training programs which may be peculiar to a specific county probation department. The OPT staff will expand current training activities to include in-service training for clerical and para-professional probation personnel. The previously established courses in skills and methods, orientation and guided group interaction will be augmented with management training directly related to probation administration and the special needs of youthful probationers. Federal funds of \$50,000, including carry-over funds of \$25,000, will continue this probation project until the end of fiscal year 1976 at which time it will be assumed by the State.

Technical Assistance will be provided by the State Law Enforcement Planning Agency in the form of application assistance and monitoring.

Subgrant Data:

The Administrative Office of the Courts will be the sole applicant.

Budget:

	LEAA	State, Local or Other	Percentage of State/Local Match
Total Part C Block Support	\$285,000	\$31,667	10%

Evaluation Information:

Evaluation is based on the planning document submitted to the State Law Enforcement Planning Agency by the Office of Judicial Information prepared in conjunction with the Supreme Court Committee on Judicial Seminars.

The Office of Probation Training will be required to file a comprehensive plan prior to award. The Office of Probation Training will indicate to the

State Law Enforcement Planning Agency how it intends to coordinate the county level training programs. An evaluation instrument will be submitted with the application.

At the conclusion of all training sessions, questionnaires are to be distributed which will give ratings of reactions to information presented, relevancy of material presented and manner of presentation. Sta-

tistics on numbers of attendees, hours of training and level of training will be maintained. In each instance, justification for how the need for specific training was ascertained will be included.

Project management will canvass the judiciary and probation personnel to identify training needs. The training coordinator will be responsible for submitting an update to the long range training plan.

Program A-7: State Advisory and Training Services for Local Corrections

Objectives:

To continue to provide State inspection and technical assistance services for local correctional facilities, programs and operations by conducting at least an annual inspection of every local jail, penitentiary, workhouse, municipal lockup and juvenile detention facility and by responding to each request for additional technical assistance.

To continue both regionalized and centralized training for a minimum of 400 line and supervisory county correctional staff including a minimum of 80 hours basic training for all new staff and a minimum of 40 hours advanced training for experienced and first line supervisory staff.

General Strategy for Implementation:

The Correction Officer Training School will continue the regionalized and on-site training program. Application for funding consideration must include a schedule for implementation of the following specific program functions:

1. A training needs assessment phase including the methodology used for assessment and the sources for input data.
2. Implementation of training cycles including the location and dates for these activities.
3. Evaluation of the impact of training through pre and post testing and follow-up institutional surveys.
4. Curriculum adjustment and update phase to be scheduled a minimum of two times during the grant period. Minor adjustments are expected to be made on an ongoing basis.

The Expansion of Services project application will continue to expand its scope of inspection and the comprehensiveness of its inspection reports. Emphasis will be placed on improving follow-up activities to ensure compliance with recommendations.

Subgrant Data:

The Department of Institutions and Agencies is the sole eligible applicant. Up to \$40,000 is provided to continue the Expansion of Services to Counties

project and up to \$90,000 is provided for continuing the Division of Correction and Parole's County Correction Officer Training Program.

Budget:

	LEAA	State, Local or Other	Percentage of State and Local Match
Total Part E			
Block Support	\$130,000	\$14,445	10%

Evaluation Information:

In addition to the normal reporting required of projects, the following reports will be submitted quarterly:

1. The Correction Officer Training School (COTS) will report on the extent of local correctional staff training per institution. The COTS report will provide quarterly and cumulative information using the following format:
 - a. County
 - b. Agency/institution
 - c. Name of trainee and rank
 - d. Classes attended and dates of attendance.
 - e. Course completion status
2. The jail inspection team will include a Report of Inspection on each facility inspected during the previous quarter as a component of the State Law Enforcement Planning Agency quarterly narrative. An addendum to the report, as required by the Department of Institutions and Agencies, will include the following survey and assessment materials:
 - a. Staff training
 - b. Operation of inmate assistance programs.
 - c. Technical assistance visits. Indicate the source and type of request and summarize action taken.
 - d. Practices and procedures in violation of the constitutional rights of inmates.

Additional reports may be required by State Law Enforcement Planning Agency staff to assist in the application review process for grants to local correctional facilities.

Program A-8: Community Youth Services Programs

Objectives:

To provide agencies in the community that serve to divert youth from the criminal justice system by providing advocacy, crisis intervention and other needed services.

To develop an intervention plan with the youth for each individual referred.

To develop an information (tracking) system which enables Agency personnel to follow the treatment progress of each client, whether being serviced in-house or by an outside agency.

To coordinate and utilize existing social, medical and rehabilitative services and encourage system change/modification for improving services to youth.

It is projected that 15 youth service bureaus and up to 15 youth service bureau type programs will be operational in the 1976 Plan. They will provide services to at least 20,000 youth, including concentrated services to more than 5,000.

General Strategy for Implementation:

The need for community-based non-residential treatment programs for trouble-prone youth has been underscored by various groups and studies. The State Law Enforcement Planning Agency hopes to meet this need by increasing the availability of such programs across the state.

Subgrantees will be expected to provide direct and indirect services through the establishment of programs oriented toward the youth service bureau concept. The project must be tailored to meet the needs of the community in the development of youth services. Projects will not duplicate existing services.

The services for youth which will be provided by projects either directly and/or by purchase of services are extremely varied. The number and nature of services will differ from community to community, depending upon the extent of existing community resources. A specific treatment modality which meets stated goals and objectives and allows for tracking and follow-up of each juvenile referred must be described. Basic service capabilities should include, but not be limited to, counseling (personal, parent/family, educational, vocational), remedial education, social and recreational activities and information and referral. Information and referral services are basic to the project regardless of its nature and extent. The development of a resource directory is a prerequisite to the coordination and integration of services.

The number and types of services which can be provided by the bureau are limited only by the imagination of the local officials and personnel implementing the project and by the willingness of public and private agencies and organizations to commit themselves to a coordinated, cooperative effort. Special-

ized services/activities should be provided to meet the unique needs of the clients.

If the bureau is to be effective, it is essential that it be responsive to and a part of the community it serves. The process of ascertaining the needs of youth and the community must include input from local agencies and organizations but also from youth and the community/citizens it will serve. Therefore, it is expected that an advisory board will be established prior to the development of the application to allow for their input. The advisory board should be a part of the organizational flow chart of the project to allow for continued community involvement during the operation of the program.

In order to be compatible with the overall goals and objectives of the State Law Enforcement Planning Agency, a bureau must receive referrals from all branches of the juvenile justice system. In addition, it is expected that projects will serve referrals from appropriate non-criminal justice agencies (schools, Division of Youth and Family Services, local welfare agencies, etc.), parents, concerned citizens, and self referrals. Referral policies and procedures must be evidenced prior to the funding of a project.

The staffing pattern of a project will depend upon the nature and extent of its services. Sufficient full-time professional experienced staff should be employed to insure the capacity to respond to complex personal crises of youth, to interact with agencies and organizations of the community, and to provide leadership to assure the smooth operation of the project. As mentioned previously, the use of community people as staff and volunteers is highly desirable. In-service training, special institutes and opportunities for formal education should be available to the bureau staff and volunteers to increase their skills.

Although the establishment of youth service bureau is emphasized in this program area, funds are available for innovative projects which will provide help, guidance and counseling to youth in a community setting. Demonstration-type projects that will provide a springboard for the development of new concepts-methods of reducing juvenile delinquency will be considered for funding. However, all projects funded must demonstrate that they will become an integrated part of the community's system of providing services to youth and not an isolated agency program which would be discontinued when federal funding is no longer available.

Staff is available to assist applicants in the development of their applications. They will also continue to maintain contact with subgrantees during the operation of the project via regular visits to provide technical assistance, information and recommendations for the smooth operation of an effective program. The staff of the State Law Enforcement Plan-

ning Agency will also initiate various seminars and training sessions to allow project staff members to increase their skills and knowledge.

Subgrant Data:

Up to 21 grants will be available for continuation of previously funded projects which have demonstrated success by meeting stated goals. This will, include up to \$70,000 to the Department of Institutions and Agencies, Division of Youth and Family Services for the Youth Service Bureau in Camden. Up to three new programs will be funded, two in single municipal-

ities and one in a combination of municipalities to form a regional program.

Budget:

	LEAA	State, Local or Other	Percentage of State/Local Match
Total Part C			
Block Support	\$1,784,750	\$198,306	10%

Evaluation Information:

Refer to Provision for Evaluation section page 68.

Program A-9 Residential Facilities for Juveniles in Need of Supervision and Community Treatment Facilities for Juvenile Delinquents

Objectives:

To provide homelike placements for juveniles who cannot be situated in traditional foster home settings and who should not be placed in institutional facilities.

To expand the total number of community group care homes initiated with State Law Enforcement Planning Agency funds to 16 serving 160 to 175 juveniles. Program funds for this year will support up to four group homes serving at least 40 juveniles.

To establish treatment facilities within communities to serve as alternatives to institutional placements.

To bring the total number of State Law Enforcement Planning Agency initiated community residential treatment facilities to 12 serving from 345 to 475 juveniles. Program funds for this year will support up to three residential centers serving 120-175 clients.

To upgrade the programs and services within private institutions and residential facilities for juveniles.

To expand State Law Enforcement Planning Agency support of JINS programs to two serving up to 475 juveniles.

To maintain an eight month delinquency free experience in community residential centers for up to 175 juveniles with a history of chronic delinquency as defined by formal arrest and charge.

To return to family and school of origin up to 125 children from group homes with prospects for a prolonged, stable and socially acceptable adjustment.

To reduce commitments to State training schools in proportion to cases adjudicated in the jurisdictions served.

General Strategy for Implementation:

In 1976, this program will continue and expand the

Agency's effort to provide community-based alternative residential programs for juveniles who should remain in the community rather than being sent to institutional facilities. The planning and implementation for this program is carried out in close cooperation with the Division of Youth and Family Services as well as the county juvenile and domestic relations courts. This program area will be closely coordinated with the Task Force on the Implementation of the Juvenile Code which was established with an LEAA discretionary grant. Applications for funds to improve or upgrade JINS facilities will be coordinated with the Task Force's effort in improving county JINS shelters.

Residential facilities making application for funds must be recommended by the Division of Youth and Family Services and shall meet the guidelines established by the Bureau of Residential Services of that Division. Agency funds will be used for operating costs, but the facility will be provided by the applicant with financial assistance in some cases from the Division of Youth and Family Services. Community-based residential treatment centers for either JINS or delinquents will be funded under this program.

Grant awards to group homes will be limited to one year. Only under unusual and extreme circumstance will second year continuation grants be awarded. No third year grants will be awarded to group homes. No application will be funded without Bureau of Residential Services endorsement.

Subgrant Data:

A one year grant of \$75,000 will be made available to DYFS for staff development and system improvement.

The county JINS program funded in 1975 will receive continuation funding up to \$100,000.

Up to three previously funded group homes will receive continuation awards up to \$15,000 each, while one new group home, serving a total of 8-12 youths, will receive an initial maximum award of up to \$30,000. Group homes will be funded to jurisdictions in accord with the need for services as justified by DYFS.

Two previously funded residential centers, serving a total of 50-75 youths, will be awarded continuation grants up to \$75,000 each, while up to two new residential centers will receive a maximum of \$150,000 each to serve a total of 50-75 youths. New residential treatment centers will be funded in jurisdictions that evidence the greatest need for service, documented substantial community and public agency support and a potential for assumption of costs.

The balance of funds will be available to improve and upgrade the capacity of residential facilities in the State to accept the hard to place juvenile.

Budget:

	leaa	State, Local or Other	Percentage of State and Local Match
Total Part C Block Support	\$903,000	\$100,334	10%

Evaluation Information:

Subgrantees will be required to provide data reporting on the numbers of children served, the nature of new project directions instituted, the instances of intervention by the criminal justice system for delinquent behavior while in the project and the circumstances of severance from the project. The relative impact on court dispositions will be mentioned through the relevant court administrator. The items included will be an integral part of the quarterly narrative reporting procedures.

B. DETECTION, DETERRANCE AND APPREHENSION

Program B-1: Increase Police Patrol Effectiveness Through More Efficient Allocations of Police Resources

Objectives:

To achieve an increase in the number of on-scene arrests through the more effective deployment of existing police manpower.

To conclude more arrests with process to grand jury. (Percentage of total arrests).

To introduce Spanish speaking dispatchers in municipalities with significant Spanish speaking populations.

To increase the number of police patrol man hours through the introduction of civilian personnel to perform administrative tasks.

To reduce street crime by increasing the certainty of arrest and conviction.

General Strategy for Implementation:

The allocation of police officers based on a continuing analysis of crime occurrence results in the efficient use of resources, which provide police presence when and where needed; rapid response to calls for assistance; increased opportunity for apprehension and conviction; and public confidence in police services.

The tasks involved in improving the efficiency of police patrol allocation include, but are not limited to, examination of the present level of demand for services, prediction of future demand for services' es-

tablishment of an allocation criterion, repositioning and re-positioning of forces in response to real time need and tactical emergencies.

By carefully analyzing the time and place of expected demands and by re-allocating police patrol resources to meet these demands, a measurable reduction of street crime should be realized.

New computer projects in this program area will be operated in two phases. The first phase will include collection of data (where appropriate this will necessitate consideration of geocoding-location, time and frequency of crime occurrence and inspectional services demand), study of existing patrol patterns and development of resource allocation models for maximizing coverage in areas of need. The second phase will include the necessary rescheduling and reassignments of both manpower and equipment in accordance with the Plan developed under phase one.

The use of electronic data processing systems will be given priority in any application seeking to develop a resource allocation model for a local police department. IN ALL CASES WHERE UTILIZATION OF COMPUTER BASE SYSTEMS IS ANTICIPATED, IT IS REQUIRED THAT CONTACT BE ESTABLISHED WITH THE STATE LAW ENFORCEMENT PLANNING AGENCY PRIOR TO SUBMISSION OF AN APPLICATION. IN ALL CASES WHERE EDP PRO-

JECTS ARE UNDER CONSIDERATION, A FEASIBILITY STUDY MUST BE CONDUCTED PRIOR TO SUBMITTING THE APPLICATION TO THE STATE LAW ENFORCEMENT PLANNING AGENCY. The contents of this study must conform to the format described in an addendum of the applicants guide. A number of significant projects initiated by grant funds are available which may provide suitable software programs and/or total system approaches at a considerably reduced cost. These programs and technical assistance are available through the State Law Enforcement Planning Agency.

APPLICATION GOALS AND OBJECTIVES MUST CONTAIN A PROJECTION OF MAN-HOURS TO BE REALLOCATED TO FIELD RELATED ACTIVITIES AND ANTICIPATED CLEARANCE RATES STATED BOTH IN RAW NUMBERS AND PERCENTAGES.

As proposed by the National Advisory Commission on Criminal Justice Standards and Goals, civilian police personnel should be assigned to various departmental functions. Then too, police chief executives should establish the role of the patrol officer and concentrate police efforts on fundamental police duties. THEREFORE, PROJECTS EMPLOYING CIVILIANS TO REPLACE POLICE OFFICERS AS DISPATCHERS MUST DEPLOY SUCH OFFICERS TO STREET DUTY. DISPATCHER PROJECTS ARE PROJECTED FOR ONE YEAR OF FUNDING EXCEPT IN LARGE MUNICIPALITIES DEMONSTRATING A REQUIREMENT FOR FULL IMPLEMENTATION NEEDING MORE THAN ONE GRANT.

In 1976, it is anticipated that cities which institute projects under this program will significantly increase the resources assigned to the patrol function resulting in increased clearance rates of index offenses.

Subgrant Data:

A total sum of \$140,000 will be available for the

Program B-2: Apprehension and Conviction Through the Use of Physical Evidence

Objectives:

To increase significantly the number of convictions in cases where proof is contingent upon the integrity of physical evidence.

To train police personnel to exercise proper care to preserve crime scene evidence.

To increase the use of physical evidence in criminal court proceedings and as an investigative tool.

To investigate criminal acts requiring ascertaining facts by observing the scene of the crime and examining physical evidence in addition to questioning individuals.

General Strategy for Implementation:

The utilization of physical evidence that can be

continuation of computer projects which have received less than three years of funding. Each continued project will receive up to \$20,000. Continuation of any project will be contingent upon achieving the stated objectives. Three new EDP projects will be eligible for funding in 1976. Maximum funding for these new projects will not exceed \$50,000 each.

Three cities will be eligible for dispatcher projects. Special consideration will be given the cities of Newark and Jersey City where this program was stated as high priority. Applicants will receive funding ranging from \$35,000 to \$50,000 for dispatcher conversion.

Budget:

	LEAA	State, Local or Other	Percentage of State/Local Match
Total Part C			
Block Support	\$440,000	\$48,889	10%

Evaluation Information:

Evaluation of the on-going projects will continue. Both the program analysts and systems analyst from the State Law Enforcement Planning Agency will monitor the EDP projects on a predetermined schedule.

Each project will be required to furnish evidence on meeting program objectives. The quarterly and final reports will include number of arrests for index crimes compared to previous year's period; number of cases convicted in municipal court or bound over to grand jury for indictment compared to previous year's period; number of Spanish speaking dispatchers added where such service is indicated; numerical increase in police patrol manpower as result of redeployment of sworn officers to patrol; percentage of change in incidence of street crime.

found at the scene of a crime is often a major factor leading to the apprehension and conviction of experienced criminals. In addition, recent court cases have demonstrated the usefulness and effectiveness of physical evidence gathered by skilled investigators over the reliance upon confessions and witness testimonies.

This new program area has been included in the 1976 Plan in response to needs and priorities projected by local and county law enforcement agencies and to increase the utilization of the State Police forensic laboratory system.

Projects to be considered in 1976 will include, but not be limited to the provision of mobile crime scene research resources, trained evidence technicians, in-service training and 24-hour a day availability.

Participants will be required to receive training from a qualified source and provide an orientation to all personnel actively involved in the crime investigation function.

Any equipment or activities that duplicate the existing scientific evidence analysis services available from the State forensic laboratories will not be funded. Priority will be given to applicants proposing to use skilled civilian technicians.

Subgrant Data:

One grant not to exceed \$35,000 will be available to Jersey City. Up to two grants as a high priority ranging to \$50,000 will be available with priority to county prosecutor offices with county populations in excess of 200,000 to implement regional programs available to all law enforcement agencies in the county, on a 24-hour a day basis. Crime rates will also be used to determine eligibility. Priority consideration will be given to jurisdictions that have not received funds under the "Specialized Equipment" category for crime scene purposes.

Budget:

	LEAA	State, Local or Other	Percentage of State and Local Match
Total Part C			
Block Support	\$135,000	\$15,000	10%

Evaluation:

The subgrantees will be expected to provide the State Law Enforcement Planning Agency with an evaluation that will include, but not be limited to the following: number of scenes searched; number of times evidence was found; collected, sent for analysis and used in court proceeding and conviction; and number of individuals trained. Applications must detail present capabilities and anticipated increases.

Projects implemented during 1976 will be of a pilot nature. It is anticipated that there will be local assumption of cost after the grant period. No project will be continued with Federal funds under this program area.

Program B-3: Establishment of Public Housing Security Units

Objectives:

To reduce the occurrence of crime and vandalism within affected public housing areas by 10% as compared with the previous year.

To increase the opportunity for residents of public housing to live in safe and secure conditions as measured through victimization studies.

To institutionalize enforcement services in public housing areas as an integral component of local police service.

Implementation:

Projects to be funded or continued in this program area will be for support of housing security units which will be responsible for the policing of public housing projects. Types of patrol, patrol force strength and other pertinent data will be based on the respective unit's specific problems and their eligibility for funds will be based on subgrant data.

Each unit will be required to coordinate the unit's activities with the police department having jurisdiction in the housing projects. It is strongly recommended that the housing officers be supervised by a superior officer from the municipal police department. This will help to insure the close contact with the local police department that is needed for the successful operation of this type project. Additionally, the municipal police officer can serve as both supervisor and training officer. This concept has proven quite successful in the Trenton, Jersey City, Orange and Elizabeth projects.

Initial evaluations of the existing units indicate

that the units where the housing guards have full police powers, including the power to arrest, have had the most impact. It is suggested that this alternative be considered a desirable project component. The State Law Enforcement Planning Agency's Police Desk staff, along with personnel from the four original housing units, will be available for technical assistance in developing and implementing new units.

Subgrant Data:

There will be up to four new projects implemented. The range for each subgrant will be \$75,000 to \$90,000. Priority will be given to high density, high crime rate housing projects with crime rates that exceed the norm for the respective municipalities. No funds will be provided for regular police salaries. (However, regular police participation in this project is essential).

Priority consideration will be accorded to the municipalities of Atlantic City, Paterson, Vineland, Asbury Park and Union City. These jurisdictions have demonstrated a need for this program and have included it as a priority for 1976.

It is expected that the previously funded units in Elizabeth, Jersey City, Orange and Trenton will be continued with local funds. Those units initiated in 1975 will be eligible for second year support at a reduced level. Eligibility for grants requires a firm statement of assumption of cost intention.

Budget:

	LEAA	State, Local or Other	Percentage of State and Local Match
Total Part C			
Block Support	\$600,000	\$66,667	10%

Evaluation Information:

The Evaluation Team of the State Law Enforcement Planning Agency has developed an instrument to conduct an intensive evaluation of all projects funded under this program area. All grantees must agree to collect the required data. (See Provision for Evaluation)

Program B-4: Prevention of Crime Through Improvement of Combined Police-Community Efforts

Objectives:

To reduce residential and commercial breaking, entering and larceny in each participating jurisdiction by five percent as compared with the previous year.

To enlist up to 15,000 citizens in crime prevention programs in cooperation with police departments.

To return a demonstrated, significant quantity of stolen property that would ordinarily be returned to victims.

To assess up to 2,000 crime scenes for victim crime prevention counselling.

To reach up to 30,000 citizens in general crime prevention demonstrations.

To enact new or renewed security ordinances in five grantee municipalities.

General Strategy for Implementation:

Every unit will consist of at least one full-time police officer (salary to be provided with local funds), and one full-time civilian employee who will serve as a security specialist advising citizens on how best to secure their property and will work with various civic groups to "harden" both residential and business potential crime targets. As part of this program, emphasis will be placed on crime prevention projects in the senior citizen communities.

As stated in the "Task Force Report Policy of the President's Commission on Law Enforcement and the Administration of Justice", the only alternative to persuasion and public education in the crime prevention field is legislation that compels manufacturers and owners of personal property and real estate to maintain certain basic security standards. It is suggested that each subgrantee review their own municipal security codes and propose the enactment of new security codes. The security ordinances enacted in Oakland, California; Seattle, Washington; Trenton, and Plainfield are cited as example ordinances. An important aspect of a security ordinance is its voluntary acceptance by the community. As to its overall effectiveness in "hardening" crime targets, the security ordinance in Plainfield has obtained favorable results from the business community.

An additional activity of projects funded under this program will be the analysis of specific crime data and *modus operandi*. In reviewing specific reports for crimes such as breaking and entering, larceny, robbery and car theft, crime prevention personnel should be able to analyze crime patterns to be utilized in manpower deployment.

Unit personnel, civilian and police will be required to attend the National Crime Prevention Institute's Crime Prevention Theory-Practice Course, held throughout the year at the University of Louisville in Louisville, Kentucky.

State Law Enforcement Planning Agency staff and crime prevention personnel from Plainfield, Elizabeth, South Plainfield and Trenton met in early 1974 and formed the New Jersey Crime Prevention Association. The Association's main purpose is to share ideas, expertise, problems and resources in an effort to maximize the crime prevention efforts being implemented throughout the State. New grantees should participate in this activity.

Subgrant Data:

Up to 20 municipalities will be eligible for projects. Consideration will be given to combinations of units of government with consolidated units. No police salaries will be provided with grant funds. The range for each subgrant will be \$15,000 to \$20,000. Priority consideration will be given to the following municipalities who have demonstrated a need for this project and have included it as a priority for 1976: Parsippany-Troy Hills, Edison, Bridgeton, Passaic City, Rahway, North Plainfield, Newark, Rutherford, Montclair, Gloucester Township, New Brunswick, Union City, Orange, Vineland, Pennsauken.

Grantees are expected to assume project costs after one year of grant support.

Budget:

	LEAA	State Local or Other	Percentage of State and Local Match
Total Part C			
Block Support	\$400,000	\$44,445	10%

Evaluation Information:

Each grantee must agree to maintain the data required to complete this program's monthly evaluation form provided by the State Law Enforcement Planning Agency. The evaluation instrument will quantify the spectrum of service as well as the results as outlined in the objectives.

Program B-5: Team Policing

Objectives:

To reduce index crimes in the team policing target neighborhood.

To institute organizational change in police administration on a pilot basis that may serve as a model for future expansion.

To generate a climate of safety within a target neighborhood through police-citizen cooperation. (May be measured by improved business in shopping district, citizen attitude survey.)

To conclude more arrests with convictions at the municipal court level or referrals to grand jury on indictables in comparison to total arrests for the previous year.

General Strategy for Implementation:

There are several team policing concepts that have been tried in various cities throughout the country. The concept implemented in Newark and to be implemented in Elizabeth will be the pilot one for implementation in 1976 neighborhood police team.

However, consideration will be given to applications that contain a combination of the five concepts implemented to date. Applicants are advised to refer to the National Advisory Commission on Criminal Justice Standards and Goals—Police Volume, Chapter 6, Team Policing Seven Case Studies—Police Foundation Report, and other related available literature.

Applications must include detailed training outlines of specific objectives, referrals and other community services to be utilized and use of computer when available.

A brief description of the five concepts as contained in the police volume are listed below for review.

Syracuse Crime Control Team

Syracuse, N.Y., was the first police agency to combine the patrol and investigative function into one unit with a geographic responsibility for crime control. The crime control team was implemented in July 1968, and consisted of a team leader, deputy leader and eight policemen. The team was relieved of many routine, noncriminal duties and given responsibility for controlling serious crime, apprehending offenders and conducting investigations in a small area of the city.

The team leader, a lieutenant, was given considerable discretion in directing the activities and opera-

tions of the team. The program was decentralized and operated independently of the rest of the agency. The crime control team concept was later extended to other agency operations after the project report on the experiment indicated considerable success in reducing crime and increasing crime clearance rates.

The stated objectives of the basic car plan were to help prevent crime by improving community attitudes toward the police; to provide stability of assignment for the street policeman; and to instill in each team of officers a proprietary interest in its assigned area and a better knowledge of the police role in the community. Beginning in November, 1969, the plan was tested in two divisions; it was expanded citywide in April, 1970.

Los Angeles, Calif., Basic Car Plan

Each police division has geographic areas of varying size based on workload and crime occurrence data. A team of nine officers is assigned to each basic car plan area and given responsibility for providing police service on a 24-hour basis. Each team is headed by a senior lead officer. Supervisory responsibilities of the patrol watch commanders and field sergeants remained unchanged.

Formal meetings between the team and citizens in each area are held monthly; informal meetings occur frequently throughout the month. Investigative, traffic and other specialized personnel in each division are not assigned directly as members of the basic car teams at this time. A comprehensive experiment in total team policing began in the agency's Venice Division in June, 1972.

Detroit, Mich., Beat Commander System

The beat commander pilot program began in April, 1970, in two scout car areas in Detroit's 10th precinct. The beat commander, a sergeant, was given command of approximately 20 men, including three detectives who investigated only those cases originating in the beat command area. Two additional sergeants were later assigned to provide around-the-clock supervision.

The principal element of the system was stability of assignment of the beat commander and the team to a specified neighborhood. The goals were to improve police-community understanding, cooperation in crime control and police efficiency and job satisfaction.

New York, N.Y., Neighborhood Police Team

In January, 1971, a neighborhood police team consisting of sergeant and 18 policemen began operations in one radio motor patrol sector. As a result of this experiment, the system was later expanded throughout the agency. The structure of the N.P.T. is similar to the Detroit system, N.P.T. patrolmen, however, take greater investigative initiative; detectives are not directly involved in the program.

Crime control and community relations are two principal goals of the project. Additionally, improved supervision and motivation have resulted in increased productivity and efficiency. Substantial reductions in response time to calls is also attributed to the team program.

Dayton, Ohio, Team Policing

Dayton designed its team policing project to test the generalist approach to police work, to produce a community-based police structure, and to change the police organization from its traditional military structure to a neighborhood-oriented professional model. All specialized assignments in the test area were eliminated. Discretion was allowed in the wearing of uniforms, modes of operations and program development.

The experiment began in October, 1970, in a district covering about one-sixth of the city area. The personnel consisted of 35 to 40 officers, 12 community service officers, a lieutenant in charge and four sergeants who acted as leaders for teams of 10 to 12 men. The lieutenant was selected by the chief and approved by neighborhood groups. The officers selected by vote their team leaders from a slate of sergeants.

The Dayton team project is probably the most fundamental attempt to change police field operations. Most internal matters are settled democratically among team members. The project decentralized authority and function and concentrated upon community participation in achieving its goals.

Numerous other police agencies have tested and implemented various forms of team policing. Among them are Newark, N.J.; Cincinnati, Ohio; Holyoke, Mass.; Charlotte, N.C.; Tampa and St. Petersburg, Fla.; Albany, N.Y.; Tucson, Ariz.; and Culver City,

Program B-6: Crime Specific — Rape

Objectives:

To increase the proportion of reported rapes as compared to the previous year.

To increase the number of rape charges pressed to prosecutions in the jurisdictions served as compared with the previous year.

To increase the rate of convictions for rape as compared with the previous year.

Sacramento, Richmond, San Bruno, Palo Alto and Simi Valley, Calif. The experience and knowledge gained by these cities make them a rich source of information for agencies contemplating a team policing system.

Subgrant Data:

\$250,000 will be provided to Newark for the continuation of the team policing project implemented with IMPACT Funds. Funds provided can be used for operating costs, non-police staff, salaries, training, facilities and equipment.

There will be up to three new projects implemented. The range for each subgrant will be \$60,000 to \$75,000. Consideration will be given to municipalities with high density and high crime rates. Funds provided will be used for non-police staff salaries, operating expenses, training, facilities and equipment necessary to implement the project. All police salaries must be provided with local funds.

Priority consideration will be given to the state's six largest cities: Camden, Trenton, Paterson and Jersey City (Newark and Elizabeth already receiving assistance in this area).

Budget:

	LEAA	State, Local or Other	Percentage of State or Local Share
Total Part C			
Block Support	\$475,000	\$52,778	10%

Evaluation Information:

U.C.R. data will be collected and maintained for the team policing area. This data along with other pertinent information: number of calls for service, on-the-scene apprehensions, response time and other similar data will be compared with similar areas in the municipality not covered by teams to determine the impact of the units.

The data will also be compared with previous years' statistics from the selected areas.

Attitude surveys of area residents will be conducted and the level of commercial activity in target neighborhood shipping areas monitored.

To maintain the dignity of the victim through humane treatment.

To reduce the evidence of rape in the long term (3 years) by increasing the certainty of arrest and convictions.

Implementation:

This new program area is designed to concentrate

law enforcement and prosecution efforts on crime areas of eminent need. Violent crimes such as rape are increasing substantially in New Jersey, and this situation is a national trend with no abatement in sight. In the State of New Jersey, the risk of becoming a rape victim has increased 52% since 1968. Since 1972 alone, reports of forcible rape in New Jersey have increased by 18%. (Forcible rape as indexed by the New Jersey Uniform Crime Reporting System includes rape by force and attempt to rape, but does not include carnal abuse, statutory rape and other sex offenses.)

In 1972, New Jersey police agencies reported 1,245 forcible rapes (912 rapes by force and 333 attempts), indicating that 28 out of every 100,000 females in New Jersey were victims of this violent crime. However, the reported crimes understate the actual occurrence as recognized by the Uniform Crime Reporting System of the Federal Bureau of Investigation (F.B.I.) and the New Jersey State Police. Both reports state that because of the extremely sensitive nature of rape, it is probably the most under-reported crime in the crime index system.

A conservative estimate on the number of actual cases of forcible rape is five actual for every one reported but, depending on the area of the country, the estimate is as high as 20 actual for every one reported. Thus, it must be emphasized that the FBI and New Jersey statistics are extremely conservative in that they index only those forcible rape cases which were reported to a police agency and established by police investigation. The actual rape victimization rate in New Jersey during the year 1972 was anywhere from 140 to 560 per 100,000 females.

Sensitive treatment of rape victims must begin with the recognition that rape is a crime of violence. Thus, the proper focus of this crime is the force with which it is perpetrated, and not merely the act. More sensitive treatment of rape victims will encourage victim cooperation in the investigation and prosecution of forcible rape.

In New Jersey, forcible rape during 1972 recorded the highest rate (60%) of acquittals or dismissals of any index crime. Of the 398 rape cases which went to trial, only 117 defendants were found guilty of the offense charged, 42 were found guilty of lesser offenses and 289 defendants were acquitted or their cases were dismissed. The failure to prosecute rape cases effectively is attributed in part to the failure of the victim to cooperate or appear at the time of trial and to the lack of sufficient evidence to support the charge.

Both of these factors are to a certain extent within the control of the police investigators. By establishing a relationship of trust and confidence with the victim of rape, the investigating officer encourages the victim's full cooperation. With consideration toward the victim's trauma, the investigator can gain more

detailed information about the perpetrator and circumstances of the rape.

The police of New Jersey received reports of 1,384 rapes during 1973, numerically the volume increased by 139 over 1972. This volume increase reflects an 11 percent increase, 1972 to 1973. In the past five years rape has increased by 52 percent. Rape accounted for almost one percent of the total Crime Index and five percent of all violent crimes in 1973.

A crime rate equates the number of crimes per unit of population, and in its proper perspective, is a victim risk rate. In 1973, nineteen out of every 100,000 persons in this state were reported forcible rape victims. The availability of the 1970 census population data allows for the calculation of a forcible rape rate based on the female population alone. For every 100,000 females in New Jersey, 37 were reported victims of this violent crime. The risk of becoming a victim of this crime has increased 50 percent since 1969.

This program area is intended to encourage the reporting of sex crimes by establishing a specialized crime specific unit, well trained and staffed to meet the medical and psychological needs of the victim and to increase the number of arrests and convictions of rape assailants.

Counties selected to receive funds under the program area will dedicate a minimum of two full time female personnel who must be available to interview victims on a 24-hour basis. Volunteer services should be utilized. Local medical facilities should be coordinated with the prosecutor's office so that emergency treatment and evidence collection will be facilitated.

Efforts of the sex crime analysis unit will be concentrated on but not limited to these functions:

1. Provide specialists to municipal police agencies to assist in the investigation of rape and other sex crimes;
2. Provide immediate and continuous medical and psychological services for the victim;
3. Provide legal counseling to the victim in preparation for court appearance so as to increase conviction rates;
4. Collect and maintain accurate records on known and reported sex crimes to include assailants' methods of operation;
5. Establish an emergency telephone number to be staffed 24 hours a day to enable and encourage rapid reporting of sex offenses;
6. Publicize the existence of the sex crime unit and the services it offers;
7. Educate the public in ways of reducing vulnerability to sexual assaults;
8. Provide training to all local police in the handling of the initial investigation.

Subgrant Data:

Five counties will be selected for projects in 1976. Priority consideration will be given to Passaic, Hudson, Camden and Union counties. Grants will not exceed the sum of \$50,000 each. The three projects established with 1975 funds will be eligible for final continuations of up to \$20,000 each. Applications should include provisions for specialized training for investigative personnel and volunteers. Subgrantees will be advised of training sources.

Budget:	LEAA	State, Local or Other	Percentage of State or Local Match
Total Part C			
Block Support	\$310,000	\$34,445	10%

Program B-7: Increase Police Efficiency By Improved Communication Methods

Objectives:

To reduce the time it takes for response to calls for service in those jurisdictions improving communications capability.

To increase the number of on-scene arrests as compared to the year previous to the installation of the Communication system.

To improve the use of existing frequencies by providing professional technical assistance in the development of improved communications systems in at least 25 jurisdictions.

General Strategy for Implementation:

During 1976, it is anticipated that this program will assist police departments to increase efficiency by insuring that officers on patrol are able to maintain communications at all times utilizing radios which can be removed from patrol cars.

This program provides financial support to municipal units of government or combinations of such units for projects designed to improve police radio communications, improve citizen access into the police, and reduce police response time. Projects include, but are not limited to: constant police communications via portable "take along" radios in place of mobile units and development of interjurisdictional communications systems including the establishment and expansion of central dispatch networks.

In 1974, specific minimum requirements based upon extensive research and experience were formulated for radio communications proposals submitted under this program area. In 1976, the minimum requirements have been expanded further to insure each system's requirements contains consideration of the following seven modules:

1. Citizen access
2. Data capture

Evaluation Information:

Evaluation of this program will consist of two studies occurring before and after implementation. The pre-implementation study will attempt to eliminate any bias which may develop during the units' operation. A victimization study, plus a review of existing records, will be conducted and compared to the same data gathered during and after the grant period. Monthly reports will include number of complaints received, type of treatment victims receive, number of arrests and indictments, number of convictions or dismissals and number of suspects under investigation. Refer to Provision for Evaluation Section page 68.

3. Hardware systems requirements
4. Recording capability
5. Dispatcher training
6. Frequency coordination
7. Equipment limitations

In 1976, it is envisioned that priority consideration will be given to projects which are multijurisdictional in nature. Second priority will be given to large municipalities which cannot consolidate the dispatching function due to the large amount of radio congestion involved.

In 1976, it is anticipated that the office of the APCO Radio Frequency Coordinator will receive a limited amount of funds to continue the full-time coordination services and local dispatcher training.

With the assistance of a Law Enforcement Assistance Administration Discretionary Grant, technical assistance in system planning and design will be available from the State Law Enforcement Planning Agency. During 1976, it is anticipated that 25 jurisdictions will receive in-depth technical assistance from an Agency communications engineer.

Implementation of a project to study statewide tactical frequencies is projected to be initiated in 1976. Funds will be allocated to the task force to continue researching existing systems, clerical support and the development of priorities and to provide a master plan for implementation.

IT IS ANTICIPATED THAT IN 1977, FUNDS FROM THIS PROGRAM AREA WILL BE SOLELY ALLOCATED FOR THE IMPLEMENTATION OF STATEWIDE TACTICAL FREQUENCIES AS RECOMMENDED BY THE TASK FORCE. Any project which proposes a change in operating radio equipment will be special conditioned to insure the municipality retains the older radios. This will permit future flexibility in the event that a Statewide tactical

frequency is developed.

Any equipment normally considered standard police equipment or any other equipment, the primary purpose of which is not the reduction of police response time to crime scenes, will not be funded. The State Law Enforcement Planning Agency reserves the right to make individual determinations on requirements and exclusions on a case-by-case basis.

Grants will be for a duration of one year with no continuation funding anticipated.

NO APPLICATION WILL BE CONSIDERED UNLESS A COPY OF THE FCC LICENSE AND A FREQUENCY COORDINATION STUDY PERFORMED BY THE APCO FREQUENCY COORDINATOR IS INCLUDED WITH THE SUBMITTAL.

Only Agencies who respond to initial calls for service are eligible under this program area. A copy of the application must be submitted to the APCO radio frequency coordinator prior to submission to the State Law Enforcement Planning Agency.

Any municipality or combination of municipalities planning a communications project should contact the Agency Police Desk. A waiting list has been established of possible future applicants.

All applications must include a constant mode of communications, e.g., in-car/out-of-car radios, personal portable radios.

Subgrant Data:

During 1976, priority consideration will be given to municipalities attempting consolidation of the police communications function. Combined efforts including three or more municipalities serving a population of in excess of 50,000 will receive top priority. Three grants ranging to a maximum of \$100,000 will be available for areas meeting this population requirement and demonstrating a remedy to an existing communications problem.

Second priority will be given to regional efforts involving three or more municipalities that experience a periodic population influx on a seasonal basis that combine the dispatching function. Three grants will be available to such areas provided that a remedy to an existing communications problem is demonstrated. The maximum award will be \$50,000.

The third priority will be given to regional communication projects involving three or more municipalities whose combined permanent population exceeds 20,000. Three grants will be available to such units that can demonstrate a remedy to a communications problem. The maximum amount of funds available will be \$40,000.

The fourth priority will be the major cities with populations exceeding 50,000 that can demonstrate a need for communications improvement to solve a problem where it is not practical to consolidate.

One grant of \$40,000 will be available to the Associated Public Safety Communications Officers

(APCO) Frequency Coordinator to continue the service initiated under a 1975 grant. Funds will be utilized for engineers, clerical support, transportation and dispatcher training for local police agencies.

One grant up to \$270,000 will be made available to the Division of Systems and Communications in conjunction with the APCO Frequency Coordinator's Office for a frequency allocation/management plan for the State of New Jersey. This plan will assist in the allocation of frequencies upon local request and possibly the reallocation of existing frequencies to assist in correcting communications problems. The plan will include but not be limited to: A description of the existing network, a tactical frequency plan, a system design, radio access to SCIS and an implementation plan including standardization of equipment specifications, a legislative study and proposal and implementation cost estimates.

All prospective subgrantees must provide information containing a plan for the jurisdiction to augment the grant with local funds to insure an improved communication system if the amount deemed necessary exceeds the grant award.

All prospective subgrantees must utilize the technical resources of the APCO radio frequency coordinator and the State Law Enforcement Planning Agency staff in the assessment of the existing radio system.

Budget:

	LEAA	State, Local or Other	Percentage of State and Local Match
Total Part C			
Block Support	\$1,205,000	\$133,889	10%

Evaluation Information:

The evaluation component of applications submitted under this program area are to include information concerning pre-grant response time for all calls for service. An evaluation form is available from the State Law Enforcement Planning Agency which must be completed monthly during the grant award period.

In order to obtain the information necessary for evaluation, a computer dispatch analysis system must be initiated to capture the following data:

1. Response time must be measured by use of a stamped key tab card. The times required to be kept are as follows:
 - a. Time telephone or desk complaint was taken.
 - b. Time patrol was dispatched.
 - c. Time patrol arrived at scene.
 - d. Time patrol completed/back in service.
2. Information recorded on the card relevant to the incident must be data captured. This will allow for a dispatch analysis system in the

following method:

A software program is developed to allow different configurations of print-outs from the material contained on the key-tab cards. Some of the reports available are as follows:

1. UCR
2. Officer Profile
3. Daily Log
4. Response Times

Program B-8: Coordinated State and Countywide Police Legal Advisory Units

Objectives:

To provide technical assistance on legal matters to the State Police and up to fifty municipalities.

To reduce the number of cases that are dismissed for legal insufficiency or procedural error in jurisdictions served.

To provide training in legal aspects of police work for up to five hundred police officers.

Implementation:

As in the past, each legal unit will perform the following services on a countywide or statewide basis: 1) the screening of search warrants for legal sufficiency and the standardization of procedures for obtaining them; 2) the review for legal sufficiency and the standardization of arrest procedures; 3) the provision of appropriate on-the-scene legal advice and development of legally sufficient procedures with regard to riot or crowd control emergencies; 4) the dissemination of legal interpretations and practical implications of statutory and case law changes; 5) the provision of around-the-clock availability of legal personnel for the purpose of giving informal and immediate legal guidance when required; and 6) the provision of criminal law instructional services for the various local in-service training programs and Police Training Commission-approved schools.

All subgrantees have viewed the introduction of a legal advisor as a most valuable asset. In addition to the special training provided by the legal advisor, he answers daily inquiries concerning points of law. Both staff and line police personnel contact the advisor to obtain information on advice on legal matters. All five county advisors disseminate pertinent information on legal decisions affecting law enforcement and prosecution in this State.

In 1976, a total of \$90,000 in Federal money will be allocated for two new county projects under this program area and one additional State Police legal advisor. Records of these activities will be retained and made a part of the required reports. Technical assistance will be available from the existing Legal Advisor's offices to those new units formed.

Statistics concerning on-scene apprehensions are also to be maintained. Comparison of pre-grant on-scene apprehension and post grant on-scene apprehensions should help indicate if communications systems improve patrol efficiency. Refer to Provision for Evaluation for additional requirements page 68.

Subgrant Data:

Two grants will be made available to counties at a cost of approximately \$25,000 per county. The position of police legal advisor will be filled by an assistant prosecutor who will devote full time to the duties stated above. This legal advisor must be available on a 24-hour basis.

One additional grant will be awarded to the Division of Criminal Justice, New Jersey Department of Law and Public Safety, to increase the State Police Legal Advisory Unit to a total of three attorneys at a cost of approximately \$40,000.

It is anticipated that the three counties receiving 1973 Plan funds for Legal Advisor projects will assume project costs in 1975. There will be no continuation of these projects.

Budget:

	LEAA	State, Local or Other	Percentage of State and Local Match
Total Part C Block Support	\$90,000	\$10,000	10%

Evaluation Information:

The performance of the first three county legal advisor units were evaluated by the State Law Enforcement Planning Agency with questionnaires sent to each police department in the three counties. In addition, interviews were held with each county legal advisor to ascertain whether or not any modification to the existing program should be made. It was generally agreed that the program activities were practical and any changes would be in addition to the required activities and dictated by local conditions.

The 1976 projects will be required to furnish monthly activity reports in addition to the Quarterly Narrative Reports. The projects will be monitored by both the police staff and the Evaluation team of SLEPA. Police chiefs will also be interviewed to ascertain their impression of the service provided to the local police. See Provision for Evaluation Section page 68.

Program B-9: Specialized Patrol and Crime Analysis Units

Objectives:

To provide special units within police agencies to proactively respond to computerized projections of crime occurrence, supplemental to the redeployment of existing resources described in Program B-1.

To increase the proportion of arrests for assaultive street crimes (robbery, armed robbery), convictions in municipal court and referrals of indictables to grand jury.

To reduce assaultive crime in the target jurisdictions over a three year period by increasing the certainty of arrest and convictions.

To increase the proportion of arrests and convictions for crimes associated with mobility, e.g., transportation of contraband, possession of stolen cars and apprehension of fugitives.

General Strategy for Implementation:

Through funding assistance from the Office of Highway Safety, National Highway Traffic Safety Administration, the Division of State Police has created six tactical patrol platoons comprised of 19 men each. Their patrol activities reflect a great impact on crime through on-view type arrests for transportation of contraband and stolen property, possession of stolen cars, fugitive apprehensions and other crimes.

There is a need to supplement this program with detectives and clerical personnel to follow up on the criminal intelligence provided through patrol contacts. In addition, crime analysts are needed to project high crime patrol areas for a more effective allocation system and a greater effort toward crime control in areas of State Police responsibility.

In many urban areas in New Jersey, a need exists for a specialized unit to analyze crime trends, methods of operation, formation of crime patterns and to aid in the coordination of special crime suppression tactical units. Information including but not limited to the following should be collected and analyzed for dissemination:

- Crime by type.
- Victim target descriptors.
- Specific Method of operation factors.
- Geographic factors.
- Time factors.
- Suspect factors (including vehicles, etc.).
- Physical evidence factors.
- Property loss factors.

The goals of crime analysis units should include the assistance in disseminating factors relating to the method of operation of suspected criminals, the assistance in solving crimes by utilization of factors of suspects in custody and the assistance in proper assignment and deployment of patrol units, and, if

applicable, specialized tactical units.

One demonstration project involving an enforcement unit, allocated by a crime analysis unit within the police department, will be available. The success of this type of unit has been demonstrated in some of the major cities. One such unit recorded 3,351 arrests with a conviction rate of 76% for robberies and 95% for grand larceny, an average man-days per arrest factor of 8.2, while the departmental average for all uniformed officers was 167. An evaluation indicates that virtually no increased danger to police or citizens resulted from the project.

This project should be aimed at the reduction of predetermined types of street crimes, such as robbery and assault. Methods such as utilizing officers disguised as potential crime victims in predetermined high incidence areas as determined by crime trends with a back-up team of officers available or other specialized patrol units utilizing crime trend information will be evaluated.

Projects funded will be pilot demonstration grants for a one year duration only.

Municipalities must utilize existing computers if applicable.

Subgrant Data:

One grant will be available to the Division of State Police to initiate a tactical force combining detectives, crime analyst and clerical support with the existing tactical patrol. The maximum amount of funds available is \$200,000.

One grant will be available for municipalities demonstrating the need of a crime analysis unit to restructure patrols. The maximum amount of funds available will be \$25,000 per municipality.

One grant will be available for a municipality demonstrating the need of a specialized street crime tactical unit. The maximum amount of funds available will be \$100,000.

Budget:

	LEAA	State, Local or Other	Percentage of State and Local Match
Total Part C			
Block Support	\$325,000	\$36,112	10%

Evaluation Information:

The evaluation component of the State Police Tactical Patrol Unit will be designed to include the comparison of on-view arrests from year prior to the initiation of the unit to one year after its inception. Evaluation data must also address operations, establishment of standards for allocation, pre-

positioning of forces and repositioning of forces when necessary.

The Crime Analysis Unit must include measurements addressing but not limited to the following data:

1. The number of crime patterns identified including the number of apprehensions made and number of cases closed by arrests utilizing M.O. file.
2. The number of apprehensions accomplished that directly relate to the Crime Analysis Unit disseminated information.
3. The number and type of changes in patrol deployment patterns compared to changes before the existence of the Unit.
4. The number of stake-outs which resulted from

Program B-10: Establishment of Regionalized Narcotic and Organized Crime Investigation/Prosecution Units

Objectives:

To increase the number of indictments secured for the sale of hard core narcotics and/or crimes associated with organized crime as compared with the previous year.

To increase the volume of hard narcotics confiscated as compared to the previous year.

General Strategy for Implementation:

During the previous years, emphasis was placed on a statewide operation maintained by the Division of State Police and units functioning in various large municipal police departments. Experience indicated the value of advancing the major thrust at the State level. However, while efforts in the large municipalities were quite effective, there was a gap in meeting the problems which spread into contiguous communities. Several weaknesses in strictly local enforcement became apparent:

- The failure to retain anonymity of unit members for required undercover operations.
- The loss of cost benefit accruable to maximize utilization of needed sophisticated equipment.
- The inability to have legal assistance when needed.

As a result of these findings, the emphasis of funding was shifted to the regional concept of enforcement.

In 1976, only projects which are countywide in scope are eligible for funding. The coordinated effort embodied in this program must utilize the prosecutor's legal and investigative staff and the investigative staff of municipal police departments. Projects should be directed by the county prosecutor in conjunction with local police officials and should be compatible with operations of the Division of Criminal Justice and the State Police. It is anticipated

information generated by the Crime Analysis Unit.

The Street Crime Tactical Unit will be evaluated by utilizing the data listed above for the Crime Analysis Unit in addition to the following:

1. Number of arrests by type accomplished by the Unit.
2. Conviction rate of the Unit.
3. Average man-days per arrest for Unit as compared with average man-days per arrest for entire patrol division.
4. Number of cases filed and acceptable by the prosecutor for grant period as compared with statistics available for prior period. This information must indicate any improvement in the presentation of testimony and evidence.

that emphasis of the investigation will center upon cases involving distribution of controlled dangerous substances.

All subgrantees will be required to maintain quantifiable data including but not limited to total number of investigations, total number of arrests, conviction rate and seizures by amount and type. This data will be included in all reports and the evaluation component.

Subgrant Data:

The three units started in 1975 will be eligible for continuation grants not to exceed \$40,000. These counties are Middlesex, Morris and Somerset. These continuation grants will terminate Federal monetary support for the projects.

Two counties will be eligible for grants to initiate Organized Crime and Narcotic Investigation Units. The maximum amount of funds available for the new units will be \$60,000. Counties with populations exceeding 400,000 which have not received funds in the narcotics or organized crime categories will be the eligible applicants.

The Division of Criminal Justice, Diversion Investigation Unit will be eligible for a grant to continue investigations into the diversion of drugs from professional sources. This unit was originally funded by the United States Department of Justice, Drug Enforcement Administration and the Law Enforcement Assistance Administration. The maximum amount of this grant is \$60,000.

Budget:	LEAA	State, Local or Other	Percentage of State and Local Match
Total Part C			
Block Support	\$300,000	\$33,334	10%

Evaluation Information:

The evaluation component of applications submitted under this program area should reflect the estimated number of investigations to be initiated and what level offenders will be the target.

An evaluation form is available from the State Law Enforcement Planning Agency which must be completed monthly and filed along with the narrative report each quarter.

Information to be collected includes but is not limited to:

1. Management information concerning referrals, man-hour deployment, number of intelligence entries, equipment utilization, volume of seizures and number of search warrants obtained.
2. Offense Analysis detailing the number of investigations initiated, on-going and closed during each period.
3. Arrest Analysis containing a listing of arrests by category.
4. Disposition Analysis which help track the offender through the legal process.

Program B-11: Statewide Expanded Specialized Investigation of Organized Crime

Objectives:

To increase and expand the capabilities of State level law enforcement agencies within the State of New Jersey to detect, investigate and apprehend individuals involved in the specific organized crime related areas of arson and labor racketeering.

General Strategy for Implementation:

For the Labor Racketeering Unit, funds will be made available to maintain the present structure of four Division Detectives and one Civilian Intelligence Abstract Clerk, to be augmented by five additional investigative personnel and civilian assistance. Increased workload and responsibilities mandate this increase in personnel.

In the Arson Unit, funds will support three additional State Police Detectives.

Additional personnel, both investigative and clerical, will be assigned to the Arson and Labor Racketeering Units of the New Jersey State Police to operate statewide and to concentrate in the areas of high employment, i.e., waterfronts, Newark International Airport, etc., to gather intelligence information, maintain centralized files, to disseminate such information to other State and local law enforcement agencies and to conduct field investigations where needed.

As both units progress, requests for assistance and information from local departments will continue.

Subgrant Data:

\$160,000 will be made available to the Department of Law and Public Safety Division of State Police to continue the activities of the Labor Racketeering Unit and \$200,000 to continue and expand the Arson Unit.

Budget:

	LEAA	State, Local or Other	Percentage of State/Local Match
Total Part C			
Block Support	\$360,000	\$40,000	10%

Evaluation Information:

An evaluation of the program's usefulness and needs will be ascertained by the number of investigations made, arrests effected and requests made for intelligence and assistance. Comparison will then be made with data for the time period prior to project expansion.

Program B-12: Increased Crime Laboratory Services

Objectives:

To increase the number of forensic laboratory examinations completed through the expanded laboratory capability.

To decrease the time between a request for laboratory examinations and the issuance of a report.

General Strategy for Implementation:

The overall forensic laboratory plan was programmed as a three phase undertaking:

Phase I — Construction of Regional North Laboratory at Little Falls and expansion of the central facility at West Trenton. Both accomplished.

Phase II — Construction of Regional South Labora-

tory at Hammonton and commencement of operation, accomplished.

Phase III — Construction of Regional East Laboratory at Sea Girt.

A new laboratory will be constructed and operated at Sea Girt to increase State Police forensic laboratory services to the 180 potential contributors in Ocean, Monmouth and Middlesex Counties. The funds will provide for salaries of 15 professionals, three administrators and six support personnel, partial construction of a 600 square foot laboratory and purchase of new equipment. By location of the laboratory at Sea Girt, considerable travel time will be eliminated, and the very important turnaround time will be greatly reduced, with the result that court cases can be expedited considerably. Response time is monitored and all efforts are expended to reduce this to a minimum.

The important result will be to make the laboratory services more accessible to contributing agencies. With the Sea Girt location, no law enforcement

Program B-13: Major Crime Fugitive Squad

Objectives:

To increase significantly the proportion of fugitives arrested and returned to appropriate jurisdictional control as compared with the previous year.

General Strategy for Implementation:

Project implementation will include the establishment of a statewide centralized data center within the Division of State Police. The unit would create and maintain a state-wide manual central file and would gather and record all available intelligence information concerning fugitives. The information contained within this file would be disseminated to county and local law enforcement agencies within the State and to Federal and State agencies throughout the nation and the world. The unit would maintain constant channels of communication with law enforcement agencies throughout the nation and would function as liaison among agencies with a common purpose regarding fugitives.

The unit will also provide investigative personnel to coordinate and assist intrastate and interstate investigations concerning escapees and other fugitives from justice. The investigations will be available to initiate, assist and supplement all investigations into the whereabouts of fugitives.

This program is expected to be expanded in future years, with the goal of establishing satellite collec-

tion and dissemination centers with investigative teams in strategic locations throughout the State.

Subgrant Data:

The Division of State Police will be the only eligible applicant.

Budget:

	LEAA	State, Local or Other	Percentage of State/Local Match
Part C Funds:			
Construction	\$287,500	\$287,500	50%
Block Grant	\$124,200	\$ 13,800	10%
TOTAL	\$411,700	\$301,300	

Evaluation Information:

The number of tests will be maintained and the response time will be noted as compared to the previous year.

Fifteen State Police personnel, one clerk-transcriber and one abstract clerk will be assigned exclusively to correlate fugitive information and intelligence, disseminate the intelligence and actively assist in the tracking down and apprehension of fugitives.

Subgrant Data:

Because of the nature of the program, there will be only one eligible subgrantee, the Division of State Police within the Department of Law and Public Safety.

Budget:

	LEAA	State, Local or Other	Percentage of State/Local Match
Total Part C			
Block Support	\$250,000	\$27,778	10%

Evaluation Information:

The subgrantee will maintain data on fugitive apprehensions and dispositions and will relate its activity to the year previous to project implementation.

C. DIVERSION AND ADJUDICATION

Program C-1: Improvement of Police Services to Juveniles

Objectives:

To develop and implement programs within police departments that will promote a fair, consistent and understanding approach to the handling of juveniles.

To establish juvenile aid bureaus within local police departments.

To establish limited voluntary direct services within police department juvenile aid bureaus staffed by professionals, responsible for the identification of specific juvenile problems and the provision of direct treatment and referral services.

To remove from further juvenile justice contact those youths whose problems could more appropriately be handled by direct service staff or other community resources.

To develop fair, uniform policies and procedures within police departments regarding the handling of juvenile offenders.

To provide training for police personnel, especially juvenile officers, in the most appropriate methods and manner of dealing with juveniles.

To establish a total of 42 projects within police departments to serve a minimum of 6,000 juveniles per year.

General Strategy for Implementation:

The initial contact by a juvenile with the criminal justice system usually involves the police. The way in which this contact is handled is of critical importance in the development of the juvenile's attitude toward the police. It is, therefore, necessary for police departments to handle juveniles in a manner that addresses underlying problems which caused contact with the police.

The objective of this program area is to enable police departments to serve juveniles who have had direct police contact. These services are provided by either short-term counseling services or referrals to agencies within the community which provide a complete range of services. These services must be voluntarily requested by the juvenile and parent or guardian.

Applications are encouraged from local units of government and combinations of such units to implement improved juvenile aid bureaus and/or to implement projects that will service those juveniles not referred to court. This program area does not include funds for police salaries, police equipment and police-juvenile relations programs in the schools.

Funding consideration will be given to the following:

1. The establishment of juvenile aid units in municipalities where a substantial number of juveniles are being handled by members of the police department whose other normal duties may not assure the proper handling of juvenile offenders. This unit must include a social service component to provide crisis intervention and counseling and make referrals for those juveniles in need of services where such services are requested.
2. The expansion of present juvenile aid units to incorporate a wider variety of services for juvenile offenders, such as a referral source to other agencies that serve youth and the hiring of social caseworkers or other professional staff to help and advise in the handling and disposition of cases.
3. All police departments are encouraged to formulate police guidelines and training programs on juvenile matters for department personnel including community referral, detention and court referral policies. It is anticipated that these guidelines will cover the wide range of police dispositions and criteria for selection of appropriate dispositions. All guidelines must be approved by the Administrative Office of the Courts.
4. As a general policy, projects in this area will not be funded for more than three years.

Subgrant Data:

Up to 13 projects will be awarded second or third year continuation funding.

Up to seven new projects will be funded at up to either \$25,000 or \$50,000 for each program depending upon the need, population and existing services.

Budget:

	LEAA	State, Local or Other	Percentage of State/ Local Match
Total Part C			
Block Support	\$650,000	\$72,223	10%

Evaluation Information:

Refer to Provision for Evaluation section page 68.

Program C-2: Community Resource Systems for Treatment of Adult Drug and Alcohol Offenders

Objectives:

To provide for the systematic processing of at least 200 substance abusers referred from the criminal justice system through intake, evaluation, detoxification, referral/placement and follow-up by providing funding assistance for one Central Intake Unit.

To support four Vocational Adjustment Units to serve 265 substance abusers through evaluation of academic and vocational skill potential, development of acceptable work habits and attitudes and effecting academic, vocational or employment placement for each client.

To fund two out-patient components attached to Community Health Centers, providing readjustment services for a minimum of 200 parolees with emotional and psychological problems.

To purchase short-term, residential non-medical detoxification services for 1,800 court referred male and female alcoholic offenders by continued support for five detoxification units.

General Strategy for Implementation:

DRUG COMPONENT:

The 1976 drug program consists of two project categories: the management oriented central intake unit and the client centered vocational adjustment unit.

The primary purpose for Agency funding of Central Intake Units is to provide the courts and criminal justice agencies with an evaluation mechanism to identify and divert the drug offender from the criminal justice system. This function may best be accomplished by providing intake screening, medical diagnosis and social history during a diagnostic workup. The evaluation will also affect referrals to appropriate treatment modalities and continue with a follow-up process to assess the impact of treatment on the client. This effort is an expansion of functions and responsibilities of existing central intake units and is directed toward the development of referral, treatment and follow-up standards for evaluation of this client group. A secondary purpose of follow-up is to provide on-going client monitoring to determine the accuracy of the referral decision by the CIU and also to maintain a check on the content and quality of treatment services.

Involved in the intake function are several processes that must be considered by the applicant in the development of a project design:

1. Standardization in the processing of client referrals will be achieved through the use of centralized screening, diagnosis and referral. As the CIU will be the initial contact agency for

receipt of clients referred for treatment from the criminal justice agencies and will be responsible to these agencies for providing client status reports, a clear definition of roles must be made for both the CIU and the treatment facilities. For example, the CIU will require justification from treatment facilities should referrals be rejected from their programs and notice of client absence or failure to participate in treatment. The CIU should orient the client to available treatment modalities, and program requirements and negotiate treatment selection. Clients failing in one modality will require re-assessment at the CIU. A level of interaction with the service agencies should be maintained so that problem oriented treatment plans can be developed and feedback reporting provided on client progress so that the efficiency of the intake unit can be increased and updated.

2. In order to systematize recordkeeping, all intake information collected and referred to the treatment program will meet Federal, State and SLEPA requirements consistent with laws governing release of information covered by Federal Statute in section 408 of Public Law 92-255. The treatment record from any one program will be returned to the CIU if the client is terminated or drops out from treatment. This procedure will expedite re-admission and provide a description of the client's progress and needs prior to withdrawal from treatment.

Specific external reporting may be required by the referral agencies and procedures for providing such data should be considered in the SLEPA application.

3. Staffing for the SLEPA portion of the CIU project should consist of two intake counselors, one field representative and partial administrative and clerical costs. Other costs such as medical, facility and rental are not provided.

The vocational adjustment unit (VAU) program should be designed to complement and re-enforce therapeutic techniques utilized in residential and out-patient treatment programs. Treatment referrals to the VAU may be separated into three general groups for programmatic purposes within the unit: youthful drug/alcohol offenders with behavioral problems requiring a structured daycare program, clients demonstrating stabilized behavior that require work habit and skills development and clients undergoing the specific diagnostic evaluation to determine suitability for vocational adjustment and development of individualized treatment plans. The

modified daycare program would combine the therapeutic treatment process with vocational adjustment to develop those qualities which can generate a positive attitude toward self, i.e., achievement through improved work habits, understanding and recognition of authority levels and acceptance of positive values.

The functional components of a vocational adjustment unit are as follows:

1. Diagnostic evaluation. Referral agencies should provide the VAU with client profiles describing social and family history, educational level, work experience and an indepth treatment progress report. The VAU will measure academic and vocational skills in addition to attitudinal and preference ratings. The diagnostic evaluation should be completed within five working days after the client is received by the unit.
2. Work adjustment should emphasize personal development of work habits and skills rather than vocational training. A vertically structured shop environment will be provided in which clients may progress through succeeding levels of work complexity and responsibility. A basic shop can provide work experience at the following levels: laborer, technician, line supervisor, recordkeeper, sales person and property controller. As the client experiences each level, supportive counseling should be provided both by regular group sessions and individual contacts with staff. The normal time duration for this phase of the program will average 16 weeks.
3. Each client accepted into the program will be provided an individual treatment plan subject to formal staff review and, if necessary, adjustment at least bi-weekly. Reports of significant client contacts by professional staff are to be entered into client folders promptly. A post assessment of client progress and needs should be evaluated and compared to the initial assessment. Federal guidelines and Chapter 334, Laws of New Jersey, 1970 Narcotic and Drug Abuse Treatment Center Certification Statute (N.J.S.A. 26:2G-21 thru 30) govern the required content of folders and assistance in development of a format for such folders is available from State Division of Narcotic and Drug Abuse Control staff.
4. The basic staff of a VAU project may consist of a coordinator, psychologist, workshop supervisor/counselor, treatment counselor and secretary/bookkeeper. It is important that the project coordinator have experience in both administrative and vocational counseling skills.

MENTAL HEALTH COMPONENT:

The community readjustment program will

coordinate and deliver mental health services for emotionally or psychologically disturbed parolees or inmates on work release through the Community Guidance Center or equivalent agency. Program design should be flexible and suitable for model development. The following purposes should be satisfied:

1. Provide the parole officer with a referral source for unstable parolees who require professional treatment services.
2. Assess the problems and needs of parolees and effective methods of handling these problems through an evaluation of services provided by a professional staff consisting of a psychiatrist, psychologist and social worker.
3. Assist parolees toward utilizing community resources such as vocational training, manpower development and employment programs, welfare, drug and alcohol abuse programs.

The pilot project in Mercer County will provide policy and procedures for crisis intervention counseling as well as treatment at a normal support level. The project will be required to assess types and extent of services required to more effectively manage the client group, while a follow-up component should provide quantifiable data.

The 1976 Plan will provide a final grant to Mercer County, while one additional project will be considered for funding not to exceed two years.

ALCOHOL COMPONENT:

Applications for alcohol programs will be limited to twenty-four hour, operational non-medical detoxification units for the purpose of providing services to court referred male/female alcoholic offenders in need of treatment. Alcohol projects will be funded through a purchase of services agreement based on a pre-determined number of client slots for a maximum residency period of ten days. Short term care is intended to stabilize the alcoholic offender's condition to a point where the client can be motivated to begin an initial phase of rehabilitation. Applicants must document a local capacity for a comprehensive treatment delivery system that will include the following components: residential intermediate care, outpatient clinics designed for aftercare and a follow-up capability for evaluating treatment impact.

Agency funds will supplement State Department of Health grant awards since the Division of Alcoholism Control is a primary funding source for staffing alcohol projects. Applicants should also describe arrangements with the judiciary in assigning a liaison to recommend postponement of court proceedings (3:28) and refer the alcoholic offender to the detoxification unit as an alternative to sentencing (3:26-1). Another function of the liaison is to open communications with criminal justice agencies and provide the court with a three month follow-up report to determine each court referral's probationary status.

The non-medical approach to alcohol detoxification is therapeutic in design and provides an informal environment during the intake phase of treatment. Supportive services available to the court referred alcoholic offender should include: intake, evaluation, physical examination, psychiatric and psychological analysis, counseling and referral to community resources (i.e. welfare, mental health centers, employment agencies, etc.). Client files will refer to the above services and maintain up-dated treatment plans, progress notes and follow-up status reports.

The following information must be included in attachment one, Part A, Statement of the Problem:

1. Identify those existing resources in the geographical area to be served that have, as their prime responsibility, the provision of such services as career counseling, vocational evaluation, training and job placement.
2. Provide some estimation of the criminal justice offender population within the area to be served, categorize if applicable and describe quantifiable terms the specific needs of this population. This survey should be as recent as possible and should identify sources of information such as probation, parole, courts, jail or other. The methodology used in the survey must be explained.
3. Estimate the extent to which these needs are being addressed by the existing resource agencies. The difference, if any, between the amount of services needed and the extent that these services are being met is the basis for the statement of the problem. This statement may address the lack of specific service that would be provided by the proposed project or an expansion of existing services to a greater number of clients, or a combination of both.

Relate the objectives, activities, and evaluation components directly to the stated problem. Objectives should be specific and measurable. Finally, develop realistic procedures for client followings and adequate forms for data reporting.

Subgrant Data:

The State Department of Health, Division of Narcotic and Drug Abuse Control will receive a final grant up to the amount of \$40,000 for a central intake unit.

One new grant within a range of \$60,000 to \$80,000 as well as continuation of vocational adjustment unit projects in Camden, Mercer and Passaic Counties will receive funds up to a total amount of \$215,000.

One new grant up to \$50,000 as well as a final continuation up to \$50,000 for the Mercer County grant will be made available for a community readjustment program for parolees with emotional and psychological problems.

Five grants ranging from \$20,000 to \$75,000 and totaling to a maximum of \$260,000 will be made

available to new and existing non-medical alcohol detoxification units for court referrals under a purchase of services agreement. The Essex and Camden projects are considered for final funding under this Plan.

Budget	LEAA	State, Local or Other	Percentage of State/Local Match
Total Part C			
Block Support	\$690,000	\$76,667	10%

Evaluation Information:

Each project funded will be required to maintain data and reporting consistent with the following components of program evaluation:

- I. Client Admission
 - Tabulate the number of referrals by source of referral. Include an update of client demographic data (e.g. age, sex, ethnicity, educational level, employment status, etc.) and compare the client group with the target population described in the initial application.
- II. Client Processing
 - A. Provide statistical data that demonstrates services rendered directly by the project to each client such as intake, evaluation, detoxification, medical, counseling, crisis intervention, psychiatric consultation and psychological evaluation. This component requires maintaining client files which will include, as applicable, individual treatment plans and modifications and client progress and performance measures.
 - B. List the number and types of outside referrals and placements, (e.g. welfare, job placement, vocational training, educational resources).
- III. Client Status Reports
 - A. Reports will include participation and performance information, as required by referral source. List the number of clients completing program requirements, active in treatment, re-admitted, self withdrawn and rejected/terminated by project staff.
 - B. Indicate average length of involvement in treatment by the categories listed above.
 - C. Number of clients re-arrested during one year post treatment period for drug use, abuse or possession who were enrolled (for at least a two week period of treatment involvement) in the project and the re-arrest rates for clients completing program requirements or withdrawing without staff consent.
- IV. Evaluation Statement
 - A. Determine accuracy of referral and placement decisions through follow-up.
 - B. Discuss methods used to choose content and evaluate quality of treatment.

Program C-3: Improvement and Expansion of Juvenile and Domestic Relations Court Intake Screening

Objectives:

To aid in providing juvenile and domestic relation courts with intake units which can screen approximately 100,000 potential complaints filed yearly against juveniles charged with delinquent and JINS offenses.

To reduce the proportion of complaints formally adjudicated by the juvenile court judge through referral to community resources including juvenile conference committees, youth service bureaus, social, medical, mental health, vocational and educational agencies and through the direct provision of crisis counseling for juveniles and their families.

To reduce significantly the number of juveniles placed in detention and shelter care through strict adherence to statutory requirements regulating such temporary custody.

General Strategy for Implementation:

Funds in this program area will continue to expand the State's network of juvenile intake services units so that one will be operational in at least every vicinage in the State. The funds will be primarily utilized for units screening juvenile complaints only, although a few counties may have the capability of expanding to include domestic relations complaints. Eventually the intake units will absorb the entire preliminary review of both juvenile and domestic relations complaints, handling a large number of the latter cases out of court through consent agreements. As the State looks toward the establishment of a family court system the development of intake services becomes even more critical as they will be basic to the functioning of such a court.

Organization and supervision of juvenile conference committees will be incorporated into the duties of the intake unit and will no longer be funded as a project separate and apart from it. This is a natural consolidation of functions as referral to juvenile conference committees is one of the most frequently utilized alternatives for juveniles screened by the

intake unit. The use of pre-judicial conferences will continue as well as an exploration of various other forms of crisis intervention counseling for juveniles and their families whose needs are better served outside the court room.

Generally, funding for an intake unit will continue, on a yearly basis, for three years. Costs should be gradually assumed by the County during that period.

Standardized guidelines for the operation of juvenile intake units have been developed by the Administrative Office of the Courts.

All intake units will adapt their procedures to conform to the guidelines. Staff from the Administrative Office of the Courts will be available to provide assistance to intake staff and to evaluate the operation of the projects.

Subgrant Data:

Funds will be available to counties to continue up to ten intake units and to initiate at least one new project.

Budget:

	LEAA	State, Local or Other	Percentage of State/Local Match
Total Part C Block Support	\$600,000	\$66,667	10%

Evaluation Information:

An evaluation design is being developed by the Administrative Office of the Courts in conjunction with existing intake programs. Results of this evaluation will influence the operation of existing and developing intake units.

Each subgrantee will be required to maintain statistics on the result of intake screening and to submit comparative statistics on informal and formal handling as compared to pre-project figures. Detention and shelter care referral data will also be required in comparison to pre-project figures.

Program C-4: Municipal Court Management and Improvement Program

Objectives:

To improve municipal court services through more efficient administration in up to three jurisdictions.

To insure that up to two municipal courts have available legal counsel for both the prosecution and defense functions.

To provide an alternative to present means of

resolving family and neighborhood disputes in up to two municipal courts.

To provide improved court records management and retrieval systems in up to three courts.

To provide at least one jurisdiction with regionalized municipal court services.

General Strategy for Implementation:

The 524 municipal courts in New Jersey represent the outer periphery of the State court system. Because these courts are generally the court of first impression, they are the subject of increasing concern. The concerns are many and varied, but the crux of the problem is the enormous and diverse caseload volume to be handled with inadequate and fragmented resources.

The priority direction for improvement of these courts is the consolidation of neighboring courts to attain sufficient volume to warrant full time judges, prosecutors, public defenders and administrative staff. This direction will also, from the view of cost benefit, qualify these courts for modern records management systems.

1. A regionalized court sharing a variety of court services, will be funded. A cluster of municipal courts capable of demonstrating needs and capable of implementing such a project will be selected by the State Law Enforcement Planning Agency and the Administrative Office of the Courts as a model. This court improvement project will be patterned after the Newark-Jersey City-Camden model and will provide a court administrator, defense and prosecutor services and pretrial management services on a shared basis to a group of courts within a single geographical area. This project will probably require three years of decreasing State Law Enforcement Planning Agency support.

2. In addition to the above, up to ten individual courts will receive funds for court administrators, records systems, dispute centers, defense and prosecution services. This will be in addition to similar projects funded with 1975 funds. Most of these projects are seen as replication of individual components of the Newark-Jersey City-Camden model and this group of activities is designed to widen the impact of the funding to the areas of greatest need. Most of these projects will be limited to one year funding.

3. Continuation will be made available to the City of Camden, as previously recommended, to continue the comprehensive court improvement program being developed with 1975 funds. This will be the second of three years of decreasing State Law Enforcement Planning Agency funding.

4. Other program areas will promote activities impacting on the municipal court. Program Area A-6 will include training for municipal court personnel; Program Area C-12 will include Public Advocate defender projects for regionalized municipal

Program C-5: Justice for Victims, Witnesses, Jurors

Objectives:

To reduce waiting time for witnesses, jurors and victims served by projects in this area, by at least 15% in the first year.

courts in two counties.

The Administrative Office of the Courts, with funds from the National Highway Safety Act, is developing a field representation project to provide technical assistance to the municipal courts State-wide.

Subgrant Data:

The City of Camden will be eligible for \$125,000 to continue its existing project.

Upon demonstration of need and capability, a group of courts agreeable to pooling their resources, will be eligible for \$150,000 in initial funding.

A maximum of six grants up to \$35,000 each will be awarded to jurisdictions with high volume of criminal complaint activity to do one of the following: hire a court administrator, contract for legal service, establish pre-trial services, develop modern records system, or initiate a family/neighborhood dispute service. Grant applications will be considered on a basis of demonstrated need and will require the endorsement of the Administrative Office of the Courts.

Budget:

	LEAA	State, Local or Other	Percentage of State/ Local Match
Total Part C Block Support	\$479,000	\$53,223	10%

Evaluation Information:

Statistics will be maintained relative to clients served, delays reduced, and activities undertaken. Work schedules and work plans will be submitted. Documentation of work undertaken and progress made will be on a regular basis. Records management systems will be required to show specific improvements in retrieval time, reduction of storage space and improved personnel utilization. Indications of improved public service must be shown. Court administrator projects will be required to demonstrate scheduling improvements. Grants providing for legal services will show number of clients, manner served and impact on the court system. Records on clients served, how served and follow-up information will be maintained.

Further evaluation information will be developed when the Administrative Office of the Courts Technical Assistant Project funded by the National Highway Act becomes operational.

To reduce the number of cases which are not processed due to the failure of witnesses and victims to appear by 35% in the first year of operation.

To provide counseling and referral assistance to 300 crime victims.

To use training films to instruct 1000 jurors in the responsibilities and procedures involved in jury duty.

To assist 350 groups and individuals in gaining factual information about the judicial process.

General Strategy for Implementation:

This program area is based on the assumption that if the public develops a favorable perception of the courts then the court is more likely to receive needed public support.

Recent emphasis on crime reduction, to the exclusion of other objectives, may have led some criminal justice agencies to overlook the importance of citizen involvement within the system. The needs and rights of victims, jurors, and witnesses tend to be ignored by the very system which exists for their protection. In fact, the possibility exists that a victim may be further "victimized" by the operation of the criminal justice system through the loss of time and wages. The hidden cost of a court appearance, for example, is usually borne by those who can least afford it; those in the low income groups and particularly those who are paid on an hourly basis. Another "hidden cost" is the erosion of public acceptance of the court process.

Trust and confidence in a fair and just criminal justice system must be restored. This program area represents an effort to assure justice for those most seriously affected by the impact of crime.

Accessibility of accurate information concerning the court, and an explanation of the public's "stake" within the system, should serve to enhance the court's image. People are more likely to cooperate and participate if they understand the proceedings and can obtain information they require from court representatives who understand their situation.

Several approaches on a pilot project basis will be considered for funding.

One approach might be a Victim Assistance Center to assist youthful or elderly victims.

Another approach might be a public information program adjacent to the court and staffed with personnel representing socio and ethnic composition of victims. Or, the mechanism for witness and victim "on-call standby" projects may be developed.

The New Jersey Administrative Office of the Courts will provide assistance in the program development phase of these projects.

These projects will be limited to two year funding.

Subgrant Data:

In addition to the available carry-over funds, three projects at no more than \$35,000 each will be considered for local applicants, with 1976 funding.

Budget:

	LEAA	State, Local or Other	Percentage of State and Local Match
Total Part C			
Block Support	\$105,000	\$11,667	10%

Evaluation Information:

Applications will be reviewed with emphasis on the evaluation component, particularly since the initial efforts will be demonstration projects.

In projects involving reduction in waiting time for citizen participants in the adjudicatory process, it will be necessary to develop a data base for future evaluation. Estimates based on survey information may be used for comparative evaluation where statistics are not available. Statistics will be kept on number of persons affected, how much of a reduction in waiting time results, and what impact this reduction has on other criminal justice elements.

One indication of personal inconvenience to witnesses and victims is the failure to proceed with prosecution. The number of cases which are aborted by the victim and where witnesses fail to appear will be measured. In these instances where statistics are not available, estimates based on current experience may be used.

Victim assistance projects will record the number of clients served, the number of referrals made, the types of services performed and follow-up information on the impact of the program on the victims' lives.

Statistics will be kept on the numbers of jurors trained. Questionnaires will be submitted to the jurors trained in these programs to indicate the jurors evaluation of the training. Evaluation statements from the prosecutor, the public defender's office and the judiciary will be solicited.

Public information projects will record the numbers of inquiries handled, the numbers of persons assisted and the types of information disseminated.

Program C-6: Pre-Trial Service Programs

Objectives:

To provide a statewide capacity for pre-trial intervention at a core level by funding seven PTI projects. Three of these projects will service the vicinages of Atlantic, Burlington and Morris and four projects will

be granted to the counties of Middlesex, Monmouth, Passaic and Union.

To increase the total enrollment capacity for pre-trial diversion within the courts from the annual

capacity of 1,800 to 3,500 by December 31, 1976.

To maintain the success rate [dismissal of charge(s)] at a minimum of 70% of the defendants enrolled in the PTI programs.

To demonstrate a recidivist rate not exceeding 10% of clients during a three year period following their dismissal.

General Strategy for Implementation:

All applications under this program area must contain endorsements by the Administrative Office of the Courts and the assignment judge(s) of the jurisdiction serviced by the grant. Pre-trial Intervention (R. 3:28) applications must include the prosecutor's endorsement and the expanded bail project should include endorsement by the Probation Department and/or trial court administrator. In addition to the normal application requirements, prospective subgrantees will be guided in application development by the following conditions:

Applications for PTI projects to establish a core level PTI capacity must meet the following criteria:

1. Project staffing will consist of a PTI coordinator and a counseling supervisor. The PTI coordinator will be responsible for the operation of the PTI program both to the court vicinage in which the project is located and to the appropriate division of the Administrative Office of the Courts. The counseling supervisor is responsible for staff training, client intake screening and interviewing and referrals for community-based supportive services.
2. A minimal amount of office supplies and equipment may be considered as project costs; however, these items and facility space should be provided as local input to the program.
3. The remainder of project costs should be met by local, CETA and/or other Federal or State sources to provide sufficient clerical, court liaison, and counselor positions to permit the program to function adequately. Commitments from these funding sources are required in the applications for SLEPA funds.
4. An additional administrative staff position, responsible to the PTI coordinator, may be considered for those court vicinages consisting of more than one county to effect a vicinage-wide Rule 3:28 capacity.

Applications for unified pre-trial services programs:

The Mercer County project may be utilized as a basic model for applicants wishing to combine bail processing, ROR and 10% cash bail with conditional bail release under Rule 3:26-1 and pre-trial intervention under Rule 3:28. Such projects are considered advantageous for reasons of centralized screening and interviewing, recordkeeping and client counseling, referral and followup. Existing court and probation staff resources are to be utilized whenever possible to implement staffing of these proposed

projects. The staffing conditions detailed in the section under PTI core projects may also be applied to this section.

Subgrant Data:

Final funding support is provided for existing PTI projects in Mercer and Bergen Counties up to a total of \$160,000, while up to \$210,000 is provided for three additional projects with combined bail, pre-trial service and pre-trial intervention capability.

It is anticipated that 1974 and 1975 carryover funds totaling \$146,875 will initially support up to four core level PTI projects. Continuation funding is provided for these core level projects totaling \$160,000.

Remaining funds within the program will support the expansion and reform of non-monetary pre-trial release programs.

Any project funded under this program area will be subject to programmatic and/or fiscal modifications that may be necessary to ensure conformance to forthcoming State Supreme Court and Administrative Office of the Courts rules and guidelines.

Budget:

	LEAA	State, Local or Other	Percentage of State and Local Match
Total Part C			
Block Support	\$600,000	\$66,667	10%

Evaluation Information:

Each PTI project is required to maintain the following statistical information for both indictable and non-indictable cases:

The number of potential clients interviewed and subsequently rejected or accepted and formally enrolled under R. 3:28.

The number of enrolled participants and the percentage of cases leading to dismissal of charge(s).

The reason for termination of each unsuccessful participant.

The type and extent of supportive service rendered to each client by project staff.

The type, scope and effectiveness of outside agency service delivery through continued contact with referred cases.

Follow up data on dismissed clients for a period of one year following successful program completion (e.g. continued employment, non-reversion to substance abuse, etc.).

Rearrest and conviction data for dismissed clients for a period of three years following successful program completion.

Proposed projects which include bail and/or pre-trial service components should maintain additional information as follows:

1. The number of defendants interviewed for bail consideration.
2. The number of release recommendations made to the court and the percentage of these defendants released, tabulated by type of release.
3. The number of clients for whom release was gained who failed to appear for court.

Each PTI project will additionally be required to maintain information consistent with evaluation requirements of the Administrative Office of the Courts and to include such information in quarterly and final narrative reporting to SLEPA.

Program C-7: Improvement of Services to the Juvenile Court

Objectives:

To increase the percentage of probation experiences terminating in good adjustment discharges as compared to pre-program operation in the jurisdictions served.

To offer the courts a range of alternatives, through diagnostic investigations that culminate in recommendations to the court, in significant numbers.

To improve probation practices by expanding the range and quality of services offered to probationers and their families.

The objective of this program area is to increase the effectiveness of services to probation departments and juvenile courts. These services include the use of well trained citizen volunteers to counsel juvenile probationers, diagnostic services which provide evaluative information on adjudicated juveniles in order to determine effective dispositions and specialized individual and family services designed to specifically improve rates of clients' reinvolvement with the criminal justice system.

General Strategy for Implementation:

Applications for 1976 are encouraged from county governments that will utilize well trained citizen volunteers to counsel juvenile probationers. Applications are also encouraged from county governments interested in experimenting with innovative juvenile probation programs that provide intensive services for probationers and their families. These services should include the utilization of mental health agencies for those juveniles determined in need of mental health services.

Funding consideration will be given for the establishment of a citizen volunteer program to assist probation officers in supervising those juvenile probationers who would benefit from this approach. Screening and training programs for the volunteers

must be included as part of the application. The establishment or expansion of intensive service techniques to probation departments and to the juvenile court.

As a general policy, projects in this area will not be funded for more than three years. Projects for volunteers in probation will not be funded for more than two years.

Subgrant Data:

Up to two probation projects will be awarded continuation funding. Up to three new projects designed to improve services to the juvenile court will be funded.

Any project funded under this program area will be subject to programmatic modifications that may be necessary to be in conformity with State Supreme Court and Administrative Office of the Courts rules and guidelines.

Budget:

	LEAA	State, Local or Other	Percentage of State and Local Match
Total Part C			
Block Support	\$440,000	\$48,889	10%

Evaluation Information:

All subgrantees will be expected to follow the evaluation guidelines established by the Administrative Office of the Courts, with technical assistance available when needed.

In addition, all subgrantees will be required to report on the number of probationers that successfully conclude probation as compared to pre-project experiences. Those jurisdictions receiving funds for diagnostic units will monitor and report on the court response to those recommendations.

Program C-8: Prosecutor's Office Management Improvement

Objectives:

To provide four county prosecutors with a professional management capability to increase the efficiency of their offices, measured by an increase of 5% in individual staff prosecutor caseloads.

To establish policy guidelines and implement a system of prosecutorial case screening in four counties so that the public interest and justice is better served by early use of the prosecutor's dis-

cretionary authority; a decrease of 10% in "down-grades" will result.

To improve the work flow in the prosecutor's office by refining case evaluation earlier in the criminal justice process; a 2% increase in the successful prosecution rate will result.

To reduce the detention time of persons accused of criminal activity by enabling the prosecutor to expedite decisions regarding cases.

To provide prosecutorial interfacing with proposed pre-trial intervention programs.

General Strategy for Implementation:

1. Three counties will receive continuation funding for office manager projects. This second year funding represents final SLEPA support for these initial projects. One additional county will be selected to develop a professional office management project.

Office manager will have the responsibility for budgeting, supplies, personnel, equipment, record-keeping, facilities, security, clerical supervision, liaison with their counterparts in associated agencies, administration of special programs, compliance with Civil Service regulations and gathering of statistics. The prosecutor and assistant prosecutor can then devote all their efforts to the prosecution of cases.

2. The three counties identified for funding to implement a case screening case evaluation project will receive second year funding which should conclude with a county assumption of costs. A fourth county will be selected during 1976 to implement this project.

Case screening is justified in instances where the defendant and nature of the crime do not pose a serious threat to the community and when alternatives to prosecution are available. It is anticipated that prosecutors will assign experienced assistant prosecutors to the municipal court level for this purpose.

In addition to increased office management services and the assignment of an assistant prosecutor to screen municipal court cases, a need for more refined case screening and evaluation is apparent. Pre-trial intervention candidates, screened by pre-trial units, will be investigated, reviewed and approved or disapproved by a prosecutor's project evaluator under Court Rule 3:28. Candidates for conditional discharge under the Controlled Dangerous Substance Act will be reviewed. Some cases may qualify for administrative closing.

Another facet of the evaluator's function might be the recommending of appropriate personnel assignments based on case priority and difficulty. The case screener and evaluator could also assist in various pre-trial proceedings; insure completeness and accuracy of witness lists, check defendants' records, check bail information and develop case folders in addition to making recommendations for or against

indictment or accusation.

Technical assistance in developing uniform guideline forms and procedures is available through the Prosecutor's Supervisory Section of the Department of Law and Public Safety.

3. A Prosecutor's Management Information System (PROMIS) will be implemented in one jurisdiction as a pilot project. This system provides a mechanism for giving priority attention to serious cases. PROMIS rates each case according to the gravity of the crime and the record of the defendant. In addition, procedures may be established for giving intensive pre-trial preparations to serious cases. The prosecutor's staff will also have instantaneous access to case status information where multiple cases are pending. Through PROMIS, statistical reports can be developed, giving the prosecutor management information about delay points, crime trends and problem areas. Time lags may be reduced and training needs identified. Technical assistance for this activity is available from the Institute for Law and Social Research, Washington, D.C.

Subgrant Data:

Endorsement of a project must be obtained from the Prosecutor's Supervisory Section of the Division of Criminal Justice prior to funding consideration by the State Law Enforcement Planning Agency.

Continuation awards up to \$25,000 will be made to Union, Camden and Passaic Counties for office manager programs. Up to \$25,000 will be awarded to one additional county to implement a similar program.

Continuation awards up to \$35,000 will be made to Hudson, Passaic and Camden Counties for case screening and evaluation projects. One additional county will be selected and awarded \$35,000 to implement a similar program.

One jurisdiction will be selected to implement a PROMIS project. Up to \$135,000 will be awarded for this purpose.

The selection of participants for these programs will be made with the assistance of the Prosecutors Supervisory Section of the Division of Criminal Justice.

Budget:

	LEAA	State, Local or Other	Percentage of State and Local Match
Total Part C			
Block Support	\$375,000	\$41,667	10%

Evaluation Information:

The preparation of an evaluation report will be a special condition of these awards. These reports will contain specific information as to numbers of cases

screened, outcome of these cases and relationship to overall workflow. Data on the effect of the screening of cases referred back to the municipal court will be maintained. Data on conviction rate improvement will also be maintained. The office manager projects should include information as to specific instances of

improvements in work-flow and indications of the range of activities in which the manager has become involved. The data should include a description of work flow changes instituted. Data relating to the increase in staff prosecutor productivity will be maintained.

Program C-9: Improvement of Technological Resources Available to the Courts

Objectives:

To identify data required for development of comprehensive, uniform, reliable and timely court statistics, planning and research data and court management information on a statewide basis.

To maintain staff support of the Administrative Office of the Courts for the expansion of the Statewide Judicial Information System, thereby reducing delay and congestion in the courts.

To finalize the implementation of a Judicial Management Information System module for the Supreme Court.

To participate in the System for the Electronic Analysis and Retrieval of Criminal Histories (SEARCH) Judicial Information Systems project.

To interface the Statewide Judicial Information System with the various county projects, utilizing multi-purpose terminals permitting dial-up with computer assisted legal research programs.

To develop a Probation Administrative Management Information System.

General Strategy for Implementation:

The major impact of the State Law Enforcement Planning Agency funding in the court area has been in the reduction of court delay. As the volume of judicial business increases, the need for a comprehensive court information system providing complete, uniform, and timely data becomes more urgent. The support of these priorities has long been a primary objective of the State Law Enforcement Planning Agency.

Activities during 1976 will center on the refinement of existing State and local systems and in a very few instances, the expansion of these systems into other areas of court information.

Funds will be utilized to support the present Administrative Office of the Courts Statewide Judicial Information System staff and to provide for programming and testing the State Judicial Information System modules with Offender Based Transaction System/Computerized Criminal Histories and the Correctional Information System.

A second area of emphasis will be the vertical integration of the State Judicial Information System module with trial court level systems. Non-automated counties will receive support to secure Cathode Ray

Tube (CRT) terminals to directly input into the Statewide system. In a few instances support may be necessary to modify local systems to ensure consistency with Project SEARCH objectives. In most instances the counties have sufficient expertise to make their own modifications.

Additionally the Administrative Office of the Courts will develop a Probation Administrative Management Information System to capture useful, current information on probation activities, probationer characteristics and system evaluation indices to monitor and plan for possible improvements. Experience gained with the Correctional Information System will be utilized.

A consistent impediment to efficient court operations is delay in trial transcript preparation. Funds will be available for an experimental project to one county to develop a computer aided transcription of stenographic notes. This project has the support of the New Jersey Court Reporters Association and the National Center for State Courts.

Local innovative efforts may be supported. Typical areas of interest may be microfilming, record retrieval, word processing and legal research.

In each instance technical assistance will be supplied by the Administrative Office of the Courts central staff.

Subgrant Data:

Funds will be available to the Administrative Office of the Courts for the following purposes:

- \$50,000 will be available to develop a Probation Administration Management Information System.

- \$400,000 will be available to continue horizontal development of the Statewide Judicial Information System.

Approximately \$80,000 will be available for one county, to be selected by the State Law Enforcement Planning Agency and the Administrative Office of the Courts, to develop a computer aided transcript project.

As many as twelve county jurisdictions will be eligible for funding for projects to insure compatibility with the State Judicial Information System and to provide for terminals in non-automated counties so that they might have access to the Statewide system. \$250,000 will be available for these projects. Priori-

ties will be established cooperatively by the State Law Enforcement Planning Agency and the Administrative Office of the Courts.

Up to \$70,000 will be available to local jurisdictions for innovative projects such as: word processing, record retrieval, microfilm and video projects. Up to four grants will be awarded.

Budget:

	LEAA	State, Local or Other	Percentage of State and Local Match
Total Part C			
Block Support	\$850,000	\$94,445	10%

Evaluation Information:

Input into this area has been received by the Administrative Office of the Courts Court Planning section and the Administrative Office of the Courts Statewide Judicial Information System section. These offices will maintain a coordinating function. The program area will be consistent with the develop-

ing New Jersey State Systems Master Plan. Coordination with the Comprehensive Data System Coordinating committee will continue. Special overview will be maintained by the State Law Enforcement Planning Agency systems specialist.

The Administrative Office of the Courts will continue to insure that the courts receive the required information from the individual systems on a timely basis. Information to be submitted to the AOC will include status of calendar statistics (complaints and appeals filed, narratives and types of dispositions, etc.) Information concerning aging and status of cases will be included. Number of post conviction relief petitions and appeals from the municipal courts will be maintained. Measurements will be made of timing between all processing points from indictment to disposition.

The Division of Systems and Communications will implement special audit procedures to insure conformance with the Department of Justice rules and regulations on privacy and security of Criminal Justice Information Systems. Quarterly reviews and user documentation will be made within the various systems.

Program C-10: Office of the Public Advocate Activities

Objectives:

To provide two pilot projects assuring representation of 1000 persons accused of disorderly persons offenses in the municipal court.

To provide for a comprehensive child advocacy project within the Office of the Public Advocate to promote new court rules, legislative enactments, executive directives and procedural changes.

General Strategy for Implementation:

Very little doubt exists that there are inequities in the adjudication process. Hundreds of persons are sentenced to county jails without systematized access to defense counsel. The irony is that many of these people, if they had committed more serious offenses, might very well have received the services of probation.

The United States Supreme Court in "Argersinger v. Hamlin", 407 U.S. 25 (1972) recognized that the 6th Amendment right to counsel must be expanded to provide for the representation of these defendants who face a custodial sentence or other penalty of magnitude.

The Public Defender is experimenting with methods of assuring the proper representation of these defendants. Eventually this representation will be mandatory.

With State Law Enforcement Planning Agency funding within the Municipal Court program area, a centralized defender system was begun in 1975 to provide defense counsel in eight municipal courts

in Atlantic County. This activity began as a six-month, start-up grant to develop a model project. A similar project is planned for Bergen County with 1976 funds. Technical assistance is provided by the Office of the Public Advocate supervisory staff.

Additionally, the Public Advocate envisions the development of a child advocacy service. The defender's activities will go beyond defending a juvenile on specific charges through the usual court process. An effort will be made to represent children brought into the process, as a class. Supreme Court Justice Fortas pointed out in 1966, that juveniles receive the worst of both worlds, neither all the rights guaranteed to the adult nor the benign rehabilitation treatment postulated for the young. The Public Advocate will undertake a program to insure more adequate, systematic concern for children being processed within the criminal justice system. The provision of basic rights to children in custody and the provision of opportunities similar to those of adult offenders in custody and the right of youngsters with deep psychological problems to receive appropriate treatment might be typical examples of representation. Efforts may be made by the Public Advocate to foreclose on the possibility of juveniles being lodged in county jails or confined with adults in any form of custody.

Subgrant Data:

It is anticipated that these projects will receive a total of two years each of State Law Enforcement Planning Agency support. The Office of the Public

Advocate will be the sole applicant for continuation of the Atlantic County model municipal court defender project, the Bergen County municipal court defender project and the child advocacy project.

Budget:

	LEAA	State, Local or Other	Percentage of State and Local Match
Total Part C			
Block Support	\$300,000	\$33,334	10%

Evaluation Information:

The evaluation reports for the municipal court program will include number of clients served, how

they were served and outcome data. Present data are available on the number of "Argersinger" cases in these jurisdictions; project data will show in what specific way service to this client population is improved. Possible areas of interest could be: clients referred to community agencies, decline in county jail population and reduction in postponements which cause court backlog as well as inconvenience to witnesses and victims.

The child advocacy project will maintain records indicating the range of activities detailing specific efforts to introduce legislative, court and executive changes on behalf of children, as a class, who have contact with the criminal justice system. A systematic documentation of accomplishments will be maintained.

Program C-11: Support of Statewide Court Activities

Objectives:

To address the problem of delay and backlog within the court system by increasing by one-third the number of dispositions per judge within five years.

To address the problem of sentence disparity by means of specific legislative, procedural and rule changes, reducing extreme sentences by 25% in the first year and eliminating such sentences entirely within two years.

To provide a State level mechanism to implement diversion and intake programs on a statewide basis reducing the number of defendants processed through adjudication.

To provide statewide coordination of citizen volunteer programs resulting in this supervision modality being available to 10% of the probationers under the control of county probation departments.

To promote studies providing the judiciary with needed research.

To provide the judiciary with a means to achieve greater community understanding and support by establishing a Court Information & Service Center.

To continue the "Special Case Processing" project in Newark to process certain offenders from arrest to sentencing within 60 days.

General Strategy for Implementation:

Funds already allocated will be used to continue the Central Appellate Research Staff. Ultimately a major expansion of this function is envisioned by the Administrative Office of the Courts. This project has been successful and review to date indicates a promising cost/benefit ratio.

Funds already allocated will also be used to continue the Probation Research and Development staff. As previously described, this project provides the 21 county probation departments with a needed re-

search resource. Present funding represents final SLEPA support.

The second phase of the sentence disparity project will be funded to implement the findings of the previous development phase of this project.

Final funding will be provided for the Office of the Diversion Coordinator. During this period, implementation of a Statewide Pre-trial Intervention Program will begin.

Final funding will also be provided for the Office of the Volunteer Coordinator. It is anticipated that the developmental phase of this statewide program will be concluded during this final funding period.

The position of intake administrator will be funded to forward the objectives of a statewide juvenile intake program. This activity will provide for the promulgation of minimum standards and guidelines and for the development of a model program. Developmental technical assistance will be provided to the participating vicinages by the Administrative Office of the Courts.

The State Law Enforcement Planning Agency will support the Newark Impact project entitled "Special Case Processing" for one year to allow for arrangements to be made for assumption of costs with non-federal funds for this successful program. The thrust of this project is the speedy processing from arrest through disposition of persons charged with "stranger to stranger" crime.

In order to facilitate public understanding and co-operation with the courts, it is necessary to inform the public of the courts' functions and the roles of the participants. Information should be readily available to those persons directly involved in the adjudicatory process as well as the general public. A Court Information and Service Center will be established to perform the following types of functions: issuance of periodic reports, handbooks for court employees, educational pamphlets for the public, handbooks for

jurors, informational activities to citizen groups, the arranging of public appearances, court tours and the like. The end result of these activities should be the increase of public confidence in the efficiency of the court process.

Up to four additional grants will be awarded to local courts for innovative court programs which may include projects to improve legal research, to conduct studies relative to improved efficiency, to reduce the non-appearance of witnesses, and to acquire specific technical assistance not otherwise available.

The Administrative Office of the Courts has within itself the capacity to lend technical assistance to some of these projects. Technical assistance, in the form of grant application assistance and monitoring will be available from the State Law Enforcement Planning Agency.

The Appellate Staff project and the Probation Research and Development program will continue with previously allocated funding.

Continuation funding up to \$150,000 will be available for Phase II of the Sentence Disparity project.

\$80,000 will be available for final funding of the Volunteer Coordinator Project and the Diversion Coordinator project.

Up to \$40,000 will be available to fund the Office of the Intake Administrator.

Up to \$55,000 will be made available for the Court Information and Service Center.

Four grants up to \$25,000 each will be available for innovative local projects.

Budget:	LEAA	State, Local or Other	Percentage of State and Local March
Block Support			
Total Part C	\$425,000	\$47,223	10%

Evaluation Information:

The primary sources of information consulted in the development of this program area have been the National Advisory Council Court Report, studies by the National Center for State Courts and the Administrative Office of the Courts and State Law Enforcement Planning Agency monitoring reports.

Activity statistics will be maintained to indicate clients served, delay reduced, improvements undertaken as well as the range of activities of project personnel. Time charts, work-flow analysis and planning schedules will be submitted. Data will relate to the central objective of delay reduction. Those programs which direct persons from further penetration into the criminal justice system will maintain data concerning types of clients served, offenses, referrals made and impact on the adjudicatory process as well as follow-up statistics on the individuals processed by these alternate handling procedures.

D. INSTITUTIONAL AND NON-INSTUTIONAL REHABILITATION

Program D-1: Local Correctional Institution Rehabilitation System Management and Service Delivery

Objectives:

To fund ten projects containing jail population management program components designed to identify correctional service area needs by implementation of improved assessment and decision-making techniques such as classification and through the development of standardized communication and feedback procedures with the judiciary and local criminal justice agencies. To process a minimum of 5,000 persons through formal classification.

To continue funding for the service delivery components of five projects and thereby provide counseling and educational services for 12,000 inmates.

To provide family counseling services as a component of five jail programs and to provide assistance to a minimum of 600 families.

To increase the number of pre and post release referrals to community service agencies from 2,000 to 6,000 and to conduct a follow up survey on the progress of these referrals at three months and six months following referral.

To increase the number of initial intake orientations and interviews conducted within 48 hours of detention from 10,000 to 18,000.

General Strategy for Implementation:

As the 1976 program is an expansion of the 1975 approach, the following elements remain as considerations essential to a jail program:

1. Expansion of the inmate classification system to provide a realistic decision-making resource for effective jail management. To accomplish this goal, the following needs must be met:

- a. Data must be gathered from external sources and from such internal reports as can be developed from interviews, testing and follow-up information required to update case records.
 - b. A method of realistically assessing needs of the offender in term of risk, psychological treatment, vocational and academic education and social adjustment must be developed. Such a decision-making structure may be composed of a committee, team or unit but must be provided with procedures for balancing decisions relating to programming custody, personal security and resource allocations of the institutions.
 - c. Decisions must be consistent with individual dignity and based on objective judgments. The offender should be provided maximum involvement in determining the nature and direction of the programmatic decision provided and a mechanism to appeal such decision.
2. A rehabilitation system should be developed and adequately staffed with provision for training in its use. A basic staff orientation program should encompass judicial decision-makers, staff of community support programs, institutional staff and the offenders—both detained and committed. Opportunity for staffing should be provided for experienced correctional personnel with advanced academic credentials to fill correctional counselor positions.
 3. A bank of service delivery programs consisting of internally developed programs when necessary and referrals to community service delivery agencies whenever possible should be established. Such programs must provide greater emphasis on involvement of the female offender both within the institution and in the pre-release work/study/family care approaches. Applications must contain documentation describing agreements reached with service agencies and types of services available and procedures for client follow up.
 4. Each application must contain, as comprehensively as possible, a data survey and analysis of present offender population trends, the correctional alternatives to incarceration available and projections for the use of such alternatives based on an estimated impact of changing judicial practices.

Applicants should consider a project position which may be identified as a classification officer, in both continuation and initial applications. This person should ideally have background experience from the criminal justice system and be capable of statistical analysis. The following activities will be within the area of responsibility for this person:

- a. Developing of such forms and data gathering procedures as are necessary to implement the proper management.
- b. Analyzing trends in the jail population make-up for the purpose of predicting future jail populations and allocating jail resources.
- c. Administering the inmate classification system.
- d. Evaluating the effectiveness of those programs designed to impact on the offender.
- e. Anticipating changing institutional problems and needs.

It is anticipated that, once the manual reporting and analysis system is established and refined during the initial program phase, the larger institutions, with bed capacities in excess of 150 beds, may require some additional mechanized capability to assist in sorting and counting data. Provision for such equipment will be a consideration in the 1976 plan, dependent on an evaluation of the start-up phase of the program.

5. The family counseling unit will provide for no more than two staff members for the larger institutions and one staff person for the smaller (100 bed or less) jails. The unit will receive cases from the intake interviewers and other staff when requested by the defendant or sentenced offender. Guidelines must be developed governing the family contact program.

Subgrant Data:

Provision, in the total amount of \$105,000, will be made for up to four jail projects having received final funding under the 1975 or prior Plans to expand existing classification programs to include the new classification officer component.

Six counties will receive continuation funding in the total amount of \$315,000.

Up to five jail projects will be funded a specific family counseling componet. Up to \$105,000 will be provided for this program as a new effort.

The remaining \$50,000 will be provided to a county having received no previous funds for a jail project.

Budget:

	LEAA	State, Local or Other	Percentage of State and Local Match
Total Part C			
Block Support	\$575,000	\$63,889	10%

Evaluation Information:

In addition to the statistical data detailed below, refer to Provision for Evaluation Section page 68.

The monitoring level of evaluation will require at least the following data separately reported for detainees and sentenced offenders:

1. The number of clients received in the institution during the project period, the number receiving basic orientation to the procedures and programs of the institution, the number remaining at the institution for over 48 hours and the number formally interviewed within 48 hours of entry for the purpose of eliciting personal background data and determining immediate and long-range needs.
2. Resulting from the above formal interviews, the numbers, types and results of outside contacts made in satisfaction of immediate needs (e.g. family counseling, application for public defender, application for release on bail and R.O.R., provision of information for presentence reports, treatment recommendation as alternative to sentencing, etc.).
3. The number of clients receiving formal classification at the institution and the resultant number and types of program placements made both within and external to the institution. The number of clients satisfactorily completing programs either prior to release or during the follow-up period. Information should be provided at least three and six months after program placement.
4. The number of clients provided with formal pre-release interviews and the resultant counseling sessions, community program placements, work/study/family care release placements and follow-up feedback information as in number three above.
5. Monthly reporting by the classification officer regarding the data system (as described above) to be maintained by that position. The first project month will be devoted to development and submission of the proposed data system for the joint approval of the State Law Enforcement Planning Agency and local criminal justice authorities.

Program D-2: Improvement of Juvenile Detention and Shelter Care Practices

Objectives:

To increase the range of existing educational, recreational, volunteer and social services programs within detention and shelter care facilities that serve a potential annual population of 12,000 juveniles.

To increase to 14 the number of detention facilities where programs have been developed or expanded through assistance from this program area.

To promote the development of staff personnel to act as advocates for juveniles in selected detention and shelter care facilities.

To assist detention and shelter facilities to meet standards of operation and administration set by the Department of Institutions and Agencies.

General Strategy for Implementation:

Emphasis will be placed on funding programs which enrich educational recreational, volunteer and social services programs. Past experience with education projects in detention facilities indicates that a program which transcends a traditional academic approach and which utilizes a learning process based on experience appears to be an appropriate teaching method in the short-term holding facility.

In keeping with recent regulations promulgated by the Department of Institutions and Agencies, every juvenile detention and shelter care facility must have a social worker on staff. Funds will be available to hire such a person who would act as

advocate for a juvenile in his or her relationship with the court system, the Division of Youth and Family Services (DYFS), parents or guardians and other critical agencies and persons.

Funds will be available for both detention and shelter care facilities although programming may differ slightly in each. The funding of shelter care activities will be done in coordination with the staff of the Task Force on the Juvenile Code which has already implemented shelter projects through the administration of Law Enforcement Assistance Administration discretionary monies. Because of the great measure of freedom that a juvenile in a shelter has, the range of activities is wider. There may be more outside community involvement and, therefore, there is a likelihood of a larger volunteer services component in shelter programming.

Funds for training for both detention and shelter supervisory and professional personnel to enable them to more effectively work with the juvenile in the facilities will be available through the program area, Educational and Professional Development for Criminal Justice Personnel.

Education, recreation and social services grants are continued generally, on a yearly basis for a period of three years as long as they demonstrate their effectiveness and continue to fill a need within the facilities. It is anticipated that after the three year demonstration period counties will assume all program costs.

Assistance in developing programs will be pro-

vided by State Law Enforcement Planning Agency program analysts who have worked with similar activities, personnel from already existing projects as well as staff from the Department of Institutions and Agencies who care charged with insuring that facilities are meeting the standards set down by that agency.

Subgrant Data:

Monies will be available to continue second and third year funding for up to ten county detention and shelter care programs and to begin up to four new programs on either a county or state level.

Grant funds for the enrichment of detention programming will be available in amounts up to approximately \$30,000.

Grants to shelter facilities will primarily provide staff support and will not exceed \$20,000.

Program D-3: State Corrections Support Program

Objectives:

To continue the Correctional Services Project Coordinator project to provide technical assistance in managing all SLEPA and LEAA grants awarded to the Department of Institutions and Agencies.

To continue the Legal Information Station pilot project to complete the model program and to provide legal support to a minimum of 800 inmates during a 12 month period.

To continue the Disciplinary Hearing Officer project to complete the model program and to improve disciplinary hearings for an estimated 10,000 cases during a 12 month period.

To develop an improved inmate grievance procedure to process approximately 2,500 grievances per year for seven State correctional institutions.

To improve the management of two State correctional institutions, one in the adult and one in the youth complexes, by providing assessment evaluation and technical assistance to the Institutional administrators.

To establish a program of inmate advocacy at the local level of corrections.

General Strategy for Implementation:

All applications for funding under this program area must address the following criteria:

1. Identification of the existing staff resources committed to the area of concern.

a. The staff positions and the amount of time allocated to the area of concern.

b. Existing programs and procedures that address the area of concern.

2. The physical space required to implement the project and the availability and specific location of such space.

Budget:

	LEAA	State, Local or Other	Percentage of State and Local Match
Total Part C Block Support	\$300,000	\$33,334	10%

Evaluation Information:

Subgrantees will be required to submit data on the numbers of children served by a specific project as well as results of the particular activities. This information might include a list of agencies with which the detention center cooperates on behalf of the juveniles and the reduction in time spent by juveniles in detention facilities awaiting DYFS placement as the result of advocacy work; the number of volunteers who developed or participated in detention activities and the nature of those activities; other data which substantiates the fulfillment of project objectives.

3. A clear definition of authority and responsibility both within the project and within the departmental organization.

4. A phasing and schedule for planned activities during the grant period indicating:

a. Regularly scheduled operational and reporting activities including the type of information to be included in reports and the relationship of such information to the purpose of the project.

b. All initially funded projects will provide a phased start-up schedule specifically including consideration for the time required to hire staff and to purchase equipment.

The following additional criteria must be considered in applications for funding of specific projects as indicated:

The Correctional Services Project Coordinator project staff will consist of a coordinator, a clerk typist and two bookkeepers to be committed full-time to project activities. The coordinator will have the responsibility and authority to assist in the preparation of applications for LEAA and SLEPA funds, to establish procedures for processing and forwarding fiscal and programmatic reports and to participate in the Departmental planning process for correctional programs.

The Legal Information Station project will be provided a staff not to exceed two attorneys, one bi-lingual legal para-professional and two clericals. Adequate office space must be provided that is suitable for conducting confidential client interviews and contains a secure area for equipment and files.

Procedures are to be developed and implemented to insure that all requests for legal services are received by project staff within 48 hours of submission. Institutional information, needed to determine the legal needs of the client and not infringing

on the clients right to confidentiality and privacy, will be made available to the Legal Station.

Staffing for the Disciplinary Hearing program will be limited to the two hearing officers and a clerical person under the grant. Purchase of services for an attorney from the New Jersey Bar Association will be provided for one day per month for each of seven institutions to continue the disciplinary adjustment committee training program. Scheduling of the training classes and monitoring trainee attendance to maintain eligibility to sit on disciplinary hearings is the responsibility of the project director.

Consideration for funding will be made for a pilot project to improve the handling of non-disciplinary grievances. Provision will be made for staff to survey existing methods available to inmates seeking redress for grievances. A report will be prepared of existing procedures and reviewed with the Division of Correction and Parole and the Correctional Reform Committee of the N.J. State Bar Association to develop procedures to insure that:

- a. Each inmate has the opportunity and understands the procedure for filing a grievance.
- b. The grievance is transmitted without delay or alteration to a reviewing authority who is independent of the correctional institution.
- c. A complete investigation is conducted.
- d. A report is prepared and submitted to the inmate filing the grievance and to the institutional authority with a recommendation or resolution within 72 hours.
- e. An appeal procedure is established if the recommendation is deemed inappropriate by either the inmate or the institutional authority.
- f. The inmate is not subjected to adverse action resulting from the grievance.

The survey review and procedural development phase of the project should be completed within 90 days of hiring of staff. The second phase will provide for implementation of the grievance procedures with a concurrent two month assessment phase prior to conclusion of the grant period.

A project to provide assistance to institutional management will be considered for funding. The activities of the project will be applied to two state correctional institutions and will include the following:

- a. A review and analysis of existing operational procedures and management practices.
- b. An examination of the relationship between the administrative practices and operational procedures and the stated goals and objectives of the institution.
- c. Preparation of a report assessing the effectiveness of the existing institutional administrative and managerial functions and recommendations for implementation.
- d. Provision of technical assistance to institutional administrators during the implementation phase.

Support projects funded under this program are considered pilot demonstration projects with the exception of the Correctional Services Projects

Coordinator grant. It is anticipated that funding will not exceed two grants whether monies are received from LEAA, SLEPA or a combination of both. Project phasing during the first grant period should include the following:

1. Start-up phase
2. Operational phase
3. Evaluation and model development phase

The second grant period should include these phases:

1. Operational phase
2. Model adjustment phase.
3. Final evaluation and report phase

Subgrant Data:

The following projects will be considered for final funding up to the amounts indicated: Correctional Services Project Coordinator, \$45,000; Legal Information Station, \$65,000; and Disciplinary Hearing Officer project \$50,000.

The Inmate Grievance Handling project will be considered for a maximum grant of \$60,000 and the Assistance for Institutional Management project for \$50,000. Funding up to \$50,000 will be provided for a new project to improve corrections at the local level through the State Office of the Public Advocate.

Budget:

	LEAA	State, Local or Other	Percentage of State or Local Match
Total Part E			
Block Support	\$320,000	\$35,556	10%

Evaluation Information:

Each project within the program area will be required to maintain statistical data to measure the volume of project activity (e.g. specific procedural changes recommended and adopted, numbers and types of cases handled, total and average time spent on case resolution at various procedural levels of the project and the numbers of cases resolved at the various levels).

A record will be kept of the numbers of formal complaints (appeals, legal suits) filed at various levels beyond normal channels specifically provided for by the program (e.g. the number of legal suits filed for alleged violations of due process during institutional adjustment or hearing committee proceedings or the number of grievances not brought to satisfactory resolution at the appeal level provided for by the grant contract). This data will be compared chronologically with a similar time period prior to project implementation.

Data comparisons will also be made between similar institutions which have and do not have project services available to them (e.g. the number,

types and handling of disciplinary charges at the Rahway and Trenton Prisons).

A portion of program evaluation is necessarily subjective and will involve feedback information from parties affected by project services, i.e.

inmates, institutional Superintendents, Chief Deputies, Central staff of the Division of Correction and Parole and the Department of Institutions and Agencies and the Inmate Council.

Program D-4: State Correctional Education Programs

Objectives:

To document a model correctional institution education program by providing the Garden State School District with the capability to analyze and evaluate each existing educational program, and provide recommendations for continuance, improvement or redirection of ineffective or under-utilized program components and to develop new programs.

To establish a procedural and reporting format and to conduct an initial implementation phase of a research program for follow-up of 2,000 clients having completed educational programs. The study will include clients both during the remainder of their stay within institutions and then upon their release to the community under parole supervision.

To establish new learning centers at each of the satellite units, including honor camps, and at the Jamesburg Training Schools— thereby providing multi-media individualized instruction to a minimum of 550 inmates.

To develop and implement a highly structured in-service training program for a minimum of 50 teachers and educational instructors.

To provide each inmate entering a State correctional institution with educational testing, evaluation and an individualized instructional plan.

To implement a model program of learning disability diagnosis and evaluation for a minimum of 1,800 inmates and prescribe individual treatment plans as indicated including the provision of necessary technical assistance to teachers.

To provide vocational training for a minimum of 400 inmates.

General Strategy for Implementation:

The 1976 correctional education plan consists of four related program components: program development and assessment, individualized education, vocational education and support services. Applications for funding must address, but are not limited to, the following general criteria:

1. Emphasis will be placed on literacy, mathematics and learning disability testing, evaluation and individually prescribed programming. The learning centers will implement remedial programs and also provide specialized academic support to inmates entering vocational training shops.
2. Social and coping skills, such as consumer and family life education, will be included in both

academic and vocational curriculum design. Emphasis will be placed on improving motivational and career counseling to increase inmate participation in programs by relating the potential benefits of education and training to the inmate's life situation upon release to the community. It is necessary that curriculum design provide methodology for encouraging the client in establishing goals and objectives, and developing an ability to defer achievement of goals, thereby reducing need for immediate satisfaction. Project curriculum and the manner in which the above considerations will be addressed will be included in each application.

3. Each vocational project application must contain a current vocational needs assessment of the inmate population, a job market analysis of existing or emerging occupations, potential restrictions to offender employment and a performance analysis which documents the skills and knowledge needed to acquire the occupation.

Vocational programs should be designed to allow a period of work sampling and should indicate the horizontal and vertical training and job placement options available to the inmate upon completion of the course, either at the institution or upon release to the community.

4. Emphasis will be placed on clearly described procedures to facilitate accurate and timely reporting of student participation and achievement data. Such reports should be tabulated monthly and included in the regular quarterly subgrantee reports to SLEPA.
5. Individualized Learning Approach Project
 - a. Funding for the Individualized Learning Approach Project will be limited to replenishment of supplies and equipment to continue the project as the Garden State School District has indicated that the State will be requested to assume the costs for the coordinator position. Project reporting will be required of all project activities, however, and a program of continued staff training will also be included in the application.
 - b. One application will encompass all components of the expanded learning center program. Due to the varied institutional characteristics of the Jamesburg Training

School, the institutional satellite units and the honor camps, each learning center component will reflect necessary adaptations in program design and objectives.

- c. Application for continuation of the learning disabilities remediation project (Project LEARNED) will include an evaluation format adequate for the purpose of determining the impact of this program on participating inmates and on the institutional education programs.
- 6. Vocational education projects to be considered for funding under this program area will include the following: Vocational Careers Project, Youth Correctional Institution Bordentown; Medical-Surgical Technician Project at Rahway, Trenton and Leesburg Prisons; Evening Vocational Project at Leesburg Prison; In-House Skills Project at the Youth Correctional Institution Annandale; and the Optical Technician Project which has yet to be located within the Prison Complex.
- 7. Applications to maintain and develop educational support services will include the Library Services Project, and the In-Service Staff Training Project.

Subgrant Data:

The Department of Institutions and Agencies is the sole eligible applicant.

Funds are provided for continuation of the following projects within the indicated amounts: Individualized Learning Approach, \$25,000; Library Services, \$25,000; Project LEARNED, \$68,000; Vocational Careers YCIB, \$175,000; Medical-Surgical Technician Program, \$45,000; Evening Vocational Program LSP, \$55,000; In-House Skills YCIA, \$22,000; Optical Technician Training Program, \$65,000.

New projects that will be considered for funding up to the amounts indicated include the following: Program Development and Assessment Unit, \$50,000; Expanded Learning Centers Project, \$140,000; and the In-Service Staff Training Project, \$18,000.

Program D-5: State Correctional Treatment of Special Offender Types

Objectives:

To continue development of four institutional treatment teams having the capability for the identification and treatment of special offender types.

To provide individualized treatment plans for an estimated 300 inmates committed to the prison complex within a twelve month period.

To prepare an evaluative report on each inmate

Budget:

	LEAA	State, Local or Other	Percentage of State/Local Match
Total Part E			
Block Support	\$688,000	\$76,444	10%

Evaluation Information:

In addition to the normal SLEPA reporting requirements, project reporting will include, but not necessarily be limited to, the following information:

1. The number of inmates received at each participating institution and the status of the inmates received, i.e., adult or juvenile offenders, parole violators, etc.
2. The number of inmates tested and provided with individualized educational plans. Indicate the institutions where the plans were initially developed in the case of transfers and the offender status of these inmates.
3. The number of inmates enrolled in educational or training courses, including the average number of attendees, and the number of students completing each course.
4. Levels of achievement as indicated through pre- and post-testing including feed-back information from students and teachers subjectively evaluating the programs.
5. To evaluate the impact of individualized diagnosis and program planning, achievement should be tabulated separately for those inmates entering educational programs without or at variance to previously prepared individual plans.
6. Follow-up information should be obtained at periods of three, six and twelve months upon release of the inmate to parole supervision to determine the extent of impact of institutional educational programs on job placement and/or continuing of educational activities. Placement data should be compared to the initially projected availability of job or training opportunities, and indicated discrepancies should be considered in light of such factors as the extent of program participation, client characteristics, unemployment rate, etc.

prior to classification to assist in the improvement of institutional decision-making.

To develop a diagnostic evaluation and therapeutic counseling capability at the Vroom Readjustment facility.

To provide an eight month period for adjustment, through feedback and evaluation of collected data, of the institutional treatment model formalized under the 1975 Plan.

General Strategy for Implementation:

Application for funding under the 1976 Plan must contain the following provisions in addition to the conditions described under the 1975 program area:

1. Emphasis will be placed on feedback and evaluation of data collected for the purpose of adjusting the institutional treatment model. Responsibility for verification and current reporting of data will be assigned to the team leaders. Such information will be comprehensive and will therefore include all treatment activities conducted within the institution.
2. Meetings to assess program progress and to consider model adjustment will be held bi-monthly and will be attended by the four team leaders, central office coordinating staff and SLEPA representatives.
3. The document describing the adjusted treatment model will be the responsibility of the coordinating staff of the Division and a final draft should be completed by May 31, 1977.

Subgrant Data:

The Department of Institutions and Agencies is the sole applicant. Funding in an amount up to \$206,000 will be provided for one project encompassing the treatment teams at Rahway, Trenton, Leesburg and Clinton to June 30, 1977 and it is

anticipated that further funding for this project will be assumed by other agencies.

Budget:

	LEAA	State, Local or Other	Percentage of State/ Local Match
Total Part E Block Support	\$206,000	\$22,889	10%

Evaluation Information:

Refer to Provision for Evaluation section page 68.

The following additional information should be tabulated monthly and submitted quarterly to the State Law Enforcement Planning Agency:

1. Quarterly schedules for the on-going staff development/training seminars identifying instructors, topics and curriculum where appropriate. Include an assessment of the training activities conducted during the previous quarter and such data as the number of staff attending and the dates of the sessions.
2. Feedback information required for model adjustment will be submitted to this Agency at least one week prior to the scheduled meetings.

Program D-6: Development of Community Resource Systems to Aid the Adult Offender

Objectives:

To develop and operationalize three comprehensive manpower service delivery programs.

To provide job placement for a minimum of 650 ex-offenders during a 12-month period.

To continue two vocational adjustment units thereby providing remedial work habits and employment skills training for a minimum of 280 clients.

To provide assistance in counseling and referral to a minimum of 2,500 ex-offenders.

To isolate and identify those factors which relate most effectively to job placement, placement with career advancement opportunities and successful reintegration to society through an intensive client follow-up program involving a minimum of 400 clients.

General Strategy for Implementation:

The following information is considered an essential component of those applications for vocational service center projects:

1. Identification of those existing resources in the geographical area to be served by the projects that have, as their prime responsibility, the provision of such services as vocational testing and evaluation, career counseling, vocational training, and job placement. Indicate the capacity and number of clients served by these resource agencies.
2. Functional description of the local and State criminal justice agencies releasing offenders to the geographical area to be served and the specific nature and extent of supervisory constraints, if any, placed on the released offenders.
3. A survey of the ex-offender population within the project area, determining the number of potential clients, categorized as applicable, and describing in quantifiable terms the types of specific manpower needs. This survey should identify sources of information, such as criminal justice agencies, and indicate the survey methodology utilized.

4. Documentation of the extent that existing service agencies are available to service the needs of this client group including an assessment of the status of such service agencies.
5. A program design for client evaluation, referral, placement, and follow-up assessment.
6. Objectives to be accomplished during the program development phase (short-term grant, if requested) and to be documented in the application for the vocational service center:
 - a. An agreement that the VSC would function as a liaison among the various service agencies and between these agencies and the criminal justice system.
 - b. Identification of the sources and extent of financial and non-financial assistance available to service agencies.
 - c. Design for an on-going evaluation device to
 - 1) improve project operations, and
 - 2) assess identifiable client success factors.

The program activities to be undertaken either as a direct function of the VSC or through the placement efforts of the VSC project are:

1. Community Relations

Information will be provided to the public and the target client group concerning the services available and/or needed for ex-offender assistance. This activity may include the use of volunteers to implement an outreach service capacity as an extension of project activities.

2. Job Development and Training

When a client possesses a marketable skill or has achieved an educational level that has enough value in the labor market to qualify him for satisfactory full-time employment, job openings should be made available to him through a centralized job bank. For those clients requiring vocational or educational improvement a resource bank of available training should be maintained.

3. Vocational Adjustment Unit

This unit will provide training in employment interview techniques, client diagnostics and evaluation and, if indicated, remedial work habits and skills development. This activity encompasses job-related remedial education for offenders and ex-offenders who have made a break with the traditional educational system.

4. Administrative Core Unit

Specific functions for the administrative staff include the following:

- a. Planning and coordinating the development of the program.
- b. Determining policies for implementation.
- c. Setting priorities for service delivery in line with the overall program goals and objectives.
- d. Monitoring referrals for specific services.

- e. Providing training and technical assistance to participating agencies, including on-loan and volunteers.
- f. Liaison with Federal, State and local agencies involved with manpower programs.
- g. Supervision of intake, supportive services, referral and follow-up.
- h. Maintaining a central record keeping center for reporting and evaluation procedures.
- i. Implementing operational guidelines and control procedures for program management.

Subgrant Data:

Carry-over 1975 funds in the amount of \$900,000 will be available for funding of the following projects within program categories as indicated:

- Two new VSC projects will be funded with a combined cost of \$210,000, Federal share.
- Two new VSC/VAU combined projects will be funded within a combined cost of \$320,000, Federal share.
- The remaining funds will be considered for continuation of existing manpower projects demonstrating a capability to comply with the criteria identified under the 1976 program and upon an evaluation of prior project performance.

The 1976 program funds will be used for continuation of existing projects. Total funding for an anticipated three VSC projects will not exceed \$370,000. Funding for the two combined VSC/VAU projects will not exceed \$280,000. Any remaining available funds will be considered for improvement of purchase of service capabilities and emergency mini-grant programs within existing projects.

Budget:

	LEAA	State, Local or Other	Percentage of State/Local Match
Total Part C			
Block Support	\$650,000	\$72,223	10%

Evaluation Information:

In addition to other evaluative data as may be requested, the subgrantee will provide the following:

1. The number of offenders released to the community during each calendar quarter and the number contacting the project for assistance.
2. The type of service requested and the internal services, i.e., interviews, evaluations, counseling sessions, and referrals, provided.
3. The purpose of each referral made, the service agency contacted and whether or not the client was accepted into the program.

4. The number of clients evaluated for possible VAU enrollment and the number of clients enrolled and completing training.
5. The capacity of the job and educational/training resource banks.
6. The number of actual job placements which result in employment for one week, one month and three months.
7. The number of on-loan and volunteer staff assigned to the project. Data should be supplied on such factors as training provided,

actual time provided to project activities, and the turnover rate of such staff.

8. Data on the client undergoing intensive follow-up, such as the nature of the client's offense, needs assessment, referral made or services provided, type and frequency of contacts, re-arrest and assessment as to success or failure.

It is suggested that this information be tabulated monthly, but reporting requirements to SLEPA will be on the normal quarterly basis.

Program D-7: Community Based Adult Residential Facilities and Programs as Alternatives to Incarceration

Objectives:

To provide graduated community re-entry to approximately 220 offenders released from State correctional institutions by continuing the Adult Pre-release Service Center established under the 1975 Plan and funding the initial phase of one new service center.

To maintain a population of at least 45 residents in each service center and to provide each resident with continued employment and other support services necessary for re-integration.

To purchase client slots within community residential treatment programs on a pre-release basis, thereby providing short-term re-integration support for approximately 25 male and female inmates of State correctional institutions.

To provide the court with an additional alternative to incarceration by establishing three adult community-based residential centers to serve at least 300 offenders who would otherwise have been sentenced to a correctional facility.

General Strategy for Implementation:

Part E Block funds will support the development and operation of two pre-release centers modeled after the Essex Service Center under the supervision of the Division of Correction and Parole. One of the two centers is anticipated to be located in Paterson, serving Passaic County. Monies remaining under the 1975 Plan due to non-utilization of purchase of service arrangements and State assumption of the costs of operating the Essex Center will support the establishment and initial operation of the Paterson Adult Service Center. Since the Coordinator of Community-Based programs position was eliminated because of the small number of programs within the Bureau of Community Services, funds will be provided for development phases for the two new centers. Activities which must be demonstrated during the start-up project include: hiring the project director, locating and preparing the facility for

occupancy, gaining the necessary approvals for occupancy, recruiting center staff and gaining community support and referral source commitment. No funding is planned for additional juvenile treatment centers.

Part E funds will additionally support the purchase of residential pre-release client slots for inmates of State correctional institutions.

Part C Block funds will support the establishment and operation of three adult residential centers providing the court with a treatment alternative to incarceration for offenders potentially benefiting from a semi-custodial, treatment oriented setting, based on the premise that such a setting would prove more rehabilitative and less disruptive in terms of continued employment, family contact and the availability of problem oriented counseling. The following must be provided for either by the center or through community agency referral:

1. Educational, vocational and recreation programs.
2. Job development and placement services.
3. Treatment programs for problems associated with alcoholism, drug addiction and mental or physical health.
4. Counseling programs for problems arising from marital, employment, financial or social responsibilities.

Each community-based facility will require the endorsement (quantified statement of need) of the assignment judge and the county chief probation officer.

Subgrant Data:

The State Department of Institutions and Agencies is the sole eligible applicant for Part E monies. Up to a total of \$306,000 is provided for the pre-release service centers, including the above described development phase. Up to \$34,000 is additionally provided for the purchase of residential pre-release community resources.

Up to \$465,000 of Part C funds is made available to local units of government for grants establishing

a total of three community-based residential facilities.

Budget:

	LEAA	State, Local or Other	Percentage of State or Local Match
Total Part E			
Block Support	\$340,000	\$37,778	10%
Total Part C			
Block Support	465,000	51,667	10%
Program Total	\$805,00	\$89,445	

Evaluation:

The project monitoring level of evaluation will require each residential facility to maintain at least the following statistical information:

1. The number of clients accepted into the program, tabulated by source of referral.
2. The number of clients successfully completing the program.
3. The number of unsuccessful participants and the reasons for termination.
4. The type and extent of supportive service rendered to each client by project staff (e.g. job placement, counseling sessions, treatment referrals, etc.).
5. The number and types of referrals made to each outside service agency.
6. Follow-up information concerning client progress through continued contact with outside services agencies.
7. Follow-up data on clients for a period of one year following successful program completion (e.g. continued employment, rearrest, re-conviction, etc.).

Program D-8: Improvement of Parole Case Management

Objectives:

To provide parole officers with an expanded range of client-centered resources through the continuation of parole resource specialists in each of nine district parole offices. At least 4,000 parolees will receive assistance during this grant period.

To implement a system of follow-up to examine continued client participation in placement situations.

To continue to provide basic emergency financial support such as clothing and dental, medical, psychiatric and psychological services for approximately 200 parolees.

To continue the juvenile parole program under the supervision of the Division of Youth and Family Services, maintaining caseloads of 35 clients each for three parole officers.

To lower the recommitment rate of the Division of Youth and Family Services' caseloads from 50% to 35% and the total incidence of new offenses from 75% to 50% for program participants during a period extending to three months following termination of supervision.

General Strategy for Implementation:

The Parole Resource Specialist component of the Special Parole Project will be continued under this program area to provide an organized bank of community resource agencies for client referral by parole officers and to administer the emergency mini-grant and purchase of service program for those clients who have special problems such as a lack of the basic necessities of life including food, shelter, clothing, health care needs and the upgrading of vocational and educational skills to the degree necessary for stable placement in the job market.

The specialist also conducts speaking engagements with interested organizations and agencies for the purpose of developing contacts to expand client assistance resources. The Bureau of Parole has indicated that the availability of these services to parole clients will, in some instances, avert revocation measures by offering the parole staff viable alternatives for handling their clients.

Provision is made in this program area to continue a resource specialist in each of nine district parole offices and one full-time clerical position will be provided to the Bureau of Parole. A special requirement for the application will be the formulation of a parole program design, based on a structured process for development and monitoring of individual activity plans and follow up of referrals, for improved caseload supervision.

The Resource Specialist component of the Special Parole Project will be considered for a final grant under the 1977 Plan for the purpose of testing and evaluating the program design formulated under the 1976 grant.

The 1976 Hudson Juvenile Parole Demonstration project will continue the three basic activities developed during the previous grant periods: contact with the client during incarceration within the Training School Complex, development and implementation of individual parole plans and provision of help and counseling to each parolee's family to stabilize the home environment.

In order to provide intensive support for the parolees, the project will maintain three special parole caseloads consisting of a maximum of 35 parolees per caseload. Each client, whether incarcerated or on parole status, must receive an individual visit with his caseworker at least two times per

month. Other program activities to be continued include social adjustment counseling groups and recreational outings.

Planned for inclusion in the 1975 project is an alternative school program to be operated in conjunction with the Jersey City Board of Education and the Dartmouth Learning Center. The school was proposed after a review of parolee records identified a critical need for specialized remedial educational services.

The 1975 project will also contain a model program design component that will be completed during the final quarter of the grant period. The 1976 program requires that this program design be tested and that specific data, in addition to normal project reporting requirements, be developed for evaluation purposes. Final funding is provided under this Plan.

Subgrant Data:

The Department of Institutions and Agencies is the sole eligible applicant. Up to \$200,000 is provided for the continuation of the Resource Specialist component of the Special Parole Project and up to \$70,000 is provided for continuing the Hudson Juvenile Parole Project. The balance of 1976 funds will provide a project supportive of the parole reform act.

Budget:

	LEAA	State, Local or Other	Percentage of State/Local Match
Total Part E Block Support	\$320,000	\$35,556	10%

Evaluation Information:

For the Special Parole Project, the project evaluation will include the following statistical data for each district office:

1. Total number of requests for assistance made to the community resource specialist.
2. Number of cases requiring financial assistance and the type of assistance rendered (e.g. housing, tools, medical, etc.).
3. Number of cases provided non-financial assistance and the type of assistance rendered (e.g. job placement, educational placement, referral to community agencies, etc.).
4. Follow-up data concerning the percentage of clients continuing satisfactory participation in or completion of placements obtained through the project such as jobs, academic and vocational instruction, alcohol and drug detoxification and treatment, etc. Information should be gathered both three and six months following placement.
5. Number of referred cases not provided with assistance.

For the Hudson Juvenile Project, the project evaluation will include the following statistical data:

1. Number of clients entered into project case-loads and the number of clients successfully completing the program. Successful completion of the program includes a post supervision period of three months.
2. The percentage of clients rejected from the program and the reason:
 - (a) return to incarceration for offense committed prior to participation in the program;
 - (b) return to incarceration for offense committed during participation in the program or during a three month post-supervision period.
3. The percentage of clients committing offenses during program participation or within three months thereafter but not recommitted.
4. The number of contacts made with institutionalized parolees.
5. The extent of parental involvement.

Provision For Evaluation

The eight program areas which have been selected for evaluation are:

- A-8 Community Youth Services Programs;
- B-3 Establishment of Public Housing Security Units;
- B-6 Crime Specific — Rape;
- B-7 Increase Police Efficiency by Improved Communication Methods;
- B-8 Coordinated State and Countywide Police Legal Advisory Units;
- C-1 Improvement of Police Services to Juveniles;
- D-1 Local Correctional Institution Rehabilitation System Management and Service Delivery; and
- D-5 State Correctional Treatment of Special Offender Types.

Applicants submitting proposals in these areas will be required to include a statement under the "Project Evaluation" section of the application form indicating willingness to participate in the Agency intensive evaluation effort. The Agency Evaluation Team will provide technical assistance both during the application process and following grant award in order to explain the evaluation model and assist with its implementation. Portions of the evaluation designs deemed most pertinent for subgrantees applying in these eight program areas are included in the Provision for Evaluation section of the *Criminal Justice Plan for New Jersey 1976*.

In conjunction with the nation-wide effort by the Law Enforcement Assistance Administration to evaluate federally funded projects designed to reduce crime and improve the criminal justice system, the State Law Enforcement Planning Agency has developed a comprehensive program for the evaluation of grants.

As established for the 1975 Plan, the Agency will continue its commitment to evaluate 25% of the total dollar value of subgrants awarded. This evaluation will be the result of the combined efforts of the Agency's Supervising Planner and Evaluation Team within the Planning Unit.

For 1975 Plan Programs, the Evaluation Team had the primary responsibility of developing evaluative research designs and evaluation monitoring to assess the efficiency and effectiveness of projects awarded within eight selected program areas. The selection process involved identification of program

areas which were considered innovative, and which received a substantial amount of federal funding in past and present years.

Development of an evaluative research design and appropriate data collection instruments was accomplished, along with a strategy for implementation. The development phase included a series of meetings between Agency section Chiefs and the Assistant Directors of Operations and Planning, designed to achieve consensus regarding each program area design. Meetings were then held with the subgrantees, whose projects were to be included within each program area to be evaluated. These workshop meetings provided crucial feedback as to the subgrantees' ability to collect certain data reliably, and proved an invaluable tool in the successful completion of the evaluation designs. For the 1976 Plan, these eight program area evaluations will be continued with additional program areas to be selected to expand the evaluation activities of the Agency beyond the 25% figure.

Evaluation Team efforts are not intended, however, to overshadow the efforts of subgrantees in including in their grant applications goals that are attainable and objectives that are specific and measurable. Agency program analysts will continue to monitor the implementation of evaluation components as outlined in each application.

Emphasis on measurable grant objectives is of prime concern to this Agency and LEAA. It is felt that imposing such requirements on subgrantee applications aids project personnel and Agency staff in the operation of the project, as well as providing valuable data needed to assess the impact of the grant on the State's criminal justice system.

As a result of the previously outlined evaluation activities the Agency will comply with evaluation requirements under the following three approaches:

1. Continuation of the present procedure to evaluate ongoing projects by the Agency Supervising Planner;
2. Utilization of the Evaluation Team, funded with discretionary monies, to conduct intensive evaluations of subgrants and program areas;
3. Continuation of efforts by the Agency and subgrantees to develop grant applications that have attainable and measurable goals and objectives.

SLEPA FORMS IN USE

SLEPA Form #	Title	Use
101	GRANT APPLICATION (submit 4 copies with original signatures)	Applicants use to request a grant for any project.
102	RESOLUTION FORM (submit 2 certified copies with original signatures)	Applicant unit of local government must pass resolution in this form and submit with application.
103	SUBGRANT AWARD (Both copies must be returned after being signed)	Contract form executed by SLEPA and mailed to subgrantee for signatures.
104	NOTICE OF APPEAL (Complete one copy and return to SLEPA)	Provided to an applicant who wishes to appeal a denial for funding.
105	INDIVIDUAL TIME AND SALARY REPORT (Kept on file by subgrantee per instructions)	Provided to subgrantee upon request for use.
106	QUARTERLY NARRATIVE REPORT (submit 2 copies)	To be used by subgrantees when reporting project activities.
107	DETAILED COST STATEMENT, CASH REPORT, CASH REQUEST (Combined form. Submit in triplicate with original signatures)	1. Cash Request section is completed to obtain initial cash to begin project. 2. Succeeding periods, per instructions, all three sections must be completed.
108	BUDGET REVISION/GRANT EXTENSION REQUEST (Submit in triplicate with original signatures)	To be used by subgrantees when requesting budgetary changes between categories in the amount of \$100 or more and/or when requesting extension of the project beyond the approved grant period.
109	CONSULTANT REPORTING FORM (submit 2 copies)	To be completed by subgrantees prior to engaging the services of a consultant.
SF122	TRANSFER ORDER EXCESS PERSONAL PROPERTY	To be prepared for federal surplus equipment as requirement of all subgrants; if items unavailable, purchase orders may then be submitted to vendors. Multicopy federal form available from SLEPA.
ADM-5	REQUEST FOR LOCATION OF EXCESS PERSONAL PROPERTY	

**STATE OF NEW JERSEY
STATE LAW ENFORCEMENT PLANNING AGENCY
GRANT APPLICATION**

(Under Public Laws 90-351 and 93-415 as amended)

Four copies required with original signatures

For SLEPA Use Only

PROJECT NUMBER	DATE RECEIVED
FUNDING SECTION NUMBER	SUBGRANT PERIOD
GRANT NUMBER	DATE APPROVED

SECTION A

- Type of Grant Planning Action Juvenile Justice Act Funds
- Type of Application Initial Revision of Grant or Project # _____ Continuation of Grant # _____
- Short, Descriptive Project Title _____
- Applicant Unit of Government _____
(STATE AGENCY, COUNTY OR MUNICIPALITY)
- Implementing Agency _____
- Project Address _____
- Project Duration From _____ To _____
(REQUESTED STARTING AND CONCLUDING DATES)
- Program Area (Number and Title) _____
(FOR ACTION GRANTS ONLY)
- SLEPA Plan year under which this application is being made: 19____.
- Project Director
Name _____ Title _____
- Contact Person (Person directly responsible for project operations)
Name _____ Title _____
Address _____ Telephone Number _____
- Financial Officer of Unit of Government (if other, specify)
Name _____ Title _____
Address _____ Telephone Number _____
- Description of Project (describe in detail on ATTACHMENT ONE)
- Budget (see instructions – provide itemization as called for on ATTACHMENT TWO)

TOTAL BUDGET COSTS SUMMARY			SLEPA Approved	
Source of Funds	%	Amount	%	Amount
SLEPA (Federal)				
State Buy-In				
State, local required cash				
TOTAL	100%		100%	

16. Estimate below the amount of SLEPA funds which will be required to continue this project for the next two years. (This assumes a satisfactory evaluation and that funds will be available and should not be construed as a commitment for future funding).

1st continuation \$ _____

2nd continuation \$ _____

SLEPA Budget Approval: _____

INSTRUCTIONS

Each of the following attachments must be included as part of the application: (Note: If this is not an initial application for this project, refer to the continuation application information at the bottom of this page before proceeding).

ATTACHMENT ONE: Description of Project

Each of the following sections must be included as part of this attachment:

- | | |
|-----------------------|-----------------------------------|
| A. The Problem | G. Brief Personnel Biographies or |
| B. Goals | Job Specifications |
| C. Objectives | H. Participating Agencies |
| D. Project Activities | I. Project Evaluation |
| E. Project Management | J. Alternative Methods |
| F. Personnel | K. Assumption of Costs |
| | L. Civil Rights Compliance |

ATTACHMENT TWO: Budget Detail/Budget Explanation

ATTACHMENT THREE: Non-Supplanting Certification

ATTACHMENT FOUR: Negative Environmental Impact Statement

REFER TO THE CURRENT APPLICANTS GUIDE FOR DETAILED INSTRUCTIONS OUTLINING THE COMPLETION OF ATTACHMENTS ONE AND TWO ABOVE. INSTRUCTIONS FOR ATTACHMENTS THREE AND FOUR ARE CONTAINED WITHIN THIS APPLICATION AND CAN BE FOUND ON EACH RESPECTIVE ATTACHMENT.

CONTINUATION APPLICATION. In the case of a continuation application, the applicant must present an overview of the activities funded with the previous year's grant, and an assessment of project results supported by data. This overview should be developed in line with the stated goals and objectives of the previous project, and should be presented in addition to each of the Attachments referred to above. Continuation applications should be submitted approximately three months prior to expiration of the preceding project.

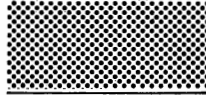
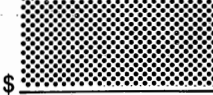
ATTACHMENT TWO

**SECTION A – ITEM 14. BUDGET DETAIL (Estimate)
WHOLE DOLLARS ONLY**

COST ELEMENT			SLEPA (FEDERAL) SHARE	REQUIRED HARD CASH MATCH		PROJECT TOTAL
				STATE BUY-IN PROVISION	STATE/LOCAL CASH	
A. Salaries and Wages						
1. Regular criminal justice personnel:						
Position	% of time	Current Annual Salary				
2. All other staff:						
Position	% of time	Current Annual Salary				
Sub-Total Salaries			\$ _____	\$ _____	\$ _____	\$ _____
Fringe Benefits (Detail in Budget Explanation)			\$ _____	\$ _____	\$ _____	\$ _____
Total Salaries			\$ _____	\$ _____	\$ _____	\$ _____

ATTACHMENT TWO (Continued)

**SECTION A – ITEM 14. BUDGET DETAIL (Estimate)
WHOLE DOLLARS ONLY**

COST ELEMENT	SLEPA (FEDERAL) SHARE	REQUIRED HARD CASH MATCH		PROJECT TOTAL
		STATE BUY-IN PROVISION	STATE/LOCAL CASH	
D. Consumable Supplies, Postage, Printing, Etc. (Itemize)				
Total Consumable Supplies	\$ _____	\$ _____	\$ _____	\$ _____
E. Facilities, Office Space, Utilities, Equipment Rental (Itemize)				
Total Facilities	\$ _____	\$ _____	\$ _____	\$ _____
F. Equipment (Itemize)				
Total Equipment	\$ _____	\$ _____	\$ _____	\$ _____
G. Indirect Costs				
Total Indirect	\$ 	\$ 	\$ _____	\$ _____
Total Project Costs	\$ _____	\$ _____	\$ _____	\$ _____

ATTACHMENT THREE

INSTRUCTIONS

Federal regulations require certification to the effect that federal funds have been used to increase State or local funds that would, in the absence of such federal aid, be made available for law enforcement and criminal justice. Certifications are required at the commencement and conclusion of the grant period.

- (1) Insert in the first blank in the body of the text, the title of the certifying body or individual, for example (Freeholder Director of Morris County) (Mayor of Trenton) (Commissioner, Department of Health)*
- (2) Insert the dates of the grant period in the second set of blanks.
- (3) Check the appropriate boxes, "two", "three", "four", or "five" years, depending upon the length of the averaging period selected by the subgrantee.

Where the certification cannot be made and there is a projected or actual, reduced, or unchanged local investment in law enforcement and criminal justice, enter in the space provided on the form an explanation demonstrating that the subgrantee's reduced or unchanged commitment would have been necessitated even if federal financial support under Title I of the Act had not been made available.

Subgrantee records in support of the certification should contain estimates of total funds annually made available for law enforcement and criminal justice for the year of certification and the years used to determine average annual increment. These records should identify the source or basis of such estimates.

Where subgrantees are "combinations of local units" certifications should cover the combined law enforcement and criminal justice expenditures of the participating units.

NON-SUPPLANTING CERTIFICATION

The _____ herewith certifies that federal funds will be used to increase State and/or local funds that would, in the absence of such federal aid, be made available for law enforcement and administration of criminal justice, and that expenditures for law enforcement and administration of criminal justice, for the period _____ to _____ will be or were at least as great as for the preceding year plus the average annual increment in such expenditures for the past () two () three () four () five years.

(Detail below the prior annual expenditures and the current budgeted amounts for law enforcement and administration of criminal justice. Use the number of base years checked above)

- 19 _____ \$ _____
- 19 _____ \$ _____
- 19 _____ \$ _____
- 19 _____ \$ _____
- 19 _____ \$ _____

* Those units of government applying for Juvenile Justice and Delinquency Prevention funds should respond only to the following:

The _____ certifies that federal funds will be used to supplement and increase the level of state, local and other non-federal funds that would, in the absence of such federal aid, be made available for programs provided for under the Juvenile Justice and Delinquency Prevention Act and will in no event replace such state, local, and other non-federal funds.

SIGNATURE OF CHIEF EXECUTIVE OFFICER/STATE AGENCY HEAD ON PAGE 101.12 "APPLICATION AUTHORIZATION" CONSTITUTES CERTIFICATION OF THE ACCURACY AND CORRECTNESS OF THE ABOVE INFORMATION.

SECTION B

Conditions Applicable to Grants Awarded Under Parts B, C, and E of Title I, P.L. 90-351 as amended by Title I, P.L. 93-83 and Juvenile Justice and Delinquency Prevention Act of 1974, P.L. 93-415 as amended.

1. General Administrative Conditions:

a. It is expressly agreed that this project will meet the requirements of the Omnibus Crime Control and Safe Streets Act of 1968 (P.L. 90-351, Stat. 197) as amended and the Juvenile Justice Delinquency Act of 1974 (P.L. 93-415) as amended hereafter referred to as the Act, and all administrative regulations established by the Federal Law Enforcement Assistance Administration (LEAA) and the New Jersey State Law Enforcement Planning Agency (SLEPA).

b. The subgrant award shall be subject to and will be administered in conformity with the (i) General Conditions Applicable to Administration of Grants under the Act. (ii) Conditions Applicable to the Fiscal Administration of Grants under the Act and (iii) Any Special Conditions contained in the grant award.

c. The subgrant award may be terminated or fund payment discontinued by the State Law Enforcement Planning Agency when in its opinion a substantial failure to comply with the provisions of the Act or any regulations (SLEPA or Federal) promulgated thereunder, including these subgrant conditions has occurred.

d. In addition, the subgrant may be cancelled under the following conditions:

(1) If a project has not commenced within 60 days after the contractually determined date of implementation (day one of the subgrant period appearing on Subgrant Award, SLEPA 103), the subgrantee will report by letter the steps taken to initiate the project, the reasons for delay, and the expected date.

(2) If, after 90 days following the contractually determined starting date the project is not operational a further statement on implementation delay will be submitted by the subgrantee to SLEPA. Upon the receipt of the 90-day letter SLEPA may cancel the project, and redistribute the funds to other project areas. SLEPA, where warranted by extenuating circumstances, may request approval from the LEAA Regional Office to extend the implementation date of the project past the 90-day period.

e. Where activities supported by this grant produce original books, manuals, films or other copyrightable material, the grantee may copyright such, but SLEPA reserves a royalty-free, non-exclusive and irrevocable license to reproduce, publish, and use such materials, and to authorize others to do so. SLEPA also reserves the right to require the grantee not to publish, and the grantee thereupon shall refrain from publishing, any material, whether copyrighted or not, that SLEPA shall designate. However, such right shall not be exercised unreasonably. Any publication by the grantee shall include, on the title

page, a standard disclaimer of responsibility by SLEPA for any opinions or conclusions contained therein.

f. If any discovery or invention arises or is developed in the course of or as a result of work performed under this grant, the grantee shall refer the discovery or invention to SLEPA, which will determine whether or not patent protection will be sought, how any rights therein, including patent rights, will be disposed of and administered, and the necessity of other action required to protect the public interest in work supported with federal funds, all in accordance with the Presidential Memorandum of October 10, 1963, on Government Patent Policy.

g. Discrimination will be prohibited in that:

(1) No person shall, on the grounds of race, creed, color or national origin, be excluded from participation in, be refused the benefits of, or be otherwise subjected to discrimination under grants awarded pursuant to the Act or under any project, program or activity supported by this grant. The grantee must comply with the provisions and requirements of Title VI of the Civil Rights Act of 1964 and regulations issued by the Department of Justice and the Law Enforcement Assistance Administration thereunder as a condition of award of federal funds and continued grant support. As required by Section 518 (b) of the Act, this grant condition shall not be interpreted to require the imposition in grant-supported projects of any percentage ratio, quota system, or other program to achieve racial balance or eliminate racial imbalance in a law enforcement agency.

(2) There shall be no discrimination against any employee engaged in the work required to produce the services covered by this subgrant or against any applicant for such employment because of sex, race, creed, color, national origin or ancestry. This provision shall include, but not be limited to the following: employment upgrading; demotion; transfer; recruitment or recruitment advertising; layoff or termination; rates of pay or other forms of compensation; and selection for training including apprenticeship.

(3) The parties to this subgrant do hereby agree that the provisions of N.J.S.A. 10:2-1 through 10:2-4, dealing with discrimination in employment on public contracts, and the Rules and Regulations promulgated pursuant thereto, are hereby made a part of this sub-grant and are binding upon them.

h. In reference to title to property acquired in whole or in part with grant funds, subgrantees must comply with the standards set forth in Attachment FMC 74-7 pertaining to property management stan-

dards and LEAA guidelines with respect to excess property.

i. All interest or other income earned by the grantee with respect to grant funds or as a result of conduct of the grant project (sale of publications, registration fees, service charges on fees, etc.) must be accounted for. Interest on grant funds must be returned to LEAA by check payable to the United States Treasury, and other income should be applied to project purposes or in reduction of project costs; *provided, however*, that if the grantee is a unit of state or local government, the grantee shall not be accountable for interest earned on grant funds pending their disbursement or actual application for project purposes.

j. All income from other sources, such as contributions, donations or funds from other grant programs, must be accounted for and reported to the Agency.

k. With respect to indirect costs charged by local government subgrantees, as match, no charges on the basis of previously established fixed rates or negotiated lump sum amounts may be allowed without prior submission to and approval by LEAA, except that flat amounts not in excess of 10% of direct labor costs or 5% of total project costs may be allowed by SLEPA as a predetermined rate based on general experience with respect to minimum overhead support levels required for governmental agency operation. (Where flat rates are accepted in lieu of actual indirect cost, subgrantees may not also charge expenses normally included in overhead pools, e.g., accounting services, legal services, building occupancy and maintenance, etc., as direct costs.)

l. Under the terms and conditions of the Federal Freedom of Information Act (5 U.S.C. 552), subject only to the exceptions set forth below, all identifiable plans, applications, grant or contract awards, reports, books, papers or other documents maintained by the subgrantee under this grant that are pertinent to activities supported by Title I funds shall be made promptly available upon request to any person for inspection and copying. The subgrantee is, however, under no obligation to compile or procure a record or other document in response to a request, nor to undertake to identify for someone who requests records the particular material being requested where a reasonable description is not afforded.

Material Exempted from Disclosure

Records and Documents, or parts thereof, need not be made available under this section if they are:

- (1) specifically exempted from disclosure by State law;
- (2) related to operations of criminal justice agencies that are sensitive or confidential to such a degree that disclosure would not be in the interest of the public;

(3) internal communications related to the subgrantee decision making process, such as preliminary drafts, memoranda between staff officials, opinions and interpretations prepared by staff personnel or consultants, or records or minutes of deliberations of staff groups or executive sessions of the supervisory board;

(4) investigatory files compiled for law enforcement purposes;

(5) trade secrets or commercial or financial information that is privileged or confidential under State law;

(6) related solely to the internal personnel rules and practices of the subgrantee;

(7) personnel and medical files and similar files the disclosure of which would constitute a clearly unwarranted invasion of personal privacy.

Inspection and copying of records and documents may be made subject to reasonable rules and procedures relating to time, place, and fees for copies to the extent authorized by State law. Any information released by the subgrantee to the general public concerning subgrants awarded by SLEPA must include reference to the fact that SLEPA was the grantor and that the federal support came from LEAA.

m. Before approving subgrant programs involving construction, renovation, purchasing or leasing of facilities SLEPA shall consult with the State Liaison Office for historic preservation to determine if the undertaking may have an effect on properties listed in the National Register of Historic Places. If the undertaking may have an adverse effect on the listed program properties SLEPA must notify and receive LEAA approval before proceeding with the program.

n. In accordance with the Uniform Relocation Assistance and Real Property Acquisition Policy Act of 1970 (P.L. 91-646; 84 Stat. 1894), Title I funds used to pay all or part of the cost of any program or project which will result in displacement of any person shall provide that:

(1) Relocation services and payments will be provided.

(2) The public has been adequately informed of relocation payments and services.

(3) When at all practicable, at least 90 days notice of relocation will be given.

(4) Comparable replacement housing is available and a specific plan formulated to deal with relocation problems.

(5) The relocation is realistic and adequate to provide orderly relocation.

o. In accordance with the provisions of the Clean Air Act (42 U.S.C. 1857) as amended by P.L. 91-604, the Federal Water Pollution Act (33 U.S.C. 1251 et seq) as amended by P.L. 92-500 and Executive Order 11738, grants, subgrants or contracts cannot be entered into, reviewed or executed with parties convicted of offenses under these laws.

p. SLEPA or any of its duly authorized representatives, shall have access for purpose of audit and examinations to any books, documents, papers, and records of the grantee, and to relevant books and records of subgrantees and contractors, as provided in Section 521 of the Act in addition to the official subgrantee file.

q. The applicable sections of the Hatch Act (Title V, Chapter 15, Section 1501) pertaining to the political activities of certain State and local employees shall be adhered to.

r. Whoever embezzles, willfully misapplies, steals or obtains 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, shall be fined not more than \$10,000 or imprisoned for not more than five years, or both. 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 this title or in any record required to be maintained pursuant to this title shall be subject to prosecution under the provisions of Section 1001 of Title 18, United States Code. Any law enforcement program or project underwritten, in whole or in part, by any grant, or contract or other form of assistance pursuant to this title, whether received directly or indirectly from the Administration shall be subject to the provisions of Section 371 of Title 18, United States Code.

2. Fiscal Conditions:

a. Procedures will be established which assure proper disbursement of, and accounting for grant funds and required non-federal expenditures (if any) that meet the requirement of the State of New Jersey to the federal government as specified in the Act.

b. Accounting procedures provide for an accurate and timely recording of receipt of funds by source, of expenditures made from such funds, and of unexpended balances. Controls will be established which are adequate to ensure that expenditures charged to subgrant activities are for allowable purposes and that documentation is readily available to verify that such charges are accurate.

c. Grant funds may not, without advance written approval by the SLEPA be obligated prior to the effective date or subsequent to the termination date of the grant period. Such obligations must be related to goods or services provided and utilized within the grant period.

d. Financial records of the grantee and its subgrantees and contractors, including books of original entry, source documents supporting accounting transactions, the general ledger, subsidiary ledgers, personnel and payroll records, cancelled checks, and related documents and records must be retained for a period of at least three years. The retention

period starts from the date of the submission of the final expenditure report or, for grants which are renewed annually from the date of the submission of the annual expenditure report.

Records must be retained beyond the three year period if an audit is in progress and/or the findings of a completed audit have not been resolved satisfactorily. If an audit is completed and the findings are resolved prior to the three year period, records will be retained until the end of the three year period. If the three year period has passed and no audit has been initiated, the records will be retained in accordance with other State and local law. If State or local law requires a longer period of record retention, access to the records will be allowed for purposes of a federal audit.

If after the 3 year period no audit has been initiated and State or local law does not require record retention beyond the three year period, subgrantees must receive prior approval from SLEPA before disposing of any grant records.

e. Subgrant expenditures must be reduced by applicable credits which refer to those receipts or reduction of expenditure-type transactions which offset or reduce expense items allocable to grants as direct or indirect costs. Examples of such transactions are: purchase discounts; rebates or allowances, recoveries or indemnities on losses; sale of publications, equipment and scrap; income from personal or incidental services; and adjustments of overpayments or erroneous charges.

Applicable credits may also arise when Federal funds are received or are available from sources other than the grant program involved to finance operations or capital items of the grantee. This includes costs arising from the use or depreciation of items donated or financed by the Federal Government to fulfill matching requirements under another grant program. These types of credits should likewise be used to reduce related expenditures in determining the rates or amount applicable to a given grant.

f. Subgrantees should follow State procurement practices and procedures as defined in Chapt. 198, Laws of 1971, "Local Public Contracts Law" and any amendments attached thereto, except where inconsistent with Attachment O, FMC 74-7. Federal circular 74-7 prescribes minimum standards required of all subgrantee procurement methods.

g. The conditions for grant assistance to any applicant, when an award is made and grant funds are accepted thereunder, will become a binding contractual commitment of the subgrantee. The applicant should satisfy itself that it has read, understands, and is willing to comply with these grant conditions and the rules and regulations incorporated therein concerning administration of grants established by the Law Enforcement Assistance Administration and the State Law Enforcement Planning Agency.

APPLICATION AUTHORIZATION

Authorization to submit application to the State Law Enforcement Planning Agency for a project entitled:

at an estimated total project cost of \$ _____.

The undersigned agrees upon approval of this project on behalf of the unit of government or State Agency to comply with the "Conditions Applicable to Grants Awarded" (Section B of this Application). Further, the undersigned certifies that the information contained in the "Non-Supplanting Certification" and the "Negative Environmental Impact Statement" is complete and accurate. The undersigned also certifies that the following procedures covering "Civil Rights Compliance," where required, and "A-95 Clearinghouse Review" have been undertaken and completed:

Civil Rights Compliance

- | | | |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------|--------------------------------|
| 1. An Equal Employment Opportunity Program (Affirmative Action Plan) covering the employment practices of the implementing agency has been executed and is available for review. | YES
<input type="checkbox"/> | NO
<input type="checkbox"/> |
| 2. The required certificate indicating existence of a written Equal Employment Opportunity Program has been filed with the State Law Enforcement Planning Agency either with this application or with a previously approved application involving the same implementing agency. | YES
<input type="checkbox"/> | NO
<input type="checkbox"/> |

Date certificate filed _____

A-95 Clearinghouse Review

- | | | |
|------------------------------------------------------------------------------------------------------------|---------------------------------|--------------------------------|
| 1. This application for federal assistance has been submitted to the appropriate clearinghouse for review. | YES
<input type="checkbox"/> | NO
<input type="checkbox"/> |
|------------------------------------------------------------------------------------------------------------|---------------------------------|--------------------------------|

Date submitted _____

- | | | |
|------------------------------------------------------------------------------|---------------------------------|--------------------------------|
| 2. Comments received (if any) have been included as part of the application. | YES
<input type="checkbox"/> | NO
<input type="checkbox"/> |
|------------------------------------------------------------------------------|---------------------------------|--------------------------------|

REFER TO THE APPLICANTS GUIDE FOR A DETAILED EXPLANATION OF BOTH CIVIL RIGHTS AND A-95 CLEARINGHOUSE REQUIREMENTS.

This application consists of the following attachments in addition to this form:

Section A

- Attachment 1: Description of Project
- Attachment 2: Project Budget
- Attachment 3: Non-Supplanting Certification
- Attachment 4: Negative Environmental Impact Statement

Section B

Conditions Applicable to Grants Awarded

Signature: _____

Name: _____

Title: _____

Mayor, Freeholder-Director, Chief Executive Officer, State Department Head

Unit of Government: _____

RESOLUTION APPROVING PARTICIPATION WITH THE STATE OF NEW JERSEY IN A STATE LAW ENFORCEMENT PLANNING AGENCY PROGRAM.

WHEREAS, the State Law Enforcement Planning Agency (SLEPA) is responsible for implementation of Title 1 of the "Omnibus Crime Control and Safe Streets Act of 1968 (as amended) and the Juvenile Justice and Delinquency Prevention Act of 1974 in New Jersey; and

WHEREAS, the _____ wishes to apply to SLEPA for funds in connection with a project entitled _____; and
(LOCAL AGENCY RESPONSIBLE FOR PROJECT)
(SHORT DESCRIPTIVE TITLE FROM ITEM 3, SLEPA FORM 101)

WHEREAS, the _____ has reviewed said application and finds approval thereof to be in the best interests of the municipality/county; and
(GOVERNING BODY/BOARD OF FINANCE OF GOVERNMENT UNIT)

WHEREAS, said project is a joint project between the State of New Jersey (SLEPA) and _____ for the purposes therein described;
(NAME OF UNIT OF GOVERNMENT)

NOW, THEREFORE, BE IT RESOLVED by the _____
(GOVERNING BODY/BOARD OF FINANCE OF GOVERNMENT UNIT)

(1) that as a matter of public policy _____ wishes to participate with the State of New Jersey (SLEPA) to the greatest extent possible; (2) that the Executive Director of SLEPA be and he is requested to accept said application on behalf of the municipality/county; and (3) that the appropriate fiscal officer will accept the funds in connection with said project from SLEPA and make disbursements in accordance with said application.
(UNIT OF GOVERNMENT)

CERTIFICATION OF RECORDING OFFICER

This is to certify that the foregoing Resolution is a true and correct copy of a resolution finally adopted at the meeting of the _____ held on the _____ day of _____, 19____ and duly recorded in my office; that all requirements of law pertaining to the conduct of said meeting and the passage of this resolution were observed; and that I am duly authorized to execute this certificate.
(GOVERNING BODY/BOARD OF FINANCE OF UNIT OF GOVERNMENT)

DATED this _____ day of _____, 19_____.

SEAL

(SIGNATURE OF CERTIFYING OFFICER)

(TITLE OF CERTIFYING OFFICER)

NEW JERSEY STATE LAW ENFORCEMENT PLANNING AGENCY

SUBGRANT AWARD

PROJECT TITLE	PROJECT NUMBER
IMPLEMENTING AGENCY/PROJECT DIRECTOR	SUBGRANT AMOUNT Federal State Buy-In _____ Total
SUBGRANTEE UNIT OF GOVERNMENT	DATE OF AWARD

In accordance with the provisions of Part B, C and E Title I, of the Omnibus Crime Control Act (P.L. 90-351) and the Juvenile Justice and Delinquency Prevention Act (P.L. 93-415) as amended and based on the appended application, the State Law Enforcement Planning Agency hereby awards to the above named Subgrantee a(n) _____ subgrant in the amount specified, for the purposes set forth in the approved application.

This subgrant is subject to the General Conditions set forth in the Federal Management Circulars 73-2, 74-4 and 74-7; the General Conditions for _____ subgrants promulgated by the State Law Enforcement Planning Agency (copy of which is attached hereto); all applicable Statutes of the State of New Jersey; the requirements of the federal government (U.S. Department of Justice) and the State Law Enforcement Planning Agency; and the requirements of the State of New Jersey for State and local financial accounting. It is subject also to any special conditions attached to this subgrant.

This Subgrant Award incorporates all conditions and representations contained or made in applicant's application form 101 hereto attached.

In compliance with Section 301 (c) of the Act, and in consideration of Section 303 (2) of the Act, the subgrantee hereby attests and affirms that it is the intention of the office of the chief elected official of the applicant unit of government to seek and assure that the required "hard cash match" funds in the amount of _____ will be designated, appropriated and expended for the project for which support is requested, within the duration of the subgrant period.

The subgrant shall become effective, as of the date of the award, upon return of the duplicate copy of this award, duly executed by the Chief Executive (Mayor, Freeholder-Director, or State Department Head) of the Subgrantee unit of government and will cover the period indicated below subject to revision by the State Law Enforcement Planning Agency.

FOR THE SUBGRANTEE:

**FOR THE STATE OF NEW JERSEY
STATE LAW ENFORCEMENT PLANNING AGENCY**

SIGNATURE OF MAYOR/FREEHOLDER DIRECTOR,
CHIEF EXECUTIVE OFFICER,
STATE AGENCY HEAD (SIGNATURE INDICATES
AGREEMENT TO ATTACHED CONDITIONS, IF ANY)

EXECUTIVE DIRECTOR, SLEPA

TYPED NAME OF OFFICIAL AND TITLE

SUBGRANT AWARD DATA

This award is subject to special conditions (attached)

Subgrant Number : _____

Date Application Received: _____

_____ to _____
SUBGRANT PERIOD

STATE LAW ENFORCEMENT PLANNING AGENCY

NOTICE OF APPEAL

Unit of Government: _____

Title of Application: _____

_____ Project Number _____

Date of Application Submission: _____

SLEPA Program Number: _____

It is hereby requested that a formal hearing be held pertinent to the denial of funding of the above identified application, in accord with the established procedures for appeal.

Name: _____

Signature: _____

Title: _____

MAYOR, FREEHOLDER-DIRECTOR, STATE DEPARTMENT HEAD

Date: _____

**STATE LAW ENFORCEMENT
PLANNING AGENCY
Trenton, New Jersey 08625**

INDIVIDUAL TIME AND SALARY REPORT

1. Applicant		2. Report Period (Month)	
3. Project Title		4. Grant No.	
5. Name	6. Employee No.	7. Social Security No.	
8. Title	9. Project Assignment		

DAILY TIME RECORD

DATE OF MONTH	TOTAL HOURS WORKED	HOURS WORKED ON PROJECT	DATE OF MONTH	TOTAL HOURS WORKED	HOURS WORKED ON PROJECT	DATE OF MONTH	TOTAL HOURS WORKED	HOURS WORKED ON PROJECT
1			11			21		
2			12			22		
3			13			23		
4			14			24		
5			15			25		
6			16			26		
7			17			27		
8			18			28		
9			19			29		
10			20			30		
						31		

10. Salary	HOURLY RATE	WEEKLY RATE	11. Monthly Total	TOTAL HOURS WORKED	HOURS WORKED ON PROJECT

APPORTIONMENT OF COMPENSATION

Charged to	Salary	Benefits	Total
State/Local			
Federal (SLEPA)			

CERTIFIED AND SUBMITTED AS TRUE AND CORRECT

12. Individual's Signature

13. Supervisor Project Director's Signature

INDIVIDUAL TIME AND SALARY REPORT INSTRUCTIONS

This form is to be used for personnel involved in funded grant projects and is to be held by the subgrantee with other accounting records until an audit is completed and all questions arising therefrom are resolved, or three years after completion of a project, whichever is sooner.

An individual must use this Form 105

- if the agency does not regularly use a standard time record and the individual is paid full-time with FEDERAL funds.
- if the individual is paid part-time with FEDERAL funds.
- if the individual's time is recorded as part-time in kind local share.
- if the individual's time is recorded as full-time in kind local share.

ITEM NUMBER

1. Name of agency, city or town which received the grant award.
2. Month for which the daily time is reported.
3. Title of awarded project.
4. Designated grant number.
5. Employee's name whose daily time record appears on the form.
6. Employee's identification number (if appropriate).
7. Employee's social security number.
8. Employee's regular title or job position.
9. Employee's job assignment as directly related to project activities.

DAILY TIME RECORD

Each work day should show the total number of hours worked in the first column and in the second column the total number of hours worked on project activities, e.g., a full-time project assignment would show 8 hrs. and 8 hrs., a part-time project assignment would show 8 hrs. and 4 hrs. or 8 hrs. and 2 hrs., etc.

10. Employee's salary should be designated as either the hourly or weekly rate.
11. Designate the hours worked for the whole month as total hours worked and total hours worked on project.

APPORTIONMENT OF COMPENSATION

This will summarize the monthly salary and fringe benefits dollar value for use in gathering information for the regular quarterly narrative report.

12. Employees whose time records are recorded on this form must sign and certify the correctness of the report.
13. The employee's supervisor should also sign to verify the accuracy of the report.

STATE OF NEW JERSEY
STATE LAW ENFORCEMENT PLANNING AGENCY
QUARTERLY NARRATIVE REPORT
(Submit in Duplicate)

For SLEPA Use Only

Date Rec'd. _____

Analyst _____

Chief _____

Refer to _____

Comments Attached

IMPLEMENTING AGENCY _____ SUBGRANT NO. _____

STREET ADDRESS _____ PHONE NO. _____

CITY _____ ZIP NO. _____

For Quarter:

- January 1 to March 31
- April 1 to June 30
- July 1 to September 30
- October 1 to December 31
- Other/Final Report _____

Project Duration (if SLEPA approved extension, use latest date)

From _____

To _____

1. GOALS (List the goals from the body of the grant application).

2. OBJECTIVES (List the objectives from the body of the grant application).

3. ACTIVITIES (Specific activities related to achievement of goals and objectives)

a.

b.

c.

d.

e.

f.

4. SUMMARY OF PROJECT PROGRESS (Relate to goals, objectives and activities, highlighting significant accomplishments and problems. Quantify where possible).

5. EQUIPMENT RECEIVED DURING QUARTER:

6. PROJECT DIRECTOR'S COMMENTS:

TYPED NAME AND SIGNATURE OF PROJECT DIRECTOR

DATE

STATE OF NEW JERSEY
STATE LAW ENFORCEMENT PLANNING AGENCY

DETAILED COST STATEMENT – CASH REPORT/CASH REQUEST
(SUBMIT IN TRIPLICATE)

1. Unit of Government _____
 2. Implementing Agency _____
 3. Project Address: _____

 4. Subgrant # _____
 5. Project Duration:
 From _____
 To _____

6. Date of this Report: _____
 7. Report # _____
 8. Report Period:
 a. For Month of _____
 b. For Quarter
 January 1 to March 31
 April 1 to June 30
 July 1 to September 30
 October 1 to December 31
 c. Other period _____

06

BUDGET CATEGORIES	APPROVED PROJECT BUDGET			THIS REPORT PERIOD'S EXPENDITURES			CUMULATIVE EXPENDITURES			CURRENT UNPAID OBLIGATIONS		
	SLEPA (FEDERAL)	REQUIRED HARD CASH MATCH		SLEPA (FEDERAL)	REQUIRED HARD CASH MATCH		SLEPA (FEDERAL)	REQUIRED HARD CASH MATCH		SLEPA (FEDERAL)	REQUIRED HARD CASH MATCH	
		STATE BUY-IN PROVISION	STATE/LOCAL CASH		STATE BUY-IN PROVISION	STATE/LOCAL CASH		STATE BUY-IN PROVISION	STATE/LOCAL CASH		STATE BUY-IN PROVISION	STATE/LOCAL CASH
A. Salaries & Wages												
1. Regular criminal justice personnel												
2. Other Staff												
Fringe Benefits												
B. Purchase of Services												
C. Travel, etc.												
D. Consumable Supplies												
E. Facilities, etc.												
F. Equipment												
G. Indirect Cost												
TOTALS												

Implementing Agency _____ Subgrant # _____

Project Title _____

CASH REPORT

	SLEPA FUNDS (ONLY)	STATE BUY-IN FUNDS (ONLY)	STATE SHARE (ONLY)
1. Project Status: <input type="checkbox"/> Ready to begin <input type="checkbox"/> In operation <input type="checkbox"/> Completed			
2. Cash on hand – beginning of period	\$ _____	_____	_____
3. ADD: cash received during period	_____	_____	_____
cash in-transit	_____	_____	_____
4. SUBTOTAL: Cash available during period	_____	_____	_____
5. DEDUCT: cash disbursed during period	_____	_____	_____
6. SUBTOTAL: cash on hand	_____	_____	_____
7. DEDUCT: current unpaid obligations	_____	_____	_____
8. BALANCE: unobligated cash on hand	\$ _____	_____	_____

CASH REQUEST

9. Anticipated expenditures* of cash during the period of _____ *(DO NOT INCLUDE OBLIGATIONS FROM #7 ABOVE)	\$ _____	_____	_____
10. DEDUCT: unobligated cash on hand	_____	_____	_____
11. Cash requested from SLEPA	\$ _____	_____	_____

FAILURE TO SUBMIT FORM 100 SIGNED (Space labeled
"Payee Signature") WILL DELAY ADVANCES.

SUBGRANTEE CERTIFICATION: I certify that this information is taken from the Books of Account and that such costs are valid and consistent with the terms of the Grant.

PROJECT DIRECTOR _____

FINANCIAL OFFICER _____

FOR SLEPA USE:

Approved: _____

Posted: _____

Remarks: _____

INSTRUCTIONS FOR DETAILED COST STATEMENT, CASH REPORT, CASH REQUEST SLEPA FORM 107

The purpose of these instructions is to explain the procedures to be followed by each subgrantee in reporting to SLEPA on:

- The expenditure of funds in connection with the activities under each subgrant.
- Cash activity during the report period and the resulting cash status.
- The funds required in the immediate future to begin, continue or complete the approved activities under each subgrant.

The subgrantees are to use a revised three-part form in reporting to SLEPA. The sections of this report are:

- Detailed Cost Statement
- Cash Report
- Cash Request

The procedure for completing each section is covered in these instructions:

I. Frequency and Dates for Reporting

The required reporting frequency is on a calendar month basis for all sub-grants throughout the project duration, also including any grant extension period.

All reports are due 5 working days after the end of the reporting period, in triplicate.

Reports must be submitted for each active subgrant, even if additional funds are not being requested.

II. Detailed Cost Statement

The purpose of the Detailed Cost Statement is to provide SLEPA with necessary information on the expenditure of federal funds and matching State and/or local funds in connection with each subgrant. This report also is to provide SLEPA with necessary information on expenditures by approved cost categories and to compare expenditures to the approved project budget.

The information submitted in the Detailed Cost Statement, as well as the supporting accounting records, is subject to both federal and State audit for accuracy, completeness and compliance with the terms of the subgrant award.

The following explanations are to assist in the preparation of the Detailed Cost Statement.

1. The Approved Project Budget amounts must agree with the budget application approved by SLEPA. Any pending requests for budget modifications are not to be included until they are approved in writing by SLEPA.

2. Budget categories for reporting expenditures are the same as those on the project budget.

3. This report must show the expenditure in each category of SLEPA funds, State Buy-in funds, State Share, and subgrantee funds.

4. The section on cumulative expenditures must show all expenditures by cost category and by source of funds, since the beginning of the project.

5. The section on current unpaid obligations must show all unpaid obligations, by cost category and by source of funds, during the current report period.

The following guidelines should be considered when reporting unpaid obligations:

Category A, Salaries—Employee salaries earned but not paid during the report period are unpaid obligations.

Category A, Fringe Benefits—Any charges for fringe benefits not paid at the end of the report period are considered unpaid obligations.

Categories B, D, E and F—Unpaid obligations in these categories can be represented by signed purchase orders or contracts, especially when an encumbrance of funds is involved. Also, unpaid obligations must reflect any costs of services or goods received, but not paid at the end of the report period.

Category C, Travel—Unpaid obligations exist in the travel category when actual expenses have been incurred but not paid at the end of the report period.

6. Expenditures must be made from the source of funds (i.e. SLEPA, State Buy-in, State Share, Local) identified in the approved budget. As the end of the project period approaches, an analysis of the actual and projected expenditures by fund source should be made to insure that statutory minimum match funds will be expended. For example, in a 90/10 subgrant, a minimum of 10% of the total actual and projected expenditures must be from matching fund sources.

III. Cash Report

The purpose of the cash report is to provide SLEPA with necessary information on the receipt and disbursement of funds, and on existing cash balances.

Cash balances must be kept as close as possible to actual cash needs for the succeeding period.

The following explanations refer to items on the Cash Report form.

1. Cash on hand—beginning of the period. This amount must agree with the SLEPA, State Buy-in, and State Share cash on hand (item #6) on the previous report. (State Share pertains ONLY to State Agency grants.)

2. SLEPA, State Buy-in and State Share cash

received during the period. Consideration must be given to funds in-transit. This would include those funds requested on the prior months report but not yet received.

3. SLEPA, State Buy-in and State Share cash disbursed during the period. The amount (item #5) must agree with the reported expenditures of SLEPA State Buy-in and State Share funds reported on the accompanying Detailed Cost Statement.

4. Current unpaid obligations (item #7). This amount must agree with the reported current unpaid obligations of SLEPA, State Buy-in and State Share funds reported on the accompanying Detailed Cost Statement.

The last report submitted in the program period must include any unpaid obligations. These unpaid obligations will be reported as expenditures as they occur during the ninety (90) liquidation period following the project termination.

IV. Cash Request

The Cash Request is the basis for SLEPA disbursement of both Federal, State Share and State Buy-in funds to subgrantees. To insure that adequate funds are provided to cover the needs of the project, but that cash balances are not in excess of the project needs, subgrantees must report to SLEPA on their anticipated expenditure of funds. This information after cash on hand is deducted, will be the basis for cash disbursements from SLEPA.

It is necessary that all subgrantees estimate their expenditures of SLEPA, State Buy-in and State Share funds in the following manner:

1. Initial funding (SLEPA, State Share and State

Buy-in). Expenditures should be estimated for the first two months of the project. That is, for a project initially funded in June, expenditures should be estimated for June and July.

2. Subsequent funding—Expenditures should be estimated for the next two months. For example, on the Request submitted by July 5 which covers June activity, expenditures should be estimated for July and August. Similarly the August 5 request would have expenditures estimated for August and September.

3. Anticipated expenditures should not include the amount for unpaid obligations reported in the Cash Report section, allowances for unpaid obligations are considered when determining the unobligated cash balance.

4. The unobligated cash on hand is to be deducted from the anticipated expenditures.

V. Certification

Each report is to be certified by the Project Director and the Finance Officer designated in the approved project application. This certification covers all three sections of the report.

VI. Address for Submitting Reports

The report is to be sent to the following address:

Fiscal Officer
SLEPA
3535 Quakerbridge Road
Trenton, New Jersey 08625

STATE OF NEW JERSEY
STATE LAW ENFORCEMENT PLANNING AGENCY

BUDGET REVISION/GRANT EXTENSION REQUEST

(Submit in Triplicate)

BUDGET CATEGORIES	APPROVED PROJECT BUDGET			PROPOSED TRANSFERS			REQUESTED OPERATING BUDGET		
	SLEPA (FEDERAL)	REQUIRED HARD CASH MATCH		SLEPA (FEDERAL)	REQUIRED HARD CASH MATCH		SLEPA (FEDERAL)	REQUIRED HARD CASH MATCH	
		STATE BUY-IN PROVISION	STATE/LOCAL CASH		STATE BUY-IN PROVISION	STATE/LOCAL CASH		STATE BUY-IN PROVISION	STATE/LOCAL CASH
A. Salaries & Wages									
1. Regular criminal justice personnel									
2. Other Staff									
Fringe Benefits									
B. Purchase of Services									
C. Travel, etc.									
D. Consumable Supplies									
E. Facilities, etc.									
F. Equipment									
G. Indirect Cost									
TOTALS									

94

1. Unit of Government _____

2. Implementing Agency _____

3. Project Address: _____

4. Subgrant # _____

5. Project Duration:
From _____
To _____

6. Date of Request: _____

7. GRANT EXTENSION REQUEST

From _____

To _____

8. Subgrantee Certification:

Signature _____

PROJECT DIRECTOR

Signature _____

FINANCIAL OFFICER

FOR SLEPA USE

Approved: _____

Date: _____

Remarks: _____

INSTRUCTIONS

As stated in the General Conditions attached to all SLEPA grants, the subgrantee is permitted to transfer funds between budgetary categories, provided the transfer does not affect any category by an amount in excess of \$100 of the originally approved budget. Any transfer of funds between categories that will exceed the \$100 limitation requires prior written approval from SLEPA on this form (SLEPA 108). Any change made to the budget allotment within the discretionary limits of the grantee should be explained on the first monthly budget report which reflects the changes.

The following explanations are to assist in the preparation of the Budget Revision/Grant Extension Request.

1. Budget categories for reporting expenditures are the same as those on the project budget.
2. This request must show proposed changes in each category of SLEPA funds and required cash.
3. When completing the Budget Revision/Grant Extension Request, the columns under the heading *Approved Project Budget* should be used to depict the *present operating budget*. The present operating budget should be either that budget initially approved by the SLEPA Governing Board or, if prior revision(s) have been requested, the latest approved budget modification.
4. Columns headed *Proposed Transfers* are to be used to reflect dollar amounts and categories to be affected by the fund transfer (example: Category A +\$100; Category B -\$100). Changes in the subgrantee share as well as requested transfers of SLEPA funds must be reflected. Note that transferred amounts should total zero.
5. Columns headed *Requested Operating Budget* should reflect the newly proposed budget in its entirety. The total budgeted under SLEPA share should agree with the amount budgeted under *Approved Project Budget*.
6. Upon receipt of written approval of the Grant Revision and/or Extension Request, the proposed budget will become the project's new operating budget. New budgets amounts should be reflected on the subsequent Detailed Cost Statement. Do not report proposed changes prior to receipt of the written approval by SLEPA.

BUDGET REVISION NARRATIVE: Subgrantees should add as many continuation pages as necessary to relate the proposed changes to project activities and complete the required justification and explanation of those changes. Explain the sources to be utilized for any additional matching contributions. Enumerate those proposed changes of expenditure items that require prior approval, as specified in Bureau of Budget *Circular A-87*, *LEAA Financial Guide*, and *SLEPA Applicants Guide*, so prior approval may be considered at the time the request for budget revision is made.

Line items within categories which will be affected by the proposed fund transfer should be detailed in the narrative. Purchase of additional goods or services resulting from the budget modification should be itemized and explained. Goods or services to be deleted or continued at a reduced level in order to accommodate the proposed fund transfer should also be itemized and explained.

GRANT EXTENSION NARRATIVE: If a request for grant extension will also involve budget modification, instructions for the budget revision narrative should be followed. Additionally, the extension request must be forwarded to SLEPA prior to termination of the approved subgrant period. In an effort to aid analysis of the extension request, subgrantees are also encouraged to include in the narrative a projection of expenditures through the final approved month of the project. Such a projected cost schedule will provide SLEPA and the subgrantee with a financial basis for determining the length of the extension period.

STATE LAW ENFORCEMENT PLANNING AGENCY

CONSULTANT REPORTING FORM

Title of Grant _____

Subgrant No. _____

Unit of Government _____

Project No. _____

Grant Period

_____ to _____

Telephone Number _____

Project Director _____

Address _____

CONSULTANT

Agency Name _____

Telephone Number _____

Address _____

Telephone Number _____

Consultant Contact Person _____

Consultant Contract Attached for SLEPA Approval Yes No

Consultant Contract Previously submitted for SLEPA Approval Yes No

please explain

Consultant Contract Period: _____ to _____

Consultant Contract Amount: \$ _____

This form to be completed and submitted to the State Law Enforcement Planning Agency by the Subgrantee prior to engaging the services of a Consultant.

**TRANSFER ORDER
 EXCESS PERSONAL PROPERTY**

1. ORDER NO. _____

2. DATE _____

3. TO: GENERAL SERVICES ADMINISTRATION		4. ORDERING AGENCY (<i>Full name and address</i>)	
5. HOLDING AGENCY (<i>Name and address</i>)		6. SHIP TO (<i>Consignee and destination</i>)	
7. LOCATION OF PROPERTY		8. SHIPPING INSTRUCTIONS	
9. ORDERING AGENCY APPROVAL		10. APPROPRIATION SYMBOL AND TITLE	
SIGNATURE	DATE	11. ALLOTMENT	
TITLE			
12. GOVERNMENT B/L NO.			

13. PROPERTY ORDERED						
GSA AND HOLDING AGENCY NOS. (a)	ITEM NO. (b)	DESCRIPTION (<i>Include noun name, FSC Group and Class, Condition Code and, if available, Federal Stock Number</i>) (c)	UNIT (d)	QUANTITY (e)	ACQUISITION COST	
					UNIT (f)	TOTAL (g)
List Full Information						
XXXXXXXXXX	XXXX	XXXXXXXXXXXXXXXXXXXX Last Item	XXXX	XXXXXXXXXX	XXXXXXXXXX	XXXXXXXXXX

Applicant's Name
 Address
 Telephone No.
 Date

Program Analyst (Name)

 Approved

Est. Shipping Cost:
 \$ _____

The project listed on this document is for use by an LEAA Project Grantee in direct support of Subgrant No. _____ which expires on _____.

Title to the listed property shall be vested in LEAA and shall be returned to the Government upon expiration of the need or the Subgrant or at the request of the Government, which ever occurs first. This transaction is in accordance with the provisions of 41 CFR Part 101-43.

 For N. J. SLEPA

 Date

 N. J. State Representative, LEAA

 Date

FOR GSA USE ONLY	GSA APPROVAL			SIGNATURE	TITLE	DATE
	AGENCY AND LOCATION			FSC	CONDI- TION	SOURCE CODE
AGENCY	STATE					

INSTRUCTIONS FOR COMPLETING
“REQUEST FOR LOCATION OF EXCESS PERSONAL PROPERTY” FORM:

TO: As shown. For further information call the General Services Administration at 212-264-2620.

FROM: Enter requesting agency's name and address.

CONTACT/PHONE: Enter the name and telephone number of the person in the requesting agency to be contacted.

DATE: Enter the date the form is being submitted to GSA.

This section will be completed by the implementing state/local agency.

CONTACT DATE: Enter the date requested for response by GSA.

ITEM: Number each different item of equipment sequentially.

QUANTITY: Enter quantities for each item.

UNIT: Enter standard unit for each item, i.e., ea for each, dz for dozen, etc.

DESCRIPTION: Give complete description of each item requested.

This section will be completed by the Federal General Services Administration, Excess Personal Property Division, and the entire form will then be returned to you.

NOTE: If additional space is needed to complete the front of this form, kindly submit additional forms.

APPENDIX

STATE OF NEW JERSEY
EXECUTIVE DEPARTMENT
Executive Order No. 45

WHEREAS, the 90th Congress of the United States has enacted, and on June 19, 1968, the President has signed into law, legislation popularly referred to as the "Omnibus Crime Control and Safe Streets Act of 1968;" and

WHEREAS, Title I of the "Omnibus Crime Control and Safe Streets Act of 1968" authorizes grants to the states for creation of comprehensive statewide plans for improvement of law enforcement and the administration of criminal justice, and upon federal approval of such plans authorizes implementation grants to carry out their provisions; and

WHEREAS, modern, efficient, and fair law enforcement and criminal justice are of vital importance to the citizens of New Jersey; and

WHEREAS, the public interest of the citizens of New Jersey requires that the State fully implement the provisions of Title I of the "Omnibus Crime Control and Safe Streets Act of 1968" to strengthen local and State law enforcement procedures, facilities, personnel and techniques; and

WHEREAS, the "Omnibus Crime Control and Safe Streets Act of 1968" requires the Governor to designate a State agency having a specific composition of representatives empowered to apply for, receive, and administer federal grants thereunder;

NOW THEREFORE, I, Richard J. Hughes, Governor of the State of New Jersey, by virtue of the authority vested in me by the Constitution and by the statutes of this State do hereby ORDER and DIRECT:

1. (a) There is hereby created the New Jersey State Law Enforcement Planning Agency, in the Executive Office of the Governor, and subject to the jurisdiction of the Governor.

(b) The New Jersey State Law Enforcement Planning Agency (hereinafter referred to as the "Agency") shall consist of two parts, to wit, a Governing Board, and a staff under the supervision of an Executive Director (who shall also be the Administrator).

(c) The Governing Board shall consist of members chosen by the Governor to be representative of the police, prosecutive, corrections, and court functions on the State level; the police, prosecutive, corrections, and general government functions on the local level; and the public other than law enforcement personnel. Members of the Board shall serve without compensation, but within the limits of funds available therefor, shall be entitled to reasonable reimbursement for all necessary expenses incurred in the discharge of their duties.

(d) The Attorney General of New Jersey shall be Chairman of the Governing Board.

2. (a) The Agency shall be responsible to the Governor for the implementation of Title I of the "Omnibus Crime Control and Safe Streets Act of 1968" in the State of New Jersey.

(b) The Agency shall, at regular intervals, inform the Governor and the Legislature in writing as to developments regarding implementation of Title I of the "Omnibus Crime Control and Safe Streets Act of 1968" in the State of New Jersey.

(c) The Agency shall twice during each year summarize progress made in implementation of Title I of the "Omnibus Crime Control and Safe Streets Act of 1968" in written progress reports to the Governor, the Legislature, the Courts, and the chief executives of local government units within the State of New Jersey.

(d) The Governing Board shall maintain general oversight, review, evaluation, and approval of the law enforcement improvement activities of the Executive Director and staff pursuant to Title I of the "Omnibus Crime Control and Safe Streets Act of 1968," including development and revision of the State law enforcement plan, establishment of priorities for law enforcement improvement in the State, correlation with units of local government and law enforcement, and implementation of subgrants or allocations thereto.

(e) The Governor shall appoint the Executive Director, who shall serve at the pleasure of the Governor. Between meetings of the Governing Board, the Executive Director shall be available to the Governor for consultations or information relating to any matters concerning the work of the Agency.

(f) The Executive Director is hereby authorized, on behalf of the Agency, to call upon any department, office, division or agency of the State to supply such data, information, or assistance as shall be necessary to the discharge of the responsibilities of the Agency under this Order. Each department, office, division or agency of the State is hereby authorized and directed, to the extent not inconsistent with law, to provide such data, information or assistance to the Agency.

(g) The Executive Director may attend Cabinet conferences at the pleasure of the Governor.

(h) The Agency shall, relative to the subject matter of this Order, have the power to promulgate all necessary rules, regulations, and guidelines for local law enforcement planning applications, and for the administration of grants to local law enforcement agencies.

3. The New Jersey Council Against Crime, created under Executive Order No. 37, January 4, 1968, shall act in an advisory, a consulting, and a fact-finding capacity to the Agency, and shall, immediately after each of the Agency's said progress reports, be consulted for the advice and sense of the broader community represented by the Council Against Crime as to the prospective work of the Agency during the next ensuing report period.

4. This Order shall take effect immediately.

GIVEN, under my hand and seal this
13th day of August, in the
year of our Lord, one thousand
nine hundred and sixty-eight,
and of the Independence of
the United States, the one
hundred and ninety-third.

signed — Richard J. Hughes
GOVERNOR

Attest:

Acting Secretary to the Governor

**GENERAL SERVICES ADMINISTRATION
OFFICE OF FEDERAL MANAGEMENT POLICY**

**FMC 73-2: Audit of Federal Operations and Programs
by Executive Branch Agencies**

September 27, 1973

**TO THE HEADS OF EXECUTIVE
DEPARTMENTS AND ESTABLISHMENTS**

1. **Purpose.** This circular sets forth policies to be followed in the audit of Federal operations and programs by executive departments and establishments.

2. **Supersession.** This circular supersedes Office of Management and Budget Circular No. A-73, dated August 4, 1965.

3. **Policy intent.** The primary objectives of this circular are to promote improved audit practices, to achieve more efficient use of manpower, to improve coordination of audit efforts, and to emphasize the need for early audits of new or substantially changed programs.

4. **Applicability and scope.** The provisions of this circular are applicable to all executive departments and establishments. The terms "agency" and "Federal agency" throughout this circular are synonymous with the term "departments and establishments" as defined in FMC 73-1.

5. **Definitions.**

a. The term "audit" as used in this circular means a systematic review or appraisal to determine and report on whether:

- (1) Financial operations are properly conducted;
- (2) Financial reports are presented fairly;
- (3) Applicable laws and regulations have been complied with;
- (4) Resources are managed and used in an economical and efficient manner; and
- (5) Desired results and objectives are being achieved in an effective manner.

The above elements of an audit are most commonly referred to as financial/compliance (items 1, 2, and 3), economy/efficiency (item 4), and program results (item 5). Collectively, they represent the full scope of an audit and provide the greatest benefit to all potential users of government audits. In developing audit plans, however, the audit scope should be tailored to each specific program according to the circumstances relating to the program, the management needs to be met, and the capacity of the audit facilities.

b. The term "audit standards" refers to those standards set forth in the Standards for Audit of Governmental Organizations, Programs, Activities & Functions issued by the Comptroller General of the United States.

6. **Policies and procedures.** Agencies are responsible for providing adequate audit coverage of their programs as a constructive aid in determining whether funds have been applied efficiently, economically, effectively and in

a manner that is consistent with related laws, program objectives, and underlying agreements. The audit standards will be the basic criteria on which audit coverage and operations are based. Agencies administering Federal grant, contract, and loan programs will encourage the appropriate application of these standards by non-Federal audit staffs involved in the audit of organizations administering Federal programs. Each agency will implement the policies set forth in this circular by issuing policies, plans, and procedures for the guidance of its auditors.

a. **Organization and staffing.** Audit services in government are an integral part of the management process. Audit services and reports must be responsive to management needs. However, it is important in order to obtain the maximum benefit from this function that agency audit organizations have a sufficient degree of independence in carrying out their responsibilities. To provide an appropriate degree of independence, the audit organization should ordinarily be located outside the program management structure, report to an agency management level sufficiently high to ensure proper consideration of and action on audit results, and be given reasonable latitude in selecting and carrying out assignments. Adequate and qualified staff should be assigned this important function. The audit of all programs under a single Federal department or agency must be coordinated, and where economies and a more effective audit service will result, especially in large and geographically dispersed programs, the audit operations within a department should be consolidated. It is also important to establish close coordination between audit and such other management review activities as may exist in an agency.

b. **Determination of audit priorities.** Each agency will establish procedures requiring periodic review of its individual programs and operations to determine the coverage, frequency and priority of audit required for each. The review will include consideration of the following factors:

- (1) Newness, changed conditions, or sensitivity of the organization, program, activity, or function;
- (2) Its dollar magnitude and duration;
- (3) Extent of Federal participation either in terms of resources or regulatory authority;
- (4) Management needs to be met, as developed in consultation with the responsible program officials;
- (5) Prior audit experience, including the adequacy of the financial management system and controls;
- (6) Timeliness, reliability, and coverage of audit reports prepared by others, such as State and local governments and independent public accountants;
- (7) Results of other evaluations; e.g., inspections, program reviews, etc.;
- (8) Mandatory requirements of legislation or other congressional recommendations; and
- (9) Availability of audit resources.

c. **Cross-servicing arrangements.** To conserve manpower, promote efficiency, and minimize the impact of audits on the operations of the organizations subject to audit, each Federal agency will give full consideration to establishing cross-servicing arrangements under which one Federal agency will conduct audits for another—whenever such arrangements are in the best interest of the Federal Government and the organization being audited. This is particularly applicable in the Federal grant-in-aid and contract programs where two or more Federal agencies are frequently responsible for programs in the same organization or in offices located within the same geographical area. Under such circumstances, it will be the primary responsibility of the Federal agency with the predominant financial interest to take the initiative in collaborating with the other appropriate Federal agencies to determine the feasibility of one of the agencies' conducting audits for the others, and to work out mutually agreeable arrangements for carrying out the required audits on the most efficient basis.

d. **Reliance on non-Federal audits.** In developing audit plans, Federal agencies administering programs in partnership with organizations outside of the Federal Government will consider whether these organizations require periodic audits and whether the organizations have made or arranged for these audits. This consideration is especially necessary for those agencies that administer Federal grant-in-aid programs through State and local governments and which are subject to OMB Circular A-102, Attachment G. Attachment G provides standards for financial management systems of grant-supported activities of State and local governments and requires that such systems provide, at a minimum, for financial/compliance audits at least once every two years. Federal agencies will coordinate their audit requirements and approaches with these organizations to the maximum extent possible. The scope of individual Federal audits will give full recognition to the non-Federal audit effort. Reports prepared by non-Federal auditors will be used in lieu of Federal audits if the reports and supporting workpapers are available for review by the Federal agencies, if testing by Federal agencies indicates the audits are performed in accordance with generally accepted auditing standards (including the audit standards issued by the Comptroller General), and if the audits otherwise meet the requirements of the Federal agencies.

e. **Audit plans.** Based on the considerations set forth in b, c, and d, above, each agency will prepare an audit plan at least annually. At a minimum, such plans will reflect the:

- (1) Audit universe (all programs and operations subject to audit);
- (2) Programs and operations selected for audit, with priorities and specific reasons for selection;
- (3) Audit organization that will conduct the audit;
- (4) Audit cycle or frequency, the locations to be audited, and the reasons therefor;

(5) Scope of audit coverage to be provided and the reasons therefor; and

(6) Anticipated benefits to be obtained from the audits.

The plans should be adjusted as necessary to provide for audit coverage of unforeseen priorities.

f. **Coordination of audit work.** Federal agencies will coordinate and cooperate with each other in developing and carrying out their individual audit plans. Such actions will include continuous liaison; the exchange of audit techniques, objectives, and plans; and the development of audit schedules to minimize the amount of audit effort required. Federal agencies will encourage similar coordination and cooperation among Federal and non-Federal audit staffs where there is a common interest in the programs subject to audit.

g. **Reports.** Reporting standards are set forth in the Audit Standards for the guidance of Federal agencies. With respect to release of audit reports, each agency will establish policies regarding the release of audit reports outside the agency. Such policies will be in consonance with applicable laws, including the Freedom of Information Act, and, to the maximum extent possible, will provide for the dissemination of such reports in whole or in part to those interested in such information.

h. **Agency action on audit reports.** Each agency will provide policies for acting on audit recommendations. Timely action on recommendations by responsible management officials is an integral part of the effectiveness of an agency's audit system and has a direct bearing on it. Policies will provide for designating officials responsible for following up on audit recommendations, maintaining a record of the action taken on recommendations and time schedules for responding to and acting on audit recommendations, and submitting periodic reports to agency management on recommendations and action taken.

7. **Responsibilities.** Federal agencies will review the policies and practices currently followed in the audit of their operations and programs, and will initiate such action as is necessary to comply with the policies set forth in this circular. The head of each Federal agency will designate an official to serve as the agency representative on matters relating to the implementation of this circular. The name of the agency representative should be sent to the General Services Administration (AM), Washington, DC 20405, within 30 days after the receipt of this circular.

8. **Reporting requirement.** Each Federal agency will submit a report to the General Services Administration (AM), Washington, DC 20405, by December 31, 1973, on the action it has taken to implement the policies set forth in this circular. Specifically, the report will include actions taken on the issuance of policies, plans, and procedures for the guidance of its auditors; determination of audit priorities; new cross-servicing arrangements made; additional reliance on non-Federal audits; development of audit plans; and coordination of audit

work between Federal agencies and between Federal and non-Federal audit staffs. Reports will be submitted at 6-month intervals on the additional actions taken until the circular is fully implemented. Copies of agency issuances on the implementation of this circular will be submitted to the Office of Federal Management Policy, General Services Administration, upon request.

9. Inquiries. Further information concerning this circular may be obtained by contacting:
General Services Administration (AMF)
Washington, DC 20405

Telephone: IDS 183-7747
FTS 202-343-7747

**GENERAL SERVICES ADMINISTRATION
FEDERAL MANAGEMENT CIRCULAR
FMC 74-4**

EXECUTIVE OFFICE OF THE PRESIDENT

BUREAU OF THE BUDGET
WASHINGTON, D.C. 20503

July 18, 1974

FMC 74-4

**TO THE HEADS OF EXECUTIVE
DEPARTMENTS AND ESTABLISHMENTS**

SUBJECT: Principles for determining costs applicable to grants and contracts with State and local governments

1. **Purpose.** This Circular promulgates principles and standards for determining costs applicable to grants and contracts with State and local governments. They are designed to provide the basis for a uniform approach to the problem of determining costs and to promote efficiency and better relationships between grantees and their Federal counterparts.

2. **Coverage.** This Circular applies to all Federal agencies responsible for administering programs that involve grants and contracts with State and local governments. However, it does not apply to grants and

contracts with (a) publicly financed educational institutions subject to Bureau of the Budget Circular No. A-21, and (b) publicly owned hospitals and other providers of medical care subject to requirements promulgated by the sponsoring Federal agencies. Any other exceptions will be approved by the Bureau of the Budget in particular cases where adequate justification is presented.

3. **Cost principles.** The principles to be followed in determining costs are set forth in Attachment A. Standards with respect to the allowability of selected items of cost are set forth in Attachment B.

4. **Effective date.** The principles will be applied at the earliest practicable date but not later than January 1, 1969, with respect to State governments and January 1, 1970, with respect to local governments. This arrangement will permit prompt implementation in programs where that is possible, but also allow time for study and development of necessary procedures in more complex programs.

**PRINCIPLES FOR DETERMINING
COSTS APPLICABLE TO GRANTS
AND CONTRACTS**

WITH STATE AND LOCAL GOVERNMENTS

ATTACHMENT A
FMC 74-4

A. Purpose and scope.

1. **Objectives.** This Attachment sets forth principles for determining the allowable costs of programs administered by State and local governments under grants from and contracts with the Federal Government. The principles are for the purpose of cost determination and are not intended to identify the circumstances or dictate the extent of Federal and State or local participation in the financing of a particular grant. They are designed to provide that federally assisted programs bear their fair share of costs recognized under these principles, except where restricted or prohibited by law. No provision for profit or other increment above cost is intended.

2. **Policy guides.** The application of these principles is based on the fundamental premises that:

a. State and local governments are responsible for the efficient and effective administration of grant and contract programs through the application of sound management practices.

b. The grantee or contractor assumes the responsibility for seeing that federally assisted program funds have been expended and accounted for consistent with underlying agreements and program objectives.

c. Each grantee or contractor organization, in recognition of its own unique combination of staff facilities and experience, will have the primary responsibility for employing whatever form of organization and management techniques may be necessary to assure proper and efficient administration.

3. **Application.** These principles will be applied by all Federal agencies in determining costs incurred by State and local governments under Federal grants and cost reimbursement type contracts (including subgrants and subcontracts) except those with (a) publicly financed educational institutions subject to Bureau of the Budget Circular A-21, and (b) publicly owned hospitals and other providers of medical care subject to requirements promulgated by the sponsoring Federal agencies.

B. Definitions.

1. **Approval or authorization of the grantor Federal agency** means documentation evidencing consent prior to incurring specific cost.

2. **Cost allocation plan** means the documentation identifying, accumulating, and distributing allowable costs under grants and contracts together with the allocation methods used.

3. **Cost**, as used herein, means cost as determined on a cash, accrual, or other basis acceptable to the Federal

grantor agency as a discharge of the grantee's accountability for Federal funds.

4. **Cost objective** means a pool, center, or area established for the accumulation of cost. Such areas include organizational units, functions, objects or items of expense, as well as ultimate cost objectives including specific grants, projects, contracts, and other activities.

5. **Federal agency** means any department, agency, commission, or instrumentality in the executive branch of the Federal Government which makes grants to or contracts with State or local governments.

6. **Grant** means an agreement between the Federal Government and a State or local government whereby the Federal Government provides funds or aid in kind to carry out specified programs, services, or activities. The principles and policies stated in this Circular as applicable to grants in general also apply to any federally sponsored cost reimbursement type of agreement performed by a State or local government, including contracts, subcontracts and subgrants.

7. **Grant program** means those activities and operations of the grantee which are necessary to carry out the purposes of the grant, including any portion of the program financed by the grantee.

8. **Grantee** means the department or agency of State or local government which is responsible for administration of the grant.

9. **Local unit** means any political subdivision of government below the State level.

10. **Other State or local agencies** means departments or agencies of the State or local unit which provide goods, facilities, and services to a grantee.

11. **Services**, as used herein, means goods and facilities, as well as services.

12. **Supporting services** means auxiliary functions necessary to sustain the direct effort involved in administering a grant program or an activity providing service to the grant program. These services may be centralized in the grantee department or in some other agency, and include procurement, payroll, personnel functions, maintenance and operation of space, data processing, accounting, budgeting, auditing, mail and messenger service, and the like.

C. Basic guidelines.

1. **Factors affecting allowability of costs.** To be allowable under a grant program, costs must meet the following general criteria:

a. Be necessary and reasonable for proper and efficient administration of the grant program, be allocable thereto under these principles, and, except as specifically provided herein, not be a general expense required to carry out the overall responsibilities of State or local governments.

b. Be authorized or not prohibited under State or local laws or regulations.

c. Conform to any limitations or exclusions set forth in these principles, Federal laws, or other governing limitations as to types or amounts of cost

items.

d. Be consistent with policies, regulations, and procedures that apply uniformly to both federally assisted and other activities of the unit of government of which the grantee is a part.

e. Be accorded consistent treatment through application of generally accepted accounting principles appropriate to the circumstances.

f. Not be allocable to or included as a cost of any other federally financed program in either the current or a prior period.

g. Be net of all applicable credits.

2. Allocable costs.

a. A cost is allocable to a particular cost objective to the extent of benefits received by such objective.

b. Any cost allocable to a particular grant or cost objective under the principles provided for in this Circular may not be shifted to other Federal grant programs to overcome fund deficiencies, avoid restrictions imposed by law or grant agreements, or for other reasons.

c. Where an allocation of joint cost will ultimately result in charges to a grant program, an allocation plan will be required as prescribed in section J.

3. Applicable credits.

a. Applicable credits refer to those receipts or reduction of expenditure-type transactions which offset or reduce expense items allocable to grants as direct or indirect costs. Examples of such transactions are: purchase discounts; rebates or allowances; recoveries or indemnities on losses; sale of publications, equipment, and scrap; income from personal or incidental services; and adjustments of overpayments or erroneous charges.

b. Applicable credits may also arise when Federal funds are received or are available from sources other than the grant program involved to finance operations or capital items of the grantee. This includes costs arising from the use or depreciation of items donated or financed by the Federal Government to fulfill matching requirements under another grant program. These types of credits should likewise be used to reduce related expenditures in determining the rates or amounts applicable to a given grant.

D. Composition of cost.

1. **Total cost.** The total cost of a grant program is comprised of the allowable direct cost incident to its performance, plus its allocable portion of allowable indirect costs, less applicable credits.

2. **Classification of costs.** There is no universal rule for classifying certain costs as either direct or indirect under every accounting system. A cost may be direct with respect to some specific service or function, but indirect with respect to the grant or other ultimate cost objective. It is essential therefore that each item of cost be treated consistently either as a direct or an indirect cost. Specific guides for determining direct and indirect costs allocable under grant programs are provided in the

sections which follow.

E. Direct costs.

1. **General.** Direct costs are those that can be identified specifically with a particular cost objective. These costs may be charged directly to grants, contracts, or to other programs against which costs are finally lodged. Direct costs may also be charged to cost objectives used for the accumulation of costs pending distribution in due course to grants and other ultimate cost objectives.

2. **Application.** Typical direct costs chargeable to grant programs are:

a. Compensation of employees for the time and effort devoted specifically to the execution of grant programs.

b. Cost of materials acquired, consumed, or expended specifically for the purpose of the grant.

c. Equipment and other approved capital expenditures.

d. Other items of expense incurred specifically to carry out the grant agreement.

e. Services furnished specifically for the grant program by other agencies, provided such charges are consistent with criteria outlined in Section G. of these principles.

F. Indirect costs.

1. **General.** Indirect costs are those (a) incurred for a common or joint purpose benefiting more than one cost objective, and (b) not readily assignable to the cost objectives specifically benefited, without effort disproportionate to the results achieved. The term "indirect costs," as used herein, applies to costs of this type originating in the grantee department, as well as those incurred by other departments in supplying goods, services, and facilities, to the grantee department. To facilitate equitable distribution of indirect expenses to the cost objectives served, it may be necessary to establish a number of pools of indirect cost within a grantee department or in other agencies providing services to a grantee department. Indirect cost pools should be distributed to benefiting cost objectives on bases which will produce an equitable result in consideration of relative benefits derived.

2. **Grantee departmental indirect costs.** All grantee departmental indirect costs, including the various levels of supervision, are eligible for allocation to grant programs provided they meet the conditions set forth in this Circular. In lieu of determining the actual amount of grantee departmental indirect cost allocable to a grant program, the following methods may be used:

a. **Predetermined fixed rates for indirect costs.** A predetermined fixed rate for computing indirect costs applicable to a grant may be negotiated annually in situations where the cost experience and other pertinent facts available are deemed sufficient to enable the contracting parties to reach an informed judgment (1) as to the probable level of indirect costs in the grantee

department during the period to be covered by the negotiated rate, and (2) that the amount allowable under the predetermined rate would not exceed actual indirect cost.

b. **Negotiated lump sum for overhead.** A negotiated fixed amount in lieu of indirect costs may be appropriate under circumstances where the benefits derived from a grantee department's indirect services cannot be readily determined as in the case of small, self-contained or isolated activity. When this method is used, a determination should be made that the amount negotiated will be approximately the same as the actual indirect cost that may be incurred. Such amounts negotiated in lieu of indirect costs will be treated as an offset to total indirect expenses of the grantee department before allocation to remaining activities. The base on which such remaining expenses are allocated should be appropriately adjusted.

3. Limitation on indirect costs.

a. Federal grants may be subject to laws that limit the amount of indirect cost that may be allowed. Agencies that sponsor grants of this type will establish procedures which will assure that the amount actually allowed for indirect costs under each such grant does not exceed the maximum allowable under the statutory limitation or the amount otherwise allowable under this Circular, whichever is the smaller.

b. When the amount allowable under a statutory limitation is less than the amount otherwise allocable as indirect costs under this Circular, the amount not recoverable as indirect costs under a grant may not be shifted to another federally sponsored grant program or contract.

G. Cost incurred by agencies other than the grantee.

1. **General.** The cost of service provided by other agencies may only include allowable direct costs of the service plus a prorata share of allowable supporting costs (section B.12.) and supervision directly required in performing the service, but not supervision of a general nature such as that provided by the head of a department and his staff assistants not directly involved in operations. However, supervision by the head of a department or agency whose sole function is providing the service furnished would be an eligible cost. Supporting costs include those furnished by other units of the supplying department or by other agencies.

2. **Alternative methods of determining indirect cost.** In lieu of determining actual indirect cost related to a particular service furnished by another agency, either of the following alternative methods may be used provided only one method is used for a specific service during the fiscal year involved.

a. **Standard indirect rate.** An amount equal to ten percent of direct labor cost in providing the service performed by another State agency (excluding overtime, shift, or holiday premiums and fringe benefits) may be allowed in lieu of actual allowable indirect cost for that

service.

b. **Predetermined fixed rate.** A predetermined fixed rate for indirect cost of the unit or activity providing service may be negotiated as set forth in section F.2.a.

H. Cost incurred by grantee department for others.

1. **General.** The principles provided in section G. will also be used in determining the cost of services provided by the grantee department to another agency.

J. Cost allocation plan.

1. **General.** A plan for allocation of costs will be required to support the distribution of any joint costs related to the grant program. All costs included in the plan will be supported by formal accounting records which will substantiate the propriety of eventual charges.

2. **Requirements.** The allocation plan of the grantee department should cover all joint costs of the department as well as cost to be allocated under plans of other agencies or organizational units which are to be included in the costs of federally sponsored programs. The cost allocation plans of all the agencies rendering services to the grantee department, to the extent feasible, should be presented in a single document. The allocation plan should contain, but not necessarily be limited to, the following:

a. The nature and extent of services provided and their relevance to the federally sponsored programs.

b. The items of expense to be included.

c. The methods to be used in distributing cost.

3. **Approval of cost allocation plan.** The allocation plan for a given cost area or objective will serve all the Federal agencies involved.

a. At the State level, the Department of Health, Education, and Welfare will be responsible for the negotiation and approval of the cost allocation plans for central support services to grant programs. The approved plans will be accepted by other Federal agencies, unless an agency determines that the approved plan would result in significant inequitable or improper charges to programs for which it is responsible. The Department of Health, Education, and Welfare will collaborate with the other Federal agencies concerned in the development of guidance material concerning the cost allocation plan and in the negotiation and approval of the plan. It will also collaborate with the States concerning procedures for the administration of the cost allocation plan. The Department of Health, Education, and Welfare will be responsible for the audit of costs resulting from the cost allocation plan, the results of which will be accepted by other Federal agencies.

b. At the grantee department level in a State, and for local governments, Federal agencies will work towards the objective of designating a single Federal agency, the one with predominant interest, which will have responsibility similar to that set forth in a. above for the negotiation and approval of the cost allocation plan and for the audit of costs.

STANDARDS FOR SELECTED ITEMS OF COST

ATTACHMENT B FMC 74-4

A. Purpose and applicability.

1. **Objective.** This Attachment provides standards for determining the allowability of selected items of cost.

2. **Application.** These standards will apply irrespective of whether a particular item of cost is treated as direct or indirect cost. Failure to mention a particular item of cost in the standards is not intended to imply that it is either allowable or unallowable, rather determination of allowability in each case should be based on the treatment of standards provided for similar or related items of cost. The allowability of the selected items of cost is subject to the general policies and principles stated in Attachment A of this Circular.

B. Allowable costs.

1. **Accounting.** The cost of establishing and maintaining accounting and other information systems required for the management of grant programs is allowable. This includes cost incurred by central service agencies for these purposes. The cost of maintaining central accounting records required for overall State or local government purposes, such as appropriation and

fund accounts by the Treasurer, Comptroller, or similar officials, is considered to be a general expense of government and is not allowable.

2. **Advertising.** Advertising media includes newspapers, magazines, radio and television programs, direct mail, trade papers, and the like. The advertising costs allowable are those which are solely for:

a. Recruitment of personnel required for the grant program.

b. Solicitation of bids for the procurement of goods and services required.

c. Disposal of scrap or surplus materials acquired in the performance of the grant agreement.

d. Other purposes specifically provided for in the grant agreement.

3. **Advisory councils.** Costs incurred by State advisory councils or committees established pursuant to Federal requirements to carry out grant programs are allowable. The cost of like organizations is allowable when provided for in the grant agreement.

4. **Audit service.** The cost of audits necessary for the administration and management of functions related to grant programs is allowable.

5. **Bonding.** Costs of premiums on bonds covering employees who handle grantee agency funds are allowable.

6. **Budgeting.** Costs incurred for the development, preparation, presentation, and execution of budgets are allowable. Costs for services of a central budget office are generally not allowable since these are costs of general government. However, where employees of the central budget office actively participate in the grantee agency's budget process, the cost of identifiable services is allowable.

7. **Building lease management.** The administrative cost for lease management which includes review of lease proposals, maintenance of a list of available property for lease, and related activities is allowable.

8. **Central stores.** The cost of maintaining and operating a central stores organization for supplies, equipment, and materials used either directly or indirectly for grant programs is allowable.

9. **Communications.** Communication costs incurred for telephone calls or service, telegraph, teletype service, wide area telephone service (WATS), centrex, telpak (tie lines), postage, messenger service and similar expenses are allowable.

10. **Compensation for personal services.**

a. *General.* Compensation for personal services includes all remuneration, paid currently or accrued, for services rendered during the period of performance under the grant agreement, including but not necessarily limited to wages, salaries, and supplementary compensation and benefits (section B.13.). The costs of such compensation are allowable to the extent that total compensation for individual employees: (1) is reasonable for the services rendered, (2) follows an appointment made in accordance with State or local government laws and rules and which meets Federal merit system or other requirements, where applicable; and (3) is determined and supported as provided in b. below. Compensation for employees engaged in federally assisted activities will be considered reasonable to the extent that it is consistent with that paid for similar work in other activities of the State or local government. In cases where the kinds of employees required for the federally assisted activities are not found in the other activities of the State or local government, compensation will be considered reasonable to the extent that it is comparable to that paid for similar work in the labor market in which the employing government competes for the kind of employees involved. Compensation surveys providing data representative of the labor market involved will be an acceptable basis for evaluating reasonableness.

b. *Payroll and distribution of time.* Amounts charged to grant programs for personal services, regardless of whether treated as direct or indirect costs, will be based on payrolls documented and approved in accordance with generally accepted practice of the State or local agency. Payrolls must be supported by time and attendance or equivalent records for individual employees. Salaries and wages of employees chargeable

to more than one grant program or other cost objective will be supported by appropriate time distribution records. The method used should produce an equitable distribution of time and effort.

11. **Depreciation and use allowances.**

a. Grantees may be compensated for the use of buildings, capital improvements, and equipment through use allowances or depreciation. Use allowances are the means of providing compensation in lieu of depreciation or other equivalent costs. However, a combination of the two methods may not be used in connection with a single class of fixed assets.

b. The computation of depreciation or use allowance will be based on acquisition cost. Where actual cost records have not been maintained, a reasonable estimate of the original acquisition cost may be used in the computation. The computation will exclude the cost or any portion of the cost of buildings and equipment donated or borne directly or indirectly by the Federal Government through charges to Federal grant programs or otherwise, irrespective of where title was originally vested or where it presently resides. In addition, the computation will also exclude the cost of land. Depreciation or a use allowance on idle or excess facilities is not allowable, except when specifically authorized by the grantor Federal agency.

c. Where the depreciation method is followed, adequate property records must be maintained, and any generally accepted method of computing depreciation may be used. However, the method of computing depreciation must be consistently applied for any specific asset or class of assets for all affected federally sponsored programs and must result in equitable charges considering the extent of the use of the assets for the benefit of such programs.

d. In lieu of depreciation, a use allowance for buildings and improvements may be computed at an annual rate not exceeding two percent of acquisition cost. The use allowance for equipment (excluding items properly capitalized as building cost) will be computed at an annual rate not exceeding six and two-thirds percent of acquisition cost of usable equipment.

e. No depreciation or use charge may be allowed on any assets that would be considered as fully depreciated, provided, however, that reasonable use charges may be negotiated for any such assets if warranted after taking into consideration the cost of the facility or item involved, the estimated useful life remaining at time of negotiation, the effect of any increased maintenance charges or decreased efficiency due to age, and any other factors pertinent to the utilization of the facility or item for the purpose contemplated.

12. **Disbursing service.** The cost of disbursing grant program funds by the Treasurer or other designated officer is allowable. Disbursing services cover the processing of checks or warrants, from preparation to redemption, including the necessary records of accountability and reconciliation of such records with related cash accounts.

13. **Employee fringe benefits.** Costs identified under a.

and b. below are allowable to the extent that total compensation for employees is reasonable as defined in section B.10.

a. Employee benefits in the form of regular compensation paid to employees during periods of authorized absences from the job, such as for annual leave, sick leave, court leave, military leave, and the like, if they are: (1) provided pursuant to an approved leave system, and (2) the cost thereof is equitably allocated to all related activities, including grant programs.

b. Employee benefits in the form of employers' contribution or expenses for social security, employees' life and health insurance plans, unemployment insurance coverage, workmen's compensation insurance, pension plans, severance pay, and the like, provided such benefits are granted under approved plans and are distributed equitably to grant programs and to other activities.

14. **Employee morale, health and welfare costs.** The costs of health or first-aid clinics and/or infirmaries, recreational facilities, employees' counseling services, employee information publications, and any related expenses incurred in accordance with general State or local policy, are allowable. Income generated from any of these activities will be offset against expenses.

15. **Exhibits.** Costs of exhibits relating specifically to the grant programs are allowable.

16. **Legal expenses.** The cost of legal expenses required in the administration of grant programs is allowable. Legal services furnished by the chief legal officer of a State or local government or his staff solely for the purpose of discharging his general responsibilities as legal officer are unallowable. Legal expenses for the prosecution of claims against the Federal Government are unallowable.

17. **Maintenance and repair.** Costs incurred for necessary maintenance, repair, or upkeep of property which neither add to the permanent value of the property nor appreciably prolong its intended life, but keep it in an efficient operating condition, are allowable.

18. **Materials and supplies.** The cost of materials and supplies necessary to carry out the grant programs is allowable. Purchases made specifically for the grant program should be charged thereto at their actual prices after deducting all cash discounts, trade discounts, rebates, and allowances received by the grantee. Withdrawals from general stores or stockrooms should be charged at cost under any recognized method of pricing consistently applied. Incoming transportation charges are a proper part of material cost.

19. **Memberships, subscriptions and professional activities.**

a. **Memberships.** The cost of membership in civic, business, technical and professional organizations is allowable provided: (1) the benefit from the membership is related to the grant program, (2) the expenditure is for agency membership, (3) the cost of the membership is reasonably related to the value of the services or benefits received, and (4) the expenditure is not for membership in an organization which devotes a substantial part of its activities to influencing legislation.

b. **Reference material.** The cost of books, and subscriptions to civic, business, professional, and technical periodicals is allowable when related to the grant program.

c. **Meetings and conferences.** Costs are allowable when the primary purpose of the meeting is the dissemination of technical information relating to the grant program and they are consistent with regular practices followed for other activities of the grantee.

20. **Motor pools.** The costs of a service organization which provides automobiles to user grantee agencies at a mileage or fixed rate and/or provides vehicle maintenance, inspection and repair services are allowable.

21. **Payroll preparation.** The cost of preparing payrolls and maintaining necessary related wage records is allowable.

22. **Personnel administration.** Cost for the recruitment, examination, certification, classification, training, establishment of pay standards, and related activities for grant programs, are allowable.

23. **Printing and reproduction.** Cost for printing and reproduction services necessary for grant administration, including but not limited to forms, reports, manuals, and informational literature, are allowable. Publication costs of reports or other media relating to grant program accomplishments or results are allowable when provided for in the grant agreement.

24. **Procurement service.** The cost of procurement service, including solicitation of bids, preparation and award of contracts, and all phases of contract administration in providing goods, facilities and services for grant programs, is allowable.

25. **Taxes.** In general, taxes or payments in lieu of taxes which the grantee agency is legally required to pay are allowable.

26. **Training and education.** The cost of in-service training, customarily provided for employee development which directly or indirectly benefits grant programs is allowable. Out-of-service training involving extended periods of time is allowable only when specifically authorized by the grantor agency.

27. **Transportation.** Costs incurred for freight, cartage, express, postage and other transportation costs relating either to goods purchased, delivered, or moved from one location to another are allowable.

28. **Travel.** Travel costs are allowable for expenses for transportation, lodging, subsistence, and related items incurred by employees who are in travel status on official business incident to a grant program. Such costs may be charged on an actual basis, on a per diem or mileage basis in lieu of actual costs incurred, or on a combination of the two, provided the method used is applied to an entire trip, and results in charges consistent with those normally allowed in like circumstances in nonfederally sponsored activities. The difference in cost between first-class air accommodations and less-than-first-class air accommodations is unallowable except when less-than-first-class air accommodations are not reasonably available.

C. Cost allowable with approval of grantor agency

1. **Automatic data processing.** The cost of data processing services to grant programs is allowable. This cost may include rental of equipment or depreciation on grantee-owned equipment. The acquisition of equipment, whether by outright purchase, rental-purchase agreement or other method of purchase, is allowable only upon specific prior approval of the grantor Federal agency as provided under the selected item for capital expenditures.

2. **Building space and related facilities.** The cost of space in privately or publicly owned buildings used for the benefit of the grant program is allowable subject to the conditions stated below. The total cost of space, whether in a privately or publicly owned building, may not exceed the rental cost of comparable space and facilities in a privately owned building in the same locality. The cost of space procured for grant program usage may not be charged to the program for periods of nonoccupancy, without authorization of the grantor Federal agency.

a. *Rental cost.* The rental cost of space in a privately owned building is allowable.

b. *Maintenance and operation.* The cost of utilities, insurance, security, janitorial services, elevator service, upkeep of grounds, normal repairs and alterations and the like, are allowable to the extent they are not otherwise included in rental or other charges for space.

c. *Rearrangements and alterations.* Cost incurred for rearrangement and alteration of facilities required specifically for the grant program or those that materially increase the value or useful life of the facilities (section C.3.) are allowable when specifically approved by the grantor agency.

d. *Depreciation and use allowances on publicly owned buildings.* These costs are allowable as provided in section B.11.

e. *Occupancy of space under rental-purchase or a lease with option-to-purchase agreement.* The cost of space procured under such arrangements is allowable when specifically approved by the Federal grantor agency.

3. **Capital expenditures.** The cost of facilities, equipment, other capital assets, and repairs which materially increased the value or useful life of capital assets is allowable when such procurement is specifically approved by the Federal grantor agency. When assets acquired with Federal grant funds are (a) sold, (b) no longer available for use in a federally sponsored program, or (c) used for purposes not authorized by the grantor agency, the Federal grantor agency's equity in the asset will be refunded in the same proportion as Federal participation in its cost. In case any assets are traded on new items, only the net cost of the newly acquired assets is allowable.

4. Insurance and indemnification.

a. Costs of insurance required, or approved and maintained pursuant to the grant agreement, is allowable.

b. Costs of other insurance in connection with the general conduct of activities is allowable subject to the following limitations:

(1) Types and extent and cost of coverage will be in accordance with general State or local government policy and sound business practice.

(2) Costs of insurance or of contributions to any reserve covering the risk of loss of, or damage to, Federal Government property is unallowable except to the extent that the grantor agency has specifically required or approved such costs.

c. Contributions to a reserve for a self-insurance program approved by the Federal grantor agency are allowable to the extent that the type of coverage, extent of coverage, and the rates and premiums would have been allowed had insurance been purchased to cover the risks.

d. Actual losses which could have been covered by permissible insurance (through an approved self-insurance program or otherwise) are unallowable unless expressly provided for in the grant agreement. However, costs incurred because of losses not covered under nominal deductible insurance coverage provided in keeping with sound management practice, and minor losses not covered by insurance, such as spoilage, breakage and disappearance of small hand tools which occur in the ordinary course of operations, are allowable.

e. *Indemnification* includes securing the grantee against liabilities to third persons and other losses not compensated by insurance or otherwise. The Government is obligated to indemnify the grantee only to the extent expressly provided for in the grant agreement, except as provided in d. above.

5. **Management studies.** The cost of management studies to improve the effectiveness and efficiency of grant management for ongoing programs is allowable except that the cost of studies performed by agencies other than the grantee department or outside consultants is allowable only when authorized by the Federal grantor agency.

6. **Preagreement costs.** Costs incurred prior to the effective date of the grant or contract, whether or not they would have been allowable thereunder if incurred after such date, are allowable when specifically provided for in the grant agreement.

7. **Professional services.** Cost of professional services rendered by individuals or organizations not a part of the grantee department is allowable subject to such prior authorization as may be required by the Federal grantor agency.

8. **Proposal costs.** Costs of preparing proposals on potential Federal Government grant agreements are allowable when specifically provided for in the grant agreement.

D. Unallowable costs.

1. **Bad debts.** Any losses arising from uncollectible accounts and other claims, and related costs, are

unallowable.

2. **Contingencies.** Contribution to a contingency reserve or any similar provision for unforeseen events are unallowable.

3. **Contributions and donations.** Unallowable.

4. **Entertainment.** Costs of amusements, social activities, and incidental costs relating thereto, such as meals, beverages, lodgings, rentals, transportation, and gratuities, are unallowable.

5. **Fines and penalties.** Costs resulting from violations of, or failure to comply with Federal, State and local laws and regulations are unallowable.

6. **Governor's expenses.** The salaries and expenses of the Office of the Governor of a State or the chief executive of a political subdivision are considered a cost of general State or local government and are

unallowable.

7. **Interest and other financial costs.** Interest on borrowings (however represented), bond discounts, cost of financing and refinancing operations, and legal and professional fees paid in connection therewith, are unallowable except when authorized by Federal legislation.

8. **Legislative expenses.** Salaries and other expenses of the State legislature or similar local governmental bodies such as county supervisors, city councils, school boards, etc., whether incurred for purposes of legislation or executive direction, are unallowable.

9. **Underrecovery of costs under grant agreements.** Any excess of cost over the Federal contribution under one grant agreement is unallowable under other grant agreements.

UNIFORM ADMINISTRATIVE REQUIREMENTS FOR GRANTS-IN-AID TO STATE AND LOCAL GOVERNMENTS

Federal Management Circular FMC 74-7

ATTACHMENT A

CASH DEPOSITORIES

1. Except for situations described in 2., 3., and 4., below, no grant program shall:

a. Require physical segregation of cash depositories for Federal grant funds which are provided to a State or local government.

b. Establish any eligibility requirements for cash depositories, in which Federal grant funds are deposited by State or local governments.

2. A separate bank account may be used when payments under letter of credit are made on a "checks-paid" basis in accordance with agreements entered into

by a grantee, the Federal Government, and the banking institutions involved.

3. Any moneys advanced to the State or local governments which are determined to be "public moneys" (owned by the Federal Government) must be deposited in a bank with FDIC insurance coverage and the balances exceeding the FDIC coverage must be collaterally secure, as provided for in 12 U.S.C. 265.

4. Consistent with the national goal of expanding the opportunities for minority business enterprises, State and local governments shall be encouraged to use minority banks.

ATTACHMENT B

BONDING AND INSURANCE

1. Except for situations described in 2. and 3., below, Federal grantor agencies shall not impose bonding and insurance requirements, including fidelity bonds, over and above those normally required by the State or local units of government.

2. A State or local unit of government receiving a grant from the Federal Government which requires contracting for construction or facility improvement shall follow its own requirements relating to bid guarantees, performance bonds, and payment bonds except for contracts exceeding \$100,000. For contracts exceeding \$100,000, the minimum requirements shall be as follows:

a. *A bid guarantee from each bidder equivalent to five percent of the bid price.* The "bid guarantee" shall consist of a firm commitment such as a bid bond, certified check, or other negotiable instrument accompanying a bid as assurance that the bidder will, upon acceptance of his bid, execute such contractual

documents as may be required within the time specified.

b. *A performance bond on the part of the contractor for 100 percent of the contract price.*

"performance bond" is one executed in connection with a contract to secure fulfillment of all the contractor's obligations under such contract.

c. *A payment bond on the part of the contractor for 100 percent of the contract price.* A "payment bond" is one executed in connection with a contract to assure payment as required by law of all persons supplying labor and material in the execution of the work provided for in the contract.

3. Where the Federal Government guarantees the payment of money borrowed by the grantee, the Federal grantor agency may, at its discretion, require adequate bonding and insurance if the bonding and insurance requirements of a State or local government are not deemed to be sufficient to protect adequately the interest of the Federal Government.

ATTACHMENT C

RETENTION AND CUSTODIAL REQUIREMENTS FOR RECORDS

1. Federal grantor agencies shall not impose record retention requirements over and above those established by the State or local governments receiving Federal grants except that financial records, supporting documents, statistical records, and all other records pertinent to a grant program shall be retained for a period of three years, with the following qualifications:

a. The records shall be retained beyond the three-year period if audit findings have not been resolved.

b. Records for nonexpendable property which was acquired with Federal grant funds shall be retained for three years after its final disposition.

c. When grant records are transferred to or maintained by the Federal grantor agency, the three-year retention requirement is not applicable to the grantee.

2. The retention period starts from the date of the submission of the final expenditure report or, for grants which are renewed annually, from the date of the submission of the annual expenditure report.

3. State and local governments should be authorized, by the Federal grantor agency, if they so desire, to substitute microfilm copies in lieu of original records.

4. The Federal grantor agency shall request transfer of certain records to its custody from State and local governments when it determines that the records possess long-term retention value. However, in order to avoid duplicate recordkeeping a Federal grantor agency may make arrangements with State and local governments to retain any records which are continuously needed for joint use.

5. The head of the Federal grantor agency and the Comptroller General of the United States, or any of their duly authorized representatives, shall have access

to any books, documents, papers, and records of the State and local governments and their subgrantees which are pertinent to a specific grant program for the purpose of making audit, examination, excerpts and transcripts.

6. Unless otherwise required by law, no Federal grantor agency will place restrictions on State and local governments which will limit public access to the State and local governments' records except when records must remain confidential for the following reasons:

a. Prevent a clearly unwarranted invasion of personal privacy.

b. Specifically required by Executive order of statute to be kept secret.

c. Commercial or financial information obtained from a person or a firm on a privileged or confidential basis.

d. Any other information which can be exploited for the purpose of personal gains.

ATTACHMENT D

WAIVER OF "SINGLE" STATE AGENCY REQUIREMENTS

1. Requests to Federal grantor agencies from the Governors, or other duly constituted State authorities, for waiver of the "single" State agency requirements in accordance with section 204 of the Intergovernmental Cooperation Act of 1968 should be given expeditious handling and, whenever possible, an affirmative response should be made to such requests.

2. When it is necessary to refuse a request for waiver of the "single" State agency requirements under section 204, the Federal grantor agency handling such request

will so advise the Office of Management and Budget prior to informing the State that the request cannot be granted. Such advice should indicate the reasons for the denial of the request.

3. Future legislative proposals embracing grant-in-aid programs should avoid inclusion of proposals for "single" State agencies in the absence of compelling reasons to do otherwise. In addition, existing "single" State agency requirements in present grant-in-aid programs should be reviewed and legislative proposals should be developed for the removal of these restrictive provisions.

ATTACHMENT E

PROGRAM INCOME

1. Federal grantor agencies shall apply the standards set forth in this Attachment in requiring State and local government grantees to account for program income related to projects financed in whole or in part with Federal grant funds. For the purpose of this Attachment, program income means gross income earned by the grant-supported activities.

2. In accordance with Section 203 of the Intergovernmental Cooperation Act of 1968 (Public Law 90-577), the States and any agency or instrumentality of a State shall not be held accountable for interest earned on grant-in-aid funds, pending their disbursement for program purposes.

3. Units of local government shall be required to return to the Federal Government interest earned on advances of grant-in-aid funds in accordance with a

decision of the Comptroller General of the United States (42 Comp. Gen. 289).

4. Proceeds from the sale of real and personal property, either provided by the Federal Government or purchased in whole or in part with Federal funds, shall be handled in accordance with the Attachment to this Circular pertaining to Property Management, to be issued at a later date.

5. Royalties received from copyrights and patents during the grant period shall be retained by the grantee and, in accordance with the grant agreement, be either added to the funds already committed to the program or deducted from total project costs for the purpose of determining the net costs on which the Federal share of costs will be based. After termination or completion of the grant, the Federal share of royalties in excess of \$200 received annually shall be returned to the Federal

grantor agency in the absence of other specific agreements between the grantor agency and the grantee. The Federal share of royalties shall be computed on the same ratio basis as the Federal share of the total project cost.

6. All other program income earned during the grant period shall be retained by the grantee and, in accordance with the grant agreement, shall be:

a. Added to funds committed to the project by the grantor and grantee and be used to further eligible

program objectives, or

b. Deducted from the total project costs for the purpose of determining the net costs on which the Federal share of costs will be based.

7. Federal grantor agencies shall require the grantees to record the receipt and expenditure of revenues (such as taxes, special assessments, levies, fines, etc.) as a part of grant project transactions when such revenues are specifically earmarked for a grant project in accordance with grant agreements.

ATTACHMENT F

MATCHING SHARE

1. This Attachment sets forth criteria and procedures for the allowability and evaluation of cash and in-kind contributions made by State and local governments in satisfying matching share requirements of Federal grants.

2. The following definitions apply for the purpose of this Attachment:

a. *Project costs.* Project costs are all necessary charges made by a grantee in accomplishing the objectives of a grant during the grant period. For matching share purposes, project costs are limited to the allowable types of costs as set forth in Office of Management and Budget Circular No. A-87.

b. *Matching share.* In general, matching share represents that portion of project costs not borne by the Federal Government. Usually, a minimum percentage for matching share is prescribed by program legislation, and matching share requirements are included in the grant agreements.

c. *Cash contributions.* Cash contributions represent the grantee's cash outlay, including the outlay of money contributed to the grantee by other public agencies and institutions, and private organizations and individuals. When authorized by Federal legislation, Federal funds received from other grants may be considered as grantee's cash contributions.

d. *In-kind contributions.* In-kind contributions represent the value of noncash contributions provided by (1) the grantee, (2) other public agencies and institutions, and (3) private organizations and individuals. In-kind contributions may consist of charges for real property and equipment, and value of goods and services directly benefiting and specifically identifiable to the grant program. When authorized by Federal legislation, property purchased with Federal funds may be considered as grantee's in-kind contributions.

3. General guidelines for computing matching share are as follows:

a. Matching share may consist of:

(1) Charges incurred by the grantee as project costs. Not all charges require cash outlays during the

grant period by the grantee; examples are depreciation and use charges for buildings and equipment.

(2) Project costs financed with cash contributed or donated to the grantee by other public agencies and institutions, and private organizations and individuals.

(3) Project costs represented by services and real personal property, or use thereof, donated by other public agencies and institutions, and private organizations and individuals.

b. All in-kind contributions shall be accepted as part of the grantee's matching share when such contributions meet the following criteria:

(1) Are identifiable from the grantee's records;

(2) Are not included as contributions for any other federally-assisted program;

(3) Are necessary and reasonable for proper and efficient accomplishment of project objectives; and

(4) Conform to other provisions of this Attachment.

4. Specific procedures for the grantees in placing the value on in-kind contributions from private organizations and individuals are set forth below:

a. *Valuation of volunteer services.* Volunteer services may be furnished by professional and technical personnel, consultants, and other skilled and unskilled labor. Each hour of volunteer service may be counted as matching share if the service is an integral and necessary part of an approved program.

(1) *Rates for volunteer services.* Rates for volunteers should be consistent with those regular rates paid for similar work in other activities of the State or local government. In cases where the kinds of skills required for the federally-assisted activities are not found in the other activities of the grantee, rates used should be consistent with those paid for similar work in the labor market in which the grantee competes for the kind of services involved.

(2) *Volunteers employed by other organizations.* When an employer other than the grantee furnishes the services of an employee, these services shall be valued at the employee's regular rate of pay (exclusive of fringe benefits and overhead cost) provided these services are in

the same skill for which the employee is normally paid.

b. *Valuation of materials.* Contributed materials include office supplies, maintenance supplies or workshop and classroom supplies. Prices assessed to donated materials included in the matching share should be reasonable and should not exceed the cost of the materials to the donor or current market prices, whichever is less, at the time they are charged to the project.

c. *Valuation of donated equipment, buildings and land or use of space.*

(1) The method used for charging matching share for donated equipment, buildings, and land may differ depending upon the purpose of the grant as follows:

(a) If the purpose of the grant is to furnish equipment, buildings, or land to the grantee or otherwise provide a facility, the total value of the donated property may be claimed as a matching share.

(b) If the purpose of the grant is to support activities that require the use of equipment, buildings or land on a temporary or part-time basis, depreciation or use charges for equipment and buildings may be made; and fair rental charges for land may be made provided that the grantor agency has approved the charges.

(2) The value of donated property will be

determined as follows:

(a) *Equipment and buildings.* The value of donated equipment or buildings should be based on the donor's cost less depreciation or the current market prices of similar property, whichever is less.

(b) *Land or use of space.* The value of donated land or its usage charge should be established by an independent appraiser (i.e., private realty firm or GSA representatives) and certified by the responsible official of the grantee.

d. *Valuation of other charges.* Other necessary charges incurred specifically for and in direct benefit to the grant program in behalf of the grantee may be accepted as matching share provided that they are adequately supported and permissible under the law. Such charges must be reasonable and properly justifiable.

5. The following requirements pertain to the grantee's supporting records for in-kind contribution from private organizations and individuals:

a. The number of hours of volunteer services must be supported by the same methods used by the grantee for its employees.

b. The basis for determining the charges for personal services, material, equipment, buildings, and land must be documented.

ATTACHMENT G

STANDARDS FOR GRANTEE FINANCIAL MANAGEMENT SYSTEMS

1. This Attachment prescribes standards for financial management systems of grant-supported activities of State and local governments. Federal grantor agencies shall not impose additional standards on grantees unless specifically provided for in other Attachments to this Circular. However, grantor agencies are encouraged to make suggestions and assist the grantees in establishing or improving financial management systems when such assistance is needed or requested.

2. Grantee financial management systems shall provide for:

a. Accurate, current, and complete disclosure of the financial results of each grant program in accordance with Federal reporting requirements. When a Federal grantor agency requires reporting on an accrual basis and the grantee's accounting records are not kept on that basis, the grantee should develop such information through an analysis of the documentation on hand or on the basis of best estimates.

b. Records which identify adequately the source and application of funds for grant-supported activities. These records shall contain information pertaining to grant awards and authorizations, obligations,

unobligated balances, assets, liabilities, outlays, and income.

c. Effective control over and accountability for all funds, property, and other assets. Grantees shall adequately safeguard all such assets and shall assure that they are used solely for authorized purposes.

d. Comparison of actual with budgeted amounts for each grant. Also, relation of financial information with performance or productivity data, including the production of unit cost information whenever appropriate and required by the grantor agency.

e. Procedures to minimize the time elapsing between the transfer of funds from the U.S. Treasury and the disbursement by the grantee, whenever funds are advanced by the Federal Government. When advances are made by a letter-of-credit method, the grantee shall make drawdowns from the U.S. Treasury through his commercial bank as close as possible to the time of making the disbursements.

f. Procedures for determining the allowability and allocability of costs in accordance with the provisions of Office of Management and Budget Circular No. A-87.

g. Accounting records which are supported by source documentation.

h. Audits to be made by the grantee or at his direction to determine, at a minimum, the fiscal integrity

of financial transactions and reports, and the compliance with laws, regulations, and administrative requirements. The grantee will schedule such audits with reasonable frequency, usually annually, but not less frequently than once every two years, considering the nature, size, and complexity of the activity.

i. A systematic method to assure timely and appropriate resolution of audit findings and recommendations.

3. Grantees shall require subgrantees (recipients of grants which are passed through by the grantee) to adopt all of the standards in paragraph 2 above.

ATTACHMENT H

FINANCIAL REPORTING REQUIREMENTS

1. This Attachment prescribes requirements for grantees to report financial information to grantor agencies and to request advances and reimbursement when a letter-of-credit method is not used, and promulgates standard forms incident thereto.

2. The following definitions apply for the purposes of this Attachment:

a. *Accrued expenditures.* Accrued expenditures are the charges incurred by the grantee during a given period requiring the provision of funds for: (1) goods and other tangible property received; (2) services performed by employees, contractors, subgrantees, and other payees; and (3) amounts becoming owed under programs for which no current services or performance are required.

b. *Accrued income.* Accrued income is the earnings during a given period which is a source of funds resulting from (1) services performed by the grantee, (2) goods and other tangible property delivered to purchasers, and (3) amounts becoming owed to the grantee for which no current services or performance are required by the grantee.

c. *Disbursements.* Disbursements are payments in cash or by check.

d. *Federal funds authorized.* Funds authorized represent the total amount of the Federal funds authorized for obligations and establish the ceilings for obligation of Federal funds. This amount may include any authorized carryover of unobligated funds from prior fiscal years.

e. *In-kind contributions.* In-kind contributions represent the value of noncash contributions provided by (1) the grantee, (2) other public agencies and institutions, and (3) private organizations and individuals. In-kind contributions may consist of charges for real property and equipment, and value of goods and services directly benefiting and specifically identifiable to the grant program. When authorized by Federal legislation, property purchased with Federal funds may be considered as grantee's in-kind contributions.

f. *Obligations.* Obligations are the amounts of orders placed, contracts and grants awarded, services received, and similar transactions during a given period, which will require payment during the same or a future period.

g. *Outlays.* Outlays represent charges made to the

grant project or program. Outlays can be reported on a cash or accrued expenditure basis.

h. *Program income.* Program income represents earnings by the grantee realized from the grant-supported activities. Such earnings exclude interest income and may include, but will not be limited to, income from service fees, sale of commodities, usage or rental fees, sale of assets purchased with grant funds, and royalties on patents and copyrights. Program income can be reported on a cash or accrued income basis.

i. *Unobligated balance.* The unobligated balance is the portion of the funds authorized by the Federal agency which has not been obligated by the grantee and is determined by deducting the cumulative obligations from the funds authorized.

j. *Unpaid obligations.* Unpaid obligations represent the amount of obligations incurred by the grantee which have not been paid.

3. Only the following forms will be authorized for obtaining financial information from State and local governments for grants-in-aid programs.

a. *Financial Status Report (Exhibit 1)*

(1) Each Federal grantor agency shall require grantees to use the standard Financial Status Report to report the status of funds for all nonconstruction grant programs. The grantor agencies may, however, have the option of not requiring the Financial Status Report when the Request for Advance or Reimbursement (paragraph 4a) is determined to provide adequate information to meet their needs, except that a final Financial Status Report shall be required at the completion of the grant when the Request for Advance or Reimbursement form is used only for advances.

(2) The grantor agency shall prescribe whether the report shall be on a cash or accrual basis. If the grantor agency requires accrual information and the grantee's accounting records are not normally kept on the accrual basis, the grantee should develop such information through an analysis of the documentation on hand or on the basis of best estimates.

(3) The grantor agency shall determine the frequency of the Financial Status Report for each grant program considering the size and complexity of the particular program. However, the report shall not be required more frequently than quarterly or less

frequently than annually. Also, a final report shall be required at the completion of the grant.

(4) The original and two copies of the Financial Status Report shall be submitted 30 days after the end of each specified reporting period. In addition, final reports shall be submitted 90 days after the end of the grant period or the completion of the project or program. Extensions to reporting due dates may be granted when requested by the grantee.

b. Report of Federal Cash Transactions (Exhibit 2)

(1) When funds are advanced to grantees through letters of credit or with Treasury checks, the Federal grantor agencies shall require each grantee to submit a Report of Federal Cash Transactions. The Federal grantor agency shall use this report to monitor cash advanced to grantees and to obtain disbursement or outlay information for each grant or project from the grantees.

(2) Grantor agencies may require forecasts of Federal cash requirements in the Remarks section of the report.

(3) When practical and deemed necessary, the grantor agencies may require grantees to report in the Remarks section the amount of cash in excess of three days' requirements in the hands of subgrantees or other secondary recipients and to provide short narrative explanations of actions taken by the grantees to reduce the excess balances.

(4) Grantor agencies may accept the identical information from the grantees in a machine-usable format in lieu of the Report of Federal Cash Transactions.

(5) Grantees shall be required to submit the original and two copies of the Report of Federal Cash Transactions no later than 15 working days following the end of each quarter. For those grantees receiving annual grants totalling one million dollars or more, the Federal grantor agencies may require a monthly report.

(6) Grantor agencies may waive the requirement for submission of the Report of Federal Cash Transactions when monthly advances do not exceed \$10,000 per grantee provided that such advances are monitored through other forms contained in this Attachment or the grantee's accounting controls are adequate to minimize excessive Federal advances.

4. Except as noted below, only the following forms will be authorized for the grantees in requesting advances and reimbursements.

a. Request for Advance or Reimbursement (Exhibit 3)

(1) Each grantor agency shall adopt the Request for Advance or Reimbursement as the standard form for all nonconstruction grant programs when letters of credit or predetermined automatic advance methods are not used. Agencies, however, have the option of using this form for construction programs in lieu of the Outlay Report and Request for Reimbursement for Construction Programs (paragraph 4b).

(2) Grantees shall be authorized to submit requests for advances or reimbursement at least monthly when letters of credit are not used. Grantees shall submit the original and two copies of the Request for Advance or Reimbursement.

b. Outlay Report and Request for Reimbursement for Construction Programs (Exhibit 4)

(1) Each grantor agency shall adopt the Outlay Report and Request for Reimbursement for Construction Programs as the standard format to be used for requesting reimbursement for construction programs. The grantor agencies may, however, have the option of substituting the Request for Advance or Reimbursement (paragraph 4a) in lieu of this form when the grantor agencies determine that the former provides adequate information to meet their needs.

(2) Grantees shall be authorized to submit requests for reimbursement at least monthly when letters of credit are not used. Grantees shall submit the original and two copies of the Outlay Report and Request for Reimbursement for Construction Programs.

5. When the grantor agencies need additional information in using these forms, the following shall be observed:

a. When necessary to comply with legislative requirements, grantor agencies shall issue instructions to require grantees to submit such information under the Remarks section of the reports.

b. When necessary to meet specific program needs, grantor agencies shall submit the proposed reporting requirements to the Office of Management and Budget for approval under the exception provision of this Circular.

c. The grantor agency, in obtaining information as in paragraphs a and b above, must also comply with report clearance requirements of the Office of Management and Budget Circular No. A-40, as revised.

6. Federal grantor agencies are authorized to reproduce these forms. The forms for reproduction purposes can be obtained from the Office of Management and Budget and are available both in letter size and legal size; the larger size provides more space where large dollar amounts are involved.

ATTACHMENT I

MONITORING AND REPORTING OF PROGRAM PERFORMANCE

1. This Attachment sets forth the procedures for monitoring and reporting program performance under Federal grants. These procedures are designed to place greater reliance on State and local governments to manage the day-to-day operations of the grant-supported activities.

2. Grantees shall constantly monitor the performance under grant-supported activities to assure that time schedules are being met, projected work units by time periods are being accomplished, and other performance goals are being achieved. This review shall be made for each program, function, or activity of each grant as set forth in the approved grant application.

3. Grantees shall submit a performance report for each grant which briefly presents the following for each program, function, or activity involved:

a. A comparison of actual accomplishments to the goals established for the period. Where the output of grant programs can be readily quantified, such quantitative data should be related to cost data for computation of unit costs.

b. Reasons for slippage in those cases where established goals were not met.

c. Other pertinent information including, when appropriate, analysis and explanation of cost overruns or high unit costs.

4. Grantees shall submit the performance reports to grantor agencies with the Financial Status Reports, in the frequency established by Attachment H of this Circular. The grantor agency shall prescribe the frequency with which the performance reports will be

submitted with the Request for Advance or Reimbursement when that form is used in lieu of the Financial Status Report. In no case shall the performance reports be required more frequently than quarterly or less frequently than annually.

5. Between the required performance reporting dates, events may occur which have significant impact upon the project or program. In such cases, the grantee shall inform the grantor agency as soon as the following types of conditions become known:

a. Problems, delays, or adverse conditions which will materially affect the ability to attain program objectives, prevent the meeting of time schedules and goals, or preclude the attainment of project work units by established time periods. This disclosure shall be accompanied by a statement of the action taken, or contemplated, and any Federal assistance needed to resolve the situation.

b. Favorable developments or events which enable meeting time schedules and goals sooner than anticipated or producing more work units than originally projected.

6. If any performance review conducted by the grantee discloses the need for change in the budget estimates in accordance with the criteria established in Attachment K to this Circular, the grantee shall submit a request for budget revision.

7. The grantor agency shall make site visits as frequently as practicable to:

a. Review program accomplishments and management control systems.

b. Provide such technical assistance as may be required.

ATTACHMENT J

GRANT PAYMENT REQUIREMENTS

1. This Attachment establishes required methods of making grant payments to State and local governments that will minimize the time elapsing between the disbursement by a grantee and the transfer of funds from the United States Treasury to the grantee, whether such disbursement occurs prior to or subsequent to the transfer of funds.

2. Grant payments are made to grantees through a letter of credit, an advance by Treasury check, or a reimbursement by Treasury check. The following definitions apply for the purpose of this Attachment:

a. *Letter of credit.* A letter of credit is an instrument certified by an authorized official of a grantor agency which authorizes a grantee to draw funds when needed from the Treasury, through a Federal

Reserve Bank and the grantee's commercial bank, in accordance with the provisions of Treasury Circular No. 1075.

b. *Advance by Treasury check.* An advance by Treasury check is a payment made by a Treasury check to a grantee upon its request or through the use of predetermined payment schedules before payments are made by the grantee.

c. *Reimbursement by Treasury check.* A reimbursement by Treasury check is a payment made to a grantee with a Treasury check upon request for reimbursement from the grantee.

3. Except for construction grants for which the letter-of-credit method is optional, the letter-of-credit funding method shall be used by grantor agencies where all of the following conditions exist:

a. When there is or will be a continuing relationship between a grantee and a Federal grantor agency for at least a 12-month period and the total amount of advances to be received within that period from the grantor agency is \$250,000, or more, as prescribed by Treasury Circular No. 1075.

b. When the grantee has established or demonstrated to the grantor the willingness and ability to establish procedures that will minimize the time elapsing between the transfer of funds and their disbursement by the grantee.

c. When the grantee's financial management system meets the standards for fund control and accountability prescribed in Attachment G to this Circular, "Standards for Grantee Financial Management Systems."

4. The method of advancing funds by Treasury check shall be used, in accordance with the provisions of Treasury Circular No. 1075, when the grantee meets all of the requirements specified in paragraph 3 above except those in 3.a.

5. The reimbursement by Treasury check method shall be the preferred method when the grantee does not

meet the requirements specified in either or both of paragraphs 3.b. and 3.c. This method may also be used when the major portion of the program is accomplished through private market financing or Federal loans, and when the Federal grant assistance constitutes a minor portion of the program.

6. Unless otherwise required by law, grantor agencies shall not withhold payments for proper charges made by State and local governments at any time during the grant period unless (a) a grantee has failed to comply with the program objectives, grant award conditions, or Federal reporting requirements, or (b) the grantee is indebted to the United States and collection of the indebtedness will not impair accomplishment of the objectives of any grant program sponsored by the United States. Under such conditions, the grantor may, upon reasonable notice, inform the grantee that payments will not be made for obligations incurred after a specified date until the conditions are corrected or the indebtedness to the Federal government is liquidated.

7. Attachment H of this Circular, "Financial Reporting," provides for the procedures and forms for requesting advances or reimbursements.

ATTACHMENT K

BUDGET REVISION PROCEDURES

1. This Attachment promulgates criteria and procedures to be followed by Federal grantor agencies in requiring grantees to report deviations from grant budgets and to request approvals for budget revisions.

2. The grant budget as used in this Attachment means the approved financial plan for both the Federal and nonfederal shares to carry out the purpose of the grant. This plan is the financial expression of the project or program as approved during the grant application and award process. It should be related to performance for program evaluation purposes whenever appropriate and required by the grantor agency.

3. For nonconstruction grants, State and local governments shall request prior approvals promptly from grantor agencies for budget revisions whenever:

a. The revision results from changes in the scope or the objective of the grant-supported program.

b. The revision indicates the need for additional Federal funding.

c. The grant budget is over \$100,000 and the cumulative amount of transfers among direct cost object class budget categories exceeds or is expected to exceed \$10,000, or five percent of the grant budget, whichever is greater. The same criteria apply to the cumulative amount of transfers among programs, functions, and activities when budgeted separately for a grant, except that the grantor agency shall permit no transfer which would cause any Federal appropriation, or part thereof,

to be used for purposes other than those intended.

d. The grant budget is \$100,000, or less, and the cumulative amount of transfers among direct cost object class budget categories exceeds or is expected to exceed five percent of the grant budget. The same criteria apply to the cumulative amount of transfers among programs, functions, and activities when budgeted separately for a grant, except that the grantor agency shall permit no transfer which would cause any Federal appropriation, or part thereof, to be used for purposes other than those intended.

e. The revisions involve the transfer of amounts budgeted for indirect costs to absorb increases in direct costs.

f. The revisions pertain to the addition of items requiring approval in accordance with the provisions of Office of Management and Budget Circular No. A-87.

4. All other changes to nonconstruction grant budgets, except for the changes described in paragraph 6, do not require approval. These changes include (a) the use of grantee funds in furtherance of program objectives over and above the grantee minimum share included in the approved grant budget and (b) the transfer of amounts budgeted for direct costs to absorb authorized increases in indirect costs.

5. For construction grants, State and local governments shall request prior approvals promptly from grantor agencies for budget revisions whenever:

a. The revision results from changes in the scope or

the objective of the grant-supported programs.

b. The revision increases the budgeted amounts of Federal funds needed to complete the project.

6. When a grantor agency awards a grant which provides support for both construction and nonconstruction work, the grantor agency may require the grantee to request prior approval from the grantor agency before making any fund or budget transfers between the two types of work supported.

7. For both construction and nonconstruction grants, grantor agencies shall require State and local governments to notify the grantor agency promptly whenever the amount of Federal authorized funds is expected to exceed the needs of the grantee by more than \$5,000 or 5 percent of the Federal grant, whichever is

greater. This notification will not be required when applications for additional funding are submitted for continuing grants.

8. When requesting approval for budget revisions, grantees shall use the budget forms which were used in the grant application. However, grantees may request by letter the approvals required by the provisions of Office of Management and Budget Circular No. A-87.

9. Within 30 days from the date of receipt of the request for budget revisions, grantor agencies shall review the request and notify the grantee whether or not the budget revisions have been approved. If the revision is still under consideration at the end of 30 days, the grantor shall inform the grantee in writing as to when the grantee may expect the decision.

ATTACHMENT L

GRANT CLOSEOUT PROCEDURES

1. This Attachment prescribes uniform closeout procedures for Federal grants to State and local governments.

2. The following definitions shall apply for the purpose of this Attachment:

a. *Grant closeout.* The closeout of a grant is the process by which a Federal grantor agency determines that all applicable administrative actions and all required work of the grant have been completed by the grantee and the grantor.

b. *Date of completion.* The date when all work under a grant is completed or the date in the grant award document, or any supplement or amendment thereto, on which Federal assistance ends.

c. *Termination.* The termination of a grant means the cancellation of Federal assistance, in whole or in part, under a grant at any time prior to the date of completion.

d. *Suspension.* The suspension of a grant is an action by a Federal grantor agency which temporarily suspends Federal assistance under the grant pending corrective action by the grantee or pending a decision to terminate the grant by the grantor agency.

e. *Disallowed costs.* Disallowed costs are those charges to a grant which the grantor agency or its representative determines to be unallowable. (See Office of Management and Budget Circular No. A-87.)

3. All Federal grantor agencies shall establish grant closeout procedures which include the following requirements:

a. Upon request, the Federal grantor agency shall make prompt payments to a grantee for allowable reimbursable costs under the grant being closed out.

b. The grantee shall immediately refund to the grantor agency any unencumbered balance of cash advanced to the grantee.

c. The grantor agency shall obtain from the grantee within 90 days after the date of completion of the grant all financial, performance, and other reports required as a condition of the grant. The agency may grant extensions when requested by the grantee.

d. The grantor agency shall make a settlement for any upward or downward adjustments to the Federal share of costs after these reports are received.

e. The grantee shall account for any property acquired with grant funds, or received from the Government in accordance with the provisions of Attachment N to this Circular.

f. In the event a final audit has not been performed prior to the closeout of the grant, the grantor agency shall retain the right to recover an appropriate amount after fully considering the recommendations on disallowed costs resulting from the final audit.

4. All Federal grantor agencies shall provide procedures to be followed when a grantee has failed to comply with the grant award stipulations, standards, or conditions. When that occurs, the grantor agency may, on reasonable notice to the grantee, suspend the grant, and withhold further payments, or prohibit the grantee from incurring additional obligations of grant funds, pending corrective action by the grantee or a decision to terminate in accordance with paragraph 5.a. The grantor agency may allow all necessary and proper costs which the grantee could not reasonably avoid during the period of suspension provided that they meet the provisions of Office of Management and Budget Circular No. A-87.

5. Subject to the provisions of paragraph 7 of the basic Circular of which this Attachment is a part, all Federal grantor agencies shall provide for the systematic settlement of terminated grants including the following:

a. *Termination for cause.* The grantor agency may terminate any grant in whole, or in part, at any time

before the date of completion, whenever it is determined that the grantee has failed to comply with the conditions of the grant. The grantor agency shall promptly notify the grantee in writing of the determination and the reasons for the termination, together with the effective date. Payments made to grantees or recoveries by the grantor agencies under grants terminated for cause shall be in accord with the legal rights and liabilities of the parties.

b. *Termination for convenience.* The grantor agency or grantee may terminate grants in whole, or in

part, when both parties agree that the continuation of the project would not produce beneficial results commensurate with the further expenditure of funds. The two parties shall agree upon the termination conditions, including the effective date and, in the case of partial terminations, the portion to be terminated. The grantee shall not incur new obligations for the terminated portion after the effective date, and shall cancel as many outstanding obligations as possible. The Federal agency shall allow full credit to the grantee for the Federal share of the noncancellable obligations, properly incurred by the grantee prior to termination.

ATTACHMENT M

STANDARD FORMS FOR APPLYING FOR FEDERAL ASSISTANCE

1. This Attachment promulgates standard forms to be used by State and local governments in applying for all Federal grants except those Federal formula grant programs which do not require grantees to apply for Federal funds on a project basis.

2. The standard forms and their purposes are briefly described in the following paragraphs:

a. *Preapplication for Federal Assistance (Exhibit 1).* Preapplication for Federal Assistance is used to: (1) establish communication between the Federal grantor agency and the applicant; (2) determine the applicant's eligibility; (3) determine how well the project can compete with similar applications from others; and (4) eliminate any proposals which have little or no chance for Federal funding before applicants incur significant expenditures for preparing an application. Preapplication forms shall be required for all construction, land acquisition and land development projects or programs for which the need for Federal funding exceeds \$100,000. The Federal grantor agency may require the use of the preapplication form for other types of grant programs or those for which the Federal fund request is for \$100,000 or less. In addition, Federal agencies shall establish procedures allowing State and local government applicants to submit, if they so desire, the preapplication form when mandatory requirements for preapplication do not exist.

b. *Notice of Review Action (Exhibit 2).* The purpose of the Notice of Review Action is to inform the applicant of the results of the review of the preapplication forms which were submitted to Federal grantor agencies. The Federal grantor agency shall send a notice to the applicant within 45 days of the receipt of the preapplication form. When the review cannot be made within 45 days, the applicant shall be informed by letter as to when the review will be completed.

c. *Federal Assistance Application for Nonconstruction Programs (Exhibit 3).* The Federal Assistance Application for Nonconstruction Programs

form is designed to accommodate several programs and shall be used by the applicant for all actions covered by this Attachment except where the major purpose of the grant involves construction, land acquisition, or development or single-purpose and one-time grant applications for less than \$10,000 which do not require clearinghouse approval, an environmental impact statement, or the relocation of persons, businesses, or farms.

d. *Federal Assistance Application for Construction Programs (Exhibit 4).* The Federal Assistance Application for Construction Programs form shall be used for all grants where the major purpose of the program involves construction, land acquisition, and land development, except when the Application for Federal Assistance-Short Form (paragraph 2e) is used.

e. *Application for Federal Assistance—Short Form (Exhibit 5).* The Application for Federal Assistance-Short Form shall be used for all grants for single-purpose and one-time grant applications for less than \$10,000 not requiring clearinghouse approval, an environmental impact statement, or the relocation of persons, businesses, or farms. Federal grantor agencies may, at their discretion, authorize the use of this form for applications for larger amounts.

3. For all forms described herein, the following shall apply:

a. All requests by grantees for changes, continuations, and supplementals to approved grants shall be submitted on the same form as the original application. For these purposes, only the required pages of the forms should be submitted.

b. Grantor agencies may issue supplementary instructions to the standard forms to:

(1) Specify and describe the programs, functions, or activities which will be used to plan, budget, and evaluate the work under the grant programs.

(2) Provide amplification or specifics to the requirements for program narrative statements. These changes will require Office of Management and Budget approval under the provisions of paragraph 8 of the

basic Circular of which this Attachment is a part.

(3) Design report forms for additional information to meet legal and program management requirements. These forms shall be submitted for report form clearance in accordance with Office of Management and Budget Circular No. A-40, as revised.

c. Grantees shall submit the original and two copies of the application.

d. Federal grantor agencies are authorized to reproduce these forms. The forms for reproduction purposes can be obtained from the Office of Management and Budget.

ATTACHMENT N

PROPERTY MANAGEMENT STANDARDS

1. This Attachment prescribes uniform standards governing the utilization and disposition of property furnished by the Federal Government or acquired in whole or in part with Federal funds by State and local governments. Federal grantor agencies shall require State and local governments to observe these standards under grants from the Federal Government and shall not impose additional requirements unless specifically required by Federal law. The grantees shall be authorized to use their own property management standards and procedures as long as the provisions of this Attachment are included.

2. The following definitions apply for the purpose of this Attachment:

a. *Real property.* Real property means land, land improvements, structures and appurtenances thereto, excluding movable machinery and equipment.

b. *Personal property.* Personal property means property of any kind except real property. It may be tangible — having physical existence, or intangible — having no physical existence, such as patents, inventions, and copyrights.

c. *Nonexpendable personal property.* Nonexpendable personal property means tangible personal property having a useful life of more than one year and an acquisition cost of \$300 or more per unit. A grantee may use its own definition of nonexpendable personal property provided that such definition would at least include all tangible personal property as defined above.

d. *Expendable personal property.* Expendable personal property refers to all tangible personal property other than nonexpendable property.

e. *Excess property.* Excess property means property under the control of any Federal agency which, as determined by the head thereof, is no longer required for its needs.

3. Each Federal grantor agency shall prescribe requirements for grantees concerning the use of real property funded partly or wholly by the Federal Government. Unless otherwise provided by statute, such requirements, as a minimum, shall contain the following:

a. The grantee shall use the real property for the authorized purpose of the original grant as long as needed.

b. The grantee shall obtain approval by the grantor agency for the use of the real property in other projects when the grantee determines that the property is no longer needed for the original grant purposes. Use in other projects shall be limited to those under other Federal grant programs, or programs that have purposes consistent with those authorized for support by the grantor.

c. When the real property is no longer needed as provided in a. and b., above, the grantee shall return all real property furnished or purchased wholly with Federal grant funds to the control of the Federal grantor agency. In the case of property purchased in part with Federal grant funds, the grantee may be permitted to take title to the Federal interest therein upon compensating the Federal Government for its fair share of the property. The Federal share of the property shall be the amount computed by applying the percentage of the Federal participation in the total cost of the grant program for which the property was acquired to the current fair market value of the property.

4. Standards and procedures governing ownership, use, and disposition of nonexpendable personal property furnished by the Federal Government or acquired with Federal funds are set forth below:

a. *Nonexpendable personal property acquired with Federal funds.* When nonexpendable personal property is acquired by a grantee wholly or in part with Federal funds, title will not be taken by the Federal Government except as provided in paragraph 4a (4), but shall be vested in the grantee subject to the following restrictions on use and disposition of the property:

(1) The grantee shall retain the property acquired with Federal funds in the grant program as long as there is a need for the property to accomplish the purpose of the grant program whether or not the program continues to be supported by Federal funds. When there is no longer a need for the property to accomplish the purpose of the grant program, the grantee shall use the property in connection with other Federal grants it has received in the following order of priority:

(a) Other grants of the same Federal grantor agency needing the property.

(b) Grants of other Federal agencies needing the property.

(2) When the grantee no longer has need for the

property in any of its Federal grant programs, the property may be used for its own official activities in accordance with the following standards:

(a) *Nonexpendable property with an acquisition cost of less than \$500 and used four years or more.* The grantee may use the property for its own official activities without reimbursement to the Federal Government or sell the property and retain the proceeds.

(b) *All other nonexpendable property.* The grantee may retain the property for its own use provided that a fair compensation is made to the original grantor agency for the latter's share of the property. The amount of compensation shall be computed by applying the percentage of Federal participation in the grant program to the current fair market value of the property.

(3) If the grantee has no need for the property, disposition of the property shall be made as follows:

(a) *Nonexpendable property with an acquisition cost of \$1,000 or less.* Except for that property which meets the criteria of (2) (a) above, the grantee shall sell the property and reimburse the Federal grantor agency an amount which is computed in accordance with (iii) below.

(b) *Nonexpendable property with an acquisition cost of over \$1,000.* The grantee shall request disposition instructions from the grantor agency. The Federal agency shall determine whether the property can be used to meet the agency's requirement. If no requirement exists within that agency, the availability of the property shall be reported to the General Services Administration (GSA) by the Federal agency to determine whether a requirement for the property exists in other Federal agencies. The Federal grantor agency shall issue instructions to the grantee within 120 days and the following procedures shall govern:

(i) If the grantee is instructed to ship the property elsewhere, the grantee shall be reimbursed by the benefiting federal agency with an amount which is computed by applying the percentage of the grantee's participation in the grant program to the current fair market value of the property, plus any shipping or interim storage costs incurred.

(ii) If the grantee is instructed to otherwise dispose of the property, he shall be reimbursed by the Federal grantor agency for such costs incurred in its disposition.

(iii) If disposition instructions are not issued within 120 days after reporting, the grantee shall sell the property and reimburse the Federal grantor agency an amount which is computed by applying the percentage of Federal participation in the grant program to the sales proceeds. Further, the grantee shall be permitted to retain \$100 or 10 percent of the proceeds, whichever is greater, for the grantee's selling and handling expenses.

(4) Where the grantor agency determines that property with an acquisition cost of \$1,000 or more and financed solely with Federal funds is unique, difficult, or costly to replace, it may reserve title to such property,

subject to the following provisions:

(a) The property shall be appropriately identified in the grant agreement or otherwise made known to the grantee.

(b) The grantor agency shall issue disposition instructions within 120 days after the completion of the need for the property under the Federal grant for which it was acquired. If the grantor agency fails to issue disposition instructions within 120 days, the grantee shall apply the standards of 4a(1), 4a(2) (b), and 4a(3) (b).

b. *Federally-owned nonexpendable personal property.* Unless statutory authority to transfer title has been granted to an agency, title to Federally-owned property (property to which the Federal Government retains title including excess property made available by the Federal grantor agencies to grantees) remains vested by law in the Federal Government. Upon termination of the grant or need for the property, such property shall be reported to the grantor agency for further agency utilization or, if appropriate, for reporting to the General Services Administration for other Federal agency utilization. Appropriate disposition instructions will be issued to the grantee after completion of Federal agency review.

5. The grantees' property management standards for nonexpendable personal property shall also include the following procedural requirements:

a. Property records shall be maintained accurately and provide for: a description of the property; manufacturer's serial number or other identification number; acquisition date and cost; source of the property; percentage of Federal funds used in the purchase of property; location, use, and condition of the property; and ultimate disposition data including sales price or the method used to determine current fair market value if the grantee reimburses the grantor agency for its share.

b. A physical inventory of property shall be taken and the results reconciled with the property records at least once every two years to verify the existence, current utilization, and continued need for the property.

c. A control system shall be in effect to insure adequate safeguards to prevent loss, damage, or theft to the property. Any loss, damage, or theft of nonexpendable property shall be investigated and fully documented.

d. Adequate maintenance procedures shall be implemented to keep the property in good condition.

e. Proper sales procedures shall be established for unneeded property which would provide for competition to the extent practicable and result in the highest possible return.

6. When the total inventory value of any unused expendable personal property exceeds \$500 at the expiration of need for any Federal grant purposes, the grantee may retain the property or sell the property as long as he compensates the Federal Government for its

share in the cost. The amount of compensation shall be computed in accordance with 4a (2) (b).

7. Specific standards for control of intangible property are provided as follows:

a. If any program produces patents, patent rights, processes, or inventions, in the course of work aided by a Federal grant, such fact shall be promptly and fully reported to the grantor agency. The grantor agency shall determine whether protection on such invention or discovery shall be sought and how the rights in the invention or discovery — including rights under any patent issued thereon — shall be disposed of and

administered in order to protect the public interest consistent with "Government Patent Policy" (President's Memorandum for Heads of Executive Departments and Agencies, August 23, 1971, and Statement of Government Patent Policy as printed in 36 F.R. 16889).

b. Where the grant results in a book or other copyrightable material, the author or grantee is free to copyright the work, but the Federal grantor agency reserves a royalty-free, nonexclusive and irrevocable license to reproduce, publish, or otherwise use, and to authorize others to use the work for Government purposes.

ATTACHMENT O

PROCUREMENT STANDARDS

1. This Attachment provides standards for use by the State and local governments in establishing procedures for the procurement of supplies, equipment, construction, and other services with Federal grant funds. These standards are furnished to insure that such materials and services are obtained in an effective manner and in compliance with the provisions of applicable Federal law and Executive orders. No additional requirements shall be imposed by the Federal agencies upon the grantees unless specifically required by Federal law or Executive orders.

2. The Standards contained in this Attachment do not relieve the grantee of the contractual responsibilities arising under its contracts. The grantee is the responsible authority, without recourse to the grantor agency regarding the settlement and satisfaction of all contractual and administrative issues arising out of procurements entered into, in support of a grant. This includes but is not limited to: disputes, claims, protests of award, source evaluation or other matters of a contractual nature. Matters concerning violation of law are to be referred to such local, State, or Federal authority as may have proper jurisdiction.

3. Grantees may use their own procurement regulations which reflect applicable State and local law, rules and regulations provided that procurements made with Federal grant funds adhere to the standards set forth as follows:

a. The grantee shall maintain a code or standards of conduct which shall govern the performance of its officers, employees, or agents in contracting with and expending Federal grant funds. Grantee's officers, employees or agents, shall neither solicit nor accept gratuities, favors, or anything of monetary value from contractors or potential contractors. To the extent permissible by State or local law, rules or regulations, such standards shall provide for penalties, sanctions, or other disciplinary actions to be applied for violations of

such standards by either the grantee officers, employees, or agents, or by contractors or their agents.

b. All procurement transactions regardless of whether negotiated or advertised and without regard to dollar value shall be conducted in a manner so as to provide maximum open and free competition. The grantee should be alert to organizational conflicts of interest or noncompetitive practices among contractors which may restrict or eliminate competition or otherwise restrain trade.

c. The grantee shall establish procurement procedures which provide for, as a minimum, the following procedural requirements:

(1) Proposed procurement actions shall be reviewed by grantee officials to avoid purchasing unnecessary or duplicative items. Where appropriate, an analysis shall be made of lease and purchase alternatives to determine which would be the most economical, practical procurement.

(2) Invitations for bids or requests for proposals shall be based upon a clear and accurate description of the technical requirements for the material, product, or service to be procured. Such description shall not, in competitive procurements, contain features which unduly restrict competition. "Brand name or equal" description may be used as a means to define the performance or other salient requirements of a procurement, and when so used the specific features of the named brand which must be met by offerors should be clearly specified.

(3) Positive efforts shall be made by the grantees to utilize small business and minority-owned business sources of supplies and services. Such efforts should allow these sources the maximum feasible opportunity to compete for contracts to be performed utilizing Federal grant funds.

(4) The type of procuring instruments used (i.e., fixed price contracts, cost reimbursable contracts, purchase orders, incentive contracts, etc.), shall be

appropriate for the particular procurement and for promoting the best interest of the grant program involved. The "cost-plus-a-percentage-of-cost" method of contracting shall not be used.

(5) Formal advertising, with adequate purchase description, sealed bids, and public openings shall be the required methods of procurement unless negotiation pursuant to paragraph (6) below is necessary to accomplish sound procurement. However, procurements of \$2,500 or less need not be so advertised unless otherwise required by State or local law or regulations. Where such advertised bids are obtained the awards shall be made to the responsible bidder whose bid is responsive to the invitation and is most advantageous to the grantee, price and other factors considered. (Factors such as discounts, transportation costs, taxes may be considered in determining the lowest bid.) Invitations for bids shall clearly set forth all requirements which the bidder must fulfill in order for his bid to be evaluated by the grantee. Any or all bids may be rejected when it is in the grantee's interest to do so, and such rejections are in accordance with applicable State and local law, rules, and regulations.

(6) Procurements may be negotiated if it is impracticable and unfeasible to use formal advertising. Generally, procurements may be negotiated by the grantee if:

(a) The public exigency will not permit the delay incident to advertising;

(b) The material or service to be procured is available from only one person or firm; (All contemplated sole source procurements where the aggregate expenditure is expected to exceed \$5,000 shall be referred to the grantor agency for prior approval.)

(c) The aggregate amount involved does not exceed \$2,500;

(d) The contract is for personal or professional services, or for any service to be rendered by a university, college, or other educational institutions;

(e) The material or services are to be procured and used outside the limits of the United States and its possessions;

(f) No acceptable bids have been received after formal advertising;

(g) The purchases are for highly perishable materials or medical supplies, for material or services where the prices are established by law, for technical items or equipment requiring standardization and interchangeability of parts with existing equipment, for experimental, developmental or research work, for supplies purchased for authorized resale, and for technical or specialized supplies requiring substantial initial investment for manufacture;

(h) Otherwise authorized by law, rules, or regulations. Notwithstanding the existence of circumstances justifying negotiation, competition shall be obtained to the maximum extent practicable.

(7) Contracts shall be made only with

responsible contractors who possess the potential ability to perform successfully under the terms and conditions of a proposed procurement. Consideration shall be given to such matters as contractor integrity, record of past performance, financial and technical resources, or accessibility to other necessary resources.

(8) Procurement records or files for purchases in amounts in excess of \$2,500 shall provide at least the following pertinent information: justification for the use of negotiation in lieu of advertising, contractor selection, and the basis for the cost or price negotiated.

(9) A system for contract administration shall be maintained to assure contractor conformance with terms, conditions, and specifications of the contract or order, and to assure adequate and timely followup of all purchases.

4. The grantee shall include, in addition to provisions to define a sound and complete agreement, the following provisions in all contracts and subgrants:

a. Contracts shall contain such contractual provisions or conditions which will allow for administrative, contractual, or legal remedies in instances where contractors violate or breach contracts terms, and provide for such sanctions and penalties as may be appropriate.

b. All contracts, amounts for which are in excess of \$2,500, shall contain suitable provisions for termination by the grantee including the manner by which it will be effected and the basis for settlement. In addition, such contracts shall describe conditions under which the contract may be terminated for default as well as conditions where the contract may be terminated because of circumstances beyond the control of the contractor.

c. In all contracts for *construction* or facility improvement awarded in excess of \$100,000, grantees shall observe the bonding requirements provided in Attachment B to this Circular.

d. All contracts and subgrants in excess of \$10,000 shall include provisions for compliance with Executive Order No. 11246, entitled, "Equal Employment Opportunity," as supplemented in Department of Labor Regulations (41 CFR, Part 60). Each contractor or subgrantee shall be required to have an affirmative action plan which declares that it does not discriminate on the basis of race, color, religion, creed, national origin, sex, and age and which specifies goals and target dates to assure the implementation of that plan. The grantee shall establish procedures to assure compliance with this requirement by contractors or subgrantees and to assure that suspected or reported violations are promptly investigated.

e. All contracts and subgrants for *construction* or repair shall include a provision for compliance with the Copeland "Anti-Kick Back" Act (18 U.S.C. 874) as supplemented in Department of Labor regulations (29 CFR, Part 3). This Act provides that each contractor or subgrantee shall be prohibited from inducing, by any

means, any person employed in the construction, completion, or repair of public work, to give up any part of the compensation to which he is otherwise entitled. The grantee shall report all suspected or reported violations to the grantor agency.

f. When required by the Federal grant program legislation, all *construction* contracts awarded by grantees and subgrantees in excess of \$2,000 shall include a provision for compliance with the Davis-Bacon Act (40 U.S.C. 276a to a-7) and as supplemented by Department of Labor regulations (29 CFR, Part 5). Under this Act contractors shall be required to pay wages to laborers and mechanics at a rate not less than the minimum wages specified in a wage determination made by the Secretary of Labor. In addition, contractors shall be required to pay wages not less often than once a week. The grantee shall place a copy of the current prevailing wage determination issued by the Department of Labor in each solicitation and the award of a contract shall be conditioned upon the acceptance of the wage determination. The grantee shall report all suspected or reported violations to the grantor agency.

g. Where applicable, all contracts awarded by grantees and subgrantees in excess of \$2,000 for *construction* contracts and in excess of \$2,500 for other contracts which involve the employment of mechanics or laborers shall include a provision for compliance with sections 103 and 107 of the Contract Work Hours and Safety Standards Act (40 U.S.C. 327-330) as supplemented by Department of Labor regulations (29 CFR, Part 5). Under section 103 of the Act, each contractor shall be required to compute the wages of every mechanic and laborer on the basis of a standard work day of 8 hours and a standard work week of 40 hours. Work in excess of the standard work-day or work-week is permissible provided that the worker is compensated at a rate of not less than 1 1/2 times the basic rate of pay for all hours worked in excess of 8 hours in any calendar day or 40 hours in the work week. Section 107 of the Act is applicable to construction work and provides that no laborer or mechanic shall be required to work in surroundings or under working conditions which are unsanitary, hazardous, or dangerous to his health and safety as determined under construction, safety, and health standards promulgated by the Secretary of Labor. These requirements do not

apply to the purchases of supplies or materials or articles ordinarily available on the open market, or contracts for transportation or transmission of intelligence.

h. Contracts or agreements, the principal purpose of which is to create, develop, or improve products, processes or methods; or for exploration into fields which directly concern public health, safety, or welfare; or contracts in the field of science or technology in which there has been little significant experience outside of work funded by Federal assistance, shall contain a notice to the effect that matters regarding rights to inventions, and materials generated under the contract or agreement are subject to the regulations issued by the Federal grantor agency and the grantee. The contractor shall be advised as to the source of additional information regarding these matters.

i. All negotiated contracts (except those of \$2,500 or less) awarded by grantees shall include a provision to the effect that the grantee, the Federal grantor agency, the Comptroller General of the United States, or any of their duly authorized representatives, shall have access to any books, documents, papers, and records of the contractor which are directly pertinent to a specific grant program for the purpose of making audit, examination, excerpts, and transcriptions.

j. Each contract of an amount in excess of \$2,500 awarded by a grantee or subgrantee shall provide that the recipient will comply with applicable regulations and standards of the Cost of Living Council in establishing wages and prices. The provision shall advise the recipient that submission of a bid or offer or the submittal of an invoice or voucher for property, goods, or services furnished under a contract or agreement with the grantee shall constitute a certification by him that amounts to be paid do not exceed maximum allowable levels authorized by the Cost of Living Council regulations or standards. Violations shall be reported to the grantor agency and the local Internal Revenue Service field office.

k. Contracts and subgrants of amounts in excess of \$100,000 shall contain a provision which requires the recipient to agree to comply with all applicable standards, orders, or regulations issued pursuant to the Clean Air Act of 1970. Violations shall be reported to the grantor agency and the Regional Office of the Environmental Protection Agency.

Title 28 – Judicial Administration
CHAPTER I – DEPARTMENT OF JUSTICE

PART 42 – NONDISCRIMINATION: EQUAL OPPORTUNITY: POLICIES AND PROCEDURES

**Subpart E – Equal Employment
Opportunity Guidelines**

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

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

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

By virtue of the authority vested in it by 5 U.S.C. 301, and section 501 of the Omnibus Crime Control and Safe Streets Act of 1968, Pub. L. 90-351, 82 Stat. 197, as amended, the Law Enforcement Assistance Administration hereby issues Title 28, Chapter I, Subpart E of Part 42 of the Code of Federal Regulations. In that the material contained herein is a matter relating to the grant program of the Law Enforcement Assistance Administration, the relevant provisions of the Administrative Procedure Act (5 U.S.C. 553) requiring notice of proposed rulemaking, opportunity for public participation, and delay in effective date are inapplicable.

**Subpart E – Equal Employment Opportunity
Guidelines**

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

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

**Subpart E – Equal Employment
Opportunity Guidelines**

§ 42.301 Purpose.

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

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

§ 42.302 Application.

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

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

(c) Assignments of compliance responsibility for Title VI of the Civil Rights Act of 1964 have been made by the Department of Justice to the Department of Health, Education, and Welfare, covering educational institutions and general hospital or medical facilities. Similarly, the Department of Labor, in pursuance of its authority under Executive Orders 11246 and 11375, has assigned responsibility for monitoring equal employment opportunity under government contracts with medical and educational institutions, and non-profit organizations, to the Department of Health, Education, and Welfare. Accordingly, monitoring responsibility

in compliance matters in agencies of the kind mentioned in this paragraph rests with the Department of Health, Education, and Welfare, and agencies of this kind are exempt from the provisions of this subpart, and are not responsible for the development of equal employment opportunity programs in accordance herewith.

(d) Each recipient of LEAA assistance within the criminal justice system which has 50 or more employees and which has received grants or subgrants of \$25,000 or more pursuant to and since the enactment of the Safe Streets Act of 1968, as amended, and which has a service population with a minority representation of 3 percent or more is required to formulate, implement and maintain an Equal Employment Opportunity Program relating to employment practices affecting minority persons and women within 120 days after either the promulgation of these amended guidelines, or the initial application for assistance is approved, whichever is sooner. Where a recipient has 50 or more employees, and has received grants or subgrants of \$25,000 or more, and has a service population with a minority representation of less than 3 percent, such recipient is required to formulate, implement, and maintain an equal employment opportunity program relating to employment practices affecting women. For a definition of "employment practices" within the meaning of this paragraph, see § 42.202(b).

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

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

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

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

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

§ 42.303 Evaluation of employment opportunities.

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

opportunities for minorities and women.

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

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

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

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

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

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

§ 42.304 Written Equal Employment Opportunity Program.

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

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

cate the racial/ethnic mix of the geographic area of assignments by the inclusion of minority population and percentage statistics.

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

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

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

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

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

(g) A detailed narrative statement setting forth the recipient's existing employment policies and practices as defined in § 42.202(b). Thus, for example, where testing is used in the employment selection process, it is not sufficient for the recipient to simply note the fact. The recipient should identify the test, describe the procedures followed in administering and scoring the test, state what weight is given to test scores, how a cut-off score is established and whether the test has been validated to predict or measure job performance and, if so, a detailed description of the validation study. Similarly detailed responses are required with respect to other employment policies, procedures, and practices used by the applicant.

(1) The statement should include the recipient's detailed analysis of existing employment policies, procedures, and practices as they relate to employment of minorities and women, (see § 42.303) and, where improvements are necessary, the statement should set forth in detail the specific steps the recipient will take for the achievement of full and equal employment opportunity. For example, The Equal Employment Opportunity Commission, in carrying out its responsibilities in ensuring compliance with Title VII has published Guidelines on Employee Selection Procedures (29 CFR Part 1607) which, among other things, pro-

scribes the use of employee selection practices, procedures and devices (such as tests, minimum educational levels, oral interviews and the like) which have not been shown by the user thereof to be related to job performance and where the use of such an unvalidated selection device tends to disqualify a disproportionate number of minority individuals or women for employment. The EEOC Guidelines set out appropriate procedures to assist in establishing and maintaining equal employment opportunities. Recipients of LEAA assistance using selection procedures which are not in conformity with the EEOC Guidelines shall set forth the specific areas of nonconformity, the reasons which may explain any such nonconformity, and, if necessary, the steps the recipient agency will take to correct any existing deficiency.

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

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

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

§ 42.305 Record keeping and certification.

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

I, (person filing the application) certify that the (criminal justice agency) has formulated an equal employment opportunity program in accordance with 28 CFR 42.301, et seq., Subpart E, and that it is on file in the Office of (name),

..... (address), (title), for review or audit by officials of the cognizant state planning agency or the Law Enforcement Assistance Administration, as required by relevant laws and regulations.

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

§ 42.306 Guidelines.

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

(b) Post award compliance reviews of recipient agencies will be scheduled by LEAA, giving priority to any recipient agencies which have a significant disparity between the percentage of minority persons in the service population and the percentage of minority employees in the agency. Equal employment program modification may be suggested by LEAA whenever identifiable referral or selection procedures and policies suggest to LEAA the appropriates of improved selection procedures and policies. Accordingly, any recipient agencies falling within this category are encouraged to develop recruitment, hiring or promotional guidelines under their equal employment opportunity program which will correct, in a timely manner, any identifiable employment impediments which may have contributed to the existing disparities.

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

§ 42.307 Obligations of recipients.

The obligation of those recipients subject to these Guidelines for the maintenance of an Equal Employment Opportunity Program shall continue for the period during which the LEAA assistance is extended to a recipient or for the period during which a comprehensive law enforcement plan filed pursuant to the Safe Streets Act is in effect within the State, whichever is longer, unless the assurances of compliance, filed by a recipient in accordance with § 42.204(a) (2), specify a different period.

§ 42.308 Noncompliance.

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

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

Dated August 24, 1973.

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

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

APPLICABILITY OF HATCH ACT PROVISIONS TO LOCAL AGENCY OFFICERS AND EMPLOYEES

The original Hatch Act ("an act to prevent pernicious political activities"), enacted in 1939, did not include state or local agency officers or employees. 53 Stat. 1147. The 1940 amendment, 54 Stat. 767, extended the Act to cover these individuals. In 1966, the laws relating to the organization of the United States Government, including the Hatch Act, were revised, codified, and enacted as Title 5 of the United States Code. Public Law 89-554. Hatch Act provisions thus reenacted in Title 5 were repealed, 80 Stat. 632, so that the appropriate statutory reference today is no longer to the Hatch Act, but to the applicable sections of said Title 5.

On October 15, 1974, the Federal Elections Campaign Act of 1971, Public Law 92-225, was amended. This law amended portions of the Hatch Act affecting state and local employees.

The specific section amended was 18 U.S.C. 1502(a)(3) which stated "that a state or local officer or employee may not take an active part in political management or in political campaigns". It was changed to read "(3) be a candidate for elective office."

The effect of this change is that State and local employees working under the auspices of LEAA grants may now take an active part in political management and in political campaigns, provided that such activities are not prohibited by State or local law. State and local employees working under the auspices of LEAA grants may not be candidates.

The definition of a "state or local officer or employee" appears in section 1501 (4) as follows:

"An individual employed by a state or local agency whose principal employment is in connection with an

activity which is financed in whole or in part by loans or grants made by the United States or a federal agency, but does not include—

- (A) an individual who exercises no functions in connection with that activity; or
- (B) an individual employed by an educational or research institution, establishment, agency, or system which is supported in whole or in part by a state or political subdivision thereof, or by a recognized religious, philanthropic, or cultural organization."

It is thus clear that, with some exceptions, officers and employees of a local government agency engaged in a LEAA financed activity are subject to chapter 15 if their principal employment is in connection with such activity. It has been held that a person's part time position may be his "principal employment" within the meaning of chapter 15. *Smyth v. United States Civil Service Commission*, 291 F. Supp. 568 (1968).

If the United States Civil Service Commission after a hearing determines that a violation of section 1502 has occurred warranting the dismissal of the officer or employee, it notifies him and his agency of such determination. If within 30 days after such notice the offending officer or employee has not been dismissed or, though dismissed, has been reappointed within 18 months, LEAA will be required to withhold from its grants to the agency to which notice was given an amount equal to 2 years' pay at the rate the officer or employee was receiving at the time of violation. Sections 1504 thru 1506. Details of procedure will be found in sections 1507 and 1508.

NEW JERSEY STATE LAW ENFORCEMENT PLANNING AGENCY

JOHN J. MULLANEY
Executive Director

ADMINISTRATION UNIT

RONALD D. SOST
Assistant Director

	Auditing Section	Bookkeeping Section	Office Administration & Supplies
Ronald J. Pizzullo Chief Fiscal Officer	Robert J. Caccese Supervisor	Albina B. Bothwell Supervisor of Accounts	Martin J. Wallace Supervisor
Frederick P. Schrenk Assistant Fiscal Officer	Michael J. Boccanfuso	Raymond E. Elmer	Luke J. Horvath Assistant
Anthony P. Higham	George J. Gallon	Lois M. Hackney	
Edward J. Politi Technical Specialists	Catherine L. Keegan	Ervin J. Kovacs	
	Ann L. Osborn	Gert T. Kowalski	
	Cynthia L. Rogers	Lynda M. Stier	
	Edward J. Tyson	Linda Tartaglia	

OPERATIONS UNIT

HAROLD F. DAMON
Assistant Director

	Police	Courts/ Ancillary Services	Juvenile Justice & Delinquency Prevention	Standards & Goals
Ulric A. Brandt Chief	Thomas J. O'Reilly Chief	John H. C. West Chief	Bernice L. Manshel Chief	Edward P. Strapp Project Director
William R. Bostic	Alan P. Beck	Venita A. Broughton	Terry L. Edwards Program Supervisor	Lucinda J. Cole
Rosemary Dempsey	Alvin J. Beveridge	Felix M. Cabarle	Wilma Solomon Planning Supervisor	S. Deon Henson
Vincent M. Pennacchi	Wayne P. Steneck	John A. Vrettos	Arnold Cohen	Martha A. Lackey
John J. Roman	Frank Devine Communications Specialist	Bernard A. Brenner Data Processing Analyst	Giles T. Dunn	Curtis A. Woods
			Dennis O'Hara	
			Margaret Williams	
			Eileen Wolpert	

PLANNING UNIT

DONALD J. APAI
Assistant Director

	Planning Section	Evaluation Team
Warren D. Blackshear Coordinator of Public Information	Stephen B. Faluvegi Supervising Planner Planners	William J. Brennan Principal Researcher
Kenneth J. Modzelewski Research Assistant	William J. Hoffman	David A. Larason
	Robert A. Muller	Gary Walters
	Joyce G. Salisbury	Linda Woltman
	Thomas Tucker	

SECRETARIAL STAFF

Verna N. Byrne, <i>Executive Secretary</i>	Christina M. Ammann	JoAnn Haney
	Julie M. Anderson	Elizabeth A. Innocenzi
	Roseann M. DiGaetano	Robin A. Landau
	Ann DeMuzio	Nelida Lopez
	Joanne Duron	Dolores A. McPhillips
	Lillian Edolo	Maureen Rightley
		Joyce Roberts
		Celeste C. Russo
		Sharon M. Senzick
		Jean M. Tafrow
		Diane M. Zola

