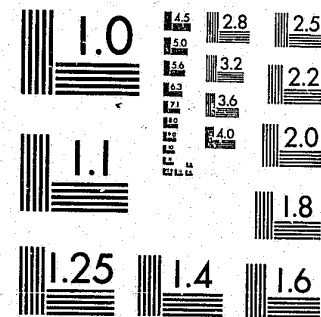


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National Institute of Justice
United States Department of Justice
Washington, D. C. 20531

DATE FILMED

7/13/81

Handbook

HB 4325.1C

COMPREHENSIVE PLAN AND PART C, PART E, AND
JJDP FORMULA GRANT REVIEW PROCEDURES



AUG 5 1976

UNITED STATES DEPARTMENT OF JUSTICE
LAW ENFORCEMENT ASSISTANCE ADMINISTRATION

Distribution: All RO Personnel; ORO and
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FOREWORD

ACQUISITIONS

1. PURPOSE. This handbook prescribes the review and processing procedures, with applicable forms and checklists for the receipt, review, and approval of comprehensive law enforcement and criminal justice plans and for advance and full Part C and Part E "block" action grant applications under the Omnibus Crime Control and Safe Streets Act of 1968, as amended. This handbook extends coverage of these procedures to the receipt, review, and approval of comprehensive juvenile justice and delinquency prevention plans and formula grant awards under the Juvenile Justice and Delinquency Prevention Act of 1974. The purposes served by these review procedures and instruments are:
 - a. To continue to provide a way to assure that all requirements of the Act and Guideline Manual M 4100.1E are met by the State's comprehensive plan, thereby providing a mechanism for action on the plan.
 - b. To permit analysis of major elements or aspects of all 55 comprehensive plans, permitting LEAA to develop a fuller and more comprehensive understanding of the activities and stages of development of the States in law enforcement and criminal justice and juvenile justice and delinquency prevention.
 - c. To permit analyses of major areas of State action and policy which bear on LEAA's national leadership role.
2. SCOPE. The provisions of this handbook apply to all action and formula grant applications. This handbook is to be followed by all persons involved in the receipt, review, and approval of State plans, "block" action grants and juvenile justice formula grants.
3. CANCELLATION. LEAA Handbook HB 4325.1B, Comprehensive Plan and Part C and Part E Review and Processing Procedures, dated August 15, 1975, is cancelled. Previous checklists used in review and processing should be discarded.
4. EXPLANATION OF CHANGES. Major changes found in this document revision are as follows:
 - a. Changes necessitated by the issuance of Guideline Manual M 4100.1E, State Planning Agency Grants, January 16, 1976, have been reflected in the revised requirements for plan review.

- b. Juvenile justice and delinquency prevention plan submission and formula grant application review and processing requirements have been incorporated into existing procedures. The juvenile justice portion of the General Review Checklist has been prepared by the Office of Juvenile Justice and Delinquency Prevention.
 - c. Multiyear plan submission processing and review criteria and procedures have been established. These procedures implement paragraph 4 of the foreword to M 4100.1E, which indicates that based on the extent to which FY 1977 plans meet established criteria for high standards of quality, Regional Administrators will be given authority to waive full annual re-submission of those elements which meet the LEAA criteria.
 - d. The General Review Checklist (Appendix 10) has been revised to serve both as an objective rating system aid for annual plan approval and as a base for approval of candidate plan components for multiyear status. Narrative responses, except in the juvenile delinquency area, have been removed from the checklist.
 - e. The Overall Analysis and Deficiency Resolution Memorandum (Appendix 11) has been clarified as to purpose and format, particularly as regards the need for analysis of major plan components and other plan elements for which multiyear status is sought. The requirement for the listing of specific deficiencies and proposed resolutions remains unchanged.
 - f. Grant Award notification requirements have been revised to reflect the introduction of standard form SF-424, Federal Assistance, award notification procedures.
5. REGIONAL OFFICE REVIEW REQUIREMENTS. Nothing in this handbook should be construed as prohibiting Regional Administrators from

establishing additional or complementary review or processing procedures, as circumstances require, for utilization by regional office staff in plan review and award.

J. Robert Grimes

J. ROBERT GRIMES
Assistant Administrator
Office of Regional Operations

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CHAPTER 1. BLOCK ACTION GRANT ADVANCES

SECTION 1. RECEIPT AND INITIAL PROCESSING

1. APPLICATION FORM AND SUBMISSION. Three copies of the "Application for Action Grant Advance Funds" [LEAA Form 4401/1 (4-75)] must be completed by the State Planning Agency (SPA) desiring an advance and submitted to the cognizant Law Enforcement Assistance Administration Regional Office. Requests for advance action funds are due in the cognizant Regional Office on August 31, 1976. Since comprehensive plans and full action grant applications are due the same date, however, advances should not be made unless there is a pressing need for such funds within 90 days (the period of time for review and approval of the plan and full action grant award). Advances of Juvenile Justice and Delinquency Prevention Act (OJJDP) funds are not made.
2. ACTION BY REGIONAL OFFICE APPLICATION CONTROL DESK. Upon receipt of the application, the Regional Office Application Control Desk will:
 - a. Time and date stamp the application and assign an application number. The structure of the Action Grant Application Number is as follows:
 - (1) Fiscal Year: Enter the two-digit fiscal year of the funds requested;
 - (2) State Code: Enter the two-digit numerical GSA State code of the States requesting funds;
 - (3) Type Funds: This field is used to indicate that the request is for action funds (Part C, Part E and Small State Supplement). Enter "A" for a request for action funds;
 - (4) Request Number: Enter the sequential number of the State's planning or action grant request, regardless of whether the request is for an advance or full award.

Sample: 77-01-A-02 indicates Alabama's second request for FY 1977 action funds.
 - b. Complete Copy 1, Items 1,2,3, and 5 of LEAA Form 1340/7, Block Grant Application Data (appendix 2). Forward copy 1, Notification of Application Receipt, to Grants and Contracts Management Division (GCMD), Office of the Comptroller, for entry into the PROFILE data base.
 - c. Complete Items 1 through 7 of the Advance Part C and Part E Action Grant Preliminary Processing Checklist, (appendix 1). If the response to Item 3 is "No", the application must be returned to the SPA for proper signature and further processing should not take place.

- d. Forward one copy of the application and the Preliminary Grant Processing Checklist to the proper State Representative.
- e. Prepare an application folder for the two remaining copies of the application and the remaining copies of Form 1340/7. File in a pending advanced action grant drawer by application number(s).
- f. Each month a computer printout entitled, "Status of Block Action Grant Applications", will be mailed to each Regional Office for verification of data base content. Notify GCMD of any discrepancies found on the printout or any changes required to the data.

3-4. RESERVED.

SECTION 2. REVIEW PROCEDURES

5. VARIATIONS IN REVIEW PROCEDURES. Processing assignments may vary due to differences in staffing levels among the Regional Offices. Because of this variation, the following review procedures may not be accomplished in every office by the staff member titled below.
6. REVIEW OF THE APPLICATION. The State Representative, the Financial Management Specialist, and the Director of Operations, each should review the application in turn and make recommendations. (Special conditions to the action grants for the previous fiscal year must be reviewed and all problems must be resolved prior to approval of the advance). If necessary, special conditions may be attached to an advance award form. However, the procedures outlined in this chapter should be modified so that a copy of the special conditions always accompanies the award form.
7. RECOMMENDATION OF APPROVAL. If the State Representative feels the advance should be granted based on his review, the Preliminary Grant Processing Checklist should be signed and forwarded with the application to the Financial Specialist and Director of Operations for review and problem resolution. If all reviewers recommend approval, Items 8, 9 and 10 of the Preliminary Grant Processing Checklist should be completed. The application and checklist are then forwarded to the person assigned to handle the post review processing as noted on the Preliminary Grant Processing Checklist, Item 7.
8. APPLICATIONS WHICH ARE NOT ACCEPTABLE. If the State Representative Financial Specialist, or Director of Operations finds that the application is not acceptable, the reasons should be discussed with the Regional Administrator. If he concurs, the State Representative drafts a letter of rejection to the SPA Director to be signed by the Regional Administrator. The application, Preliminary Grant Processing Checklist, and letter are forwarded to the person assigned to handle post review processing as noted on the Preliminary Grant Processing

Checklist. The letter should indicate the reasons why the application is not acceptable and negotiations with the SPA should be initiated to correct the deficiencies. If after suitable, well documented negotiations the Regional Administrator does not feel the application is acceptable, he should contact the Office of Regional Operations and the Office of General Counsel for advice on the applicant's hearing and appeal rights before formal rejection of the application.

9. RECOMMENDATION OF A PARTIAL AWARD.

- a. It is the responsibility of the State Representative to note Item 5 of the Preliminary Grant Processing Checklist which has been completed by the Application Control Desk. If the SPA is requesting funds in excess of the allowable limit, a lesser amount should then proceed as follows:
 - (1) If the application is otherwise suitable for approval, it will be handled just as any other acceptable application (see paragraph 7 above), except a letter to the SPA must immediately be prepared. It should state that an amount in excess of that shown in appendix 10 of Guideline Manual M 4100.1E State Planning Agency Grants, has been requested and therefore a lesser amount is being considered for award.
 - (2) If the application is not acceptable for other reasons, the excessive request should be noted by the State Representative in the letter to the SPA Director which is to be drafted (see paragraph 8).
- b. The application review should otherwise proceed according to the procedures set forth for applications in paragraphs 7 or 8.

SECTION 3. POST REVIEW PROCEDURES

10. RECEIPT OF THE REVIEWED APPLICATION. The State Representative should forward the following documents to the staff member who is assigned responsibility for post review processing as noted on the Preliminary Grant Processing Checklist.
 - a. The circulating copy of the application.
 - b. The Preliminary Grant Processing Checklist with Items 1 through 9 completed.
 - c. A rejection letter to the SPA Director, if the application is not acceptable.
 - d. A letter to the SPA Director notifying him of a lesser amount to be considered for award, if needed.

11. FURTHER PROCESSING OF APPLICATIONS RECOMMENDED FOR APPROVAL. The staff member responsible for post review processing shall pull the pending application folder and:

- a. Prepare the Advance Action Grant Award Form as shown in appendix 3 or appendix 4 excluding the assignment of a grant number and award date. If both a Part C and a Part E advance are to be awarded, two separate forms must be prepared.
- b. Prepare an undated standard transmittal letter to the Governor of the State. (See appendix 5 for suggested form.)
- c. Prepare an undated standard transmittal letter to the SPA Director (See appendix 6 for suggested form.)
- d. Submit a folder containing the following to the Regional Administrator for his review and approval. If both a Part C and a Part E advance are recommended for approval, two items are included for (4).
 - (1) One copy of the application.
 - (2) Preliminary Grant Processing Checklist.
 - (3) Copies 2 and 3 of LEAA Form 1340/7.
 - (4) Advance Action Grant Award Form.
 - (5) Standard transmittal letter to Governor.
 - (6) Standard transmittal letter to SPA Director.

12. FURTHER PROCESSING OF APPLICATIONS RECOMMENDED FOR APPROVAL AT LESS THAN THE AMOUNT REQUESTED. The staff member responsible for post review processing shall pull the pending application folder and:

- a. Follow and complete steps a, b and c of paragraph 11 above.
- b. Submit a folder containing the following to the Regional Administrator for his review and approval. If both a Part C and a Part E advance are recommended for approval, two items are included for (5):
 - (1) One copy of application.
 - (2) Preliminary Grant Processing Checklist.
 - (3) Copies 2 and 3 of LEAA Form 1340/7.

- (4) Copy of the letter notifying SPA of maximum allowable under M 4100.1E.
- (5) Advance Grant Award Form.
- (6) Standard transmittal letter to Governor.
- (7) Standard transmittal letter to SPA Director.

13. FURTHER PROCESSING OF APPLICATIONS WHICH ARE NOT ACCEPTABLE. The staff member responsible for post review processing shall pull the pending application folder and submit folder containing the following to the Regional Administrator.

- a. One copy of the application.
- b. Preliminary Grant Processing Checklist.
- c. Letter of rejection to the SPA Director.
- d. Copies 2 and 3 of LEAA Form 1340/7.

14. FINAL GRANT REVIEW AND APPROVAL OR NON-ACCEPTANCE. The Regional Administrator should make a final review of the materials presented to him in accordance with paragraphs 11, 12, or 13 above. If no problems are noted, he will sign the award(s) and transmittal letters or the rejection letter to the SPA Director. FINAL APPROVAL CAN BE MADE ONLY BY THE REGIONAL ADMINISTRATOR in accordance with his delegation of authority.

SECTION 4. POST AWARD OR NON-ACCEPTANCE PROCEDURES

15. INITIAL PROCEDURE. The staff member responsible for post review processing receives the complete folder of materials back from the Regional Administrator with his signature on the appropriate document(s). The pending application folder should be pulled from the pending grant drawer. This folder should contain two additional copies of the application.

16. PROCESSING AN APPLICATION WHICH IS NOT ACCEPTABLE. If the Regional Administrator has concurred that the advance is not approved, he will have signed a rejection letter to the SPA Director. The staff member responsible for post review will:

- a. Complete items 6 and 7 of LEAA Form 1340/7 and forward copy 2, Notification of Application Disposition, to GCMD for data base update.

- b. Mail the letter to the SPA Director.
- c. Establish a file for the following documents:
 - (1) Copy of the application.
 - (2) Preliminary Grant Processing Checklist.
 - (3) Copy of the rejection letter to the SPA Director.
 - (4) Copy 3 of LEAA Form 1340/7.

17. INITIAL POST AWARD PROCESSING. If the Regional Administrator has signed the Advance Part C and/or Part E Action Grant Award Form and standard transmittal letters, the staff member responsible for post review processing will complete Items 1 through 7 of the Post Award Checklist (appendix 7) as he does the following:

- a. Check the award form(s) for correct signature and award date. Award date will be seven full working days after the grant is signed, not counting the date of signature or the award date.
- b. Assign the grant number(s) as follows:
 - (1) Fiscal Year: Enter the two digit fiscal year of funds;
 - (2) Fund Type: This field indicates whether the award is for Part C, Part E, Juvenile Justice, or Small State Supplement. Enter "AF" for Part C, "EF" for Part E and "JF" for Juvenile Justice. The Small State Supplement will be assigned a discretionary grant award number.
 - (4) State Code: Enter two zeros and the two digit numerical GSA State code of the state receiving the award (e.g., 0001, 0011, etc.):

Sample: 77-AF-04-0001	Part C Award to Alabama
77-EF-04-0001	Part E Award to Alabama
77-JF-04-0001	Juvenile Justice Award to Alabama
77-DF-04-0001	Small State Supplement to Alabama
 - (5) Each time an additional or supplemental award is made, the grant award number is followed by the designator, S-1, S-2, etc., until the State has received the full approved allocation.
- c. Immediately make six copies of the completed grant award form(s)

and four copies of special conditions, if any.

- d. Review the Distribution Sheet to assure it contains the following:
 - (1) SPA address.
 - (2) Regional Office address.
 - (3) AP and UPI Wire Service Bureaus in the State.
 - (4) Major daily newspapers with statewide distribution.
 - e. Immediately telecopy the grant award form(s) to the Congressional Liaison Office.
 - f. Complete Copy 2, items 6, 7, 9, 10, and 11 where applicable, of LEAA Form 1340/7.
 - g. Send to the Grants and Contracts Management Division, Office of the Comptroller, the following items:
 - (1) Copy 2, Notification of Application Disposition, LEAA Form 1340/7
 - (2) GCMD Award Package--One copy of the award form(s).
 - (3) Library Award Package--One copy of the grant award(s) and special conditions, if any, and one copy of the application.
 - h. Retain Copy 3 of LEAA Form 1340/7, two copies of the application, the two transmittal letters, the Post Award Grant Processing Checklist, and the original and two xerox copies of the award form in the pending application folder with a suspense date as indicated in paragraph 18.
18. PUBLIC RELEASE PROCEDURES. The LEAA Office of Congressional Liaison will issue press releases and notify the Congress during the seven day waiting period. After compliance with paragraph 17 on Initial Post Award Processing, no additional processing may take place until AFTER THE AWARD DATE. All public announcements concerning the grant award will be made by the LEAA Public Information Office and Congressional Liaison Office. Press inquiries should be referred to the Public Information Office and Congressional inquiries to the Congressional Liaison Office.
19. RESERVED.

20. ADDITIONAL POST AWARD PROCESSING PROCEDURES. Upon completion of the waiting period the pending application folder is pulled by the staff member responsible for post review processing and the following actions are taken as Items 8 through 14 of the Post Award Checklist are completed:
- Notify the Governor of the State of the Advance Action Grant Award. The signed standard transmittal letter accompanies a copy of the award form(s) and special condition, if any.
 - Notify the SPA Director of the award. The signed standard transmittal letter accompanies a copy of the award form(s) and special conditions, if any.
 - Set up an official file containing the SIGNED application, the ORIGINAL of the award form, copy 3 of LEAA Form 1340/7, and the two checklists.
21. GRANT AWARD NOTIFICATION REQUIREMENTS.
- Regional Office Responsibility. Each Regional Office is responsible for providing notification to the appropriate State Central Information Reception Agency.
 - Timing. Notification to the State Central Information Reception Agency must be made within seven (7) working days of the following types of transactions:
 - All grant awards.
 - All grant dollar amount changes, except where adjustments are far less than ten (10) percent of the original award, or under \$1,000, whichever is greater.
 - All grant duration changes that increase or decrease a grant period by more than three (3) months.
 - Distribution. Standard Form SF 424 will be distributed as follows:
 - Original placed in the official grant file.
 - A copy is forwarded to the State Central Information Reception Agency (SCIRA). In those states wherein the State Clearinghouse and the SCIRA are two different entities, a copy of the SF 424 should be forwarded to the State Clearinghouse as well as the SCIRA. At the discretion of the initiating office, the SF 424 may be sent to the appropriate Area-Wide clearinghouse as applicable under OMB Circular A-95.

22. CORRECTING AWARDS. If an error is discovered on a SF-424 after the copies have been mailed to the appropriate agencies, another SF-424 should be prepared as if an adjustment to the grant were actually being made. DO NOT ATTEMPT TO LOCATE AND CORRECT COPIES OF AN INCORRECT FORM. You must note in the remarks section of the new form that an error occurred on the previous Standard Form 424.

SECTION 5. RESUBMISSION OF UNACCEPTABLE APPLICATIONS

23. BACKGROUND. If an application for Part C and/or Part E Action Grant Advances has been rejected and the Regional Office has processed the rejected application in accordance with paragraph 16, then the application record in the GMIS data base will show "rejected". Rejected applications for Part C and/or Part E Action Grant Advances will be resubmitted by the SPA. Upon receipt of an application previously rejected, the Regional Office should process it as a new application, using a sequential request number.
24. RESUBMISSION PROCEDURES. When the State Planning Agency resubmits the application for advance funds, the Application Control Desk will:
- Verify receipt of three copies of the Form 4401/1;
 - Time and date stamp the application;
 - Assign an application number to the application;
 - Pull the file for the previously rejected application;
 - Initiate new Form 1340/7 completing Items 1 through 5. Forward copy #1 of the form to the Grants and Contracts Management Division, Office of the Comptroller.
 - Add the remaining copies of Form 1340/7 and the extra application copies to the existing application folder; and
 - Forward one copy of the application to the proper State Representative along with the partially completed Advance Action Grant Preliminary Processing Checklist which has been reverified for the new submission.

25. REVIEW AND AWARD PROCEDURES. The processing procedures outlined in Sections 2, 3, and 4 of Chapter 1 of this handbook are to be followed. To the extent the application is unchanged, the procedures will have been completed from the first processing of the application. In all cases the newly prepared copies of Form 1340/7 are used to notify the Grants and Contracts Management Division as the review proceeds and the award is made.

CHAPTER 2. PROCESSING COMPREHENSIVE PLANS
SECTION 1. RECEIPT AND INITIAL PROCESSING

26. APPLICATION FORM AND SUBMISSION. The State Planning Agency must submit to the cognizant LEAA Regional Office one properly executed and 11 unexecuted copies of the following documents:
- a. Application for Action Grant (LEAA Form 4402/1);
 - b. Attachment A (List of Action Programs for Which Grant Support is Requested);
 - c. Attachment B (General Conditions);
 - d. Attachment C (Program Component -- the Plan); containing
 - (1) The Multi-Year Plan
 - (2) The Annual Action Program
 - (3) Utilization of Results of Performance Measurement in Plan Development and Implementation
 - (4) Special Requirements to be Met by Multi-Year Plan and Annual Action Programs
 - (5) Administrative, Fiscal and Implementation Requirements Applicable to the State Plan
 - e. Attachment D (Program Progress Report). Alternate progress report approved in advance by the Regional Administrator, per M 4100.1E paragraph 65, may be submitted separately, but not later than December 31, 1976.

27. DATE OF SUBMISSION. The application package is due in the appropriate Regional Office by August 31, 1976.
28. INITIAL ACTION BY REGIONAL OFFICE APPLICATION CONTROL DESK. Upon receipt of the application package, the Application Control Desk will:
- Time and date stamp the application package and complete Items 1 through 7 of the Processing Comprehensive Plan Preliminary Processing Checklist (see appendix 9). If the response to Item 4 is "No", one copy of the application must be returned to the SPA for proper signature.
 - Assign the APPLICATION NUMBER in accordance with paragraph 2a of this handbook.
 - Notify the SPA in writing that the request was received, the official receipt date and that an answer will be forthcoming within 90 days as required by the Act (also refer to paragraph 33).
 - Assure compliance with OMB Circular A-95.
 - Complete Item 10 on the Preliminary Checklist assuring submission of the plan and summary to the State clearinghouse.
 - Complete Item 11 on the Preliminary Checklist assuring the Governor's concurrence or 45 day opportunity for review of the plan [refer to M 4100.1E, paragraph 101c (2)].
 - Complete copy 1, items 1, 2, 3 and 5 of LEAA Form 1340/7, ensuring item 2 shows the date the complete application was received by the Regional Office. For Small State Supplements, complete items 1, 2 and 5. (See appendix 2 for a copy of the form).
 - Forward copy 1 of Form 1340/7 to the Grants and Contracts Management Division, Office of the Comptroller. GCMD will ensure that all information is properly coded and forwarded for computerization. Complete item 12 on the Preliminary Checklist (appendix 9).
 - Prepare a review file by inserting in a looseleaf notebook:
 - Ink signed official copy of the application.
 - Attachments A, B, and C and D (if attached).
 - Completed Comprehensive Plan Preliminary Processing Checklist.
- 29.-30. RESERVED.

SECTION 2. REVIEW PROCEDURES

31. REVIEW OF THE APPLICATION.

- The Comprehensive Plan Preliminary Processing Checklist (appendix 9) is completed upon receipt of the comprehensive plan and full action grant application.
- The State Representative, the Financial Management Specialist, and the technical specialists (including the planner/evaluator) each should review the application concurrently.
- The Comprehensive Plan General Review Checklist (appendix 10) should be completed by the State Representative. All data elements must be completed in full. It is probable that certain changes to checklist responses will be necessary as the resolution of the various staff reviews are completed. However, ONE official checklist per state must be completed as part of the review package forwarded to the Regional Administrator, since the checklist is a key element both in plan approval and in the approval of certain plan components for multiyear status.
- Outstanding special conditions to prior planning and action grants must be reviewed and all problems must be resolved prior to plan approval.
- Additional material may be requested of the SPA as the review proceeds.
- If an Alternate Progress Report (Attachment D) has been approved by the Regional Administrator, a definite suspense date for receipt and review should be established.

32. RESERVED.

33. NINETY DAY ACTION PERIOD. Decisions concerning approval or disapproval of all applications (including the Comprehensive Plan) must be made WITHIN 90 CALENDAR DAYS of the receipt date. If the plan is not acceptable, a statement covering the reasons for its unacceptability must accompany the application and plan

when returned to the SPA. In accordance with Section 308 of the Act, plans not disapproved and returned with the reasons for such disapproval within ninety days of receipt shall be deemed approved.

34. STATE REPRESENTATIVE REVIEW. The State Representative plays the major role in the review process. A general review of the plan should be the first step in the review process. The General Review Checklist (see appendix 10) should be completed by the State Representative with participation by other RO staff as appropriate.
35. FISCAL REVIEW. The Director, Financial Management Division, is responsible for a general fiscal review of the plan. Special attention should be given to Attachment A which must be cross-checked with individual action programs. Specific action programs should be checked for accuracy as should the projected multi-year budget. A fiscal review memorandum should be prepared upon completion of this review.
36. TECHNICAL ASSISTANCE SPECIALISTS' REVIEWS. These reviews must be substantive, reflecting the strengths, weaknesses, and progress of state analysis, problem definition, multi-year plan formulation, and program development as they relate to one another in the context of the functional area under review. Deficiencies which require resolution prior to or after plan approval should be grouped together and with specific recommendations, be submitted to the Director of Program Development and Technical Assistance.
37. REVIEW BY THE DIRECTOR OF PROGRAM DEVELOPMENT AND TECHNICAL ASSISTANCE. The Director, PDTAD, will analyze each review submitted by the technical assistance specialists. The Director, PDTAD, is encouraged to prepare a brief overall PDTAD analysis of substantive areas under review as well as recommendations and priorities for negotiation with the SPA.
38. OVERALL ANALYSIS AND DEFICIENCY RESOLUTION MEMORANDUM. After completion of fiscal and program reviews, the State Representative will call a meeting of fiscal and program specialists to discuss the various analyses of the application, including deficiencies and proposed resolutions. The reviews of plan elements submitted as candidates for multi-year status also will be discussed. The State Representative combines the material contained in these reviews into the Overall Analysis and Deficiency Resolution Memorandum (see Appendix 11 for format and instructions) and inserts it in the review notebook.

39. REVIEW SUMMARY OF PLAN ELEMENTS REQUESTED FOR CONSIDERATION FOR MULTI-YEAR STATUS (appendix 12). The State Representative will complete this form which indicates those plan components requested for consideration for multi-year status which have met the criteria established by LEAA. The entire review package is then sent to the Director of Operations. Additional review procedures and requirements relative to multi-year status are found in appendices 10, 11, 12, and 14.
40. REVIEW BY THE DIRECTOR OF OPERATIONS. The Director of Operations shall review the package for completeness and to assure that all issues have been addressed. In so doing, he will confer with the Director, PDTAD, the State Representative, and the Director, FMD. A recommendation on acceptance of the Plan or further negotiation with the SPA, and on the approval of candidate plan components for status as multiyear documents, shall be made to the Regional Administrator.
41. FINAL REVIEW. The Regional Administrator should make a final review of the materials presented to him in the review notebook. The Regional Administrator is encouraged to hold a plan review analysis meeting with the Division Directors and State Representative as part of his final review.
 - a. When all proposed actions meet with his approval, he signs the Overall Analysis and Deficiency Resolution Memorandum and the approval contained in the Review Summary of Plan Elements Requested for Consideration for Multi-year Status.
 - b. If the Regional Administrator is unable to accept the plan at all, the State Representative must prepare a letter to the SPA Director for the Regional Administrator's signature. Follow-up must be arranged to negotiate a new plan submission date. THE LETTER INDICATING DISAPPROVAL MUST CONTAIN AN EXPLANATION OF WHICH REQUIREMENTS THE PLAN FAILS TO COMPLY WITH OR WHAT ADDITIONAL SUPPORTING MATERIAL IS NECESSARY FOR EVALUATION OF THE PLAN.
 - c. Prior to officially rejecting a State plan, the Regional Administrator must contact the Office of Regional Operations and the Office of General Counsel, LEAA, for advice on the applicant's hearing and appeal rights.

42. INITIAL PROCESSING OF THE REVIEWED APPLICATION WHICH IS NOT APPROVED. After receiving the review notebook from the State Representative who has drafted a letter to the SPA Director and noted that the plan is unacceptable and must be revised, the staff member responsible for post review processing shall pull the pending application folder and:
- Complete Items 6 and 7 of LEAA Form 1340/7.
 - Submit the review notebook and folder containing the rejection letter to the SPA Director to the Regional Administrator for his signature.
43. FINAL PROCESSING OF A PLAN WHICH IS NOT APPROVED. If the Regional Administrator has signed the rejection letter to the SPA Director, the staff member responsible for the post review processing will:
- Send copy #2 of LEAA Form 1340/7 to the Grants and Contracts Management Division, Office of the Comptroller for processing.
 - Mail the letter to the SPA Director.
 - Pull the pending application folder and establish a file containing the enumerated documents to be used when the SPA resubmits the application.
 - One copy of the plan.
 - Preliminary Processing Comprehensive Plan Checklist.
 - Comprehensive Plan General Review Checklist.
 - Copy of the rejection letter to the SPA Director.
 - Copy #3 of Form 1340/7.
 - All review memoranda and materials that were part of the review notebook.
44. POST PROCESSING OF THE REVIEWED APPROVED APPLICATION. After receiving the review notebook from the Regional Administrator with an indication of plan acceptance and his signature on the Overall Analysis and Deficiency Resolution Memorandum, the staff member responsible for post review processing may turn to chapter 3 of this Handbook and follow the steps enumerated for formal plan approval and the awarding of the "block" action grants.

SECTION 3. RESUBMISSION OF UNACCEPTABLE PLAN

45. BACKGROUND. It can be assumed that all rejected State plans will be resubmitted and that upon resubmission the Regional Office will not be required to start a completely new review of the plan. Thus all review materials concerning the rejected plan should be retained for use when the revised plan is submitted. Even though the Regional Office now has a full 90 calendar days to review the resubmitted plan, all efforts should be made to expeditiously complete the plan review and sign-off.
46. RESUBMISSION PROCEDURES. When the State Planning Agency resubmits the application (plan) the Application Control Desk will:
- Verify that one properly executed and 11 unexecuted copies of the application package (revision) have been submitted (refer to paragraph 26).
 - Time and date stamp the application package.
 - Assign an application number to the application.
 - Notify the SPA by memorandum that the application package was received, the official receipt date, and that an answer will be forthcoming within 90 days.
 - Pull the file for the previously rejected application (see paragraph 42c).
 - Initiate new Form 1340/7 completing Items 1, 2, 3 and 5. Forward copy #1 of the form to the Grants and Contracts Management Division, Office of the Comptroller.
 - Prepare a new review file and complete another Preliminary Processing Comprehensive Plan Checklist if the application package is complete revision. See paragraph 28 for details.
 - Add a new routing slip to the notebook calling attention to the date which the new 90 day time limit expires and forward the review notebook to the proper State Representative.
 - Add the remaining copies of the new Form 1340/7 and the application to the proper pending application folder or filing location.
47. REVIEW AND APPROVAL PROCEDURES. The processing procedures outlined in sections 2 and 3 of chapter 2, and chapter 3 of this handbook are to be followed. To the extent the application is unchanged, the procedures in chapter 2 will already have been completed, from the first processing of the application. In all cases the newly prepared copies of Form 1340/7 are used to notify the Grants and Contracts Management Division, Office of the Comptroller, as the review proceeds and the award is made.

48. PLAN APPROVAL PRIOR TO GRANT AWARD. LEAA's FY 1977 appropriation has been approved; however, funds will not be available until October 1. Regional Administrators may approve plans but cannot issue grant awards until the beginning of the fiscal year. FY 1977 State plans are to be processed in accordance with procedures contained herein and approved when they satisfactorily meet comprehensive plan guideline requirements. SPAs should be notified when the process is completed in view of the 90-day rule. Regional Administrators should clearly advise each State, upon approval of its plan, that such notification is not an award of funds.

CHAPTER 3. FORMAL PLAN APPROVAL AND PART C,
PART E, AND JJDP GRANT AWARDS

SECTION 1. PREPARATIONS FOR FORMAL APPROVAL

50. BACKGROUND. The Overall Analysis and Deficiency Resolution Memorandum, which is a part of the application review notebook, should indicate plan approval or plan approval with Special Conditions. If the plan has not been found acceptable, the procedures in this chapter should not be followed at this time. Only after the procedures of chapter 2 have been completely followed AND the plan is recommended for approval by the Regional Administrator should the procedures of this chapter be followed.
51. POST PROCESSING OF THE REVIEWED APPROVED APPLICATION. After receiving the review notebook from the Regional Administrator with his approval and signature on the Overall Analysis and Deficiency Resolution Memorandum, the staff member responsible for post review processing shall pull the pending application folder and:
- Insert a Comprehensive Plan Post Review Checklist (see appendix 13) in the review notebook and then complete Items 1 through 8 as the other items in this paragraph are accomplished.
 - Prepare an undated Plan Approval Document (see appendix 14 for the form).
 - Prepare an undated Part C Action Grant Award Form (see appendix 15 for the form) including the assignment of a grant number in accordance with paragraph 17b. If an initial award has already been issued, the grant will bear the same number with the identifier (S-1), (S-2), etc. following it.
 - Prepare an undated Part E Action Grant Award Form (see appendix 16 for the form), including the assignment of a grant number in accordance with paragraph 17b in this handbook.
 - Prepare an undated JJDP Formula Grant Award Form (See Appendix 17 for the form), including the assignment of a grant number in accordance with paragraph 17b in this handbook.

- f. Prepare an undated Part C Discretionary Grant Award Form if a small State supplement is recommended (see appendix 18 for the form) including the assignment of a grant number in accordance with paragraph 2a of this handbook.
- g. Prepare the Special Conditions sheets (format in appendix 19) as noted in the Overall Analysis and Deficiency Resolution Memorandum.
- h. Prepare an undated standard transmittal letter (see appendix 20) to the Governor of the State.
- i. Prepare an undated standard transmittal letter (see appendix 21) to the SPA Director.

NOTE: Preparation of transmittal letters (h and i above) may be assigned to the State Representative as the complexity of issues and commentary may dictate.

- j. Submit the review notebook and a folder containing the following to the Regional Administrator for his review and approval:

- (1) Plan Approval Document.
- (2) Part C, Part E and, in some cases, Part C Discretionary (small State supplement) Award Forms.
- (3) Special Condition sheets.
- (4) Standard transmittal letter to the Governor.
- (5) Standard transmittal letter to the SPA Director.
- (6) Copies 2 and 3 of Form 1340/7.

52. FINAL PLAN APPROVAL AND AWARDS. The Regional Administrator will review the materials presented to him. If no problems are noted, he will sign the Plan Approval Document, grant award forms and transmittal letters. FINA APPROVAL CAN BE MADE ONLY BY THE REGIONAL ADMINISTRATOR in accordance with his delegation of authority.

SECTION 2. POST APPROVAL PROCEDURES

53. INITIAL PROCEDURE. The staff member responsible for post review processing receives the complete set of materials back from the Regional Administrator with his signature on the appropriate documents. The following documents should be on hand for processing:

- a. In the review notebook:

- (1) Signed application form.
- (2) Attachments A, B, C and in some cases D with revised pages, if any.
- (3) Completed Comprehensive Plan Preliminary Processing Checklist.
- (4) Completed Comprehensive Plan General Checklist.
- (5) Signed Overall Analysis and Deficiency Resolution Memorandum.
- (6) Comprehensive Plan Post Review Checklist with Items 1 through 8 completed.

- b. From the folder given to the Regional Administrator for his signature:

- (1) Plan Approval Document.
- (2) Signed Part C Action Award Form.
- (3) Signed Part E Action Award Form.
- (4) Signed Part C Discretionary Award Form, if a small State supplement is being processed.
- (5) Signed JJDP Formula Grant Award Form, if applicable.
- (6) Special Conditions sheets.
- (7) Signed standard transmittal letter to the Governor.
- (8) Signed standard transmittal letter to the SPA Director.
- (9) Copies 2 and 3 of Form 1340/7.

- c. In the regional office:

- (1) Eleven additional copies of the application form.
- (2) Eleven additional copies of Attachments A, B, C and in some cases D. Be sure that any pages revised during the review process have been inserted in these copies.

54. INITIAL PROCESSING ACTIONS.

- a. Check to see that the above materials in paragraph 53 are on hand and completed as noted, being sure that the appropriate documents are signed.
- b. While completing Items 9 through 15 of the Comprehensive Plan Post Review Checklist, which is in the review notebook, do the following:

- (1) Add the award date and the award number to the approval document and the award forms. The award date will be seven full working days after the documents have been signed, not counting the date of signature or the award date.
- (2) Make the following copies:
 - (a) Plan Approval Document - six.
 - (b) Part C Award Form - eight.
 - (c) Part E Award Form - eight.
 - (d) JJDP Formula Grant Award Form, if applicable - eight.
 - (e) Part C Discretionary Award Form if any - eight.
 - (f) Special Conditions sheets - seven each.
 - (g) Overall Analysis and Deficiency Resolution Memorandum - one.
 - (h) Comprehensive Plan General Review Checklist - one.
 - (i) Each Technical Specialist Review - one.
 - (j) Fiscal Review - one.
- (3) With the State Representative's concurrence, review News Release Distribution Sheet to assure it is current. The News Release Distribution Sheet should contain the following:
 - (a) SPA address.
 - (b) Regional Office address.
 - (c) AP and UPI Wire Service Bureau in the State.
 - (d) Major daily newspapers with statewide distribution.
- (4) On the same day the grant is signed telecopy the following signed documents to the Congressional Liaison Office:
 - (a) Part C Award Form.
 - (b) Part E Award Form.
 - (c) JJDP Formula Grant Award Form, if applicable.
 - (d) Part C Discretionary Award Form, if a Small State Supplement is being processed.
 - (e) News Release Distribution Sheet(s) (if revised).
- (5) RESERVED.
- (6) Complete copies 2 and 3 of Form 1340/7, items 6, 7, 9 and item 10 if a Small State Supplement is awarded.
- (7) Using the official file folders for the action grant advances, if any, set up official files containing:
 - (a) SIGNED copy of the application.

- (b) Attachments A, B, C, and D if included.
 - (c) ORIGINAL of the award forms.
 - (d) Special conditions sheets.
 - (e) Copy 3 of Form 1340/7.
 - (f) Preliminary Comprehensive Plan Processing Checklist.
 - (g) Comprehensive Plan General Checklist.
 - (h) SIGNED Overall Analysis and Deficiency Resolution Memorandum.
 - (i) Comprehensive Plan Post Review Checklist.
 - (j) ORIGINAL of the Plan Approval Document.
 - (k) Copy of the Standard transmittal letters to the Governor and SPA Director.
 - (8) Send to the Grants and Contracts Management Division, Office of the Comptroller the following items:
 - (a) Completed copy 2 of Form 1340/7.
 - (b) GCMD Award Package--one copy of the grant award(s) Part C, Part E, and JJDP Formula Grant and discretionary, if applicable.
 - (c) Library Award Package--one copy of the grant award(s), special conditions, if any, the application (including attachments A,B,C,D), and the plan approval document.
 - (9) Send to the Office of Regional Operations (in a notebook) the following:
 - (a) One copy of the Overall Analysis and Deficiency Resolution Memorandum.
 - (b) One copy of the completed Comprehensive Plan General Review Checklist.
 - (c) One copy of each technical specialist review.
 - (d) One copy of the overall fiscal review.
 - (e) One copy of special conditions, if any.
 - (10) Retain all other materials with a suspense date as indicated in Paragraph 55 below.
55. PUBLIC INFORMATION RELEASE PROCEDURES. The same procedures as outlined in paragraph 18 of this handbook apply.
56. RESERVED.

SECTION 3. FINAL PROCESSING

57. FINAL PROCESSING ACTIONS. Upon completion of the seven day waiting period, the staff member responsible for post review processing should assemble the remaining copies of the documents listed in paragraph 53 and 54. The following actions are to be

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taken as Items 15 through 22 of the Comprehensive Plan Post Review Checklist are completed:

- a. Notify the Governor of the State of the Plan approval and awards. The signed standard transmittal letter accompanies a copy of the Plan Approval Document, award forms and special conditions.
- b. Notify the SPA Director of the Plan approval and the awards. The signed standard transmittal letter accompanies two copies of the award forms and special conditions and one copy of the Plan Approval Document.
- c. Make a note to notify the State Representative if a copy of the grant award forms is not returned signed by the grantee within two weeks.
- d. The seven remaining copies of the application and attachments are available for use by the Regional Office for a monitoring file and RO library copy and other copies as desired.

58. GRANT AWARD NOTIFICATION REQUIREMENTS. See paragraph 21 of this Handbook for instructions.

59. ATTACHMENT D SUBMISSIONS. If the approved alternate Attachment D (Progress Report) was not submitted with the Plan package, a suspense date must be established to be sure it is submitted. When Attachment D is actually submitted by the SPA it should be reviewed, approved, and distributed in accordance with the procedures set forth for the rest of the Plan and its attachments in this chapter. The attachment will be approved through a grant adjustment notice on the action grant.

60. CORRECTING AWARDS. See paragraph 22 for instructions.

61. RESERVED.

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APPENDIX 1. ADVANCE PART C AND PART E ACTION GRANT
PRELIMINARY PROCESSING CHECKLIST



U. S. DEPARTMENT OF JUSTICE
Law Enforcement Assistance
Administration

ADVANCE PART C AND PART E ACTION GRANT
PRELIMINARY PROCESSING CHECKLIST

1. STATE _____
2. Date received by Regional Office _____ YES NO
3. Proper (original) signature and date ☐ ☐
4. Correct number of copies submitted (three) ☐ ☐
5. Amount of advance applied for: Part C _____
Part E _____ Both _____
 - a. Amount requested \$ _____
 - b. Maximum authorized by Guideline Manual (M 4100.1E), Appendix 10 \$ _____
 - c. Amount to be recommended (5a or 5b whichever is the smaller amount) \$ _____
6. Copy 1 of Form 1340/7 has been forwarded to GCMD? ☐ ☐
7. Post review processing assigned to _____
8. Are there any special conditions to the previous action grant or problems pending that require resolution prior to award? ☐ ☐

If yes, briefly describe problem and action to be taken:

Prepared and recommended by:

State Representative

9. Concurrence to the above:

Financial Management Specialist

10. Approval recommended:

Director of Operations

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APPENDIX 2. BLOCK GRANT APPLICATION DATA FORM (LEAA Form 1340/7)

U.S. DEPARTMENT OF JUSTICE LAW ENFORCEMENT ASSISTANCE ADMINISTRATION		1. APPLICATION NUMBER (1-7)	
BLOCK GRANT APPLICATION DATA REGION _____		FY _____	STATE CODE _____ TYPE _____ REQUEST NUMBER _____
11-12 VB	2. APPLICATION RECEIPT DATE (13-18) ____/____/____ MO DA YR	3. TYPE REQUEST (19) A <input type="checkbox"/> ADVANCE F <input type="checkbox"/> FULL S <input type="checkbox"/> SUPPLEMENTAL	
4. PLANNING FUNDS REQUESTED (20-27) \$ _____		5. ACTION FUNDS REQUESTED (26-59) PART C _____ PART E _____ \$ _____ \$ _____	
SMALL STATE SUPPLEMENT \$ _____		JUVENILE JUSTICE \$ _____	

LEAA FORM 1340/7 (REV. 8-75)

COPY 1. NOTIFICATION OF APPLICATION RECEIPT

6. DISPOSITION DATE (13-18)		7. DISPOSITION (19)	
11-12 VC	____/____/____ MO DA YR	A <input type="checkbox"/> AWARDED W <input type="checkbox"/> WITHDRAWN R <input type="checkbox"/> REJECTED	
8. PLANNING FUNDS AWARDED (20-27) \$ _____		9. ACTION FUNDS AWARDED (28-43) PART C _____ PART E _____ \$ _____ \$ _____	
10. SMALL STATE SUPPLEMENT (44-51) \$ _____		SMALL STATE SUPPLEMENT NUMBER (52-61) _____	
11. JUVENILE JUSTICE FUNDS AWARDED (62-69) \$ _____		JUVENILE JUSTICE AWARD NUMBER (70-79) _____	

LEAA FORM 1340/7 (REV. 8-75) REPLACES EDITION 9-74 WHICH IS OBSOLETE.

COPY 2. NOTIFICATION OF APPLICATION DISPOSITION

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APPENDIX 3. ADVANCE PART C GRANT AWARD FORM



UNITED STATES DEPARTMENT OF JUSTICE
LAW ENFORCEMENT ASSISTANCE ADMINISTRATION
WASHINGTON, D.C. 20531

IN REPLY PLEASE REFER TO

GRANT AWARD

FY 197_ Advance Part C Action Grant Award

Grantee:	Grant Number:
State:	Grant Amount:
Grant Period: October 1, 19__ to _____	Date of Award:

In accordance with the provisions of Part C of Title I of the Omnibus Crime Control and Safe Streets Act of 1968 (P.L. 90-351), as amended, and on the basis of the grantee's application, the Law Enforcement Assistance Administration hereby awards to the foregoing grantee an action grant in the amount shown above.

This grant is subject to the representations and conditions set forth in the grantee's application. It is subject also, if so indicated below, to the Special Conditions attached to this grant award.

Funding will be by Letter of Credit procedures.

Regional Administrator _____

GRANT AWARD DATA

☐

THIS AWARD IS SUBJECT TO SPECIAL CONDITIONS (ATTACHED).

Cognizant Regional Office: _____

LEAA Appropriation Number: 15X0400

LEAA Accounting Classification Code: _____

Document Control Number: _____

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APPENDIX 4. ADVANCE PART E GRANT AWARD FORM



UNITED STATES DEPARTMENT OF JUSTICE
LAW ENFORCEMENT ASSISTANCE ADMINISTRATION
WASHINGTON, D.C. 20531

IN REPLY PLEASE REFER TO

GRANT AWARD

FY 197_ Advance Part E Correctional Assistance Grant Award

Grantee:	Grant Number:
State:	Grant Amount:
Grant Period: October 1, 19__ to ____	Date of Award:

In accordance with the provisions of Part E of Title I of the Omnibus Crime Control and Safe Streets Act of 1968 (P.L. 90-351), as amended, and on the basis of the grantee's application, the Law Enforcement Assistance Administration hereby awards to the foregoing grantee an action grant in the amount shown above.

This grant is subject to the representations and conditions set forth in the grantee's application. It is subject also, if so indicated below, to the Special Conditions attached to this grant award.

Funding will be by Letter of Credit procedures.

Regional Administrator

GRANT AWARD DATA

☐ THIS AWARD IS SUBJECT TO SPECIAL CONDITIONS (ATTACHED).

Cognizant Regional Office: _____

LEAA Appropriation Number: 15X0400

LEAA Accounting Classification Code: _____

Document Control Number: _____

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APPENDIX 5. STANDARD TRANSMITTAL LETTER TO STATE GOVERNOR
FOR ADVANCE PART C AND/OR PART E ACTION AWARDS



UNITED STATES DEPARTMENT OF JUSTICE
LAW ENFORCEMENT ASSISTANCE ADMINISTRATION
WASHINGTON, D.C. 20531

IN REPLY PLEASE REFER

Date: _____

Subject: Grant No. _____

Dear Governor(Name):

I am pleased to inform you that the Law Enforcement Assistance Administration has approved a Fiscal Year 197_ Advance Action Grant Award for (Name of State) in the amount of \$ _____. A copy of the award statement(s) is attached. If you have any questions concerning this award, please contact the Administration, 633 Indiana Avenue, NW, Washington, DC 20531. Award documents currently are being transmitted to your State law enforcement and criminal justice planning agency.

Sincerely,

Regional Administrator

Attachment

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APPENDIX 6. STANDARD TRANSMITTAL LETTER TO SPA DIRECTOR
FOR ADVANCE PART C AND/OR PART E ACTION AWARDS



UNITED STATES DEPARTMENT OF JUSTICE
LAW ENFORCEMENT ASSISTANCE ADMINISTRATION
WASHINGTON, D.C. 20531

IN REPLY PLEASE REFER TO

Date:

Subject: Grant No: _____ Amount: \$ _____

Dear (Name of SPA Director):

Formal notice of the award of (Name of State) recent Advance Action Grant was contained in a letter to (Name of Governor). Official acceptance of the grant will take place at the time of award of the full allocation of Fiscal Year 197_ Action funds. A copy of the award statement(s) is attached.

Sincerely,

Regional Administrator

Attachment

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APPENDIX 7. ADVANCE PART C AND/OR PART E ACTION
GRANT POST AWARD CHECKLIST




U. S. DEPARTMENT OF JUSTICE
Law Enforcement Assistance
Administration

ADVANCE PART C AND/OR PART E ACTION
GRANT POST AWARD CHECKLIST

1. STATE _____
2. Date award(s) was actually signed _____
3. Proper form, signature and award date (7 working days after date in Item 2, not counting the date of signature or the award date).
4. Grant number assigned _____
5. One copy of award form(s) and Special Conditions telecopied to the Congressional Liaison Office on the same day the award is signed.
6. Copies 1 and 2 of completed Form 1340/7 and other materials mailed to Grants and Contracts Management Division (GCMD)
7. Award date passed.
8. Notification to Governor mailed
9. Notification to SPA Director mailed
10. GCMD Award Package and Library Award Package mailed to GCMD
11. Official file established
12. Form SF 424, prepared and sent to the State Central Information Reception Agency(ies)
13. Post Award processing completed by _____
14. Date post award processing is completed: _____

COMPLETED

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APPENDIX 8. GRANT ADJUSTMENT NOTICE
(LEAA FORM 4063/1)

 LAW ENFORCEMENT ASSISTANCE ADMINISTRATION GRANT ADJUSTMENT NOTICE	1. GRANT NUMBER
	2. GRANTEE
3. ACCOUNTING CLASSIFICATION CODE	4. APPROPRIATION NUMBER 15X0400
	5. TITLE OF PROJECT
6. ADJUSTMENT NO.	7. DATE
	8. TO GRANTEE: PURSUANT TO YOUR REQUEST OF THE FOLLOWING CHANGE, AMENDMENT, OR ADJUSTMENT IN THE ABOVE GRANT PROJECT IS APPROVED, SUBJECT TO SUCH CONDITIONS OR LIMITATIONS AS MAY BE SET IN ITEM 10 BELOW.
9. NATURE OF CHANGE, AMENDMENT, OR ADJUSTMENT	
10. CONDITIONS OR LIMITATIONS	
11. TYPED NAME & TITLE OF RESPONSIBLE OFFICER	12. SIGNATURE OF RESPONSIBLE OFFICER
13. DATE	

LEAA FORM 4063/1 (REV. 6-73)

PREVIOUS EDITION MAY BE USED UNTIL SUPPLY IS EXHAUSTED.

DOJ-1973-06

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APPENDIX 9. COMPREHENSIVE PLAN PRELIMINARY
PROCESSING CHECKLIST



U. S. DEPARTMENT OF JUSTICE
Law Enforcement Assistance
Administration

COMPREHENSIVE PLAN PRELIMINARY
PROCESSING CHECKLIST

1. STATE _____
 2. Date received by Regional Office _____ YES NO
 3. Proper form (4402/1) with Attachments A, B, C, and D
(Attachment D may be submitted separately) ☐ ☐
 4. Proper (original) signature and date ☐ ☐
 5. Correct number of copies submitted (twelve) ☐ ☐
 6. Application number assigned ☐ ☐
 7. Notify SPA that application and plan have been assigned
and response will follow within 90 days ☐ ☐
 8. Amount of Action Grants Applied for:
 - a. Amount Requested (See Form 4402/1:
 - (1) Part C \$ _____
 - (2) Part E \$ _____
 - (3) JJDP \$ _____
 - (4) Small State Supplement \$ _____
 - b. Are amounts requested consistent with:
 - (1) Authorized allocations ☐ ☐
 - (2) Previous advances ☐ ☐
- If response is "No", the data in Item 8 should be
called to the State Representative's attention
9. Post review processing assigned to: _____

- | | YES | NO |
|--|--------------------------|--------------------------|
| 10. Plan and summary submitted to state clearinghouse, including statement as to whether or not an environmental impact statement is required. | <input type="checkbox"/> | <input type="checkbox"/> |
| 11. Is the Governor's concurrence attached or has the 45 day opportunity for review of the plan been provided [refer to M 4100.1E paragraph 101c (2)]? | <input type="checkbox"/> | <input type="checkbox"/> |
| 12. Has Copy 2 of Form 1340/7 been completed and forwarded to GCMD? | <input type="checkbox"/> | <input type="checkbox"/> |

Appendix 10. Comprehensive Plan
General Review Checklist

A. State: _____

B. Instructions.

1. Respond to all checklist items. This checklist serves as an objective rating summary for use in plan approval and as a basis for judging candidate plan elements for multiyear status.
2. Each specific guideline requirement is followed by three rating abbreviations: S (satisfactory); NI (needs improvement); U (unsatisfactory). Circle the most appropriate response. Response alternatives are defined as follows:
 - a. "Satisfactory" means that the plan fully addresses a specific guideline requirement. (For example, if five specific crime analyses were required, five were provided. "Good faith effort" is not synonymous with this definition of "satisfactory". All candidate plan elements for which multiyear status is sought must be considered as "satisfactory" with respect to all specific guideline requirements).
 - b. "Needs Improvement" means that the plan generally addresses a specific guideline requirement although a particular improvement is needed in order to be fully responsive. (A "needs improvement" response to a guideline requirement is acceptable for annual plan approval especially if it meets the "good faith effort" requirement or meets a previously negotiated RO/SPA product goal).

c. "Unsatisfactory" means that the plan contains a major deficiency or omission with regard to a specific guideline requirement.

3. Two summary questions follow each grouping of specific guideline requirements and provide for an overall qualitative rating of the plan's response to that group of related guideline requirements. The specific responses ("high quality", "good", "minimum compliance", and "unacceptable"; and "improved", "unchanged" and "weaker") are defined in the text of the checklist. Check the appropriate response to each question.

a. A plan element for which an SPA has requested consideration for multi-year status can receive no lower than a "high quality" rating if it is to be approved for multiyear status. Plan elements receiving overall "good" or "minimum compliance" ratings can be acceptable for annual plan approval.

b. A plan element, when compared to the previous year's plan submission, must receive either an "improved" or "unchanged" rating if it is to be approved for multiyear status. It cannot represent a "weaker" response to guideline requirements than did the previous year's plan.

Section 2. The Multiyear Plan

For the state as a whole	For each substate region	For cities/counties >250,000	For State's largest city and county	All high crime areas
--------------------------	--------------------------	------------------------------	-------------------------------------	----------------------

A. Crime Analysis (paragraph 52).

1. A narrative description of the crime situation (Part I UCR at least) for the past year, including:

(Check ☒ if present)

a. Total number of reported offenses.

b. Victimization survey offenses reported.

c. Total number of reported arrests.

d. Total number of reported offenses cleared by arrests.

e. Number of non-UCR reporting agencies and population representation by non-reporting jurisdictions.

f. Summary of special surveys and/or research.

(as applicable)

(as applicable)

Rating: S NI U

2. General crime trend analyses, covering the past three years, and including the following:

a. Yearly crime rate/population for:

- (1) Total crimes.
- (2) Total person crimes.
- (3) Total property crime.
- (4) Average proportion of increase/decrease per year for (1) and (2) above, including a straight line projection for the subsequent year.

b. Population density and crime pattern data, including:

- (1) Population density.
- (2) Total crime, person crime per square mile.

For the state as a whole	For each substate region	For cities/counties >250,000	For State's largest city and county	All high crime areas
--------------------------	--------------------------	------------------------------	-------------------------------------	----------------------

(Check (✓) if present)

- (3) Percentage of population living in incorporated municipalities (exclude villages).

- (4) Analysis of the relationship between population density and crime patterns.

Rating: S NI U

For the state as a whole	For each substate region	For cities/counties >250,000	For the state's largest city and county	For all high crime areas
--------------------------	--------------------------	------------------------------	---	--------------------------

3. Specific crime analysis for past three years, including:

(Check (✓) if present)

- a. Homicide, aggravated assault, and street robberies, by number.

- b. Rape, by female residents over 12 years of age.

c. Commercial robberies and burglaries: by number of commercial businesses.

d. Residential burglary: by number of residential units.

e. Auto theft by number of registered autos.

f. Number of larcenies: either by amounts of loss or totals of all larcenies.

Rating: S NI U

4. Indication of data used in crime analysis other than crime data, how it is used, and sources.

S NI U

5. Analysis of the needs for data and for statistical system development, including an assessment of CDS developments (if any) in the state to date in developing the plan and doing crime analysis.

S NI U

6. Analysis of capability of state and local planning and operational Agencies to do crime analysis, with an assessment of needs.

S NI U

Summary Questions

1. Overall, the response to guideline requirements reflected in this section of the checklist has been:

___ High quality; responsive to the substance and intent of guideline requirements.

___ Good; conscientious effort to meet guideline requirements, although some further efforts are required to respond fully to the substance and intent of guideline requirements.

___ Minimum compliance; response is of marginal quality and/or fails to address certain specific guideline requirements.

___ Unacceptable; major deficiencies in the scope and/or quality of the submission.

2. Compared with last year's submission, the FY 1977 comprehensive plan response to the requirements reflected in this section is:

___ Improved; reflects substantial efforts to upgrade capabilities/performance.

___ Unchanged; substance of the response is similar to last year's submission, or if changed, is of roughly similar scope and quality.

___ Weaker; represents a poorer effort than that reflected in the FY 1976 plan.

B. Resources, Manpower, Organizational Capabilities, and Systems Available to Meet Crime Problems (paragraph 53).

1. System performance data, for felonies, including:

- a. Number of offenses reported to police.
- b. Number of arrests
- c. Number of offenses cleared by arrest.
- d. Number of prosecutions.
- e. Number of convictions.
- f. Number of persons receiving sentences involving:
 - (1) jail or institutional confinement.
 - (2) probation or non-institutional sentences.

For the state as a whole	For substate regions	For cities/Countries > 250,000	For the state's largest city and county	For all high crime areas

(Check (✓) if present)

g. Recidivism rate of felons released from institutions, including SPA definition of recidivism.

Rating: S NI U

2. Description of powers, duties, responsibilities and functions or activities of units of government and CJ agencies, including:

- a. Relationships, including cooperation and coordination, among LE/CJ agencies and between general government and LE/CJ agencies. S NI U
- b. Description of cooperative arrangements. S NI U

3. Resources and capabilities data, including:

For the state as a whole	For substate regions	For cities/counties 250,000	For the state's city or county	For all high crime areas

Check (✓) if present

- a. Manpower data by functional area and problem area.
- b. Workload data for major decision points addressed in B1 above.

c. Cost data for individual jurisdictions and their CJ agencies

Rating: S NI U

4. List and description of services and technical assistance which state agencies provide local CJ/JJ agencies, how these services are used, and the problem areas which they address.

S NI U

5. Description of systems for collecting, organizing, and analyzing data and information, including data dissemination and a CDS description, the latter if applicable.

S NI U

Summary Questions

1. Overall, the response to guideline requirements reflected in this section of the checklist has been:

High quality; responsive to the substance and intent of guideline requirements.

Good; conscientious effort to meet guideline requirements, although some further efforts are required to respond fully to the substance and intent of guideline requirements.

Minimum compliance; response is of marginal quality and/or fails to address certain specific guideline requirements.

Unacceptable; major deficiencies in the scope and/or quality of the submission.

2. Compared with last year's submission, the FY 1977 comprehensive plan response to the requirements reflected in this section is:

Improved; reflects substantial efforts to upgrade capabilities/performance.

Unchanged; substance of the response is similar to last year's submission, or if changed, is of roughly similar scope and quality.

Weaker; represents a poorer effort than that reflected in the FY 1976 plan.

C. Problem Analysis (paragraph 54)

1. Analysis of crime, socio-economic and demographic data in conjunction with another, and detailing crime and other related problems identified through analysis of other data bases. S NI U
2. Analysis of CJS performance data and resources and capabilities data in conjunction with one another, with performance indicators related to system capabilities. S NI U
3. Analysis of gaps between CJS capabilities and the crime problem, including:
 - a. Relationship of crime problem and current CJS capabilities. S NI U
 - b. Relationship of the above analysis to goals and standards in current and previous plans. S NI U
 - c. Analysis of problems anticipated in plan implementation. S NI U
4. Specific attention to analysis of needs and problems of high crime areas. S NI U
5. Specific relationships of problem analysis to other sections of the plan. S NI U

Summary Questions

1. Overall, the response to guideline requirements reflected in this section of the checklist has been:
 - _____ High quality; responsive to the substance and intent of guideline requirements.
 - _____ Good; conscientious effort to meet guideline requirements, although some further efforts are required to respond fully to the substance and intent of guideline requirements.
 - _____ Minimum compliance; response is of marginal quality and/or fails to address certain specific guideline requirements.
 - _____ Unacceptable; major deficiencies in the scope and/or quality of the submission.
2. Compared with last year's submission, the FY 1977 comprehensive plan response to the requirements reflected in this section is:
 - _____ Improved; reflects substantial efforts to upgrade capabilities/performance.
 - _____ Unchanged; substance of the response is similar to last year's submission, or if changed, is of roughly similar scope and quality.
 - _____ Weaker; represents a poorer effort than that reflected in the FY 1976 plan.

D. Goals and Objectives (paragraph 55).

1. Comprehensive statement of all state goals, including:
 - a. Both longerange and shortrange statements of purpose. S NI U
 - b. Direction of goals addresses problems identified in crime and CJS agencies. S NI U
 - c. Indication of a determined effort to improve the quality of criminal justice. S NI U
2. Goals organized according to major area categories or functions. S NI U
3. Specific and quantified short-term statements of goals which specify the period covered, insofar as all are possible. S NI U
4. General description of strategy for assuming goal achievement, including relationship to standards and priorities setting processes. S NI U
5. Relationship of goals to problems and needs section shown, including indication of how goals were derived for crime and CJS analyses, and how they are designed to meet identified problems. S NI U
6. Relationship of goals to sections on standards and on priorities, and goals are to be achieved in whole or in part by the setting and achievement of standards and through the setting and utilization of priorities. S NI U
7. Relationship of goals to programs and activities in the remainder of the multiyear plan. S NI U

Summary Questions

1. Overall, the response to guideline requirements reflected in this section of the checklist has been:

_____ High quality; responsive to the substance and intent of guideline requirements.

_____ Good; conscientious effort to meet guideline requirements, although some further efforts are required to respond fully to the substance and intent of guideline requirements.

_____ Minimum compliance; response is of marginal quality and/or fails to address certain specific guideline requirements.

_____ Unacceptable; major deficiencies in the scope and/or quality of the submission.

2. Compared with last year's submission, the FY 1977 comprehensive plan response to the requirements reflected in this section is:

_____ Improved; reflects substantial efforts to upgrade capabilities/performance.

_____ Unchanged; substance of the response is similar to last year's submission, or if changed, is of roughly similar scope and quality.

_____ Weaker; represents a poorer effort than that reflected in the FY 1976 plan.

E. Criminal Justice Standards (paragraph 56).

1. Comprehensive description of state and local standards (or reference thereto).
S NI U
2. Indication of nature of contribution to goal achievement standards will make or are expected to make. S NI U
3. Description of method for developing, establishing and implementing standards, including scope of the effort, the participants and their roles, and major milestones. S NI U
4. Detailed plan, including a general timetable, for developing standards in areas not addressed to date. S NI U
5. Relationship shown between standards and the goals to which they are to contribute. S NI U
6. Relationship shown between standards and established state priorities. S NI U
7. Relationship shown between standards and the remaining multiyear plan sections. S NI U

Summary Questions

1. Overall, the response to guideline requirements reflected in this section of the checklist has been:
 - ___ High quality; responsive to the substance and intent of guideline requirements.
 - ___ Good; conscientious effort to meet guideline requirements, although some further efforts are required to respond fully to the substance and intent of guideline requirements.
 - ___ Minimum compliance; response is of marginal quality and/or fails to address certain specific guideline requirements.
 - ___ Unacceptable; major deficiencies in the scope and/or quality of the submission.
2. Compared with last year's submission, the FY 1977 comprehensive plan response to the requirements reflected in this section is:
 - ___ Improved; reflects substantial efforts to upgrade capabilities/performance.
 - ___ Unchanged; substance of the response is similar to last year's submission, or if changed, is of roughly similar scope and quality.
 - ___ Weaker; represents a poorer effort than that reflected in the FY 1976 plan.

F. Priorities (paragraph 57).

- | | | | |
|---|---|----|---|
| 1. Priorities established for the allocation of resources available from the SPA. | S | NI | U |
| 2. Relationship of priorities to: | | | |
| a. Problems identified in the analysis section. | S | NI | U |
| b. Goals and standards. | S | NI | U |
| c. Programs planned for implementation. | S | NI | U |
| 3. Indication of how priorities were developed, explanation of factors which led the state to decide which among its major needs and problems it should face, and in what order, and with what resources. | | | |
| | S | NI | U |

Summary Questions

1. Overall, the response to guideline requirements reflected in this section of the checklist has been:

_____ High quality; responsive to the substance and intent of guideline requirements.

_____ Good; conscientious effort to meet guideline requirements, although some further efforts are required to respond fully to the substance and intent of guideline requirements.

_____ Minimum compliance; response is of marginal quality and/or fails to address certain specific guideline requirements.

_____ Unacceptable; major deficiencies in the scope and/or quality of the submission.

2. Compared with last year's submission, the FY 1977 comprehensive plan response to the requirements reflected in this section is:

_____ Improved; reflects substantial efforts to upgrade capabilities/performance.

_____ Unchanged; substance of the response is similar to last year's submission, or if changed, is of roughly similar scope and quality.

_____ Weaker; represents a poorer effort than that reflected in the FY 1976 plan.

G. Multiyear Forecast of Results and Accomplishments
(paragraph 58).

1. Description of expected achievements in improvements in each major program area or category over at least the next three years, including:

a. Projections of accomplishments for the first, second, and total three year period. S NI U

b. Reference to all LEAA supported program plans. S NI U

2. Other state and local programs included, and the relationships between accomplishments expected in the LEAA program and other state/local supported programs shown. S NI U

If data is not available, methods to obtain data that are available is adequate for FY 1977, if a strategy is included for obtaining the other data for FY 1978.
(Yes ___ No ___)

Summary Questions

1. Overall, the response to guideline requirements reflected in this section of the checklist has been:

___ High quality; responsive to the substance and intent of guideline requirements.

___ Good; conscientious effort to meet guideline requirements, although some further efforts are required to respond fully to the substance and intent of guideline requirements.

___ Minimum compliance; response is of marginal quality and/or fails to address certain specific guideline requirements.

___ Unacceptable; major deficiencies in the scope and/or quality of the submission.

2. Compared with last year's submission, the FY 1977 comprehensive plan response to the requirements reflected in this section is:

___ Improved; reflects substantial efforts to upgrade capabilities/performance.

___ Unchanged; substance of the response is similar to last year's submission, or if changed, is of roughly similar scope and quality.

___ Weaker; represents a poorer effort than that reflected in the FY 1976 plan.

H. Multiyear Budget and Financial Plan
(paragraph 59).

1. Budget or financial plan showing projected expenditures of LEAA funds for each component program for the current period and for each of the two (or more) successive years. S NI U
2. State and local government expenditures for LE/CJ/JJ for the current year, as fully as possible. S NI U
3. Relationship of State and local government expenditures to State Plan program categories, as fully as possible. S NI U
4. If individual programs (except construction) are funded with Part C and Part E funds, the amount projected from each source is specified; separate accountability for the current action period is possible; and Part E assurances will apply to the use of Part C funds. S NI U

Summary Questions

1. Overall, the response to guideline requirements reflected in this section of the checklist has been:
 - ___ High quality; responsive to the substance and intent of guideline requirements.
 - ___ Good; conscientious effort to meet guideline requirements, although some further efforts are required to respond fully to the substance and intent of guideline requirements.
 - ___ Minimum compliance; response is of marginal quality and/or fails to address certain specific guideline requirements.
 - ___ Unacceptable; major deficiencies in the scope and/or quality of the submission.
2. Compared with last year's submission, the FY 1977 comprehensive plan response to the requirements reflected in this section is:
 - ___ Improved; reflects substantial efforts to upgrade capabilities/performance.
 - ___ Unchanged; substance of the response is similar to last year's submission, or if changed, is of roughly similar scope and quality.
 - ___ Weaker; represents a poorer effort than that reflected in the FY 1976 plan.

Section 3. The Annual Action Program

A. Program Descriptions (paragraph 60).

1. Program descriptions presented in same order as functional category discussion in the multiyear plan. S NI U
2. Program descriptions reflect a Statewide overview of actions planned. S NI U
3. Funding eligibility requirements for each funds source (Part C, Part E, JJDP) are met per M 4100.1E, paragraph 29b(6). S NI U

Summary Questions

1. Overall, the response to guideline requirements reflected in this section of the checklist has been:
 - ___ High quality; responsive to the substance and intent of guideline requirements.
 - ___ Good; conscientious effort to meet guideline requirements, although some further efforts are required to respond fully to the substance and intent of guideline requirements.
 - ___ Minimum compliance; response is of marginal quality and/or fails to address certain specific guideline requirements.
 - ___ Unacceptable; major deficiencies in the scope and/or quality of the submission.
2. Compared with last year's submission, the FY 1977 comprehensive plan response to the requirements reflected in this section is:
 - ___ Improved; reflects substantial efforts to upgrade capabilities/performance.
 - ___ Unchanged; substance of the response is similar to last year's submission, or if changed, is of roughly similar scope and quality.
 - ___ Weaker; represents a poorer effort than that reflected in the FY 1976 plan.

B. Annual Action Program: Individual Action
Program Description (Complete for each
program in order).

1. Program Title: _____
2. Program Category (if applicable): _____
SPA Code: _____
Page Reference: _____
3. Budget Estimate, by federal funds and part amount,
amount and identification of match, and percentage
of match. S NI U
4. Brief, descriptive title, accurately reflective
of a major grouping of like projects within each
of the state's broad LE/CJ functional categories. S NI U
5. Relationship shown to:
a. Problem Analysis. S NI U
b. Multiyear budget forecast. S NI U
6. Quantified objectives. S NI U
7. Relationship shown to one or
more state goals or objectives,
and where possible, one or
more established standards. S NI U
8. General strategy for im-
plementation, including:
a. Specific types and scope
of projects contemplated for
funding under the program. S NI U
b. Answers to questions such as what
is planned, where the activity
will take place, and how much
will be accomplished, quantitatively
and in terms of general objectives,
for the current year of the multiyear
plan. S NI U

- c. Estimated duration of the program and
estimated future federal funding
required. S NI U
- d. If additional radio frequencies
are involved in proposed communi-
cations activities, assurance of
licensability from the FCC. S NI U
9. A detailed strategy which specifies how
technical assistance services will be
provided where there are TA
needs. S NI U
10. Subgrant budget data whenever subgrants
or allocations to local governments
or State agencies are contem-
plated. S NI U
11. Where joint funding (Part C/Part E/JJDP)
is involved, a brief statement is provided
that:
a. Distinguishes objectives, imple-
mentation activities or subgrant
data proportions not in ratio to
funding proportions. S NI U
b. Statement as to separate
accountability or whether JJDP/
Part E assurances will be applied
to all funds. S NI U
12. Description of evaluation data consulted by
the SPA in developing programs pro-
posed. S NI U
13. Description of the ways in which evaluation
data, where such data exist, influences
the programs in the plan. S NI U
14. Monitoring design described and provides
at a minimum for the measurement of the
degree to which program objectives
are achieved. S NI U

15. Monitoring design meets the monitoring plans set forth in the SPAs planning grant.

S NI U

C. Compliance with Funding Limitations
(paragraph 61).

1. Compliance with variable pass-through requirements.

S NI U

2. Projected amount shown of Part C, Part E, and JJDP funds to be used for construction, with titles and estimated amounts provided for all individuals programs which provide for construction expenditures.

S NI U

3. One-third personnel compensation limitation is observed.

S NI U

4. Where advance action funds were awarded, the SPA in its plan:

a. Indicates the total amount of advance funds awarded up to date of plan submission.

S NI U

b. Indicates generally the distribution of such funds among the various programs of the Annual Action Plan.

S NI U

c. Explains how such expenditures were consistent with funds projections of the State's approved prior plan and this plan submission.

S NI U

D. Local Participation and Funds
Balance (paragraph 62).

1. Adequate procedures and actions to encourage local initiative in program and project development.

S NI U

2. Adequate procedures and actions to provide funding incentives to local governments that coordinate or combine LE/CJ functions described.

S NI U

3. Adequate procedures and actions to assure appropriately balanced allocations of funds between the State and local governments and among those latter units described.

S NI U

E. Comprehensive Coverage and Allocation
to Substantive Areas of Law Enforcement
and Criminal Justice (paragraph 63).

1. Narrative explanation that gives evidence of rational and equitable allocation of funds among components of the CJS.

S NI U

2. Allocation linked to the analysis of needs and to the analysis of how the CJS as a whole is allocating funds.

S NI U

3. Explanation of the basis for omission where major CJS elements are not included in a significant way in the allocation of funds.

S NI U

Section 4. Performance Measurement
and Its Utilization

A. Specific Plans for Intensive Evaluation
(paragraph 64).

1. Indication of programs/projects to be evaluated intensively, including:
 - a. The criteria by which they were chosen. S NI U
 - b. The resources allocated to this level of evaluation. S NI U
 - c. Whether intensive evaluations are wholly or in part funded by the SPA or other sources. S NI U
2. Process described by which intensive evaluations are planned and implemented, including whether in-house or outside evaluators will be employed, and if the latter, the way in which they will be selected. S NI U

B. Results of Monitoring and Evaluation
(Progress Report) (paragraph 65).

1. Progress report provided for each of the programs of the state's last funding cycle, but not for a year earlier than 1974, which includes the following elements.

Number of programs
in Progress Report
containing this
Information

- a. Title and amount of funding. _____
- b. Short statement of goal. _____
- c. A description of assessment of:
 - (1) The impact of the program on CJ and JJ systems. _____
 - (2) The impact of the program on a specific crime problem. _____
 - (3) The extent to which continuation support has been, or will be, sought and obtained, including:
 - a. The number and types of projects to be continued. _____
 - b. The level of government providing continuation support. _____
 - c. The level of continuation funding and operations as compared to original scope. _____

d Criteria used for
deciding on
continuation support.

d. Problems encountered in
implementation.

e. Intensive program/project
evaluation findings undertaken
in the program in the last
complete funding cycle.

Rating: S NI U

2. Specific reports on 10-20
(actual number is)
selected projects which have pro-
vided evidence of success, which
include:

Number of specific
project reports con-
taining this information.

a. Title and amount of
funding.

b. Clear statement of
project objectives.

c. Detailed description
of activities or
services.

d. Quantified Statement
of impact.

e. Description of data
available to sub-
stantiate project
impact.

f. Description of SPA
monitoring.

g. Detailed description of
intensive evaluation
(if conducted) in-
cluding:

(1) Process for planning
and implementing
the intensive evaluation,
including who would
evaluate, and if
outside evaluators,
how they were selected.

(2) Description of evalua-
tion methodology.

(3) Clear statement of
findings.

h. List of references of
responsible persons in-
volved in the project
who could attest to
impact.

Rating: S NI U

Summary Questions

1. Overall, the response to guideline requirements
reflected in this section of the checklist has been:

 High quality; responsive
to the substance and intent
of guideline requirements.

Good; conscientious effort to meet guideline requirements, although some further efforts are required to respond fully to the substance and intent of guideline requirements.

Minimum compliance; response is of marginal quality and/or fails to address certain specific guideline requirements.

Unacceptable; major deficiencies in the scope and/or quality of the submission.

2. Compared with last year's submission, the FY 1977 comprehensive plan response to the requirements reflected in this section is:

Improved; reflects substantial efforts to upgrade capabilities/performance.

Unchanged; substance of the response is similar to last year's submission, or if changed, is of roughly similar scope and quality.

Weaker; represents a poorer effort than that reflected in the FY 1976 plan.

C. Use of Performance Measurement Data from Audits, and From Monitoring and Evaluation Results (paragraph 66).

1. Indication of how the SPA has used performance measurement results from the above sources.

S NI U

Section 5. Special Requirements to be Met by the Comprehensive Plan

- A. Use of Latest Data (paragraph 70).
Indication of data sources and dates for which plan data is valid.

S NI U

- B. Relationship to Other Plans, Programs and Systems (paragraph 71).

1. Relationship shown to other LEAA programs including:

a. Discretionary Program.

S NI U

b. Manpower Development Programs.

S NI U

c. Research programs.

S NI U

d. Systems and Statistics Programs.

S NI U

2. Specific Federal Grant-in-Aid Program relationships shown, including:

a. JJDP programs, if not elsewhere in plan.

S NI U

b. Housing and Community Development Act of 1974.

S NI U

c. Highway Safety Act of 1966.

S NI U

3. Relationship to other relevant Federal, State, or local CJ or special planning programs.

S NI U

- C. Encouragement or Coordination, Cooperation, and Combination of Efforts (paragraph 72).

1. Evidence that SPA is encouraging coordination and cooperation among CJ agencies and the various levels of government.

S NI U

2. Evidence of SPA emphasis on combined efforts in LE/CJ.

S NI U

D. Joint and Combined Use of Facilities, Advanced Techniques in Facility Design (paragraph 73).

1. Evidence that SPA has provided for improved utilization of facilities, including cooperative and joint use. S NI U
2. Evidence of support and encouragement for advanced techniques with the design of facilities. S NI U

Summary

Check the appropriate summary rating for state responses to guideline requirements contained in paragraphs 70-73.

Paragraph
70 71 72 73

Summary Questions

1. Overall, the response to guideline requirements reflected in this section of the checklist has been:

- ___ High quality; responsive to the substance and intent of guideline requirements. ___ ___ ___
- ___ Good; conscientious effort to meet guideline requirements, although some further efforts are required to respond fully to the substance and intent of guideline requirements. ___ ___ ___
- ___ Minimum compliance; response is of marginal quality and/or fails to address certain specific guideline requirements. ___ ___ ___
- ___ Unacceptable; major deficiencies in the scope and/or quality of the submission. ___ ___ ___

2. Compared with last year's submission, the FY 1977 comprehensive plan response to the requirements reflected in this section is:

Paragraph

- | | 70 | 71 | 72 | 73 |
|--|-----|-----|-----|-----|
| ___ Improved; reflects substantial efforts to upgrade capabilities/performance. | ___ | ___ | ___ | ___ |
| ___ Unchanged; substance of the response is similar to last year's submission, or if changed, is of roughly similar scope and quality. | ___ | ___ | ___ | ___ |
| ___ Weaker; represents a poorer effort than that reflected in the FY 1976 plan. | ___ | ___ | ___ | ___ |

E. Functional Area Coverage (paragraph 74).

1. Plan gives full coverage to all aspects of the criminal justice system.

Functional Area	Full Multi-year Plan coverage	Rational Annual Action Program Treatment
Crime prevention	_____	_____
Identification, detection and apprehension	_____	_____
Adjudication, including prosecution and defense	_____	_____
Custodial treatment of suspects and offenders	_____	_____
Institutional measures	_____	_____
Non-institutional rehabilitative measures	_____	_____

S = Satisfactory

NI = Needs Improvement

U = Unsatisfactory

Summary Questions

1. Overall, the response to guideline requirements reflected in this section of the checklist has been:

_____ High quality; responsive to the substance and intent of guideline requirements.

_____ Good; conscientious effort to meet guideline requirements, although some further efforts are required to respond fully to the substance and intent of guideline requirements.

_____ Minimum compliance; response is of marginal quality and/or fails to address certain specific guideline requirements.

_____ Unacceptable; major deficiencies in the scope and/or quality of the submission.

2. Compared with last year's submission, the FY 1977 comprehensive plan response to the requirements reflected in this section is:

_____ Improved; reflects substantial efforts to upgrade capabilities/performance.

_____ Unchanged; substance of the response is similar to last year's submission, or if changed, is of roughly similar scope and quality.

_____ Weaker; represents a poorer effort than that reflected in the FY 1976 plan.

F. Adequate Emphasis on High Crime Areas (paragraph 75).

1. For the year just past and for the current action year, demonstrate with appropriate dollar figures and program identification the following:

a. Estimate from each program the amount of Part C and Part E funds allocated to HCA's for:

(1) units of state government.

S NI U

(2) combinations of units of general local government.

S NI U

(3) local units of government.

S NI U

b. Estimate of funds from each program for direct benefit to HCAs.

S NI U

c. Explanation of geographical, functional and jurisdictional allocation of funds to HCA's.

S NI U

2. Collection, display, and analysis of the following elements, for jurisdictions with populations of 250,000 or greater:

a. Population.

S NI U

b. Annual UCR index rates for Part I offenses.

S NI U

c. Annual index rates for violent crimes; for burglary; and for larceny and auto theft.

S NI U

d. Victimization survey data (if extant).

S NI U

e. Per capita expenditure on LE/CJ or number of arrests, cases brought to trial, trials, convictions, new admissions to local jails, as indicators of LE/CJ activity.

S NI U

* or for 10 jurisdictions with highest crime rates (at least 3,000/100,000 population) if no jurisdictions are 250,000 or greater in population).

3. Demonstrate of adequate Part C/Part E allocations for direct benefit of jurisdictions where (a) crime is the highest and (b) LE/CJ expenditures and activities are the highest.

S NI U

Summary Questions

1. Overall, the response to guideline requirements reflected in this section of the checklist has been:

____ High quality; responsive to the substance and intent of guideline requirements.

____ Good; conscientious effort to meet guideline requirements, although some further efforts are required to respond fully to the substance and intent of guideline requirements.

____ Unacceptable; major deficiencies in the scope and/or quality of the submission.

2. Compared with last year's submission, the FY 1977 comprehensive plan response to the requirements reflected in this section is:

- ___ Improved; reflects substantial efforts to upgrade capabilities/performance.
- ___ Unchanged; substance of the response is similar to last year's submission, or if changed, is of roughly similar scope and quality.
- ___ Weaker; represents a poorer effort than that reflected in the FY 1976 plan.

G. Special Requirements for Juvenile Justice Under the Crime Control Act (paragraph 76).

1. Summary page reference for JJ activities of SPAs and other agencies within the state.
2. Three year plan for JJ improvement through allocation of crime Control Act funds.
3. Planned allocation of JJ funds for FY 77 submitted July 1, 1976, and conforms with material in plan.
4. Maintenance of effort requirement met (State's per capita allocation goal \$ _____). (State's JJ allocation \$ _____).

S	NI	U
S	NI	U
S	NI	U
S	NI	U

Summary Questions

1. Overall, the response to guideline requirements reflected in this section of the checklist has been:

- ___ High quality; responsive to the substance and intent of guideline requirements.
- ___ Good; conscientious effort to meet guideline requirements, although some further efforts are required to respond fully to the substance and intent of guideline requirements.
- ___ Minimum compliance; response is of marginal quality and/or fails to address certain specific guideline requirements.
- ___ Unacceptable; major deficiencies in the scope and/or quality of the submission.

2. Compared with last year's submission, the FY 1977 comprehensive plan response to the requirements reflected in this section is:

- ___ Improved; reflects substantial efforts to upgrade capabilities/performance.
- ___ Unchanged; substance of the response is similar to last year's submission, or if changed, is of roughly similar scope and quality.
- ___ Weaker; represents a poorer effort than that reflected in the FY 1976 plan.

H. Special Requirements for Participation in Funding
Under the Juvenile Justice and Delinquency Prevention
Act of 1974 (Section 5, Paragraph 77)

Note: Reviewer's assessments are required in this part of the checklist. If this information is contained in the technical specialist review or the overall analysis memorandum, you may cross reference it.

1. Relationship to Overall Comprehensive Plan

- a. Is the juvenile justice part of the State plan such that it can be reviewed independently of the other parts of the plan? (par 77b)

S NI U

b. Reviewer's Assessment:

Briefly describe what programmatic relationship exists between juvenile justice funding under the Crime Control Act and plans and programs under the JJDP Act.

2. Detailed Study of Needs

- a. Does the plan contain a detailed specification of the existing data sources available to carry out the detailed study of needs? (par 77c)

S NI U

- b. Has the State elected the 2 year option for the detailed study of needs? (applicable only to those states who began participation in FY 1976 or later)

Yes No

- c. If so, does the State indicate how it will address the second year's study? (applicable only to those states who began participation in FY 1976 or later)

S NI U

- d. Does the plan contain a description of the flow of youths through the juvenile justice system, including statistical information?

S NI U

e. Does the State identify information gaps that currently exist and its process for filling in these gaps?

S NI U

f. Does the plan analyze the effectiveness of the juvenile justice system?

S NI U

g. Does the plan include itemized estimated costs for juvenile justice programs and a prioritization based on anticipated resources?

S NI U

h. Does the plan include a description of major and innovative programs already in existence for youth, including descriptions of youth served, program costs, and source of funds.

S NI U

Reviewer's Assessment:

Provide an assessment of the State's efforts to meet the requirements of the detailed study of needs. Indicate what deficiencies and data needs are evident. Does the State identify a

realistic strategy for increasing its data gathering and analysis capability?

3. Utilization of Existing Programs

a. Does the plan demonstrate how the SPA will coordinate and utilize these services? (par 77d)

S NI U

b. Briefly describe the plan for coordination and utilization of services.

4. Equitable Distribution

a. Does it appear that the SPA has made an equitable distribution of JJDP Act funds? (par 77e)

S NI U

b. What formula was used?

Reviewer's Assessment:

Describe how the distribution of funds relates to the removal of status offenders from secure detention and correctional facilities and to the segregation of adult and juvenile offenders. If no relationship exists, explain why.

5. Advanced Techniques

- a. What percentage of funds is being used for advanced techniques? (par 77f)

_____ %

- b. Is the State using any techniques other than those specified in the Act? Yes No

If so, describe the techniques and the State's justification for using them.

- c. How do the advanced techniques relate to the needs surfaced in the detailed study?

6. Research, Training and Evaluation Capacity

- a. Does the plan indicate the resources to be used to accomplish the study of needs? (par 77g) (applicable only to those states who began participation in FY 1976 or later) S NI U

Amount set aside for study of needs.

\$ _____

- b. Does the plan indicate the State's training needs? S NI U

Amount set aside for training. \$ _____

- c. Does the State evaluation strategy address juvenile justice programs? S NI U

7. Status Offenders

- a. Does the State describe in detail its plan and timetable for assuring that status offenders will not be placed in juvenile detention or correctional facilities? (par 77h) S NI U

Page reference the programs to be funded that will address this issue.

Amount set aside for deinstitutionalization
of status offenders, including related pro-
grams. \$ _____

Percent of total JJDP award. _____%

b. Does the plan include a description of exist- S NI U
ing and proposed shelter facilities, group
homes, etc.?

Existing or proposed correctional facilities? S NI U

c. Does the plan include a realistic assessment S NI U
of the obstacles to deinstitutionalization
within two years?

d. Does the plan contain a realistic strategy S NI U
for overcoming these obstacles?

Reviewer's Assessment:

Provide an overall analysis of the strengths
and weaknesses of this plan section, including
an assessment of the SPA's deinstitutionaliza-
tion strategy, the programs it intends to fund
to accomplish this, and the obstacles to com-
pliance within the two-year timeframe.

8. Contact with Incarcerated Adults

a. Does the State describe in detail its S NI U
plan and timetable for assuring that
juveniles alleged to be or found to be
delinquent will not be detained or con-
fined in any institution in which they
have regular contact with incarcerated
adults? (par 77i)

b. Does the State describe the current S NI U
obstacles to immediate separation of
juveniles and adults?

c. Does the plan contain a realistic strategy S NI U
for overcoming these obstacles?

d. Is the State currently in compliance with Yes No
this requirement?

If not, when does the State estimate it
will be in compliance with this requirement?

e. What amount of funds has the State set aside
for the separation of juveniles and adults?

\$ _____

Percent of total of JJDP award. _____%

Reviewer's Assessment:

Provide an overall analysis of the strengths and
weaknesses of this plan section, including an assess-
ment of the current situation in the State, the
State's plan for separation, and the obstacles to
compliance.

CONTINUED

1 OF 2

9. Monitoring of Jails, Detention Facilities
and Correctional Facilities

- a. Does the plan indicate how monitoring of jails, detention facilities, correctional facilities, and other secure facilities will be done? (par 77j) S NI U
- b. Does the monitoring plan provide for the following:
- 1 survey of all jails, lockups, detention and correctional facilities, the number of juveniles placed in them, the offense charged or committed, and the disposition? S NI U
- 2 survey of all jails, lockups, detention and correctional facilities in which juveniles may be mixed with incarcerated adults? S NI U
- 3 description of steps that need to be taken to eliminate regular contact of juveniles and adults? S NI U
- 4 annual on-site inspection of jails, detention and correctional facilities? S NI U
- c. Who will be doing the monitoring for the State? _____

Amount set aside for the monitoring process.

\$ _____

- d. Indicate any obstacles which might prevent the State from submitting its monitoring report to LEAA by December 31, 1976.

10. Equitable Assistance to All Disadvantaged Youth

- a. Has the State attempted to analyze the needs of all disadvantaged youth? (par 77K) S NI U
- b. Does the plan contain a review of other Federal, State, local and private programs affecting disadvantaged youth? S NI U
- c. Has the State endeavored to relate the data gathered in the detailed study of needs to the equitable assistance requirements? S NI U

11. Rights of Privacy for Recipients of Service

- a. Does the plan describe the State's procedures for protecting rights of recipients of services and for assuring privacy of records? (par 77L) S NI U
- b. Does the plan describe the State laws and regulations pertaining to rights of privacy? S NI U

12. Equitable Arrangements for Employees Affected
by Assistance Under this Act

- a. Does the plan describe the State's methods or procedures for protecting the interests of employees affected by assistance under the Act? S NI U

- b. Does the plan indicate the degree to which employees in the State will be affected by the Act, and the resources to be used to meet the problem?

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13. Maintenance of FY 72 Level of Effort for Juvenile Justice

- a. Is the allocation of Crime Control Act funds for juvenile justice for this fiscal year at the State per capita allocation goal as outlined in paragraph 76b(8)? (par 76)

Yes No

- b. What is the State's allocation of crime control act funds for juvenile justice for FY 75? \$ _____

For FY 76? \$ _____

For FY 77? \$ _____

14. Provide a Description of Programs to be Funded Under the JJDP Act

15. Summary Questions

- a. Overall, the response to guideline requirements reflected in this section of the checklist has been:

_____ High quality; responsive to the substance and intent of guideline requirements.

_____ Good; conscientious effort to meet guideline requirements, although some further efforts are required to respond fully to the substance and intent of guideline requirements.

_____ Minimum compliance; response is of marginal quality and/or fails to address certain specific guideline requirements.

_____ Unacceptable; major deficiencies in the scope and/or quality of the submission.

- b. Compared with last year's submission, the FY 1977 comprehensive plan response to the requirements reflected in this section is:

_____ Improved; reflects substantial efforts to upgrade capabilities/performance.

- Unchanged; substance of the response is similar to last year's submission, or if changed, is of roughly similar scope and quality.
- Weaker; represents a poorer effort than that reflected in the FY 1976 plan.

I. Part E Conditions (paragraph 78).

1. Detailed comprehensive statewide program for the construction, acquisition, and renovation of correctional institutions and facilities including goals, standards, and a timetable for their accomplishment.
2. Demonstration of utilization of Part E funds to improve correctional programs and practices throughout the state.
3. Assurance that title to property and funds .. shall remain with a public agency.
4. Assurance that Part C funds for corrections purposes will not be reduced by virtue of the availability of Part E funds.
5. Certification of utilization of advanced techniques in the design of institutions and facilities.
6. Certification that where feasible and desirable provisions for regional sharing of institutions and facilities will be made.
7. Assurance that consultation and certification as described in paragraph 78c(7) will occur in the planning and design or renovation of facilities prior to funds expenditure.
8. Assurance that Part E funds will not be used for routine upkeep.
9. Assurance that applicants for subgrants will adhere as applicable to the following program elements:
 - a. Reasonable use of alternatives to incarceration.

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- b. Special provisions for treatment of alcohol and drug abusers, particularly in community-based programs.
- c. Architectural provision for separation of juvenile, adult female, and adult male offenders.
- d. Specific study for the feasibility of regional sharing of facilities.
- e. Architectural design of new facilities providing for appropriate correctional treatment programs.
- f. Willingness to accept federal prisoners.
10. Certification that special administrative requirements dealing with objectives, architectural and cost data, contractual arrangements etc. will be made applicable to subgrantees and contractors.
11. Specific indication of on-going manpower improvement efforts in the entire state correctional system, including:
- a. Provision for implementation of at least 80 hours recruit training and 20 hours/year refresher training.
- b. Assurances that personnel are receiving training in a. above.
- c. If applicable, where such training programs do not exist, what steps are being taken to meet this requirement.

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12. Assurance that personnel standards and programs reflect advanced practices.
13. Demonstration that Part E programming provides satisfactory emphasis on development and operation of community-based correctional facilities and programs.
- a. Total Part E block allocation \$ _____
- b. Amount for:
- (1) Diagnostic services \$ _____
- (2) Halfway houses. \$ _____
- (3) Probation and supervisory release programs. \$ _____
- (4) Community-oriented programs for parolee supervision. \$ _____
- c. Amount of Part E funds for construction (%). \$ _____
- d. Part E support for large cities/counties/metro areas etc. \$ _____
14. Description of concerted effort to provide treatment for drug and alcohol abusers within correctional institutions or who are on probation or other supervisory release programs, including:
- a. Identification of all available resources for the provision of treatment services.

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- b. Evidence that treatment is provided for convicted persons with drug and alcohol problems by October 1, 1976, to include:
- (1) Criteria for patient admission and termination.
 - (2) Adequate facilities.
 - (3) Intake units.
 - (4) Educational or job training programs.
 - (5) Regularly scheduled individual or group counseling.
 - (6) Voluntary program participation.
15. Provisions for accurate and complete monitoring of the progress and improvement of the correctional system, to include:
- a. Rates of prisoner rehabilitation, rates of recidivism in comparison with previous performance.
 - b. Rates of prisoner rehabilitation and rates of recidivism compared to current performance of other state and local prison systems not included in this program.
16. Maintenance of Effort requirements for Part C funds:
- a. The State retains the aggregate Part C investment in correctional (adult and juvenile) program patterns reflected in the multi-year projections of prior comprehensive plans.
 - b. The Part C commitment to corrections reflects at least a continuance of satisfactory prior years' planned and funded emphasis.

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Summary Questions

1. Overall, the response to guideline requirements reflected in this section of the checklist has been:

____ High quality; responsive to the substance and intent of guideline requirements.

____ Good; conscientious effort to meet guideline requirements, although some further efforts are required to respond fully to the substance and intent of guideline requirements.

____ Minimum compliance; response is of marginal quality and/or fails to address certain specific guideline requirements.

____ Unacceptable; major deficiencies in the scope and/or quality of the submission.

2. Compared with last year's submission, the FY 1977 comprehensive plan response to the requirements reflected in this section is:

____ Improved; reflects substantial efforts to upgrade capabilities/performance.

____ Unchanged; substance of the response is similar to last year's submission, or if changed, is of roughly similar scope and quality.

____ Weaker; represents a poorer effort than that reflected in the FY 1976 plan.

AUG 5 1976

J. Special Emphasis on Organized Crime and Civil Disorders (paragraph 79).

1. Programs and projects in the above areas detailed, or reasons why, if little or no emphasis was given for:

a. Organized crime.

b. Civil disorders.

c. Terrorist acts.

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Summary Questions

1. Overall, the response to guideline requirements reflected in this section of the checklist has been:

____ High quality; responsive to the substance and intent of guideline requirements.

____ Good; conscientious effort to meet guideline requirements, although some further efforts are required to respond fully to the substance and intent of guideline requirements.

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____ Improved; reflects substantial efforts to upgrade capabilities/performance.

____ Unchanged; substance of the response is similar to last year's submission, or if changed, is of roughly similar scope and quality.

____ Weaker; represents a poorer effort than that reflected in the FY 1976 plan.

K. Manpower Plans (paragraph 80).

1. Statement of plans of State and units of general local government to develop and implement advanced practices in recruitment, organization, training, and education of manpower.

S NI U

2. Statement of plans for recruitment and utilization of women and minorities.

S NI U

Summary Questions

1. Overall, the response to guideline requirements reflected in this section of the checklist has been:

_____ High quality; responsive to the substance and intent of guideline requirements.

_____ Good; conscientious effort to meet guideline requirements, although some further efforts are required to respond fully to the substance and intent of guideline requirements.

_____ Minimum compliance; response is of marginal quality and/or fails to address certain specific guideline requirements.

_____ Unacceptable; major deficiencies in the scope and/or quality of the submission.

2. Compared with last year's submission, the FY 1977 comprehensive plan response to the requirements reflected in this section is:

_____ Improved; reflects substantial efforts to upgrade capabilities/performance.

_____ Unchanged; substance of the response is similar to last year's submission, or if changed, is of roughly similar scope and quality.

_____ Weaker; represents a poorer effort than that reflected in the FY 1976 plan.

L. Information Systems and Communications Systems
(paragraph 81).

1. Overall strategy and plans for development of a criminal justice information systems. S NI U
2. Specific reference, by total dollars allocated and program title, to annual action programs designed in whole or in part to achieve CJIS development. S NI U
3. Annual action programs for CJIS programs make clear how the programs to be funded are based upon problem analysis and are consistent with the state's goals and objectives. S NI U
4. Overall strategy and plans for the development of radio and telecommunications systems. S NI U
5. Specific reference to programs in annual action program designed to achieve communications/telecommunications systems implementation. S NI U
6. Annual action program descriptions make clear relationships to problem analysis and to goals and objectives. S NI U
7. Annual action programs for radio/telecommunications programs include:
- a. Extent to which institutional coordination has been achieved, if appropriate. S NI U
- b. Extent to which existing equipment and facilities are being used. S NI U
- c. Technical and financial feasibility of the project in the short run, including financial feasibility after federal funding ceases. S NI U
- d. Extent to which program contributes to goal achievement and meets needs identified in problem analysis. S NI U

Summary Questions

1. Overall, the response to guideline requirements reflected in this section of the checklist has been:

- ☐ High quality; responsive to the substance and intent of guideline requirements.
- ☐ Good; conscientious effort to meet guideline requirements, although some further efforts are required to respond fully to the substance and intent of guideline requirements.
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2. Compared with last year's submission, the FY 1977 comprehensive plan response to the requirements reflected in this section is:

- ☐ Improved; reflects substantial efforts to upgrade capabilities/performance.
- ☐ Unchanged; substance of the response is similar to last year's submission, or if changed, is of roughly similar scope and quality.
- ☐ Weaker; represents a poorer effort than that reflected in the FY 1976 plan.

- M. Research and Development (paragraph 82).

Provisions for research and development, or in the alternative, reasons set forth for lack of activity in R and D.

S NI U

Summary Questions

1. Overall, the response to guideline requirements reflected in this section of the checklist has been:

- ☐ High quality; responsive to the substance and intent of guideline requirements.
- ☐ Good; conscientious effort to meet guideline requirements, although some further efforts are required to respond fully to the substance and intent of guideline requirements.
- ☐ Minimum compliance; response is of marginal quality and/or fails to address certain specific guideline requirements.
- ☐ Unacceptable; major deficiencies in the scope and/or quality of the submission.

2. Compared with last year's submission, the FY 1977 comprehensive plan response to the requirements reflected in this section is:

- ☐ Improved; reflects substantial efforts to upgrade capabilities/performance.
- ☐ Unchanged; substance of the response is similar to last year's submission, or if changed, is of roughly similar scope and quality.
- ☐ Weaker; represents a poorer effort than that reflected in the FY 1976 plan.

N. Technical Assistance Strategy and Plan
(paragraph 83).

1. Formulation and indication of willingness to implement a comprehensive TA program, including assistance in developing continuation funding plans for successful projects.
2. Presentation of a TA plan that includes:
 - a. An inventory of available state TA resources.
 - b. An assessment and analysis of TA needs and problems.
 - c. Prioritization of TA needs, including description of prioritization process.
3. Strategy for delivering or assuring implementation or provision of TA, including:
 - a. Specification of resources utilized to address problems and needs.
 - b. Description of how these resources will be utilized and delivered.
 - c. Identification of needs for which appropriate resources are not available.
 - d. Strategy for following up on services provided to determine their efficacy.
 - e. Description of how SPA can transfer exemplary services to others experiencing similar problems.

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Summary Questions

1. Overall, the response to guideline requirements reflected in this section of the checklist has been:
 - _____ High quality; responsive to the substance and intent of guideline requirements.
 - _____ Good; conscientious effort to meet guideline requirements, although some further efforts are required to respond fully to the substance and intent of guideline requirements.
 - _____ Minimum compliance; response is of marginal quality and/or fails to address certain specific guideline requirements.
 - _____ Unacceptable; major deficiencies in the scope and/or quality of the submission.
2. Compared with last year's submission, the FY 1977 comprehensive plan response to the requirements reflected in this section is:
 - _____ Improved; reflects substantial efforts to upgrade capabilities/performance.
 - _____ Unchanged; substance of the response is similar to last year's submission, or if changed, is of roughly similar scope and quality.
 - _____ Weaker; represents a poorer effort than that reflected in the FY 1976 plan.

Section 6. Administrative, Fiscal,
and Implementation Requirements
(paragraph 84).

1. Summarization of SPA administrative mechanism for plan implementation or reference to all appropriate plan, planning grant, and action grant application sections.

S NI U

Summary Questions

1. Overall, the response to guideline requirements reflected in this section of the checklist has been:

- High quality; responsive to the substance and intent of guideline requirements.
- Good; conscientious effort to meet guideline requirements, although some further efforts are required to respond fully to the substance and intent of guideline requirements.
- Minimum compliance; response is of marginal quality and/or fails to address certain specific guideline requirements.
- Unacceptable; major deficiencies in the scope and/or quality of the submission.

2. Compared with last year's submission, the FY 1977 comprehensive plan response to the requirements reflected in this section is:

- Improved; reflects substantial efforts to upgrade capabilities/performance.
- Unchanged; substance of the response is similar to last year's submission, or if changed, is of roughly similar scope and quality.
- Weaker; represents a poorer effort than that reflected in the FY 1976 plan.

HB 4325.1C
AUG 5 1976
APPENDIX 11. OVERALL ANALYSIS AND DEFICIENCY
RESOLUTION MEMORANDUM



U. S. DEPARTMENT OF JUSTICE
Law Enforcement Assistance
Administration

OVERALL ANALYSIS AND DEFICIENCY
RESOLUTION MEMORANDUM

STATE _____

Provide an analysis of the Plan. What is required is not a duplication of what the state provided in its plan, but a substantive and qualitative review of the state's product, processes, and progress as reflected in the plan. Specific analysis should be provided for each major plan component. A specific analysis of each eligible plan component for which the state has requested review and approval as a multiyear submission is required.

Indicate how each deficiency noted during the review has been resolved. Each deficiency should be assigned a number, and should be referenced to the application and General Review Checklist page number. Give the nature of each deficiency, what action was taken concerning it, the results of the action, and recommendations for further action, if any, including suggested special conditions to the awards. "Deficiency" is defined as any aspect of the application or Comprehensive Plan which contravenes, or fails to satisfy, provisions of the Juvenile Justice or Crime Control Acts, application requirements as set forth in M 4100.1E, or other Federal regulations.

State Representative Signature

Date

The review has been completed in accord with Handbook HB 4325.1C Remedial action (Special Conditions) are to be taken on all deficiencies and Plan will be approved. ☐

Plan is not yet acceptable and SPA is to be notified that a revised submission must be made. Negotiations with the SPA are to commence. ☐

Regional Administrator's Signature

Date

HB 4325.1C
AUG 5 1976

Appendix 12. Review Summary
of Plan Elements Requested For
Consideration as Multiyear Submissions

Guideline Paragraphs Eligible for Considera- tion for Multiyear Submission	SPA Has Re- quested Multi- year Status (Yes; No)	All Applicable Checklist items rated "satis- factory (yes; No)	Checklist response to SPA submission judged "high quality" (Yes; No)
Paragraph 52			
53			
54			
55			
56			
57			
58			
59			
Paragraph 71			
72			
73			
Paragraph 79			
80			
81			
82			

Those elements of the state plan which meet the criteria set forth above are approved as multiyear submissions.

Date

Regional Administrator

APPENDIX 13. COMPREHENSIVE PLAN POST REVIEW CHECKLIST



U. S. DEPARTMENT OF JUSTICE
Law Enforcement Assistance
Administration

COMPREHENSIVE PLAN POST REVIEW CHECKLIST

- | | <u>COMPLETED</u> |
|--|--------------------------|
| 1. STATE _____ | |
| 2. Copy 2 of Form 1340/7 mailed to Grants and Contracts Management Division, Office of the Comptroller | <input type="checkbox"/> |
| 3. Preparation of a Plan Approval Document | <input type="checkbox"/> |
| 4. Preparation of a Part C, Part E and JJDP award forms (the latter if applicable). | <input type="checkbox"/> |
| 5. Preparation of a Discretionary Grant award form if a small State supplement is to be awarded. | <input type="checkbox"/> |
| 6. Grant numbers assigned | <input type="checkbox"/> |
| 7. Preparation of Special Conditions sheets | <input type="checkbox"/> |
| 8. Preparation of transmittal letters to the Governor of the State and the SPA Director | <input type="checkbox"/> |
| <u>STEPS FOLLOWING FINAL APPROVAL</u> | |
| 9. Date award was actually signed _____ | |
| 10. Proper approval and award dates assigned (7 working days after date in Item 9) to signed documents | <input type="checkbox"/> |
| 11. Official file established | <input type="checkbox"/> |
| 12. One clear legible copy of the signed materials telecopied to the Congressional Liaison Office in accordance with Paragraph 54b (4), HB 4325.1c | <input type="checkbox"/> |
| 13. <u>RESERVED.</u> | |

COMPLETED

14. Completed copies 2 and 3 of Form 1340/7 and other materials mailed to Grants and Contracts Management Division in accordance with paragraph 54b (8) of HB 4325.1C.
15. Seven full working days passed
16. Notification to Governor mailed
17. Notification to SPA Director mailed
18. GCMD Award Package and Library Award Package mailed to GCMD
19. Plan Review materials mailed to Office of Regional Operations as per paragraph 54b (9).
20. Form SF 424, prepared and sent to State Central Information Reception Agency(ies)
21. Post award processing completed by: _____
22. Date post award processing is completed: _____

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APPENDIX 14. PLAN APPROVAL DOCUMENT



UNITED STATES DEPARTMENT OF JUSTICE
LAW ENFORCEMENT ASSISTANCE ADMINISTRATION
WASHINGTON, D.C. 20531

IN REPLY PLEASE REFER TO

FY 197_ PLAN APPROVAL

The Law Enforcement Assistance Administration hereby approves the Comprehensive Law Enforcement and Criminal Justice Plan submitted by the

(show name of the SPA)

on _____ in accordance with the provision of Title I of the Omnibus Crime Control and Safe Streets Act of 1968, P.L. 90-351, as amended.

The Law Enforcement Assistance Administration also approves the Juvenile Justice and Delinquency Prevention Plan submitted by the

(show name of the SPA)

on _____, in conjunction with the overall comprehensive law enforcement and criminal justice plan, and in accordance with Title II of the Juvenile Justice and Delinquency Prevention Act, P. L. 93-415.

Approval of these two plans expires one year from the date of this notice unless terminated or superceded earlier.

Date of Approval _____ Regional Administrator

HB 4325.1C
AUG 5 1976

APPENDIX 15. PART C ACTION GRANT AWARD FORM



UNITED STATES DEPARTMENT OF JUSTICE
LAW ENFORCEMENT ASSISTANCE ADMINISTRATION
WASHINGTON, D.C. 20531

IN REPLY PLEASE REFER TO

GRANT AWARD
FY 197_ Part C Action Grant

Grantee:	Grant Amount:*
State:	Date of Award:
Grant Period: _____ to _____	Grant Number:

In accordance with the provisions of Part C of Title I of the Omnibus Crime Control and Safe Streets Act of 1968 (P.L. 90-351) as amended and on the basis of the grantee's application, the Law Enforcement Assistance Administration hereby awards to the foregoing grantee an action grant in the amount shown above.

This grant is subject to the representations and the General Grant Conditions set forth in the grantee's application. It is subject also, if so indicated below, to the Special Conditions attached to this grant award.

The grant shall become effective, as of the date of award, upon return to the Administration of the duplicate copy of this award and attached Special Conditions (if any) executed on behalf of the grantee in the space provided below.

Funding will be by Letter of Credit procedures.

Accepted for the Grantee: _____
Regional Administrator

Signature of Duly Authorized Official _____
Typed Name and Title of Official _____

GRANT AWARD DATA

☐ THIS AWARD IS SUBJECT TO SPECIAL CONDITIONS (ATTACHED).

Cognizant Regional Office: _____
Date Application Received: _____
LEAA Accounting Classification Code: _____
Document Control Number: _____

*Note: Amount of previous grant award(s): _____
Amount this award: _____
Total Part C action grant award: _____

HB 4325.1C
AUG 5 1976

APPENDIX 16. PART E ACTION GRANT AWARD FORM



UNITED STATES DEPARTMENT OF JUSTICE
LAW ENFORCEMENT ASSISTANCE ADMINISTRATION
WASHINGTON, D.C. 20531

IN REPLY PLEASE REFER TO

GRANT AWARD
FY 197_ Part E Action Grant

Grantee:	Grant Amount:*
State:	Date of Award:
Grant Period: _____ through _____	Grant Number:

In accordance with the provisions of Part E of Title I of the Omnibus Crime Control and Safe Streets Act of 1968 (P.L. 90-351) as amended and on the basis of the grantee's application, the Law Enforcement Assistance Administration hereby awards to the foregoing grantee an action grant in the amount shown above.

This grant is subject to the representations and the General Grant Conditions set forth in the grantee's application. It is subject also, if so indicated below, to the Special Conditions attached to this grant award.

The grant shall become effective, as of the date of award, upon return to the Administration of the duplicate copy of this award and attached Special Conditions (if any) executed on behalf of the grantee in the space provided below.

Funding will be by Letter of Credit procedures.

Accepted for the Grantee: _____
Regional Administrator

Signature of Duly Authorized Official _____
Typed Name and Title of Official _____

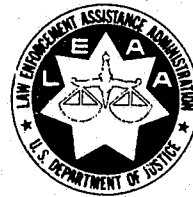
GRANT AWARD DATA

☐ THIS AWARD IS SUBJECT TO SPECIAL CONDITIONS (ATTACHED).

Cognizant Regional Office: _____
LEAA Appropriation Number: 15X0400
LEAA Accounting Classification Code: _____
Document Control Number: _____

*Note: Amount of previous advance award(s): _____
Amount this award: _____
Total Part E action grant award: _____

HB 4325.1C
AUG 5 1976
APPENDIX 17. JJDP ACT FORMULA GRANT AWARD FORM
UNITED STATES DEPARTMENT OF JUSTICE
LAW ENFORCEMENT ASSISTANCE ADMINISTRATION
WASHINGTON, D. C. 20531



GRANT AWARD
FY 197_ JJDP Act Formula Grant

Grantee:	Grant Amount*:
State:	Date of Award:
Grant Period: _____ to _____	Grant Number:

In accordance with the provisions of Title II, Part B, Subpart I of the Juvenile Justice and Delinquency Prevention Act of 1974 (P.L. 93-415) and on the basis of the grantee's application, the Law Enforcement Assistance Administration hereby awards to the foregoing grantee a formula grant in the amount shown above.

This grant is subject to the representations and the General Grant Conditions set forth in the grantee's application. It is subject also, if so indicated below, to the Special Conditions attached to this grant award.

The grant shall become effective, as of the date of award, upon return to the Administration of the duplicate copy of this award and attached Special Conditions (if any) executed on behalf of the grantee in the space provided below.

Funding will be by Letter of Credit procedures.

Accepted for the Grantee: _____
Regional Administrator
Signature of Duly Authorized Official _____
Typed Name and Title of Official _____

GRANT AWARD DATA

☐ THIS AWARD IS SUBJECT TO SPECIAL CONDITIONS (ATTACHED).

Cognizant Regional Office: _____
Date Application Received: _____
LEAA Accounting Classification Code: _____
Document Control Number: _____

*Note: Original award amount: _____
Supplemental award amount: _____
Total award amount: _____



HB 4325.1C
AUG 5 1976
APPENDIX 18. SMALL STATE SUPPLEMENT GRANT
AWARD LETTER FORM



UNITED STATES DEPARTMENT OF JUSTICE
LAW ENFORCEMENT ASSISTANCE ADMINISTRATION
WASHINGTON, D.C. 20531

IN REPLY PLEASE REFER TO

GRANT AWARD
FY 197_ Part C Discretionary Grant
Small State Supplement

Grantee:	Grant Amount:
State:	Date of Award:
Grant Period: _____ through _____	Grant Number:

In accordance with the provisions of Part C of Title I of the Omnibus Crime Control and Safe Streets Act of 1968 (P.L. 90-351) as amended and on the basis of the grantee's application, the Law Enforcement Assistance Administration hereby awards to the foregoing grantee a small State supplement action grant in the amount shown above.

This grant is subject to the representations and the General Grant Conditions set forth in the grantee's application. It is subject also, if so indicated below, to the Special Conditions attached to this grant award. All obligations, grant conditions and guideline requirements applicable to Part C Block action grants will apply to this award, except those conditions set forth in Section 303(2) of the Omnibus Crime Control and Safe Streets Act of 1968, as amended.

The grant shall become effective, as of the date of award, upon return to the Administration of the duplicate copy of this award and attached Special Conditions (if any) executed on behalf of the grantee in the space provided below.

Funding will be by Letter of Credit procedures.

Accepted for the Grantee: _____
Regional Administrator
Signature of Duly Authorized Official _____
Typed Name and Title of Official _____

GRANT AWARD DATA

☐ THIS AWARD IS SUBJECT TO SPECIAL CONDITIONS (ATTACHED).

Cognizant Regional Office: _____
Date Application Received: _____
LEAA Accounting Classification Code: _____
Document Control Number: _____

HB 4325.1C
AUG 5 1976

APPENDIX 19. SPECIAL CONDITIONS FORM



UNITED STATES DEPARTMENT OF JUSTICE
LAW ENFORCEMENT ASSISTANCE ADMINISTRATION
WASHINGTON, D.C. 20531

IN REPLY PLEASE REFER TO

SPECIAL CONDITIONS

Grantee (Name of SPA) _____

Grant Number: _____

In addition to the General Conditions and Conditions Applicable to Fiscal Administration to which this grant is subject, it is also conditioned upon and subject to compliance with the following special condition(s):

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APPENDIX 20. GRANT AWARD STANDARD TRANSMITTAL
LETTER TO GOVERNOR

UNITED STATES DEPARTMENT OF JUSTICE
LAW ENFORCEMENT ASSISTANCE ADMINISTRATION
WASHINGTON, D.C. 20531



Date: _____

Subject: Grant Numbers _____

Dear Governor (Name):

I am pleased to advise you that (name of state's) annual Comprehensive Law Enforcement and Criminal Justice Plan has been approved and Fiscal Year 19__ action grant awards for (name of state), in the amount of \$_____ have been approved. A copy of the Plan Approval Document and award statements are attached. These awards do not include prior 19__ advance awards of \$_____ made on _____. With these awards, (name of state) now has received its full allocation of \$_____ under the Omnibus Crime Control and Safe Streets Act of 1968, as amended.

I also am pleased to advise you that (name of state's) plan for juvenile justice and delinquency prevention, submitted in conjunction with the overall law enforcement and criminal justice plan referenced above, has been approved, and \$_____ in formula grant funds under the Juvenile Justice and Delinquency Prevention Act of 1974 have been approved. This represents (name of state's) full entitlement under this act.

If you have any questions concerning these awards, please feel free to contact the Administration. Plan approval and award documents are being transmitted concurrently to your state law enforcement and criminal justice planning agency.

Sincerely,

Regional Administrator
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APPENDIX 21. GRANT AWARD STANDARD TRANSMITTAL
LETTER TO SPA DIRECTOR



UNITED STATES DEPARTMENT OF JUSTICE
LAW ENFORCEMENT ASSISTANCE ADMINISTRATION
WASHINGTON, D.C. 20531

IN REPLY PLEASE REFER TO

Date: _____

Subject: Grant Numbers: _____

Dear Mr. (Name):

Formal notice of approval of the (Name of state) Comprehensive Law Enforcement and Criminal Justice Plan and the award of action grants under the Omnibus Crime Control and Safe Streets Act of 1968, as amended, was contained in a letter to (Name of Governor). Also contained in this letter was formal notice of approval of the (name of state) Juvenile Justice and Delinquency Prevention Plan, submitted in conjunction with the overall state plan, and notice of the award of a formula grant under the Juvenile Justice and Delinquency Prevention Act of 1974.

Official acceptance of these grants will take place upon return to the Regional Office of duplicate countersigned copy of the award Statements which are enclosed. A copy of the Plan Approval document and two copies of the award statements are enclosed.

(Either continue here with the results of plan review or refer to the appropriate Attachment).

Sincerely,

Regional Administrator

Attachments

DOJ-1976-08

END