

National Institute of Justice Historical Document

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NATIONAL INSTITUTE OF LAW ENFORCEMENT AND CRIMINAL JUSTICE

Regulation No. NI-1

October 23, 1968

INSTITUTE DOCUMENTS

1. Purpose. This regulation prescribes the nature of Institute documents. Its purpose is to facilitate information exchange and to simplify records.

2. Numbered Internal Series.

a. There are four numbered series, viz.:

(1) Administrative memoranda pertain to short-term administrative procedures affecting personnel, fiscal and other administrative-type actions. They are prepared by the Chief of the Administrative and Fiscal Division.

(2) Regulations pertain to standing directives of greater significance than Administrative Memoranda. They are signed by the Executive Assistant.


(3) Pamphlets pertain to information documents. They are usually written by a member of the Institute under his own byline.

(4) Policy Papers pertain to official positions of the Institute. They are promulgated by the Director.

b. The Chief of the Administrative and Fiscal Division assigns document numbers and dates and arranges for their reproduction and distribution.

3. Documents for External Readers include publications, newsletters, and lectures. Each document follows the format and style most suitable for its purpose and conforms to the prevailing professional standards, so as to reflect credit upon the author and the Institute. Approval of the Deputy Director is required prior to submission of manuscript for publication.

FOR THE DIRECTOR:


Acting Executive Assistant

Distribution:

All Personnel

NATIONAL INSTITUTE OF LAW ENFORCEMENT AND CRIMINAL JUSTICE

REGULATION NO. NI-2

OCTOBER 24, 1968

ORGANIZATION, MISSION AND FUNCTIONS

	<u>Paragraph</u>
Purpose	1
Changes	2
Authentication	3
Mission and Functions Statement	4

1. Purpose. This regulation prescribes the organization, missions and functions of all authorized organizational elements of the National Institute of Law Enforcement and Criminal Justice. Its purpose is to provide a stable framework within which the day to day functions of the Institute mission may be accomplished and to assign responsibility among the various elements.

2. Changes. The organization of the Institute is necessarily a changing one, adjustment to new concepts, variable conditions, and changing priorities. Chiefs of elements are held responsible for recommending changes, which will result in greater effectiveness in the accomplishment of missions or better utilization of resources, to the Chief of the Office of Plans, Programs, and Review. Change proposals will include the following supporting data:

- a. Mission authority (if new activity, mission, or function is proposed) and statement of new functions, annotated to indicate differences from previous functions.
- b. Proposed organizational structure and personnel, annotated to indicate differences in series and grade.
- c. Narrative explanation of purpose and expected benefits of change.

3. Authentication. The Chief of the Office of Plans, Programs, and Review will solicit coordination and/or comments from all interested elements and submit the proposal to the Director of the Institute for approval.

4. Missions and Functions Statements. Presented
in Sections 1 through 12.

FOR THE DIRECTOR:


Acting Executive Assistant

Distribution:
All personnel

TABLE OF CONTENTS

	<u>Page</u>
Purpose	1
Changes	1
Authentication	1
Table of Contents	3
 <u>SECTION 1</u>	
NATIONAL INSTITUTE OF LAW ENFORCEMENT AND CRIMINAL JUSTICE	
Organization Chart	6
Mission	7
 <u>SECTION 2</u>	
OFFICE OF THE DIRECTOR	
Organization Chart	9
Director	10
Deputy Director	10
Executive Assistant	10
Institute Advisory Council	10
National Law Enforcement and Criminal Justice Research and Development Coordination Council	11
 <u>SECTION 3</u>	
ADMINISTRATIVE AND FISCAL OFFICE	
Organization Chart	12
Mission	13
Administrative Unit	13
Personnel Unit	14
Fiscal Unit	14
 <u>SECTION 4</u>	
PLANS, PROGRAMS AND REVIEW OFFICE	
Organization Chart	16
Mission	17
Plans Unit	17
Review and Analysis Unit	18
Management Services Unit	18

<u>SECTION 5</u>	<u>Page</u>
PROJECT MANAGER'S OFFICE	
Organization Chart	19
Mission	20
Project Manager on Violence	20
Project Manager on Organized Crime	20
<u>SECTION 6</u>	
VISITING FELLOWS OFFICE	
Mission	21
Function	21
<u>SECTION 7</u>	
CRIME PREVENTION AND REHABILITATION RESEARCH CENTER	
Mission	22
Function	22
Illustrative Problems	23
<u>SECTION 8</u>	
DETECTION AND APPREHENSION DEVELOPMENT CENTER	
Mission	25
Functions	25
Illustrative Problems	26
<u>SECTION 9</u>	
CRIMINAL JUSTICE MANAGEMENT AND SYSTEMS ANALYSIS CENTER	
Mission	28
Functions	28
Illustrative Problems	29
<u>SECTION 10</u>	
NATIONAL CRIMINAL JUSTICE STATISTICS CENTER	
Mission	30
Functions	30
Illustrative Activities	31

SECTION 11

Page

USER REQUIREMENTS, STANDARDS,
AND EVALUATION DIVISION

Mission	33
Functions	33
Illustrative Activities	34

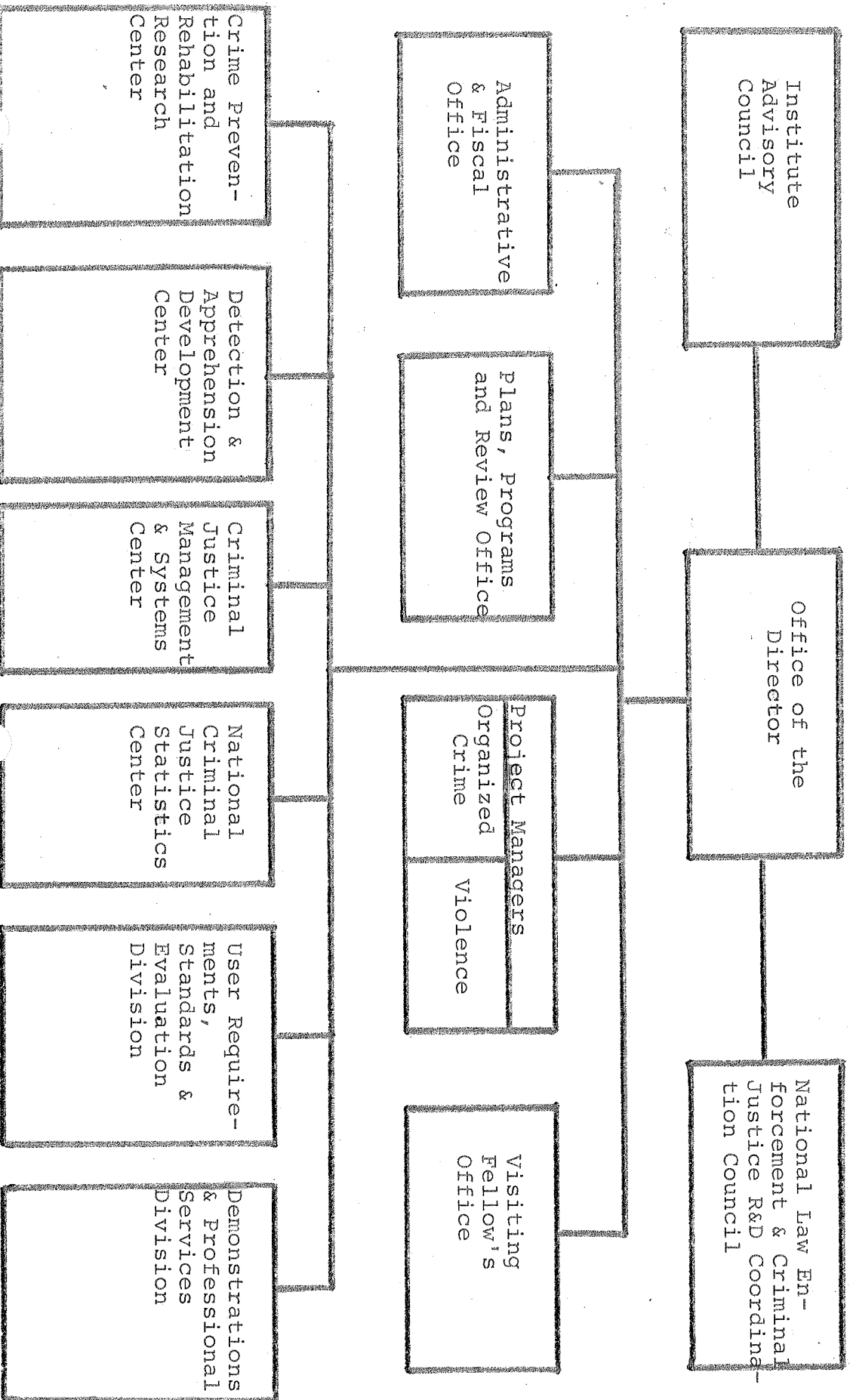
SECTION 12

DEMONSTRATIONS AND PROFESSIONAL
SERVICES DIVISION

Mission	35
Functions	35
Illustrative Activities	35

NATIONAL INSTITUTE OF LAW ENFORCEMENT AND CRIMINAL JUSTICE

Organization Chart



NATIONAL INSTITUTE OF LAW ENFORCEMENT AND CRIMINAL JUSTICE

MISSION

As stated in Public Law 90-351, Title I, Part D, Section 402(a), "It shall be the purpose of the Institute to encourage research and development to improve and strengthen law enforcement.

(b) The Institute is authorized--

(1) to make grants to, or enter into contracts with, public agencies, institutions of higher education, or private organizations to conduct research, demonstrations, or special projects pertaining to the purposes described in this title, including the development of new or improved approaches, techniques, systems, equipment, and devices to improve and strengthen law enforcement;

(2) to make continuing studies and undertake programs of research to develop new or improved approaches, techniques, systems, equipment, and devices to improve and strengthen law enforcement, including, but not limited to, the effectiveness of projects or programs carried out under this title;

(3) to carry out programs of behavioral research designed to provide more accurate information on the causes of crime and the effectiveness of various means of preventing crime, and to evaluate the success of correctional procedures;

(4) to make recommendations for action which can be taken by Federal, State, and local governments and by private persons and organizations to improve and strengthen law enforcement;

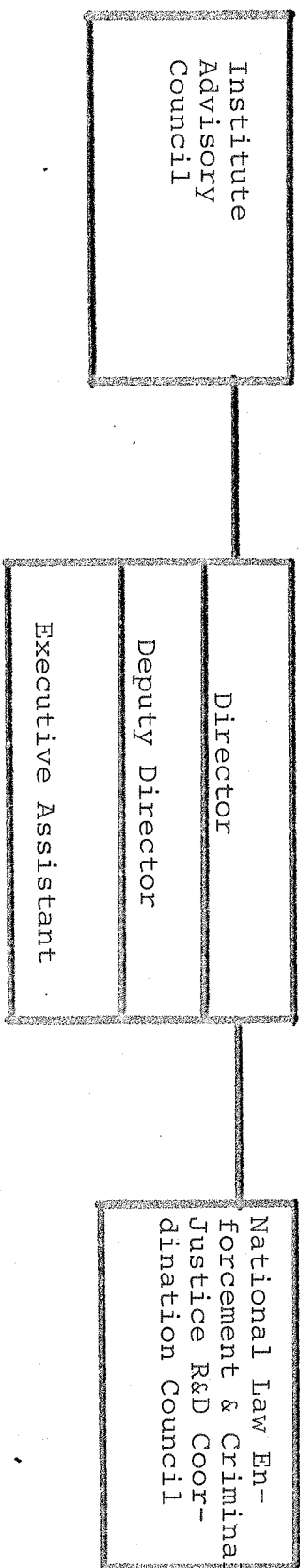
(5) to carry out programs of instructional assistance consisting of research fellowships for the programs provided under this section, and special workshops for the presentation and dissemination of information resulting from research, demonstrations, and special projects authorized by this title;

(6) to carry out a program of collection and dissemination of information obtained by the Institute or other Federal agencies, public agencies, institutions of higher education, or private organizations engaged in projects under this title, including information relating to new or improved approaches, techniques, systems, equipment, and devices to improve and strengthen law enforcement; and

(7) to establish a research center to carry out the programs described in this section. "

OFFICE OF THE DIRECTOR

Organization Chart



OFFICE OF THE DIRECTOR

FUNCTIONS

1. DIRECTOR

- a. Formulates and implements the research and development program of the Law Enforcement Assistance Administration as authorized under Public Law 90-351.
- b. Directs the Institute staff, grantees, and contractors in the accomplishment of assigned missions.
- c. Provides advise to Federal, State, and local agencies on the improvement of law enforcement and criminal justice.

2. DEPUTY DIRECTOR

- a. Acts as deputy to the Director, and is responsible for the day-to-day operations of the Institute.

3. EXECUTIVE ASSISTANT

- a. Provides executive assistance to the Director and Deputy Director in the management of the Institute.
- b. Reviews all documents for signature of the Director and Deputy Director to insure accuracy, clarity, appropriate tone, and accord with Administration and Institute policies and plans.

4. INSTITUTE ADVISORY COUNCIL

Consisting of about 30 outside experts in relevant disciplines and law enforcement and criminal justice operations, the Council:

- a. Provides advice on critical areas of improvement in law enforcement and criminal justice to which research and development can contribute significantly.
- b. Recommends effective policies, concepts and approaches.

c. Provides a continuing perspective on the potential impacts of Institute plans and actions upon individual dignity, freedom, and other constitutional rights and responsibilities and vice-versa.

d. Assists in the recruitment of professional personnel.

5. NATIONAL LAW ENFORCEMENT AND CRIMINAL JUSTICE
RESEARCH AND DEVELOPMENT COORDINATION COUNCIL

Consisting of representatives from organizations with major related programs, the Council:

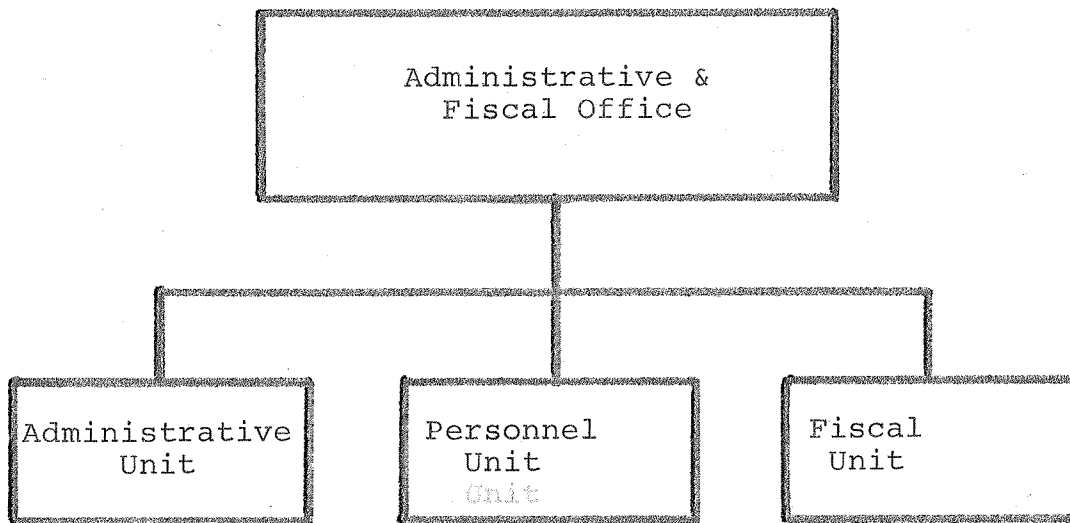
a. Coordinates the national research and development effort toward the improvement of law enforcement and criminal justice.

b. Encourages the elimination of unnecessary duplication and stimulates the mutual cooperation among investigators.

c. Facilitates the exchange of information among the research and development community.

ADMINISTRATIVE AND FISCAL OFFICE

Organization Chart



ADMINISTRATIVE & FISCAL OFFICE

MISSION

Provides administrative, personnel, and fiscal services to the Institute.

FUNCTIONS

1. ADMINISTRATIVE UNIT

- a. Insures appropriate integration of administrative activities of the Institute with the Administration.
- b. Develops, prescribes, and improves the Institute's administrative practices and procedures.
- c. Provides mail and record services, including mail distribution and control, follow-up on action papers, and management of records.
- d. Provides office services, including control of office space, requisitioning and distributing office supplies and equipment and keeping appropriate records, and liaison with the Administration on maintenance of office equipment, telephone services, and the like.
- e. Provides document and publication assistance, including ordering and distributing external publications, arranging for publication of internal issuances, and keeping of master file of regulations and other publications.
- f. Serves as Security Officer of the Institute, arranging for security clearance of personnel, classification and declassification of documents, and issuance of security regulations and procedures; conducts security checks; and investigates possible violations.
- g. Performs a variety of other duties such as fund drives, safety, blood donor and anniversary celebrations.

2. PERSONNEL UNIT

- a. Insures appropriate integration of personnel activities of the Institute with the Administration.
- b. Develops, prescribes, and improves the Institute's personnel practices and procedures.
- c. Operates education, training and career development programs.
- d. Operates personnel program of position and pay management, placement and work force adjustment, recruitment and examination, employee-management relations, employee services and counseling, reductions-in-force, performance evaluations, incentive awards, and personnel locator service.
- e. Provides internal personnel services, including maintaining personnel records, assisting in preparation of personnel documents, processing personnel actions, and maintaining time and leave records.
- f. Acts as Equal Employment Opportunities Officer of the Institute with regard to race, color, religion, creed, or sex; advises the Director on constructive measures and adjudicates allegations of discrimination.

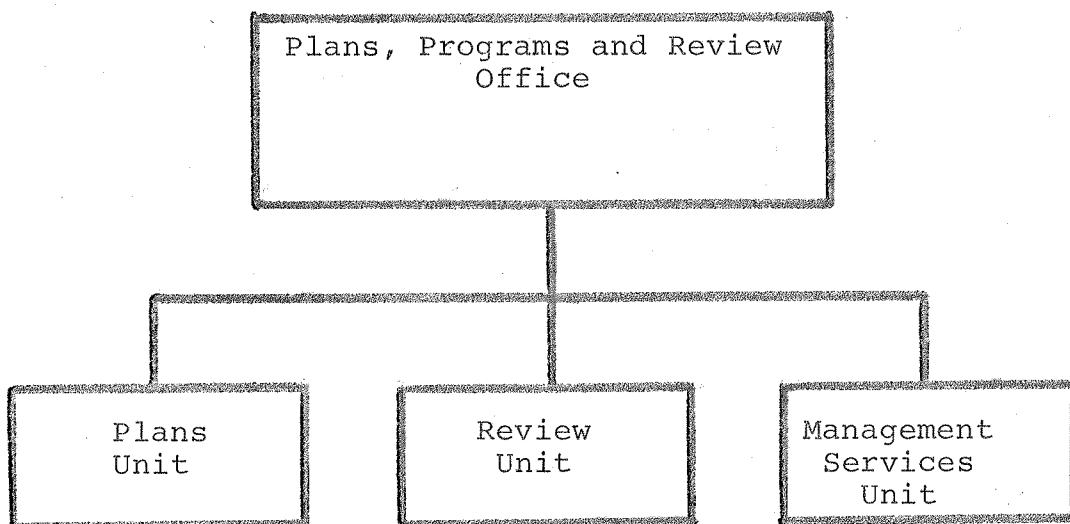
3. FISCAL UNIT

- a. Insures appropriate integration of financial activities of the Institute with the Administration.
- b. Develops and improves, in conjunction with the Administration, financial accounting policies, procedures and systems for the Institute.
- c. Maintains administrative control over all funds received and disbursed by the Institute.
- d. Acts as the Institute's contracting officer.
- e. Detects potential fiscal problems and recommends corrective actions.
- f. Performs/arranges for financial audits of Institute funds, evaluates results, and recommends appropriate action.

g. Coordinate the development of Institute positions on findings and recommendations of GAO and other authorized audit agencies.

PLANS, PROGRAMS, & REVIEW OFFICE

Organization Chart



PLANS, PROGRAMS AND REVIEW OFFICE

MISSION

Serves as focal point for generation of long-range plans, objectives, and programs for the Institute; provides review of the progress; defends Institute requirements for resources.

FUNCTIONS

1. PLANS UNIT

- a. Recommends general policy, direction, and guidance for the Institut's long-range resources and management forecast.
- b. Develops and recommends a five-year program for the Institute and a strategy toward the attainment of the objectives.
- c. Identifies trends, imbalances, and critical deficiencies in the National research and development effort in law enforcement and criminal justice and formulates the Institute's program accordingly.
- d. Coordinates and modifies the Institute's program to insure a proper balance among the various program segments, as well as an effective coupling with the needs of the law enforcement and criminal justice agencies.
- e. Develops resource management annexes for contingency plans and formulates alternative programs based on these plans.
- f. Develops, establishes, and issues overall procedures and instructions, relating to the preparation, review, approval, and defense of the Institute's budget estimates, apportionment requests, and current and prior year control programs.
- g. Evaluates and recommends position on proposed policy statements and maintains the Director's Policy Book.

2. REVIEW AND ANALYSIS UNIT

- a. Develops, in conjunction with functional chiefs, semi-quantitative or quantitative indices of overall effectiveness of Institute projects, programs, and management.
- b. Establishes, in conjunction with functional chiefs, scheduled objectives and progress milestones for projects and programs.
- c. Conducts quarterly progress reviews to the Director, and makes appropriate recommendations.
- d. Maintains record of Institute accomplishments and contributions to law enforcement and criminal justice.

3. MANAGEMENT SERVICES UNIT

- a. Conducts management surveys as directed by the Director, and other office or center chiefs.
- b. Coordinates and supervizes the processing of unsolicited proposals, suggestions, determinations and findings, and requests for Administrator's notation and approval of awards.
- c. Maintains and arranges for publication of Institution's Organization and Functions Manual.

PROJECT MANAGER'S OFFICE

Organization Chart

Project Managers		
Organized Crime	Violence	Secretariat

PROJECT MANAGER'S OFFICE

MISSION

A project manager acts as the executive agent of the Director in designated critical areas of law enforcement and criminal justice.

FUNCTIONS

- a. Provides central point within the Institute for integration of all facets of the critical project.
- b. Establishes, in conjunction with the functional chiefs, time-phased objectives, critical path, and progress milestones.
- c. Reviews progress toward approved objectives and directs, in the name of the Director, remedial measures in line with overall policy and guidance.
- d. Maintains quick reaction channel of communication from all activities to the Director to expedite the elimination of obstacles to progress.
- e. Remains continually up to date on all relevant events and provides Director with weekly report of significant ones.

PROJECT MANAGER ON VIOLENCE

Discharges above mission and functions in the development of new approaches, techniques, devices, equipment, tactics, and systems for the prevention and control of violence and the introduction of effective advances into practical use by law enforcement and criminal justice agencies.

PROJECT MANAGER ON ORGANIZED CRIME

Discharges above mission and functions in the development of new approaches, techniques, devices, equipment, tactics, and systems for significant decrease in and control of organized crime, and the introduction of effective advances into practical use by law enforcement and criminal justice agencies.

SECRETARIAT

Provides secretariat services to project managers.

VISITING FELLOW'S OFFICE

MISSION

Manages the Institute's visiting fellow programs.

FUNCTIONS

- a. Develops and directs programs on Research Associates, graduate students, and Research Fellows on temporary research residences at the Institute.
- b. Recommends, in conjunction with functional chiefs, candidates for research residences.
- c. Arranges for appropriate personnel processing and support provisions.
- d. Assist visiting fellows in insuring a smooth transition to the Institute and back to their parent organization, as well as a productive and satisfying period at the Institute.
- e. Maintain continuing contact with the parent organization regarding the progress of their representatives at the Institute.
- f. Follows subsequent careers of visiting fellows as an index of the program value to the individuals and their parent organizations.

CRIME PREVENTION AND REHABILITATION RESEARCH CENTER

MISSION

Provides national leadership in research on the identification of the causes of crime and their reduction, the motivations of juvenile delinquents, the psychology of violence, the sociology of organized crime, and the rehabilitation of criminal offenders; and advises operating agencies on the applications of the results.

FUNCTIONS

- a. Directs the preparation and execution of the Institute's research program in crime prevention and rehabilitation.
- b. Develops a nationally balanced research portfolio, optimally distributed according to urgency of the needs of law enforcement and criminal justice, long-term versus short-term gains, geographical distribution to strengthen local law enforcement and criminal justice agencies, availability of talent, and probability of success.
- c. Maintains cognizance over the latest and forecasted advances in all fields of knowledge toward early application to the processes of law enforcement and criminal justice.
- d. Maintains up-to-date familiarity with advances in approaches, techniques, devices, equipment, tactics, and systems in crime prevention and rehabilitation in foreign countries and carry out adaptations for American use.
- e. Directs internal staff, grantees and contractors in research on crime prevention and rehabilitation; evaluates progress; compares alternative approaches and determines optimal trade-offs and cost-effectiveness; translates research results into practical applications in the standard inventory and operations of law enforcement and criminal justice agencies at the local level.

- f. Analyzes feedback information on the unsatisfactory performance of approaches, techniques, devices, equipment, tactics, and systems in crime prevention and rehabilitation, and develops new corrective measures.
- g. Serves as principal professional advisor to Federal, State, municipal, and private organizations on the application of the latest research findings toward the improvement of crime prevention and rehabilitation of criminal offenders.
- h. Encourages the research community to devote their talents to the problems of law enforcement and criminal justice.
- i. Provides a research setting for visiting fellows.

ILLUSTRATIVE PROBLEMS

- a. Measurement of factors related to crime, including social and economic factors, physical and social organization of communities, and biochemical and genetic factors.
- b. Motivation of youth and first offenders, including the nature of the drives toward the first unlawful act; possible counteracting influences; effect of the manner of first apprehension, sentencing, prison companions, and parole.
- c. Influence of family, peer groups, mass media, and institutions upon the development of individual value system.
- d. Relationship of crime to urban problems and character.
- e. Causation and development of civil disorders.
- f. Assessment of potential factors for racial violence.
- g. Psychology of mobs and their response to various psychic and physical forces in relation to quenching and control.

- h. Social and corruption techniques of organized crime.
- i. Maximizing community cooperation with law enforcement officers.
- j. Prediction of future criminal patterns of offenders.
- k. Methods of assessment of correctional effectiveness.
- l. Innovative treatment techniques, including alternatives to adjudication and incarceration and expanded use of ex-offenders and sub-professionals.
- m. Maximizing the correction: custodial ratio during imprisonment.
- n. Improved techniques of correction by maximizing ex-convict's desire toward lawful behavior and/or avoidance of the unlawful, including modification of probation and parole methodologies, subliminal influences during imprisonment, and counseling and therapy innovations.
- o. Influence of sentence: parole ratio upon risk of return to crime.
- p. Design of model correctional institutions.

DETECTION AND APPREHENSION DEVELOPMENT CENTER

MISSION

Provides national leadership in the development of approaches, techniques, devices, equipment, tactics, and systems to increase the risks to the potential criminal and raise significantly the probability of apprehension and conviction of offenders; and advises operating agencies on the applications of the results.

FUNCTIONS

- a. Directs the preparation and execution of the Institute's development program in detection of crime and apprehension of criminal offenders.
- b. Develops a nationally balanced development portfolio, optimally distributed according to the urgency of the needs of law enforcement and criminal justice, long-term versus short-term gains, geographical distribution to strengthen local law enforcement and criminal justice agencies, availability of talent, and probability of success.
- c. Maintains cognizance over the latest and forecasted advances in all fields of knowledge toward early application to the processes of law enforcement and criminal justice.
- d. Maintains up-to-date familiarity with advances in approaches, techniques, devices, equipment, tactics, and systems in crime detection and apprehension of criminal offenders in foreign countries and carry out adaptations for American use.
- e. Directs internal staff, grantees, and contractors in development of crime detection and apprehension of criminal offenders; evaluates progress; compares alternative approaches and determines optimal trade-offs and cost effectiveness; translates research findings into practical applications in the standard inventory and operations of law enforcement and criminal justice agencies at the local level.
- f. Analyzes feedback information on the unsatisfactory performance of approaches, techniques, devices, equipment, tactics, and systems in crime detection and apprehension of criminal offenders and develops new corrective measures.

- g. Serves as principal professional advisor to Federal, State, municipal, and private organizations on the application of latest research and development findings toward the improvement of crime detection and apprehension of criminal offenders.
- h. Encourages the scientific and technological community to devote their talents to the problems of law enforcement and criminal justice.
- i. Provides a research setting for visiting fellows.

ILLUSTRATIVE PROBLEMS

- a. Development of new family of police equipment, such as tactical communications, tactical automatic data processing systems, display devices, radio frequency compatible and secure police communication network, riot-control chemicals, non-lethal weapons, night-vision devices, personnel detector, and personal equipment.
- b. Improved techniques in criminalistics, such as application of neutron activation analysis, biochemical properties of human debris, and better finger-print characterizations.
- c. More effective and less expensive community alarm and surveillance systems.
- d. Hardening of crime targets, such as building code requirements on locks and fasteners and thief-proof automobile key and starter.
- e. Analysis of crime patterns and development of computer aids in support of detective investigations.
- f. Predictive mathematical techniques for allocation of patrol force.
- g. Development of minimum-force riot quenching tactics and systems.
- h. Improvement of preventive patrol strategies and techniques.
- i. Tactics and equipment toward maximizing the speed of arrival of law enforcement officers at the scene of the crime.

- j. Analysis of alternative surveillance and pursuit systems and tactics for optimum cost effectiveness for different size police forces and budgets.
- k. Computer-assisted police command and control system, including automatic patrol car locator.
- l. Improvement of forensic and other evidential techniques.

CRIMINAL JUSTICE MANAGEMENT AND SYSTEMS CENTER

MISSION

Provides national leadership in the systems analysis of law enforcement and criminal justice activities, the applications of operations research techniques in the reduction of crime and the dispense of justice, and the adaptation of modern scientific techniques in the management of law enforcement and criminal justice operations; and advises operating agencies on the applications of the results.

FUNCTIONS

- a. Directs the preparation and execution of the Institute's programs in systems analysis and operations research of law enforcement and criminal justice and the improved management of the courts and other offices in the adjudication process.
- b. Develops a nationally balanced analysis portfolio, optimally distributed according to the urgency of the needs of law enforcement and criminal justice, long-term versus short-term gains, geographical distribution to strengthen local law enforcement and criminal justice agencies, availability of talent, and probability of success.
- c. Maintains cognizance over the latest and forecasted advances in all fields of knowledge toward early application to the processes of law enforcement and criminal justice.
- d. Maintains up-to-date familiarity with advances in systems analysis, operations research, and managerial techniques in the suppression of crime and adjudication of criminals in foreign countries and carry out adaptations for American use.
- e. Directs internal staff, grantees, and contractors in the conduct of systems analysis and management surveys toward increased efficiency in crime suppression and criminal adjudication; evaluates progress; compares alternative approaches and determines optimal trade-offs and cost effectiveness; translates research findings into practical applications in the standard practices and procedures of law enforcement and criminal justice agencies at the local level.

- f. Analyzes feedback information on the unsatisfactory performance of management systems and procedures, and develops new corrective measures.
- g. Serves as principal professional advisor to Federal, State, municipal, and private organizations on the application of systems analysis and operations research techniques and the applications of modern management system to the courts and law enforcement offices.
- h. Encourages the research community to devote their talents to the problems of law enforcement and criminal justice.
- i. Provides a research setting for visiting fellows.

ILLUSTRATIVE PROBLEMS

- a. Systems analysis of the entire law enforcement and criminal justice process, in collaboration with other functional chiefs, to determine areas of major weaknesses which are amenable to significant amelioration through research and development.
- b. Operations research on the criminal justice system toward a speedier and fair adjudication at less administrative cost.
- c. Applications of mathematical techniques toward improving the allocation of resources by time, place, and function.
- d. Mathematical modeling of police, court, detention, and rehabilitation systems as a theoretical basis for improved efficiency.
- e. Systems analysis of organized crime to determine the points of relative vulnerability to detection and apprehension.
- f. Analysis of legal devices, and business and economic outlets for organized crime.
- g. Development of advanced information retrieval systems for different size users.
- h. Provides systems and equipment specifications for standard automatic data processing capabilities.
- i. Coordination of systems analysis and cost-effectiveness studies sponsored by the Institute.

NATIONAL CRIMINAL JUSTICE STATISTICS CENTER

MISSION

Provides national leadership in coordinating, collecting, and disseminating essential statistical data related to law enforcement and criminal justice operations and research; in the development of standard definitions, terminology, units of measurement, and reporting procedures; in the statistical analysis of the nature, extent, trends, causes, effects, and costs of crime and violence; and in the formulation of meaningful yardsticks for measurement of effectiveness of law enforcement and criminal justice programs.

FUNCTIONS

- a. Establishes and maintains a national data base on law enforcement and criminal justice.
- b. Sponsors research on and collaboration toward the adoption of uniform and meaningful classifications and definitions around which to organize criminal justice data, acceptable to the law enforcement and criminal justice community.
- c. Conducts pilot experimentation on the use of proposed criteria, classifications, and definitions until accepted schemes and procedures of data collection emerge.
- d. Maintains a coordination council of responsible nationwide agencies to insure continued accepted uniformity of definitions, classifications, units of measurement, statistical techniques, and survey methodologies for promulgation as national standards.
- e. Pending adoption of national code, assembles data from various sources in their respective available forms and disseminates them to requesting parties with appropriate annotations for cross calibrations.
- f. Develops new and improves current survey techniques in the collection of opinions and data on law enforcement and criminal justice.
- g. Conducts special statistical surveys.

h. Provides advice on data collection, survey techniques, and statistical analysis to law enforcement and criminal justice agencies and related research institutions throughout the country.

i. Operates the Institute's research library.

ILLUSTRATIVE ACTIVITIES

a. In-depth victimization surveys to calibrate reported criminal data.

b. Coordinates activities of the Institute with those of Census Bureau, Federal Bureau of Investigation, the Children's Bureau, Bureau of Prisons, Administrative Office of U.S. Courts, Board of Parole, National Council on Crime and Delinquency, and other agencies so as to avoid unwarranted duplication and encourage cross-calibrations.

c. Collecting, analyzing, and publishing total criminal justice statistics, such as numbers of criminal offenses of different kinds, characteristics of offenders, geographical distribution of crimes, characteristics of victims, environmental settings of crimes, court cases in numbers, reports of crime with record of arrests and subsequent adjudication, economic impacts, cross-over between organized and individual criminals, workload of law enforcement and criminal justice apparatuses, prison characteristics, probation treatments, parole experiences, and recidivism.

d. Studies on the influence of the concept of personal privacy to the reporting of criminal justice information.

e. Determination of confidence levels in various kinds of data.

f. Prediction of future trends of crimes, according to types, location, and intensity.

g. Maintenance of up-to-date directory of institutions engaged in criminal justice and law enforcement operations and research.

h. Promulgation of statistical standards, specifications, and procedures for compilation and presentation of data.

i. Research on the value of "indicator cities" to develop accurate crime statistics for calibration purposes.

j. Research to determine the correlation of crime statistics with other more general statistics, such as national economic and urban employment figures.

USER REQUIREMENTS, STANDARDS AND EVALUATION DIVISION

MISSION

Provides national leadership in identification and description of specific needs and problems for the research and development community; in the conduct of objective user evaluations of proposed approaches, techniques, devices, equipment, tactics, and systems to meet user requirements; and in the adoption of related standards.

FUNCTIONS

- a. Directs the preparation and execution of the Institute's program in the determination of user requirements.
- b. Maintains close contact with law enforcement and criminal justice agencies throughout the country so as to be able to represent their viewpoint and practical considerations effectively.
- c. Provides independent testing capabilities to evaluate proposals both from the Institute and contractors, as well as from unsolicited proposals from the outside.
- d. Develops appropriate user evaluation methodologies, in collaboration with using agencies.
- e. Represents the Institute in regard to the applicability of new approaches, techniques, devices, equipment, and systems to practical operations.
- f. Provides advice to law enforcement and criminal justice agencies on test methodologies
- g. Provides advice to research and development community on user needs.
- h. Develops standards for techniques, devices, equipment, and systems in law enforcement and criminal justice in collaboration with using agencies against which evaluations are to be made.
- i. Develops and revises the catalog of standards and distributes to appropriate agencies.
- j. Expedites the incorporation of research and development advances into practice in law enforcement and criminal justice at the local level.

ILLUSTRATIVE ACTIVITIES

- a. Development of documentary descriptions of operational capability objectives of the user, as a basis for research planning.
- b. Development of documentary descriptions of qualitative and quantitative characteristics of materiel, techniques and systems as a basis for development planning.
- c. Coordination of user requirements documents with sufficient numbers of law enforcement and criminal justice agencies, so that successful development of prototypes will be adopted for immediate use.
- d. Establishment and maintenance of objective test centers at operating police departments of various types and sizes.
- e. Establishment and maintenance of objective test centers at operating courts of various types and sizes.
- f. Establishment and maintenance of objective test centers at operating prisons of various types and sizes.
- g. Direction of the formulation of the user test protocol.
- h. Direction of the execution of the independent user tests.
- i. Advice to the users and the developers of the test results.
- j. Research into the improvement of user test methodologies.
- k. Participation in international standardization program.
- l. Advice to developer on proposed system trade-offs.

DEMONSTRATIONS AND PROFESSIONAL SERVICES DIVISION

MISSION

Manages the Institute's program on demonstration of new and improved approaches, techniques, devices, equipment, and systems to law enforcement and criminal justice agencies throughout the nation; provision of professional support to these using agencies; Congressional liaison; and technical information.

FUNCTION

- a. Directs the preparation and execution of the Institute's program on user demonstrations.
- b. Maintains close contact with law enforcement and criminal justice agencies throughout the country so as to be able to use appropriate means of demonstration.
- c. Arranges for data exchange among law enforcement and criminal justice agencies.
- d. Arranges for expert advice to law enforcement and criminal justice agencies upon request.
- e. Serves as Institute point of contact with foreign law enforcement and criminal justice agencies and visitors.
- f. Operates the professional information program of the Institute.
- g. Acts as Congressional liaison.

ILLUSTRATIVE ACTIVITIES

- a. Establishment of demonstrations at operating police, courts, prisons and other appropriate locations.
- b. Direction of the realistic introduction of new approaches, techniques, devices, tactics, and systems to the potential users.
- c. Development of appropriate training aids and introductory literature.
- d. Arrangement for the efficient transition of new approaches, techniques, devices, tactics, and systems into operation through phased training and procurement of hardware and external assistance, and follow-on professional advice.

NATIONAL INSTITUTE OF LAW ENFORCEMENT AND CRIMINAL JUSTICE

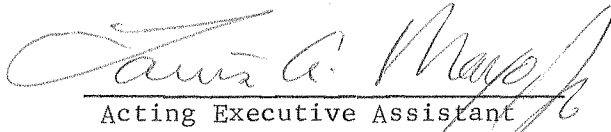
Regulation No. NI-3

November 1, 1968

COURTESY PRIOR NOTIFICATIONS
OF AWARDS OF CONTRACTS AND GRANTS

1. PURPOSE: This regulation prescribes the procedure to be followed in subject notifications.
2. PROCEDURE: The contracting officer will insure that the LEAA Office of Governmental Liaison is notified at least 48 hours before the date of award, so that the appropriate Senators and Congressmen are notified at least 24 hours in advance. The latter remains the responsibility of the LEAA Office of Governmental Liaison, who will also notify the Department of Justice at the appropriate time.

BY THE DIRECTOR:


Acting Executive Assistant

Distribution: Administrator Murphy
Administrator Pomeroy
LEAA Governmental Liaison
NI Functional Chiefs

NATIONAL INSTITUTE OF LAW ENFORCEMENT AND CRIMINAL JUSTICE

Regulation No. NI-4

November 1, 1968

INFORMATION SECURITY

1. PURPOSE: The purpose of this regulation is to establish procedures to insure the safeguarding of sensitive information.
2. CLASSIFICATION: The four levels of classification are:
 - a. Unclassified information (U) can be released to the public without violating any confidences, harming the security of this country, or jeopardizing law enforcement and criminal justice.
 - b. Confidential classification (C) includes proprietary data given in confidence; personal data, the general release of which violates the bounds of fair play and the individual's legal and moral rights to privacy; military information classified as "For Official Use Only" and "Confidential;" and information, the release of which may injure the security of this country or law enforcement and criminal justice.
 - c. Secret classification (S) includes data, the release of which may result in considerable harm to the security or the law enforcement and criminal justice effort of this country; and military information classified as "Secret."
 - d. Special handling classification (SH) includes data, the release of which may result in great and irreparable harm to the security or the law enforcement and criminal justice of this country; and military information classified as "Top Secret."
3. AUTHORIZATION:
 - a. Institute employees who have successfully undergone the FBI security check are authorized access to Confidential and Secret information, if they have been issued the appropriate clearance.
 - b. Individuals with secret clearance and specifically approved in writing by the Director are authorized access to Special Handling information.

- e. Provision of feedback information on user restrictions to research and development personnel as a basis for planning future programs.
- f. Editing of Institute's technical publications.
- g. Coordination of reviews and clearances of information releases by Institute elements, contractors, and grantees.
- h. Coordination of Institute's relations with Congress, through the Administration.
- i. Recommendations of actions and programs to enhance the relationship of the Institute to White House, Attorney General, Administration, Congress, and law enforcement and criminal justice agencies throughout the nation.
- j. Insuring prompt, accurate, and appropriate responses to White House, Attorney General, Administration, and Congressional inquiries.
- k. Advice to the Director on activities likely to develop into major issues and suggestions as to appropriate Institute posture.
- l. Maintenance of master file of resources of White House and Congressional inquiries, visits, investigations, hearings, and legislation.
- m. Preparation of historical summaries.

- c. Access to a particular classified document, also requires a need-to-know on the part of the recipient. Need-to-know is defined as essential requirement for the performance of assigned duties.

4. RESPONSIBILITIES:

- a. The author or initial recipient of the information and/or document in the Institute is responsible for its proper classification and related control records.
- b. The Chief of the Administration and Fiscal Office is responsible for maintaining an up-to-date list of individuals with authorized access to classified information.
- c. The individual providing the classified information and/or document is responsible for ascertaining the security clearance and need-to-know on the part of the recipient.
- d. Each functional and/or Office Chief is responsible for security within his respective organizational element.
- e. The Executive Assistant is responsible for security within the Office of the Director.
- f. The Chief of the Administrative and Fiscal Office is responsible for security within the Institute as a whole.

5. PROCEDURE:

- a. Confidential documents will be kept under lock and key when not within view of cleared personnel. Secret documents will be kept under three-combination lock when not within view of cleared personnel. Special Handling documents will be kept under three-combination lock, within a secure area, when not within view of and actual use by cleared personnel.
- b. Secret and Special Handling documents will be numbered and accounted for individually. They will be signed for individually by the authorized recipient.
- c. Classified documents will be clearly marked at the upper and lower portions of the front and back covers, and pages on which the classified information appears. Each paragraph on the classified page will begin with a letter denoting its classification, i.e., (U), (C), (S), or (SH).

- c. Access to a particular classified document, also requires a need-to-know on the part of the recipient. Need-to-know is defined as essential requirement for the performance of assigned duties.

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- c. Classified documents will be clearly marked at the upper and lower portions of the front and back covers, and pages on which the classified information appears. Each paragraph on the classified page will begin with a letter denoting its classification, i.e., (U), (C), (S), or (SH).

- d. Quarterly reviews of all classified documents will be made for the purpose of retention, return to source, or destruction.

FOR THE DIRECTOR:


Acting Executive Assistant

Distribution: All personnel

NATIONAL INSTITUTE OF LAW ENFORCEMENT AND CRIMINAL JUSTICE

Regulation No. NI 5

November 2, 1968

PROGRAM MANAGEMENT

1. Purpose. This regulation establishes objectives, procedures, and policies, for program management.
2. Objectives of Institute Program. The ultimate objective is to improve the quality of law enforcement, and the administration of justice in the United States, through the application of research and development throughout the spectrum of the behavioral and scientific disciplines.
3. Structure. The program is organized into the following elements:
 - a. Exploratory research consists of continuing effort toward the increase of knowledge relevant to the problems of law enforcement and criminal justice, studies toward the identification, analysis, and clarification of operational requirements, and long-term research toward the solution of complex problems of pressing nature.
 - b. Development consists of applied investigations toward demonstrating the feasibility of new approaches, techniques, systems, equipment, and devices on a prototype basis, and activity directed toward meeting a specific need, either stipulated by the user or postulated by the investigator.
 - c. Operational evaluation consists of the testing of approaches, techniques, procedures, systems, equipments, and devices, which are in a form nearly ready for use, against stipulated standards and specifications and evaluation of operational utility and value.
 - d. Technical services consists of demonstrations and training in the use of newly developed approaches, techniques, procedures, systems, equipments, and devices; dissemination of technical information; furnishing of library services; maintenance of standards; provision of statistics; and advice and consultation.

Each element is broken down into projects. A project is a specifically defined unit of effort, which is formulated to fulfill an explicitly stated objective. Projects represent the basic units of management and assessment of performance. Each project is divided into tasks, which represent specific problems and areas. Projects of element 2a are generally continuing in nature; the titles are discipline or functionally oriented; the magnitude usually ranges from \$100,000 to \$1,000,000. Projects in element 2b are activated for a period of time anticipated to be required for the specified objective at hand; the titles are descriptive of the operationally needed objective; the magnitude of funds conforms to what is needed to complete the job. Projects in elements 2c and 2d are continuing in nature; the titles are service oriented; the tasks usually entail jobs that are subject to completion within specified times of less than two years.

4. Portfolio. The program consists of a portfolio of projects balanced with respect to several factors including distribution among program element (e.g., 20%a: 50b: 15c: 15d), among clientele (e.g., 15% corrections: 45 police: 20 courts: 20 systems); among pay-off times (e.g., 50% short-range of up to 2 years: 30 mid-range of 2 to 5 years: 20 long-range of 6 to 15 years); among types of crimes (e.g., 10% organized crime: 20 violence: 10 juvenile delinquency: 60 others); and institutions (e.g., 15% inhouse: 15 universities: 30 industry: 20 police: 10 courts: 10 prisons).
5. Project and task identification. The first letter represents the element, the next two digits the project, followed by a decimal point; the two numbers after the decimal represent the tasks, e.g., A12.07.
6. Project approval. A project or its component task can be proposed by any member of the Institute to his functional chief. The functional chief reviews the proposal for harmony with his own portfolio and relative priority of support checked with other functional chiefs with regards to possible duplication and complementarity of effort, ascertain the availability of funds and personnel, and recommend to the Director for approval. The format for project proposal is given in Appendix A.
7. Responsibilities.
 - a. Project officers will normally be GS-15's, task monitors GS-14's.

- b. Functional chiefs are responsible for the formulation, direction, and productivity of their respective portfolios of projects. They head Centers/Divisions.
- c. The Deputy Director is responsible for the balance among elements, and maintenance of their respective character, coordination of Institute activities with those of other Federal agencies, healthy synergistic relations with the country's research and development community as well as operating agencies.
- d. The Director is responsible for the overall policy, philosophy, priorities, and overall responsiveness of the Institute to the needs of the country in law enforcement and criminal justice.

8. Exploratory research.

- a. The Institute objectives on exploratory research are as follows:
 - (1) Support and conduct broad and continuing investigations to provide fundamental knowledge relevant to the problems of law enforcement and criminal justice, with special emphasis on those areas of uncertainty and ignorance limiting chances of major operational improvement.
 - (2) Maintain effective contact with the research and development community in this and other nations with actual and potential contributions to law enforcement and criminal justice.
 - (3) Encourage investigators to bring their talents to bear on the problems of law enforcement and criminal justice.
 - (4) Insure a flow of relevant research findings in a useful form to the law enforcement and criminal justice community.
 - (5) Transform abstract knowledge and research findings into meaningful bases for development of practical approaches, techniques, systems, equipments and devices.

- b. In sponsoring exploratory research, the Institute is intellectually open to any suggestion and/or criticism from any source. It holds no preconceived theories. In negotiating research grants and contracts it maintains a reasonable degree of accommodation to the orientation and personality of the research institution. It recognizes that the innovative strength of this country resides, among other things, on the availability of institutions that refract research problems from different viewpoints. The excellence of the idea is of prime importance. Exploratory research should not be bogged down in needless procedures and paperwork. At the same time, the clarity of thought, the objective of the project, the criteria of evaluating output, and the pathway of ultimate translation into practical use need to be assured before embarking upon an endeavor of significant magnitude.
- c. The Institute will conduct a continuing analysis of the state of the art, and will disseminate the results of Institute activities for the purpose of earliest application to meet operational needs. It will be the responsibility of the Exploratory Research personnel to interpret these findings in a meaningful form and put them into the hands of the users or the Development personnel. This includes satisfaction of the technical aspects of the seven prerequisites of Concept Formulation.
- d. The seven prerequisites of Concept Formulation are:
 - (1) The operational purposes for which the development is proposed are specific and clear, with explicit statement of practical constraints, and supportable expected gains over current approaches, techniques, systems, equipment, or devices.
 - (2) The overall systems implications of the proposed sub-system has been analyzed.
 - (3) The requisite basic information are available and the technology is at hand, so that the technical risk for successful development are ascertainably acceptable.

- (4) The trade-off analysis of the proposed solution against other options has demonstrated conclusive advantages.
 - (5) The estimated time schedules and costs are credible and reasonable.
 - (6) Resources are reasonably assured to complete the development.
 - (7) Potential users and anticipated returns are identified so as to justify the intended investment. The justification should reflect the allocation of R&D resources at the overall system level.
- e. Grants, as well as contracts, may be awarded in the conduct of Exploratory Research. Grant application should follow the form presented in Appendix B. Initial inquiries as to probability of grant interest may be simple letters outlining the general substantive features.

9. Development.

- a. The Institute objectives on development are as follows:
- (1) Insure the early introduction of improved approaches, techniques, procedures, systems, equipments, and devices into the law enforcement and criminal justice operations of this country.
 - (2) Capitalize on advances of research and development in the Federal as well as non-Federal sectors for the strengthening of law enforcement and criminal justice.
 - (3) Provide expedited response to urgent operational needs.
- b. The development project officer insures himself that the seven prerequisites for Concept Formulation have been met to his satisfaction. If not, he resolves the issue with his functional chief, i.e., whether the project should revert back to Exploratory Research or proceed into Development with the completion of additional relatively minor investigations. He then ascertains the systems

implications on a finer grained basis. This includes determination of the total systems objectives and criteria of attainment; the solution of interfaces among parts of the system; the performance, design, personnel utility, training and test requirements; and an assessment of the implementation problems.

- c. Early in the development stage, the Chief of the User Requirements, Standards, and Evaluation Center should provide review of the Concept Formulation from the viewpoint of the user. In particular, his concurrence on the adequacy of the operational mission profiles is required.
- d. For projects exceeding \$1,000,000 for completion, a contract definition phase is mandatory. Typically this consists of three steps.
 - (1) The first step begins with Director's approval to proceed with contract definition. Requests for Proposals (RFP) are distributed to potential contractors. Contractor proposals are received and evaluated. The first step concludes with selection, negotiation, and award of contracts to conduct the second step of contract definition.
 - (a) The RFP solicits a firm proposal covering the contractor's effort during the contract definition and a planning proposal for development. It describes the operational requirements fully. These requirements are separated into essential and desirable groups. The RFP specifies the type of contract preferred for development. The RFP will include the information specified in Appendix C.
 - (b) The RFP will not be released until a Request for Authority to Negotiate/Determination and Findings (D & F) has been submitted by the functional chief and approved by the Director.
 - (c) A specially convened selection board for each development contract will be convened by the Deputy Director. The findings and recommendations

from its evaluation of the contractor's proposals will be forwarded to the Director for approval.

- (2) The second step begins with the approval of contract definition contracts. It includes the preparation of the selected contractor proposals, and ends with the submission of contractor reports and development proposals.
 - (a) It is intended that contractor proposals for development contains complete technical, management and cost proposals for system development. These proposals may be provided by the contractors in the form of a development contract for signature by the Director, if considered appropriate by the functional chief.
 - (b) It is intended that each contract definition contractor be fully compensated under the terms of his contract for his proposed work during contract definition. Contract definition is conducted using fixed price type contracts.
 - (c) The contractor reports of the second step contain total system trade-off analyses performed to determine, within the established mission and performance envelopes, an optimum balance between total cost, schedule, and operational effectiveness for the system or end item.
 - (d) Specifications developed during contract definition are performance specifications rather than detailed design specifications.
 - (e) The minimum content for contract definition proposals are outlined in Appendix D. Each participant in contract definition submits a report containing a complete technical, management, and cost proposal for the development.

(f) The time from award of contract definition to delivery of final report is not to exceed six months, with three months as the norm.

(3) The third step begins with receipt of contractor's final reports and proposals for development. The submissions are evaluated and the preferred contractor for conducting the development selected by a specially constituted selection board, convened by the Deputy Director. The third step ends with signing of the definitive development contract by the Director. Debriefing of contractors not selected is accomplished at the same time. The third step is expedited to be completed within three months.

10. Operational evaluation. New approaches, techniques, procedures, systems, equipment, and devices for use by operating agencies is subjected to a formal objective practical test, if the cost of the recommended change involved an expenditure of over \$500,000. The test against stipulated requirements will be conducted by one or more operating agencies which have not been involved in the development.
11. Technical services. Responsiveness to law enforcement and criminal justice operating agencies commands first priority, followed by meeting the needs of research and development institutions directly supporting the purposes of the Institute, and finally contributing to the national welfare in general and research and development community at large.
12. Coordination and collaboration. A continuing, open, and substantive cooperation is maintained with all Federal and non-Federal institutions. The Institute encourages the interchange of information, especially between the research and the operating communities. Unnecessary duplication of efforts is avoided by the Institute to the maximum extent practicable. International as well as national joint efforts are sponsored toward furthering the purposes of the Omnibus Crime Control and Safe Streets Act of 1968.

13. Progress reviews. Functional chiefs will be responsible for establishing specific progress review points for project. Where appropriate, the following are to be included:
- a. Exploratory research projects are reviewed quarterly as well as at the initiation and/or termination of projects, tasks, and concept formulation.
 - b. Development projects are reviewed at the proposed establishment of user requirements; the initiation and/or termination of project, tasks, contract definition, contracts, and grants; and scheduled milestones.
 - c. Operational evaluation projects are reviewed at the formulation of test plan, the evaluation of test results, and final recommendation of adoption or rejection.
 - d. Technical services projects are reviewed at the initiation, termination, and at quarterly intervals for specific services.
14. Program and budget actions. Proposed program guidance covering a 5-year period is formulated by a steering group chaired by the Deputy Director, and consisting of the functional chiefs, and project managers. The program portfolio is submitted to the Director for approval and forwarding to higher echelons. The Chief of Plans, Programs and Review serves as executive secretary of the group.

FOR THE DIRECTOR:


Acting Executive Assistant

APPENDIX A

PROJECT AND TASK PROPOSAL

Title:

Proposed Number:

Objective:

Statement of Need:

General Approach:

Expected Benefits:

Estimated Time-Phased Budget to Completion:

Resources to be Transferred from Approved Program:

(a) Personnel

(b) Dollars

Additional Resources Required:

(a) Personnel

(b) Dollars

(c) Other

General Comments:

Proposed by:

Coordination:

Through:

Approved by:

APPENDIX B

NATIONAL INSTITUTE OF LAW ENFORCEMENT
and
CRIMINAL JUSTICE

Washington, D. C.

Application is hereby made for a grant under Omnibus Crime Control and Safe Streets Act of 1968 (PL 90-351) in the amount and for the purposes indicated in the following application.

1. Short Title of Project : (Do not exceed one typed line)

2. Project Plan and Supporting data: (Attached)

3. Type of Application: (Check one)

☐ Original ☐ Continuation of Grant No. _____

4. Project Duration:

Total length _____ months

From _____

Through _____

5. Total Support Sought: \$ _____

6. Request for First Year: (Projects exceeding 16 mos.)

\$ _____

7. Applicant Institution: (Name, address, and telephone)

8. Type of Institution:

☐ Public ☐ Private

9. Federal Tax Exemption Determination:

☐ Yes, Date _____ ☐ No ☐ Pending

10. Project Director: (Name, Title, Address, and Telephone)

11. Financial Officer: (Name, Title, Address, and Telephone)

12. Official Authorized to Sign Application: (Name, title, address, and telephone)

13. Budget Summary for Total Project:

	<u>1st Year</u>	<u>2nd Year</u>	<u>Beyond 2nd Year</u>
Personnel			
Travel			
Equipment			
Supplies, Communications, and Reproduction			
Indirect costs			
Miscellaneous			
TOTAL			

14. Federal Support: Will other Federal support be available for any part of this project? Yes _____ No _____
If yes, identify and explain _____

15. Federal Submissions: Have other Federal agencies been contacted for assistance on this or similar projects?
Yes _____ No _____. If yes, identify and indicate status _____

16. Total Pages in Application:

17. Applicants Agreement:

It is understood and agreed by the Applicant: (1) that funds awarded are to be expended only for the purposes and activities covered by the Applicant's approved plan and budget; (2) that the grant may be terminated in whole or in part by the Institute Director for compliance failure or convenience of the United States Government; (3) that appropriate grant records and accounts will be maintained and made available for audit as prescribed by the Institute; (4) that the applicant will comply with Title VI of the Civil Rights Act of 1964 (P.L. 88-352) to the end that no person shall on the ground of race, color, or national origin be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under any program or activity for which the Applicant received Federal financial assistance from the Institute, and (5) that budget formulations follow the following conditions, namely (i) prohibition against obligation of funds or reimbursement of expenses incurred prior to the effective date of the grant, (ii) limitation of travel and subsistence charges by grantees to levels allowed under current Federal Government travel regulations, including use of less than first-class accommodations in air and rail travel and \$16 per diem subsistence limit, (iii) disallowance of certain types of costs, e.g., construction

costs, organization dues, entertainment expenses, purchase of automobiles, (iv) disallowance of indirect costs for public agencies, (v) limitation of approved expenditures to items specifically budgeted and requirement of approval for transfer of funds between budget categories, and (vi) requirement that all grant conditions and rules apply to organizations providing contract services to the project, including specific approval by the Institute of major sub-contract arrangements entered into after grant award.

18. Date:

19. Signature of Authorized Official:

20. Attachment: Project Plan and Supporting Data

This section constitutes the heart of the grant application. It is the applicant's meaningful statement of the proposed project--what are its aims, what approach will be used, what results are expected, what impact they may have on law enforcement and criminal justice, and who will be involved.

Begin this section with a brief summary not to exceed 200 words in length. Attach as many pages (8" x 10½" or 8½" x 11" sheets) as may be required.

APPENDIX C

INFORMATION IN REQUEST FOR PROPOSAL FOR CONTRACTOR-CONDUCTED CONTRACT DEFINITION

The request will include, but not be limited to, the following items.

1. Work statement for the contract definition.
2. Essential requirements.
3. Desirable requirements.
4. Results of prior studies, such as feasibility, operational analysis, major tradeoffs, technical findings, and cost effectiveness.
5. Criteria against which proposals will be evaluated and their relative importance in general terms.
6. Outline of Institute system/project management, including identification of Institute organizational elements and channels of communication with contractors.
7. A time based flow diagram on bar chart showing the interdependence and time phasing of planned activities. The chart designates information submissions, reviews, approvals, and decisions during the development process.
8. A specimen work statement for development.
9. Details of the format and content of the proposal package for development.
10. For equipment and devices, quantitative reliability and maintainability or tradeoff limits and demonstration concepts.
11. Identification of specifications, with any waivers or deviations planned to be written into the resulting development contract.

12. Documentation requirements during engineering development.
13. Mandatory subsystem breakdown, if any.
14. Government furnished material.

APPENDIX D

INFORMATION IN CONTRACT DEFINITION PROPOSAL PACKAGE

The proposal package contains, where appropriate, the following items:

1. Principal objectives and overall system design, including recommendations for its practical use based on operational concepts established by the Institute.
2. Management network plan for the development of the system and of all components in the system, denoting events which interface with the work of other participants; and, in addition, a planning and decision network for the period beyond development, including production, operation, maintenance training, and deployment, as appropriate.
3. Detailed cost estimates for the development, which include cost estimates for the items of work breakdown structure, consistent with the management network plan, together with planning estimates for the 5-year period beyond development, including such items as production, operation, and maintenance.
4. List of end items required for operation and maintenance.
5. Performance specification for each of the end items.
6. Quantitative reliability and maintainability specifications for the system and major subsystems and proposed test plans to demonstrate their achievement.
7. Time-cost performance tradeoff decisions with respect to major alternatives, including subsystems and proposed test plans to demonstrate their achievement.

8. Required new designs and technology if any, and proposed test plan to demonstrate feasibility, including justification of the decision that existing designs or techniques are not applicable.
9. Foreseeable technical problems and proposed solutions including backup efforts, if necessary.
10. Delivery schedule for data and technical documentation.
11. Recommitments for managing the project, including
 - a. Planned participant project management structure and organization.
 - b. Key project management and technical personnel by name and experience, together with statements of their responsibility and authority for development.
 - c. Management-control and cost-control techniques, including reporting procedures.
 - d. Facility requirements.

NATIONAL INSTITUTE OF LAW ENFORCEMENT AND CRIMINAL JUSTICE

Regulation No. NI 6

November 25, 1968

MODEL SERIES

1. Purpose. The purpose of this regulation is to announce the Model Series of publications, describe its nature, assign responsibilities, and establish related procedures.
2. Nature of publication. The Model Series brings useful prototype methods, procedures, devices, equipment, techniques, and tactics to the attention of operating personnel in law enforcement and criminal justice. It is a collection of how-to-do booklets in simple, readily understandable language, issued when a new development is successfully completed and operationally tested. The suggested models are to be within reach of implementation by the agency for which they are intended.
3. Responsibilities. The Chief of the Demonstrations and Professional Services Division is responsible for overall management of the Model Series, including printing and distribution.

The Editor is responsible for format, style, write-up and all other editorial aspects.

Each functional chief is responsible for suggesting candidate publications, and supplying supporting data. He is also responsible for the technical accuracy of the final draft.

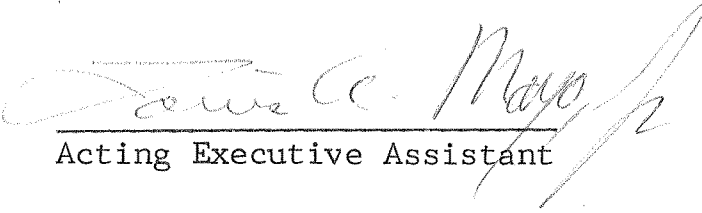
The Chief of the User Requirements, Standards, and Testing Division is responsible for commenting on the practical utility of the publication.

4. Procedure. Proposals for booklets are made by a functional chief to the Chief of Demonstrations and Professional Services Division. The proposed prospectus should include the title, content, size of booklet, distribution,

publication date, and author. Upon receipt of concurrences from appropriate elements of the National Institute, the Chief makes his recommendation to the Deputy Director. Upon the latter's approval to proceed, the Chief refers the case to the Editor for execution.

The Editor arranges for the completion of the draft manuscript, two independent outside reviews besides that by the appropriate functional chiefs, and incorporation of necessary revisions, and copy editing. The completed manuscript is forwarded to the Chief of Demonstrations and Professional Services Division for final review, reproduction, and distribution.

FOR THE DIRECTOR:


Acting Executive Assistant

NATIONAL INSTITUTE OF LAW ENFORCEMENT AND CRIMINAL JUSTICE

Regulation No. NI 7

November 26, 1968

RESEARCH FELLOWSHIPS

1. Purpose. The purpose of this regulation is to announce research fellowships, describe their nature, assign responsibilities within the National Institute, and establish related procedure.
2. Objectives of research fellowships. A limited number of research fellowships is sponsored for the following purposes:
 - a. To bring fresh research ideas, concepts, and views into law enforcement and criminal justice.
 - b. To encourage promising young investigators to enter careers of research and development on law enforcement and criminal justice.
 - c. To promote academic research interest in law enforcement and criminal justice.

Authority for research fellowships is provided in Part D of Title I of the Omnibus Crime Control and Safe Streets Act of 1968.

3. Graduate research fellowships. A graduate research fellowship is normally a 3-year award subject to the continued availability of appropriations and satisfactory student progress toward the degree.

The award provides a stipend of \$2,000 for the first academic year of study, \$2,200 for the second, and \$2,400 for the third, together with an allowance of \$400 a year for each dependent. An additional stipend of \$400, plus \$100 for each dependent, is available for summer study. No allowance for travel is provided.

In addition to the fellowship stipend, an accompanying allowance to the institution of \$2,500 per year is provided to pay for the cost of educating each fellow. This allowance is reduced by the amount of any tuition charged to the fellow.

A graduate student may not receive a National Institute research fellowship while receiving any other direct Federal educational benefit.

At the time of application for graduate fellowship the student must:

- a. Intend to enroll in full-time course leading to the doctorate, including thesis research of direct relevancy to law enforcement and criminal justice.
- b. Be a citizen of the United States.
- c. Not have completed more than two years of study beyond the baccalaureate degree creditable toward his doctorate.

At the time a student begins study under the graduate research fellowship, he must:

- a. Be accepted for admission to the university as a full-time graduate student.
 - b. Have completed the baccalaureate degree.
4. Post-doctoral or equivalent research fellowships. A post-doctoral research fellowship is normally limited to a one-year grant for research on a specific problem and in a specific institution of mutual interest in the field of law enforcement and criminal justice. The stipend is negotiated primarily on the basis of qualifications of the fellow. In addition, allowances are provided for travel and other appropriate administrative expenses.
 5. Responsibilities. The Chief of the Visiting Fellows Office is manager of research fellowships. Each fellowship is to be sponsored by a functional chief, who

furnishes the funds and technical liaison with the fellow. Contractural and administrative matters are handled by the Chief of the Visiting Fellows Office.

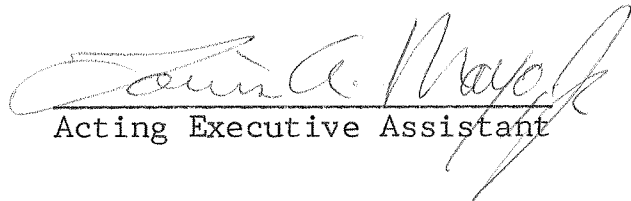
6. Application procedure. The National Institute's research grant application form, as given in the Appendix may be used, disregarding inapplicable questions in the case of graduate fellowships.

The applications are to be sent by the institution to

Director
National Institute of Law Enforcement
and Criminal Justice
Law Enforcement Assistance Administration
Department of Justice
Washington, D. C. 20530

7. Revocation of fellowships. The Director of the National Institute reserves the right to revoke any award which in his opinion is no longer following a line of research or study directly related to law enforcement and criminal justice. The fellowship may also be revoked by the participating institution if it finds that the fellow fails to meet appropriate scholastic or research standards. Remaining tenure may be reassigned by the institution as a vacated award to another fellow who meets the fellowship requirements.

FOR THE DIRECTOR:


Acting Executive Assistant

NATIONAL INSTITUTE OF LAW ENFORCEMENT AND CRIMINAL JUSTICE

Draft Regulation No. NI 8

March 1, 1969

Grant Processing Procedure Guide

Abstract

This regulation contains a step sequenced, time phased procedure guide for processing grants.

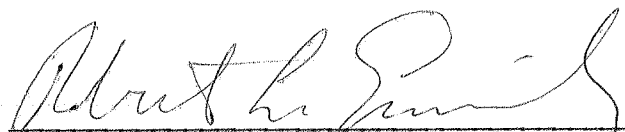

Acting Director, National Institute of
Law Enforcement and Criminal Justice

TABLE OF CONTENTS

I. Introduction	2
II. Forms and Offices	5
III. Office Position Descriptions	7
A. Grantee	7
B. Functional Center	7
C. Contracts and Grants Office	10
D. General Counsel	14
E. Administrators	14
F. Director of Institute	14
G. Administrative Services Division	15
H. Intergovernmental Liaison	15
I. Public Information Office	15
J. Office of Law Enforcement Programs	15
K. Panel Review Board	15
IV. Step Sequence Procedure Flow Diagram	17
V. Sample Forms	34

I. Introduction

A. Purpose

The purpose of this regulation is to establish the procedures and policies for processing a grant in the Institute.

B. Objectives of the Institute Procedure

1. Develop a uniform procedure for processing a grant.
2. Provide a central information source on how to process a grant.
3. Delineate the organizational entities that are responsible for processing a grant and enunciate their duties and functions in the processing of a grant.
4. Provide a positive control mechanism to insure that a grant is being processed in accordance with the requirements.
5. Serve as a vehicle for updating and amending the processing procedure as appropriate.

C. Structure

This guide is organized and presented in five parts. They are:

Introduction

Forms and Offices

Office Position Descriptions

Step Sequence Procedure Flow Diagram

Sample Forms

1. Introduction.

Contains a brief summary of the purpose, objectives and structure of the Grant Processing Procedure Guide.

2. Forms and Offices.

Part A of this section contains a summary listing of all the Forms and Reports cited in the procedure. Part B contains a simple listing of all of the specific organizational elements directly involved in the processing of a grant.

3. Office Position Descriptions.

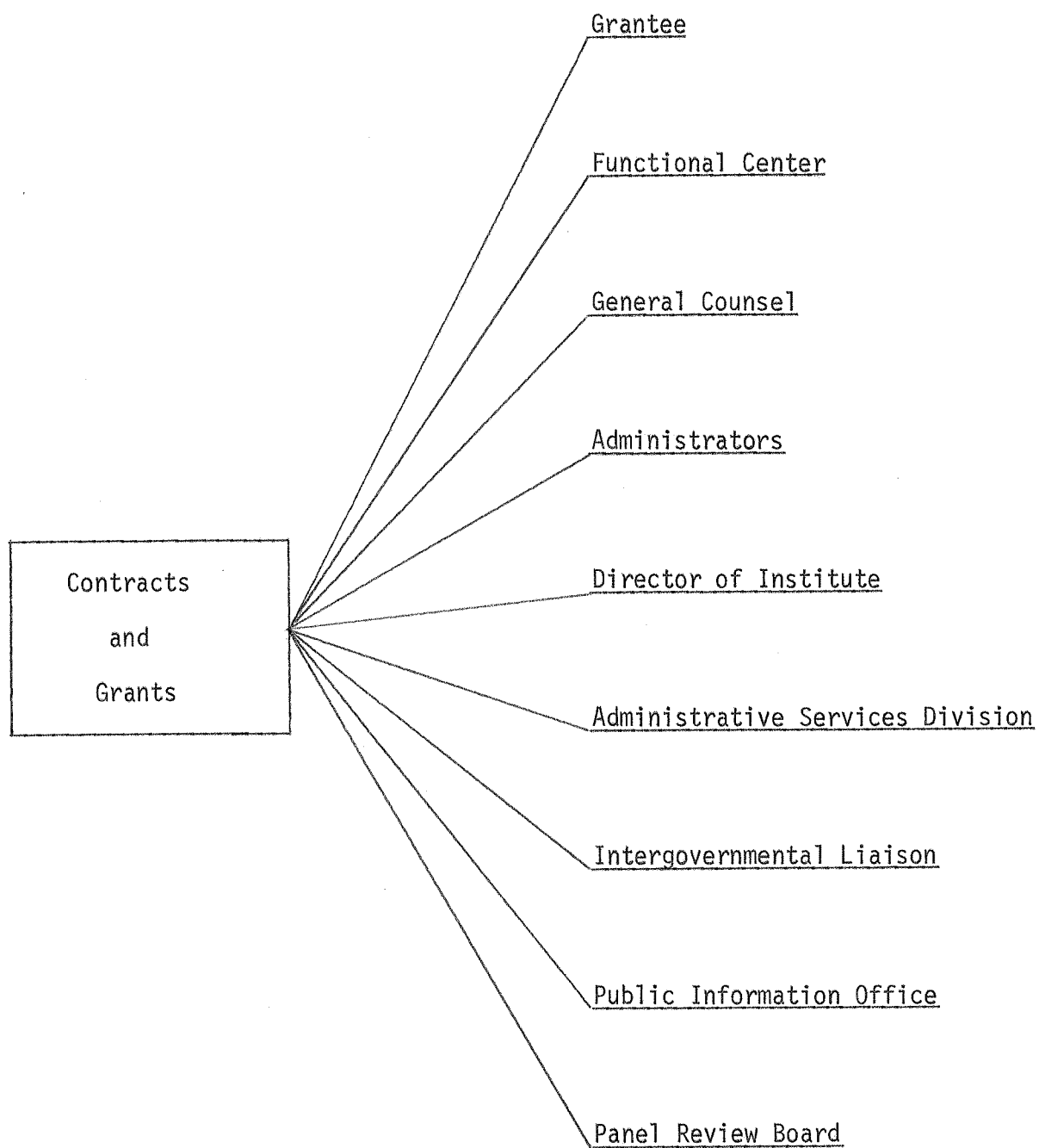
This section contains a description of what a given office does in the processing of a grant. It is not time-phased. The position descriptions include detailed information about the forms used and the interfacing agencies.

4. Step Sequence Procedure Flow Diagram.

This section contains a flow diagram of each of the steps involved in the processing of a grant. Each activity box drawn is titled with the office or organization that is responsible for the function described in the box. The interrelationship between organizational groups is also presented in a time-phased sequence. Each activity box carries an alpha-numeric tag identifying it to the responsibility statements within a given organization as described in Section III. For example, the designator A-1 refers to Section III, paragraph A (Grantee-potential), responsibility statement No. 1.

5. Sample Forms.

This section contains many of the sample forms which have been cited and described in the body of the report. Samples of each of the forms which are currently available are included.

Procedure Control Center Summary

II. Forms and Offices

A. Forms

- | | |
|---------------------|--|
| 1. Form INSTITUTE-1 | Application for Grant
(Final Proposal from Grantee) |
| 2. Form INSTITUTE-2 | Institute Control Form |
| 3. Memorandum | Budget Review Statement |
| 4. Form INSTITUTE-3 | Notice to Federal Agencies |
| 5. Memorandum | Grant Application Review |
| 6. Form INSTITUTE-4 | Grant Award (Institute Concurrent Sign-Off) |
| 7. Letter | Grant Award - The Administrators |
| 8. Letter | Letter of Application Receipt Acknowledgment |
| 9. Letter | Letter of Notification - Approved |
| 10. Letter | Letter of Notification - Disapproved |
| 11. Letter | Letter of Notification - Competitive Bidding |
| 12. Memorandum | Panel Review Board - Disposition Statement |

B. Offices

1. Grantee
2. Functional Center
3. Contracts and Grants Office
4. General Counsel
5. Administrators
6. Director of Institute
7. Administrative Services Division
8. Intergovernmental Liaison

9. Public Information Office
10. Office of Law Enforcement Programs
11. Panel Review Board

III. Office Position Descriptions

A. Grantee

1. Make Inquiry.
2. Contact Appropriate Center.
3. Receive Application For Grant.
4. Complete Application For Grant.
5. Submit Application For Grant.
6. Receive Letter of Application Receipt Acknowledgment.
7. Receive Letter of Notification to Grantee.
8. Receive second and final Letter of Notification - Disapproved from the Contracts and Grants Office notifying that his Application for Grant has been again reviewed and disapproved by the Panel Review Board.
9. Receive letter that the Application For Grant is being submitted for competitive bidding.
10. Receive written or verbal notice that Application For Grant is incomplete.

B. Functional Center

1. Receive Inquiry.
2. Inform Contracts and Grants Office to send Application For Grant to potential grantee.
3. Receive completed Application For Grant from Contracts and Grants office.
4. Review Application For Grant in terms of technical content, completeness, feasibility and potential social pay off.

5. Complete Institute Control Form enunciating the status of the application and highlighting its salient points. The status of an application is reviewed by the Functional Center Chief. Statuses are:
 - a. Approved
 - b. Disapproved
 - c. Competition
 - d. Incomplete - Concept good
6. Process the approved Application For Grant as a result of its own approval action or as a result of the Panel Review Board approval action.
7. Prepare the Grant Application Review memorandum enunciating salient factors in the Application and reasons for approval. If the Application For Grant was disapproved by the Functional Center and subsequently approved by the Panel Review Board, a second Grant Application Review memorandum is to be prepared based on the Panel Review Board - Disposition Statement.
8. Prepare the Notice to Federal Agencies form.
9. Prepare Grant Award - Institute Concurrent Sign-Off form on Institute stationery.
10. Prepare Grant Award - by three Administrators.
11. Send the "approved" total package to Contracts and Grants Office for control and final administrative action. The package will include:
 - a. The Application For Grant
 - b. Institute Control Form

- c. Grant Application Review Memorandum
 - d. Notice to Federal Agencies
 - e. Grant Award - Institute Concurrent Sign-Off
 - f. Grant Award - by three Administrators
 - g. Panel Review Board - Disposition Statement when applicable
12. Process the Disapproved Grant Application.
 13. Prepare the Grant Application Review memorandum enunciating salient factors in the Grant Application and reason for disapproval action.
 14. Send the disapproved total package to Contracts and Grants Office for control and administrative action. The package will include:
 - a. Application For Grant
 - b. Institute Control Form
 - c. Grant Application Review Memorandum
 15. Process the Application For Grant for Competitive Bidding.
 16. Prepare the Grant Application Review memorandum enunciating salient factors in the Grant Application and the reason for submitting it for competitive bidding. Make it clear to the potential grantee that the RFP that is being developed and distributed will not include any proprietary information submitted by the Grantee in the application.
 17. Send the competitive bid total package to Contracts and Grants Office.
 - a. Application For Grant
 - b. Institute Control Form
 - c. Grant Application Review Memorandum

18. The Application For Grant is found to be incomplete, but the concept is good.
19. Contact the potential grantee to inform him that the Application For Grant is incomplete and make suggestions.
20. Return Application For Grant to Contracts and Grants with Institute Control Form and enunciate action to be taken.

C. Contracts and Grants Office

1. Send Application For Grant to potential grantee.
2. Receive Application For Grant from potential grantee, or resubmitted Application For Grant.
3. Log in Application For Grant and date received.
4. Date Application For Grant.
5. Affix Institute Control form and complete: Date received, Grantee, Control Number, and Title.
6. Route Application For Grant and Institute Control Form to Functional Center Chiefs.
7. Prepare letter of Application Receipt Acknowledgment and send it to the potential grantee.
8. Receive total package from Functional Center with the following:
 - a. The Application For Grant
 - b. Institute Control Form
 - c. Grant Application Review Memorandum

- d. Notice to Federal Agencies
 - e. Grant Award - Institute Concurrent Sign-Off
 - f. Grant Award - by three Administrators
 - g. Panel Review Board - Disposition Statement when applicable
9. Perform Budget Review and prepare a statement as to the soundness of the financial program outlined.
 10. Remove the Institute Control Form and keep for easy budget tabulation and work control.
 11. Send total package to General Counsel for review and initialing.
 12. Obtain appropriate signature for
 - a. Notice to Federal Agencies form
 - b. Grant Award - Institute Concurrent Sign-Off
 - c. Grant Award - Administrator
 13. Collate all of the forms and make up the total package.
 14. Obtain a Grant Number from:
 - Administrative Service Division
 - Mark Jennings
 - 1325 K Street
 15. Send the Notice to Federal Agencies to:
 - Intergovernmental Liaison
 - Richard Lynch, Room 501
 - 1325 K Street
 16. Receive confirmation from the Intergovernmental Liaison office that the appropriate Government announcements have been made.

17. Send two copies of the Notice to Federal Agencies to:
 - a. Public Information Office
Dean St. Dennis, Room 502
1325 K Street
 - b. Office of Law Enforcement Program
Daniel Skoler, Room 536a
1325 K Street
18. Prepare Letter of Notification to the Grantee notifying the Grantee of the Award. This letter should be warm and friendly and should contain:
 - a. A copy of the signed Grant Award - by three Administrators
 - b. Special conditions of the Award
 - c. Reference
 - d. Method of payment
 - e. Circular A-21 or A-82 or A-87
19. Set up appropriate budgetary procedure.
20. Present the Total Package to the Director for his review and signature of the Letter of Notification.
21. Receive the Letter of Notification and the Total Package from the Director.
22. Send the Letter of Notification with accompanying data to the Grantee.
23. Send the Total Grant Package to the Administrative Services Division for enclosure in a special manila folder.
24. Receive the "disapproved" total package from the Functional Center with the following:
 - a. Application For Grant
 - b. Institute Control Form
 - c. Grant Application Review Memorandum

25. Sends disapproved total package to the Panel Review Board. The package contains:
 - a. Application For Grant
 - b. Institute Control Form
 - c. Grant Application Review Memorandum
26. Receive the "disapproved" total package from the Panel Review Board with the following:
 - a. Application For Grant
 - b. Institute Control Form
 - c. Grant Application Review memorandum
 - d. Panel Review Board - Disposition Statement
27. Prepare and transmit a Letter of Notification-Disapproved, to the potential Grantee notifying him that his Application For Grant has been disapproved by the Panel Review Board.
28. File the total Package in the disapproved file. The total package contains:
 - a. Application For Grant
 - b. Institute Control Form
 - c. Grant Application Review memorandum
 - d. Panel Review Board - Disposition Statement
29. Receive the competitive bid total package from the Functional Center with:
 - a. Application For Grant
 - b. Institute Control Form
 - c. Grant Application Review Memorandum

30. Start contract procedures in motion as described in Institute Pamphlet No. 21.
31. Prepare and transmit Letter of Notification - Competitive Bidding to the potential Grantee notifying him that the project is being submitted for competitive bidding.
32. Receive incomplete Application For Grant and return it to the potential grantee with a cover letter explaining.

D. General Counsel

1. Receive total package for a general quality control review and inspection prior to submitting forms for the Administrators' signature.
2. Return total package to Contracts and Grants Office.

E. Administrators

1. Receive prepared Grant Award - three Administrators.
2. Sign Grant Award - three Administrators.
3. Return to Contracts and Grants Office.

F. Director of Institute

1. Receive Grant Award - Institute Concurrent Sign-Off form from Contracts and Grants Office.
2. Sign the Grant Award - Institute Concurrent Sign-Off form.
3. Receive and sign Grant Award - by three Administrators.
4. Return Grant Award - by three Administrators to Contracts and Grants Office.
5. Review the Total Package with the Letter of Notification.
6. Sign the letter and return the total package to the Contracts and Grants Office.

G. Administrative Services Division

1. Maintain a numbering sequence for Grants and Contracts. Grants will be numbered NI 001 etc.
2. Give the next number upon request and maintain a log of it.
3. Receive the total grant package from the Contracts and Grants office.
4. Enclose all forms in the special manila folder in accordance with prescribed format.

H. Intergovernmental Liaison

1. Receive the Notice to Federal Agencies from Contracts and Grants Office.
2. Make announcements to Government officials (senators, congressmen) as appropriate.
3. Inform Contracts and Grants that announcements have been made.

I. Public Information Office

1. Receive the Notice to Federal Agencies from the Contracts and Grants Office.
2. Make appropriate Public Information releases.

J. Office of Law Enforcement Programs

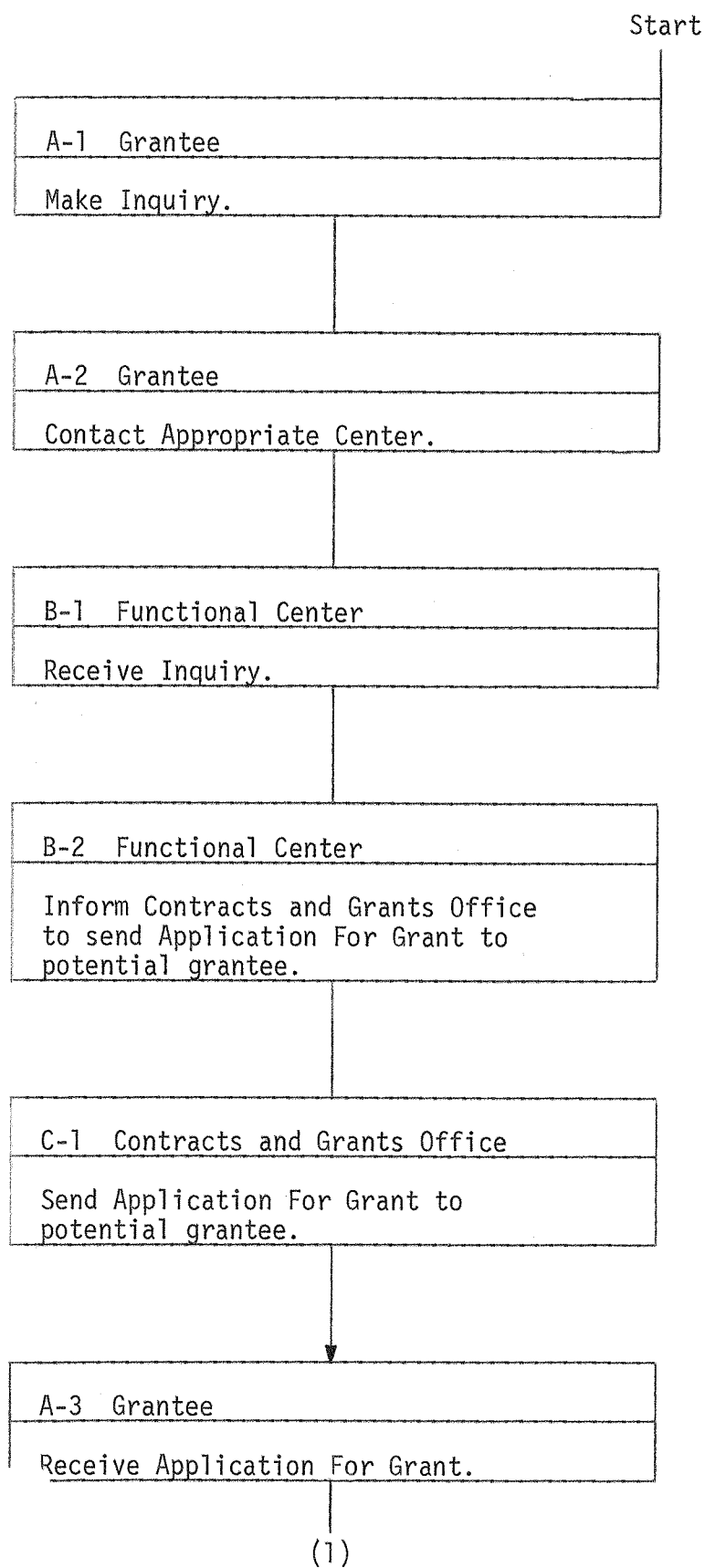
1. Receive the Notice to Federal Agencies from the Contracts and Grants Office.
2. Make appropriate use of the information as required of their function.
3. Notify the State Planning Agencies.

K. Panel Review Board

1. Receive the disapproved total package from the Contracts and Grants Office.
 - a. Application For Grant
 - b. Institute Control Form
 - c. Grant Application Review memorandum

2. Review the disapproved case and make a final decision. The decisions are:
Approved or Disapproved.
3. For approved application prepare the Panel Review Board - Disposition
Statement enunciating rationale for approval.
4. Send total package reviewed and now approved to the appropriate Functional
Center for processing.
5. For disapproved application prepare the Panel Review Board - Disposition
Statement enunciating rationale for disapproval.
6. Send the total package review and now again disapproved to the Contracts
and Grants Office for processing.

IV. Flow Diagram



(1)

A-4 Grantee

Complete Application For Grant.

A-5 Grantee

Submit Application For Grant.

(G)

C-2 Contracts and Grants Office

Receive Application For Grant from
potential grantee, or resubmitted
Application For Grant.

C-3 Contracts and Grants Office

Log in Application For Grant and
date received.

C-4 Contracts and Grants Office

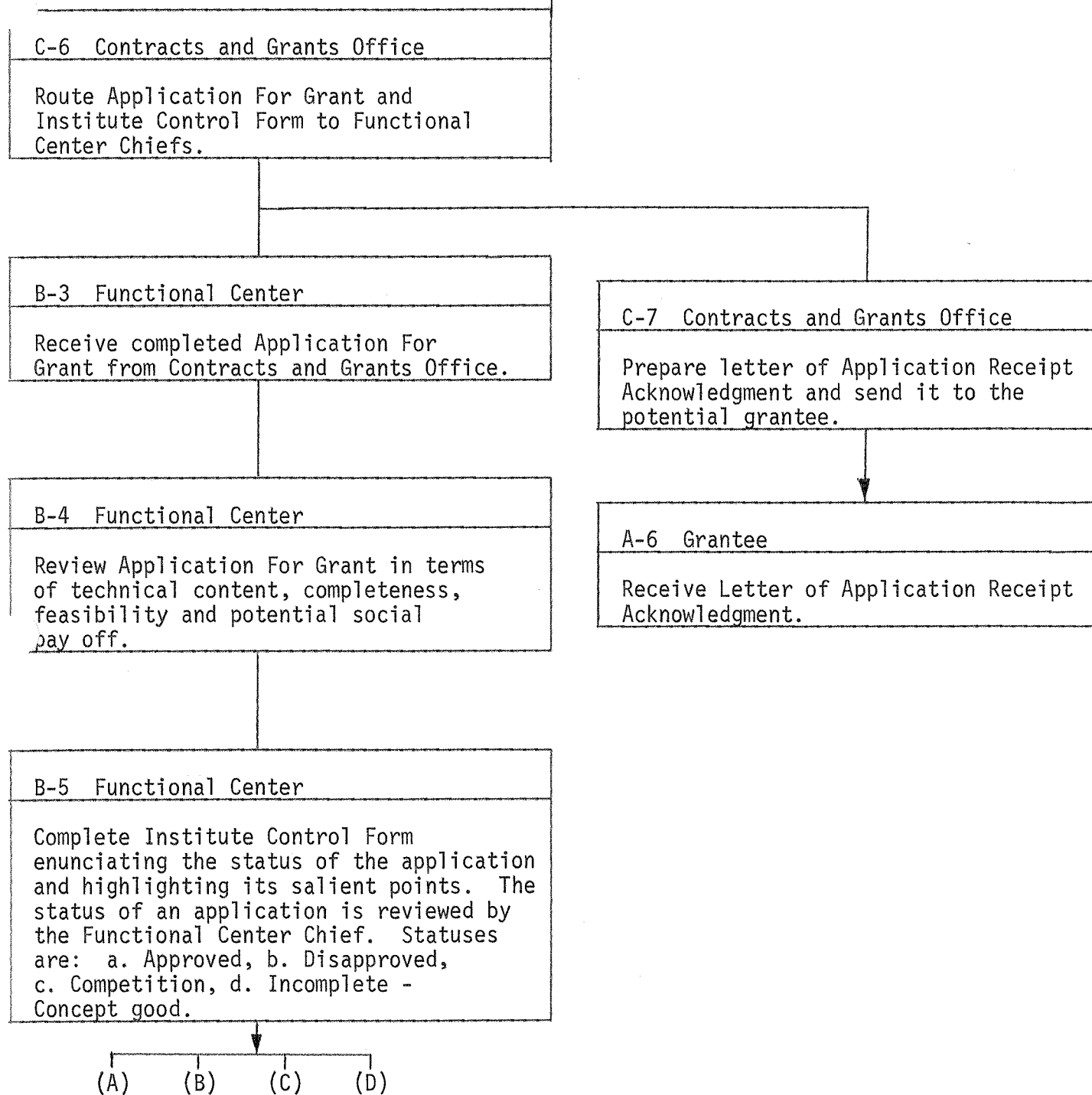
Date Application For Grant.

C-5 Contracts and Grants Office

Affix Institute Control form and
complete: Date received, Grantee,
Control Number, and Title.

(2)

(2)



(A) Approved

B-6 Functional Center

Process the approved Application For Grant as a result of its own approval action or as a result of the Panel Review Board approval action.

B-7 Functional Center

Prepare the Grant Application Review memorandum enunciating salient factors in the application and reasons for approval. If the Application For Grant was disapproved by the Functional Center and subsequently approved by the Panel Review Board, a second Grant Application Review memorandum is to be prepared based on the Panel Review Board - Disposition Statement.

B-8 Functional Center

Prepare the Notice to Federal Agencies form.

B-9 Functional Center

Prepare Grant Award - Institute Concurrent Sign-Off form on Institute stationery.

B-10 Functional Center

Prepare Grant Award - by three Administrators.

3-11 Functional Center

Send the "approved" total package to Contracts and Grants Office for control and final administrative action. The package will include:

- a. The Application For Grant
- b. Institute Control Form
- c. Grant Application Review Memorandum
- d. Notice to Federal Agencies
- e. Grant Award - Institute Concurrent Sign-Off
- f. Grant Award - by three Administrators
- g. Panel Review Board - Disposition Statement when applicable

C-8 Contracts and Grants Office

Receive total package from Functional Center with the following:

- a. The Application For Grant
- b. Institute Control Form
- c. Grant Application Review Memorandum
- d. Notice to Federal Agencies
- e. Grant Award - Institute Concurrent Sign-Off
- f. Grant Award - by three Administrators
- g. Panel Review Board - Disposition Statement when applicable

C-9 Contracts and Grants Office

Perform Budget Review and prepare a statement as to the soundness of the financial program outlined.

C-10 Contracts and Grants Office

Remove the Institute Control Form and keep for easy budget tabulation and work control.

(4)

C-11 Contracts and Grants Office

Send total package to General Counsel for review and initialing.

D-1 General Counsel

Receive total package for a general quality control review and inspection prior to submitting forms for the Administrators' signatures.

D-2 General Counsel

Return total package to Contracts and Grants Office.

C-12 Contracts and Grants Office

Obtain appropriate signature for
a. Notice to Federal Agencies form
b. Grant Award - Institute Concurrent Sign-Off
c. Grant Award - Administrator

E-1 Administrators

Receive prepared Grant Award - three Administrators.

E-2 Administrators

Sign Grant Award - three Administrators

(5)

(5)

E-3 Administrators

Return to Contracts and Grants Office.

F-1 Director of Institute

Receive Grant Award - Institute
Concurrent Sign-Off form from
Contracts and Grants Office.

F-2 Director of Institute

Sign the Grant Award - Institute
Concurrent Sign-Off form.

F-3 Director of Institute

Receive and sign Grant Award - by three
Administrators.

F-4 Director of Institute

Return Grant Award - by three
Administrators to Contracts and
Grants Office.

C-13 Contracts and Grants Office

Collate all of the forms and make up the
total package.

(6)

(6)

C-14 Contracts and Grants Office

Obtain a Grant Number from:
Administrative Service Division
Mark Jennings
1325 K Street

C-15 Contracts and Grants Office

Send the Notice to Federal Agencies to:
Intergovernmental Liaison
Richard Lynch, Room 501
1325 K Street

H-1 Intergovernmental Liaison

Receive the Notice to Federal Agencies
from Contracts and Grants Office.

H-2 Intergovernmental Liaison

Make announcements to Government
officials (senators, congressmen)
as appropriate.

H-3 Intergovernmental Liaison

Inform Contracts and Grants that
announcements have been made.

(7)

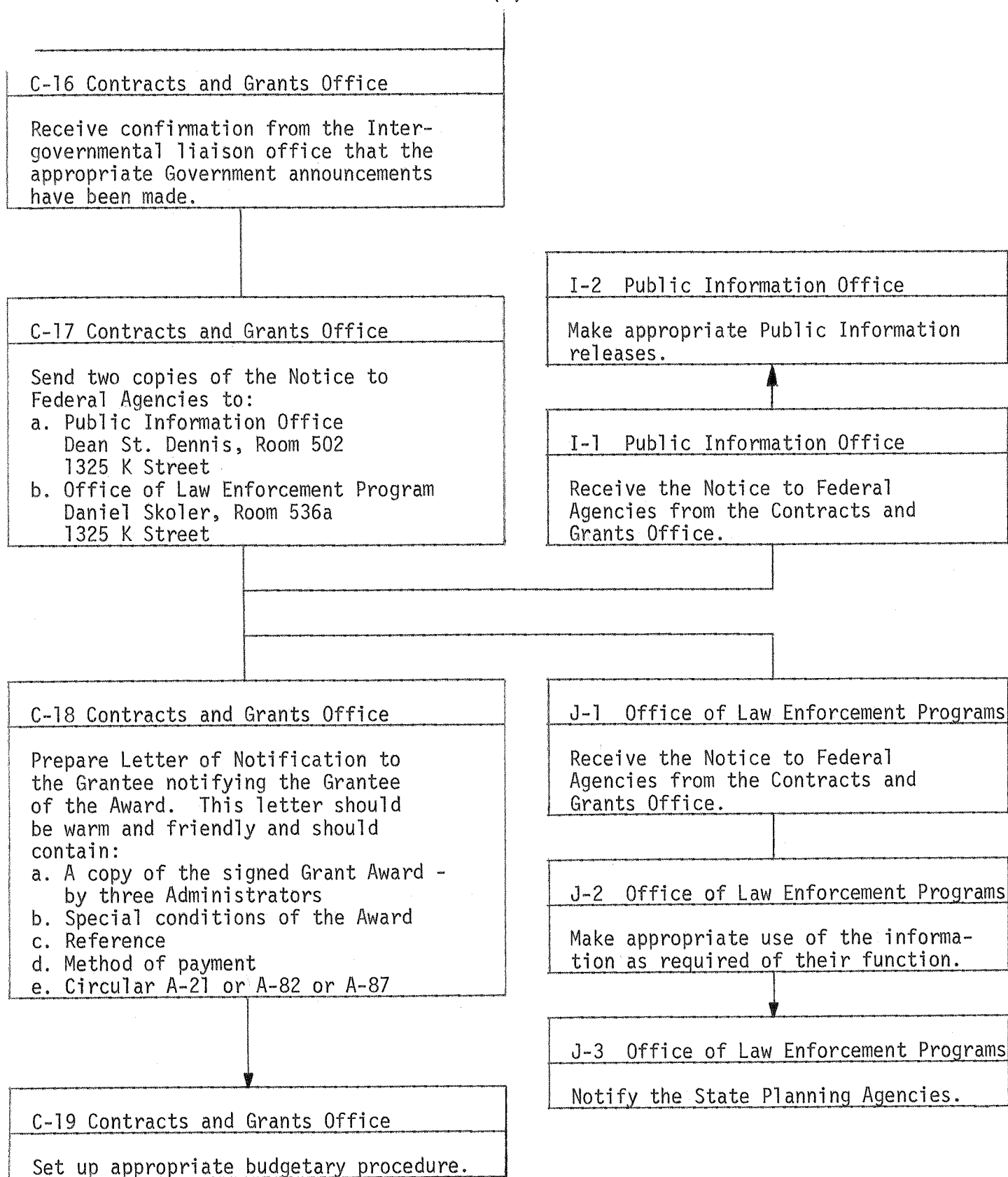
G-1 Administrative Services Division

Maintain a numbering sequence for
Grants and Contracts. Grants will
be numbered NI 001 etc.

G-2 Administrative Services Division

Give the next number upon request and
maintain a log of it.

(7)



(8)

(8)

C-20 Contracts and Grants Office

Present the Total Package to the Director for his review and signature of the Letter of Notification.

F-5 Director of Institute

Review the Total Package with the Letter of Notification.

F-6 Director of Institute

Sign the letter and return the total package to the Contracts and Grants Office.

C-21 Contracts and Grants Office

Receive the Letter of Notification and the Total Package from the Director.

C-22 Contracts and Grants Office

Send the Letter of Notification with accompanying data to the Grantee.

A-7 Grantee

Receive Letter of Notification to Grantee.

C-23 Contracts and Grants Office

Send the Total Grant Package to the Administrative Services Division for enclosure in a special manila folder.

(9)

(9)

G-3 Administrative Services Division

Receive the total grant package from the
Contracts and Grants Office.



G-4 Administrative Services Division

Enclose all forms in the special
manila folder in accordance with
prescribed format.

End

(B) Disapproved

B-12 Functional Center

Process the Disapproved Grant Application.

B-13 Functional Center

Prepare the Grant Application Review Memorandum enunciating salient factors in the Grant Application and reason for disapproval action.

B-14 Functional Center

Send the disapproved total package to Contracts and Grants Office for control and administrative action. The package will include:

- a. Application For Grant
- b. Institute Control Form
- c. Grant Application Review Memorandum

C-24 Contracts and Grants Office

Receive the "disapproved" total package from the Functional Center with the following:

- a. Application For Grant
- b. Institute Control Form
- c. Grant Application Review Memorandum

(10)

C-25 Contracts and Grants Office

Sends disapproved total package to the Panel Review Board. The package contains:

- a. Application For Grant
- b. Institute Control Form
- c. Grant Application Review Memorandum

K-1 Panel Review Board

Receive the disapproved total package from the Contracts and Grants Office.

- a. Application For Grant
- b. Institute Control Form
- c. Grant Application Review Memorandum

K-2 Panel Review Board

Review the disapproved case and make a final decision. The decisions are: Approved or Disapproved.

K-3 Panel Review Board

For approved application prepare the Panel Review Board - Disposition Statement enunciating rationale for approval.

K-4 Panel Review Board

Send total package reviewed and now approved to the appropriate Functional Center for processing.

(A)

K-5 Panel Review Board

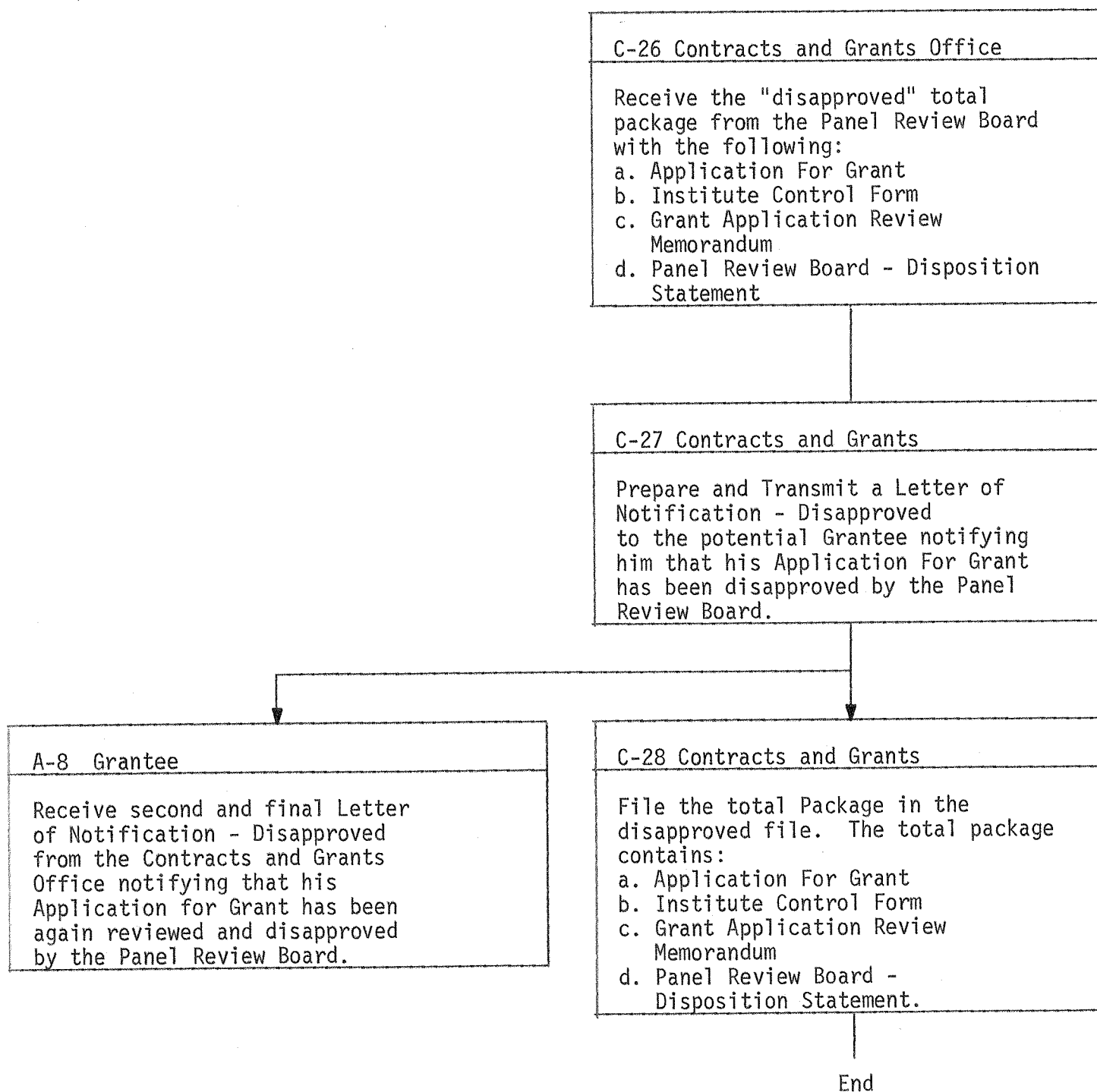
For disapproved application prepare the Panel Review Board - Disposition Statement enunciating rationale for disapproval.

K-6 Panel Review Board

Send the total package reviewed and now again disapproved to the Contracts and Grants Office for processing.

(11)

(11)



(C) Competition

B-15 Functional Center

Process the Application For Grant
for Competitive Bidding.

B-16 Functional Center

Prepare the Grant Application Review
Memorandum enunciating salient factors
in the Grant Application and the Reason
for submitting it for competitive
bidding. Make it clear to the
potential grantee that the RFP that
is being developed and distributed
will not include any proprietary
information submitted by the Grantee
in the application.

B-17 Functional Center

Send the Competitive bid total package
to Contracts and Grants Office.

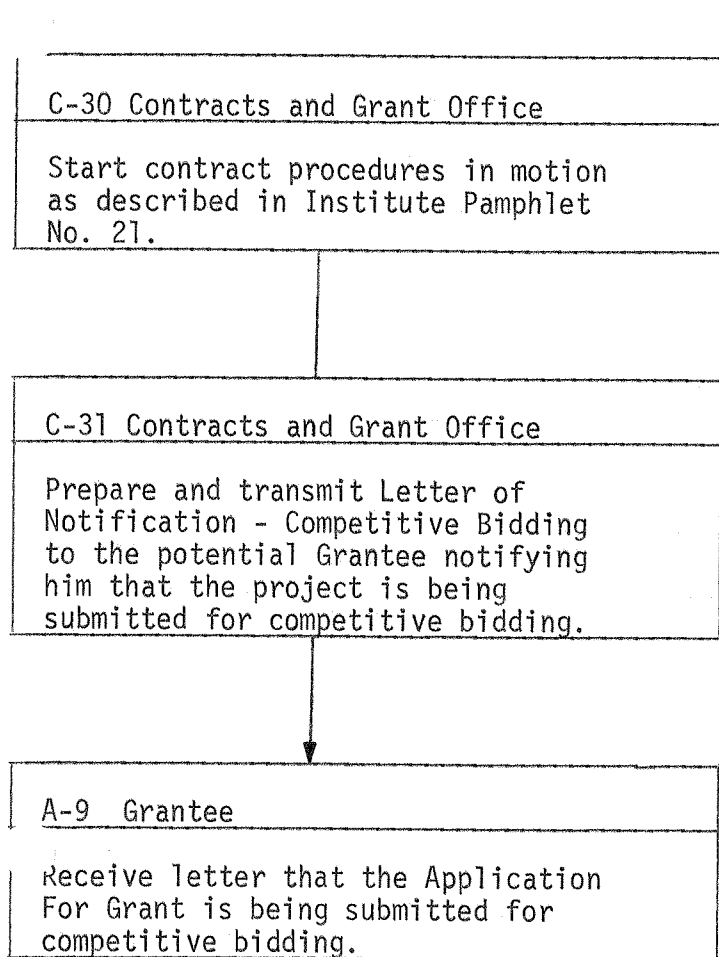
- a. Application For Grant
- b. Institute Control Form
- c. Grant Application Review
Memorandum

C-29 Contracts and Grant Office

Receive the competitive bid total
package from the Functional Center
with:

- a. Application For Grant
- b. Institute Control Form
- c. Grant Application Review
Memorandum

(12)



(D) Incomplete - Concept Good

B-18 Functional Center
The Application For Grant is found to be incomplete, but the concept is good.

B-19 Functional Center
Contact the potential grantee to inform him that the Application For Grant is incomplete and make suggestions.

B-20 Functional Center
Return Application For Grant to Contracts and Grants with Institute Control Form and enunciate action to be taken.

C-32 Contracts and Grants
Receive incomplete Application For Grant and return it to the potential grantee with a cover letter explaining.

A-11 Grantee
Receive incomplete Application For Grant, complete it and resubmit.

(G)

A-10 Grantee
Receive written or verbal notice that Application For Grant is incomplete.

V. Sample Forms.

The forms currently available are contained in this section. They are:

Application for Grant (Final Proposal from Grantee)

Institute Control Form

Budget Review Statement

Notice to Federal Agencies

Grant Application Review

Grant Award (Institute Concurrent Sign-Off)

Grant Award - The Administrators

Letter of Application Receipt Acknowledgment

Letter of Notification - Approved

Letter of Notification - Disapproved

Letter of Notification - Competitive Bidding

Panel Review Board - Disposition Statement

U.S. DEPARTMENT OF JUSTICE
LAW ENFORCEMENT ASSISTANCE ADMINISTRATION
NATIONAL INSTITUTE OF LAW
ENFORCEMENT AND CRIMINAL JUSTICE
WASHINGTON, D.C. 20530

**APPLICATION FOR GRANT—
NATIONAL INSTITUTE
Page 1**

Application is hereby made for a grant under Part D of Title I of the Omnibus Crime Control and Safe Streets Act of 1968 (PL 90-351) in the amount and for the purposes specified in this application.

Application Number (For Official Use Only)

Date Received

1. Short Title of Proposed Project:

2. Kind of Application: _____ Original.
(Check one)

Continuation of Grant No. _____

3. Project Duration	Total Months	From	To	Financial Support
Present Phase				\$
Prior Phases				\$
Successive Phases				\$
Total				\$

4. Applicant Agency or Institution.
(Name, address, telephone)

5. Project Director.
(Name, title, address, telephone)

6. Financial Officer.
(Name, title, address, telephone)

7. Official authorized to sign application,
(Name, title, address, telephone)

8. Type of Agency or Institution.

☐ Public ☐ Private

9. Federal Tax Exemption Determination

☐ Yes. Date _____
☐ No. ☐ Pending

U.S. DEPARTMENT OF JUSTICE
LAW ENFORCEMENT ASSISTANCE ADMINISTRATION
NATIONAL INSTITUTE OF LAW
ENFORCEMENT AND CRIMINAL JUSTICE

Page 2

10. Budget for Total Project

Budget Categories -		Present Phase	Prior Phases	Successive Phases**	Totals
National Institute Funds					
Employees' salaries		\$	\$	\$	\$
Consultants' salaries*		\$	\$	\$	\$
Sub-Contracts		\$	\$	\$	\$
Travel (Transportation and Subsistence)		\$	\$	\$	\$
Supplies, Communications and Reproduction		\$	\$	\$	\$
Other	Equipment	\$	\$	\$	\$
	Miscellaneous	\$	\$	\$	\$
	Indirect Costs	\$	\$	\$	\$
Total Institute Funds Requested		\$	\$	\$	\$
Grantee Contribution	Money	\$	\$	\$	\$
	Facilities	\$	\$	\$	\$
	Services	\$	\$	\$	\$
	Other	\$	\$	\$	\$
Total Grantee Contribution		\$	\$	\$	\$
Total of Grantee and Institute Funds		\$	\$	\$	\$
Project Duration in Months					

11. Federal Support. Will other Federal support be available for any part of this project?
 Yes_____ No_____ If yes, identify and explain:

12. Federal Submissions. Have other Federal agencies been contacted for assistance on this or similar projects?
 Yes_____ No_____ If yes, identify and specify outcome:

*Personal service consultants only.
 **When applicable.

13. Budget Narrative

Explain, in one page if possible, the composition of the budget items shown on Page 2. All major components and items of the budget must be explained clearly. Major components of grantee contributions must also be specified. (If continuation pages are needed, number them 3a, 3b, etc.).

14. Applicant's Agreement:

It is understood and agreed by the Applicant:

- a. that funds awarded are to be expended only for the purposes and activities covered by the Applicant's approved plan and budget;
- b. that the grant may be terminated in whole or in part by the Institute Director for failure to comply with these grant conditions or with the project goals, plan and methodology set forth in the grantee's application or for the convenience of the United States of America;
- c. that appropriate grant records and accounts will be maintained and made available for audit as prescribed by the Institute;
- d. that the applicant will comply with Title VI of the Civil Rights Act of 1964 (P.L. 88-352) to the end that no person shall on the ground of race, color, or national origin be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under any program or activity for which the Applicant receives Federal financial assistance from the Institute or the LEAA; and
- e. that project budget formulations and fund expenditures conform to the following conditions, namely (i) prohibition against obligation of grant funds or reimbursement of expenses incurred prior to the effective date of the grant, (ii) limitation of travel and subsistence charges to levels allowed by uniform travel regulations of grantee organizations; or, in the absence of uniform travel regulations, to levels allowed under current Federal Government travel regulations, including use of less than first-class accommodations in air and rail travel and current per diem subsistence limit, (iii) disallowance of certain types of costs, e.g., construction costs, real estate purchases, or payment of real estate mortgages or taxes, organization dues, entertainment expenses, purchase of automobiles, (iv) disallowance of indirect costs for public agencies, (v) limitation of approved expenditures to items specifically budgeted and requirement of approval for transfer of funds between budget categories, in excess of 10% or \$5,000, whichever is less, and (vi) requirement that all grant conditions and rules apply to organizations providing contract services to the project, including specific approval by the Institute of major subcontract arrangements (i.e. more than 10% of grant award) entered into after grant award.

4. Applicant's Agreement (Continued)

- f. that grant funds may not be obligated prior to the effective date or subsequent to the termination date of the grant period. Obligations outstanding as of the termination date shall be liquidated within 90 days after termination date of the grant period.
- g. that the grantee shall be notified of any decision to terminate for the reasons described in item 14b., and be allowed a reasonable time, where feasible, to terminate project operations or seek support from other sources. No termination shall affect grant obligations or costs incurred prior to receipt of notice of termination, provided such obligations or costs were incurred in good faith and are otherwise allowable. Funds shall not be considered obligated solely by virtue of grantee commitments to participating agencies or project contractors for work or services not yet performed.
- h. that interest on grant funds is to be returned by check payable to the Treasurer of the United States, and other income (sale of publications, registration fees, service charges or fees, etc.) will be applied for project purposes or in reduction of project costs.
- i. that title to personal property (other than consumable supplies) acquired in whole or in part with grant funds and in accordance with approved grant budgets, shall vest in the grantee subject to divestment at the option of the Institute (to the extent of the Institute contribution toward the purchase thereof) exercisable only upon notice within 120 days after termination of the grant period.
- j. that the grantee shall maintain records and accounts concerning the expenditure of Institute and grantee-contributed funds consistent with generally accepted accounting principles and with sufficient accuracy and detail to allow for auditing and on-site inspections by the Institute, its designees or the General Accounting Office. The grantee shall submit the following reports to the Institute: (a) fiscal reports, consisting of (i) requests for advance of funds; (ii) quarterly expenditures and budget experience reports; and (iii) final financial reports at the end of the grant period setting forth costs and expenditures of the complete project; and (b) program reports, consisting of (i) quarterly progress reports and (ii) final report on completion of the grant project.
- k. that the grantee may publish the results of grant activity without prior review by the Institute with an acknowledgment of the Institute support, furnishing 25 copies to the Institute. However, each such publication must contain the following statement, or its equivalent: "The fact that the National Institute of Law Enforcement and Criminal Justice furnished financial support to the activity described in this publication does not necessarily indicate the concurrence of the Institute in the statements or conclusions contained herein."

14. Applicants' Agreement (Continued)

- l. that where grant projects produce original books, manuals, films, or other copyrightable material, the grantee may copyright such, but the Department reserves a royalty-free, non-exclusive and irrevocable license to reproduce, publish, translate, or otherwise use, and to authorize others to publish and use, such materials. Where such license is exercised, appropriate acknowledgment of the grantee's contribution will be made.
- m. that if any discovery or invention arises or is developed in the course of or as a result of work performed in a grant project, the grantee shall refer the discovery or invention to the Department which will determine whether or not patent protection will be sought, how any rights therein, including patent rights, will be disposed of and administered, and the necessity of other action required to protect the public's interest.
- n. that in all other matters relating to allowability or charging of costs to the grant project, the provisions and requirements of Bureau of the Budget Circular A-87 shall apply to those grantees which are agencies or units of government, and Bureau of the Budget Circular A-21 to those grantees which are universities, colleges, other educational institutions (including state universities and other institutions) within State higher education systems or private organizations or institutions.
- o. that, whenever feasible, as a condition of approval of a grant under Part D of Public Law 90-351, the grantee will contribute money, facilities, or services to carry out the purpose for which the grant is sought.

5. Date

17. Signature of Authorized Official

6. Total Pages in Application

18. Project Plan Summary

Please summarize, in approximately 200 words, the most important parts of the statement of the project plan, called for in item 19, which follows. Please describe clearly the project objectives and the program impact, methods and evaluation.

19. Project Plan and Supporting Data

Please state clearly and in detail, within twenty pages if possible, the aims of the project, precisely what will be done, who will be involved, and what is expected to result.

Please use the following major headings: I. Goals, II. Program Impact, III. Methods, IV. Evaluation, V. Dissemination, and VI. Resources. Sections I and II should be in terms of the complete project. Sections III, IV, V, and VI should be principally in terms of the "Present Phase", with limited attention to the complete project.

I. GOALS - The discussion of goals should indicate the problem being addressed, the manner in which the program will make a contribution to society.

II. PROGRAM IMPACT - This section should describe how the program, if successful, will result in demonstrable change in the criminal justice system or other aspects of society. This section should clearly indicate whether the grantee considers it his role to develop such changes and to what extent he intends to participate in the development of such changes.

III. METHODS - This section should describe how the project will be carried out, including the resources and techniques which will be used and the types of personnel that will be applied to the program. Also a schedule of the activities should be provided.

IV. EVALUATION - The grantee is encouraged to provide outside, objective evaluation as a continuing source of perspective to the project. It is recommended that the evaluation be developed as a tool for the grantee to improve each project as it proceeds rather than as a separate reporting system to the Institute. The lack of effective evaluation may result in a project being rejected as inappropriate for the Institute since we have authority to conduct only a research and development program.

V. DISSEMINATION - The project should recommend an appropriate dissemination program.

VI. RESOURCES - Resumes should be provided of the personnel who are expected to participate in the project and information should be provided on the qualifications and resources of all organizations and agencies having a major role in the project. If the cooperation or participation of public agencies, other than the grantee is required for the success of the project, letters of endorsement by appropriate officials should be attached.

Date Received _____ Control No. _____

Grantee _____

Title _____

Type Request: New _____ Revision _____ Follow on _____ of No. _____

Letting: Grant _____ Sole Source _____ No. _____ FY _____

Funds: Asked _____ Given _____ Period _____

Estimated Total Commitment _____ Period _____

Program AreaType Inst.

1. _____ Req'mnts., Stand., Eval.

2. _____ Prev. & Rehabilitation

3. _____ Detection & Apprehension

4. _____ Management & Systems

5. _____ Crime and Society

6. _____ Statistics Center

7. _____ Demonstrations

8. _____ Visiting Fellows

9. _____ Director's Fund

10. _____ Advisory Council

11. _____ Organized Crime

12. _____ Violence

13. _____ Other _____

1. _____ Industry

2. _____ University

3. _____ Courts

4. _____ Prisons

5. _____ Police

6. _____ Federal

7. _____ State & Local Gov't.

8. _____ Individuals

9. _____ Professional Associations

Type ActivityPayoff Lead TimeLocation

1. Research \$ _____

2. Develop \$ _____

3. Service \$ _____

4. Testing \$ _____

1. 2 yrs. \$ _____

2. 2-5 yrs. \$ _____

3. 5-10 yrs. \$ _____

4. Contin. \$ _____

1. National \$ _____

2. Indeter. \$ _____

3. _____ \$ _____

4. _____ \$ _____

Staff Action: - Application Incomplete (concept good but requires follow up.)

Approved _____ Disapproved _____ Inappropriate _____ Competition _____

Date _____

Panel Action: Approved _____ Disapproved _____ Hold _____ Date _____

Description: _____

Other: _____

Reviewer: _____

UNITED STATES GOVERNMENT

DEPARTMENT OF JUSTICE

Memorandum

TO :

DATE:

FROM :

SUBJECT: Budget Review Statement

A sample will be provided at a later date.

Form INSTITUTE-3

U. S. DEPARTMENT OF JUSTICE
Law Enforcement Assistance Administration
National Institute of Law
Enforcement and Criminal Justice

NOTICE TO FEDERAL AGENCIES
GRANT AWARDS

/ Note: For Administrative Use Only /

For information and any comments, we are sending summary data on the

☐ grant award

☐ contract award

identified below. Please advise if you desire further information or would like a copy of the grant or contract proposal.

Grantee or Contractor
(Name, address, and telephone)

Project Director
(Name, title, address, telephone)

Amount of Award: _____

Period of Award: _____

Total Project Amount: _____

Total Project Period: _____

Summary Description of Project:

DATE: _____

BY: _____

UNITED STATES GOVERNMENT

DEPARTMENT OF JUSTICE

Memorandum

TO : Dr. Ralph G. H. Siu

DATE: January 15, 1969

FROM : Dr. W. Jay Merrill

SUBJECT: Grant Application Review - National Association of Attorneys General (NAAG).

This grant application is to conduct a comprehensive study of the powers, duties, and operations of the office of the Attorney General in the various states. Particular attention would be directed toward areas of current or emergent interest, such as participation in state plans to improve law enforcement. The expected outcomes will not only include a comprehensive report but legislative and administrative revision of the duties of the Attorneys General in the states. In addition, the basic data would be actively maintained by the NAAG and made available to members.

The importance of collecting and analyzing data on the office of the Attorney General has long been recognized. The Association collected data on this subject in 1951 and 1961 but lacked funds to analyze and interpret the survey results. The states themselves have recognized the importance of such a study by their universal offer to actively participate in this project. The project plan and supporting data submitted by the NAAG are well written and thorough. In conclusion, this project provides the Institute an excellent opportunity to support a developmental project that would offer benefits to all of the states.

The grant application includes a two-year proposed budget totaling \$142,470. The first year budget is for \$68,254. The expenses are adequately explained and reasonable.

It is recommended that a grant of \$68,254 be awarded to the National Association of Attorneys General to fund this project.

S A M P L E

U. S. DEPARTMENT OF JUSTICE
LAW ENFORCEMENT ASSISTANCE ADMINISTRATION
NATIONAL INSTITUTE OF LAW ENFORCEMENT AND CRIMINAL JUSTICE
WASHINGTON, D. C. 20537

GRANT AWARD

The National Institute of Law Enforcement and Criminal Justice
hereby awards to _____

grant number _____ in the amount of \$ _____

for _____

as authorized by the Omnibus Crime Control and Safe Streets Act of
1968 (P.L. 90-351, Part D).

This grant may be used until _____, unless
extended by the Institute, in accordance with the plan set forth in
the grantee's application dated _____ and
the Institute's current conditions governing grants.

Date

Director, National Institute of Law
Enforcement and Criminal Justice

Mayo

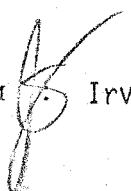
UNITED STATES GOVERNMENT

DEPARTMENT OF JUSTICE

Memorandum

TO : CCJOM Staff

DATE: March 16, 1970

FROM :  Irving Slott

SUBJECT: Processing of Proposals

Attached you will find those forms required to process a proposal into a grant award. The first form immediately following this page is the grant award check list. In the left-hand column you will find numbers written which correspond to the attached sample forms to be used in the processing of grants.

GRANT AWARD CHECKLIST*

1. ICC Number _____ 2. Grant Number NI _____ 3. Prepared by _____

4. Title _____

5. Letters and Forms Required

- | <u>Date</u> | <u>Letter or Form</u> |
|-------------|---|
| <u>①</u> | a. Application for Grant (Form LEAA-INST-1) Quality Checked - all requirements specified on the application must be satisfied. |
| <u>2a-6</u> | b. Prepare Special Condition Statement (Form LEAA-INST-10). Prepared when a change to the original application is required. |
| <u>3</u> | c. Update Institute Control Form (LEAA-INST-2). |
| <u>4</u> | d. Prepare Grant Application Review (Memorandum). |
| <u>5</u> | e. Prepare Budget Review Statement (Memorandum). |
| <u>—</u> | f. Obtain Grant Number from ICC. NI _____. |
| <u>—</u> | g. ICC notify LEAA Financial Officer of impending grant award. (Phone call). |
| <u>6</u> | h. Prepare Letter of Notification Approved for Director. (2 copies - form) |
| <u>7</u> | i. Prepare Grant Award by Director (LEAA-INST-4). Do not include an individual's name. Institutions only. Except for grants to individuals. DO NOT INCLUDE AWARD DATE. (2 copies) |
| <u>8</u> | j. Prepare Grant Award Approval (LEAA-INST-5). Do not include an individual's name. Institutions only. Except for grants to individuals. DO NOT INCLUDE AWARD DATE. (2 copies). |
| <u>—</u> | k. Functional Center Chief - Make preliminary phone award notification with caveat that it not be publicized. |
| <u>9</u> | l. Prepare Notice to Federal Agencies (2 copies)
(After award signed, ICC Xeroxes copies (3 copies)
1. Public Information Office
2. Office of Law Enforcement Programs
3. Science Information Exchange (Executive Office) |
| <u>—</u> | m. Notify ICC if grant is approved. Return all materials to ICC for filing. |
| <u>—</u> | n. Forward copy of Grant Award and Grant Award Approval to Financial Officer and Audit Division. |
| <u>—</u> | o. Send to Grantee (1) Letter of Notification - Approved, (2) Grant Award Approval, (3) Original and one copy of Grant Award by Director. |

. Other.

*This form is to be used in conjunction with Form LEAA-INST-2.



U.S. DEPARTMENT OF JUSTICE
LAW ENFORCEMENT ASSISTANCE ADMINISTRATION
NATIONAL INSTITUTE OF LAW
ENFORCEMENT AND CRIMINAL JUSTICE
WASHINGTON, D.C. 20530

APPLICATION FOR GRANT—
NATIONAL INSTITUTE
Page 1

Application Number (For Official Use Only)

Date Received

Application is hereby made for a grant under Part D of Title I of the Omnibus Crime Control and Safe Streets Act of 1968 (PL 90-351) in the amount and for the purposes specified in this application.

1. Short Title of Proposed Project:

2. Kind of Application: _____ Original. Continuation of Grant No. _____
(Check one)

3. Project Duration	Total Months	From	To	Financial Support
Present Phase				\$
Prior Phases				\$
Regressive Phases				\$
Total				\$

4. Applicant Agency or Institution.
(Name, address, telephone)

5. Project Director.
(Name, title, address, telephone)

6. Financial Officer.
(Name, title, address, telephone)

7. Official authorized to sign application.
(Name, title, address, telephone)

8. Type of Agency or Institution.

☐ Public ☐ Private

9. Federal Tax Exemption Determination

☐ Yes. Date _____
☐ No. ☐ Pending

U. S. DEPARTMENT OF JUSTICE
Law Enforcement Assistance Administration
National Institute of Law
Enforcement and Criminal Justice

Special Conditions Statement

This Grant Award is contingent upon grantee's acceptance of and compliance with the following Special Conditions.

1. Quarterly Reporting periods, item "j" of the general conditions, will be based on the award date, instead of calendar quarters.

26

Special Conditions Statement

The Institute's Applicant's Agreement, Current Conditions Governing Grants and the grantee submission hereby form a part of this grant, except to the extent ~~that~~ they may be modified in the following provisions:

1. Reports

2.

Control
No. _____

1. Title _____

Applicant
by _____Functional
Subject _____

Date Rec. _____

Words _____

Reviewer _____

Date Rev. _____

4. Duration _____

FY _____

Months _____

From _____

To _____

\$ Request _____

\$ Given _____

a. Present _____

b. Prior: _____

c. Successive _____

d. Total _____

5. Summary: a. Objectives _____

b. Methods _____

c. Expected Results _____

d. Recommendations _____

Institute Follow-Up Action. (Letters, Memorandum, Conferences).

a. _____

b. _____

c. _____

UNITED STATES GOVERNMENT

DEPARTMENT OF JUSTICE

Memorandum

4

TO : Henry S. Ruth

DATE:

FROM : Paul Cascarano

SUBJECT: Parole Decision-Making (P70-136)

I attach a copy of the above-titled proposal, submitted by the National Council on Crime and Delinquency on behalf of Don Gottfredson, Director of the NCCD Research Center. The grant request is for \$152,730 of FY 70 funds (subject to possible reduction due to aid of GSA in obtaining office space and computer telephone line), plus approximately \$353,644 during FYs 71 and 72 (subject to same possible reductions), I strongly support funding at the requested level.

This proposal originated in conversations among George Reed, Chairman of the U. S. Board of Parole, Dr. Gottfredson, Mr. Rogovin and myself. Mr. Reed was anxious to utilize parole experience data (such as the Uniform Parole Reports) in Board decision-making. Dr. Gottfredson submitted a preliminary proposal which he discussed with Mr. Reed, a subcommittee of Parole Board members, Miss Siegel and myself. The attached proposal was submitted to the Institute and to the Board in late November, at which time Dr. Gottfredson, Miss Siegel and I met with the full Board to discuss the project.

As the proposal states, the aim of the project is the development and demonstration of model programs for providing information to paroling authorities in such a way that parole decisions may be improved by an increased utilization of experience in decision-making. A prototype system will be

Henry S. Ruth, Director
National Institute of Law Enforcement
and Criminal Justice

January 9, 1970

John P. Conrad, Chief
Center for Crime Prevention
and Rehabilitation

Mr. Goffus' Review of NCCD Proposal: "Parole Decision-Making"

I have just read Mr. Goffus' memorandum of 7 January, addressed to you. We will make suitable inquiry regarding some of the points which will require resolution. In the meantime, I would like to dispose of those points raised by Mr. Goffus which can be clarified without further inquiry.

1. Mr. Goffus suggests that we secure an endorsed appraisal of the proposal from various interested agencies. I question the necessity of undertaking this chore; Mr. Reed, Chairman of the U. S. Board of Parole has formally endorsed the project in a memorandum contained in the attached file. He has assured me on many occasions that he will assist with any necessary arrangements required for the cooperation of the FBI, the Bureau of Prisons, and the Administrative Officer of the U. S. Courts. I would require that Mr. Carpenter be kept informed and will see to it that appropriate communication is maintained with his office.

2. As to the question of requiring the project's director's salary to be borne as a grantee contribution, I am puzzled as to the necessity for making this kind of stipulation. There is in the file a statement as to allocation of overhead cost to which Mr. Goffus might refer, as the project director's salary is not included therein.

3. Project co-director: I agree that Professor Wilkins should be asked for his formal agreement to serve as co-director. This is an oversight on our part, and we will take immediate steps to correct it. However, I wonder whether the issue of the comparative advantages to the government to pay his emolument on the basis of a consultancy or as a project employee is worth the time required to negotiate.

4. Part-time research assistants: I will make the necessary inquiries. However, it should be understood that projects of this kind frequently require staff amplification by semi-professional research assistants. I doubt that Dr. Gottfredson will be able to provide very much detail on an item which is essentially contingent.



6

UNITED STATES DEPARTMENT OF JUSTICE
LAW ENFORCEMENT ASSISTANCE ADMINISTRATION

WASHINGTON, D.C. 20530

NATIONAL INSTITUTE OF LAW ENFORCEMENT
AND CRIMINAL JUSTICE

Subject: Grant Award

Dear Sir:

We are pleased to inform you of the approval of your proposal to the Institute.

Two copies of the grant award are attached. Please sign and return the duplicate copy of the grant award. In addition, forms for requesting funds and reporting expenditures are enclosed.

Initially, the Grantee's Request for Funds form should be used to request advance funds to cover anticipated expenditures. For subsequent quarterly requests for funds, the Grantee's Report of Expenditures for the preceding quarter must accompany the Grantee's Request for Funds.

We are looking forward to the results of your effort.

Sincerely,

Henry S. Ruth, Jr.
Director

7



UNITED STATES DEPARTMENT OF JUSTICE
LAW ENFORCEMENT ASSISTANCE ADMINISTRATION

WASHINGTON, D.C. 20530

G R A N T A W A R D

Title				
Grantee			Application Date	
			Award Date	
Award Amount	Award Number	Award Period	From	To

In accordance with provisions of Part D of Title I of the Omnibus Crime Control and Safe Streets Act of 1968, P.L. 90-351, and on the basis of the application submitted, the National Institute of Law Enforcement and Criminal Justice hereby awards to the foregoing grantee a grant, in the amount shown above, for the period indicated. This award has been approved by the Administrators of the Law Enforcement Assistance Administration.

This grant is subject to the Institute's current conditions governing grants and those forth in the Applicant's Agreement. It is also subject, if indicated below, to Special Conditions attached to this grant award.

This grant shall become effective as of the award date indicated above. Grantee's acceptance of this award as conditioned is indicated by signature of the duly authorized official and return of the signed duplicate copy to the Institute.

NATIONAL INSTITUTE OF LAW ENFORCEMENT AND CRIMINAL JUSTICE

Henry S. Ruth, Jr., Director

* * *

Accepted for the Grantee

Signature of Duly Authorized Official

Typed Name and Title of Official

Grant Award Data

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

8



UNITED STATES DEPARTMENT OF JUSTICE
LAW ENFORCEMENT ASSISTANCE ADMINISTRATION

WASHINGTON, D.C. 20530

GRANT AWARD APPROVAL

Title			
Grantee		Application Date	
		Award Date	
Award Amount	Award Number	Award Period	From To

The Law Enforcement Assistance Administration hereby approves the grant award of the National Institute of Law Enforcement and Criminal Justice to the foregoing grantee, in the amount shown above for the purposes set forth in the grantee application for the indicated period. This award is subject to the current conditions governing grants.

LAW ENFORCEMENT ASSISTANCE ADMINISTRATION

Charles H. Rogovin, Administrator

Richard W. Velde, Associate Administrator

Clarence M. Coster, Associate Administrator

9

U. S. DEPARTMENT OF JUSTICE
Law Enforcement Assistance Administration
National Institute of Law
Enforcement and Criminal Justice

NOTICE TO FEDERAL AGENCIES
GRANT AWARDS

Note: For Administrative Use Only

For information and any comments, we are sending summary data on the

☐ grant award

☐ contract award

identified below. Please advise if you desire further information or would like a copy of the grant or contract proposal.

Grantee or Contractor
(Name, address, and telephone)

Project Director
(Name, title, address, telephone)

Amount of Award: _____

Period of Award: _____

Total Project Amount: _____

Total Project Period: _____

Summary Description of Project:

DATE: _____

BY: _____

III. Methods

A. Objectives

1. Objective 1. State the specific end result you expect to achieve.
2. Objective 2. Ditto
Etc.

B. Procedures (What activities you will actually perform in order to achieve each objective).

1. Objective 1. Repeat the first objective.
 - a. Describe point by point how it will be done.
 - b.
2. Objective 2. Repeat the second objective.
 - a. Describe point by point how it will be done.
 - b.

C. Data Sources

Describe what sources of data you expect to use, and whether you have determined the existence and availability of the data for your use.

D. Summary of Project Products

The products of the project should be described in meaningful milestones and final reports. Examples of the type of information required for substantive technical reports are:

1. First Report. Date:
 - a. Information concerning . . .
 - b. A list of . . .
 - c. Data and information concerning . . .
2. Second Report. Date:
 - a. Recommendations for . . .
 - b. Method for overcoming obstacles in . . .
 - c. Method for establishing mechanism for . . .
3. Final Report. Date:
 - a. Data text.
 - b. Prescriptive text.

E. Project schedule to be produced in chart form.

1. Activity name.
2. Man months required to perform the activity.
3. The beginning and end dates to complete the activity.



UNITED STATES DEPARTMENT OF JUSTICE
LAW ENFORCEMENT ASSISTANCE ADMINISTRATION

WASHINGTON, D.C. 20530

IN REPLY PLEASE REFER TO

G R A N T A W A R D

The Law Enforcement Assistance Administration
hereby approves the grant award of the National Institute of Law Enforcement and Criminal Justice to the

in the amount of _____ for the purposes set
forth in the grantee application of _____.
This award is subject to the current conditions governing
grants.

Administrator

Associate Administrator

Associate Administrator

LETTER OF APPLICATION RECEIPT ACKNOWLEDGMENT**UNITED STATES DEPARTMENT OF JUSTICE
LAW ENFORCEMENT ASSISTANCE ADMINISTRATION**

IN REPLY PLEASE REFER TO

WASHINGTON, D.C. 20530

February 24, 1969

Dr. Leslie T. Wilkins
University of California
School of Criminology
101 Haviland Hall
Berkeley, California 94720

Dear Dr. Wilkins:

Your letter of January 29th to Dr. Ralph Siu and your very interesting proposal "A Survey of Public Attitudes toward the Police" has been passed along to the Institute's department of Prevention and Rehabilitation research.

Unfortunately our limited funds for fiscal year 69 have all been committed; but we will be happy to keep your proposal for consideration in the 1970 budget.

Sincerely,

Helen Erskine, Ph.D.
National Institute of Law
Enforcement and Criminal
Justice

S A M P L E



**UNITED STATES DEPARTMENT OF JUSTICE
LAW ENFORCEMENT ASSISTANCE ADMINISTRATION**

IN REPLY PLEASE REFER TO

WASHINGTON, D.C. 20530

January 31, 1969

Mr. John H. Hickey, Director
Commission on Crime and Law Enforcement
304 Capitol Hill Building
Little Rock, Arkansas 72201

Dear Mr. Hickey:

We are pleased to inform you of the approval of your grant application in the amount of \$6,500 for auto theft prevention research and demonstration.

A copy of the grant award is attached. Payment will be by equal quarterly installments. The first payment should arrive in the near future.

We are looking forward to the results of your effort in this important area of law enforcement. We hope that the model program which will grow out of your research will have application throughout the country.

Sincerely,

ROBERT L. EMRICH
Acting Director, National Institute
of Law Enforcement and Criminal
Justice

Enclosure

S A M P L E



**UNITED STATES DEPARTMENT OF JUSTICE
LAW ENFORCEMENT ASSISTANCE ADMINISTRATION**

WASHINGTON, D.C. 20530

IN REPLY PLEASE REFER TO

LETTER OF NOTIFICATION - DISAPPROVED

A sample will be provided at a later date.



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

IN REPLY PLEASE REFER TO

LETTER OF NOTIFICATION - COMPETITIVE BIDDING

A sample will be provided at a later date.

UNITED STATES GOVERNMENT

DEPARTMENT OF JUSTICE

Memorandum

TO : Dr. Ralph G. H. Siu

DATE: December 13, 1968

FROM : Dr. Robert L. Emrich

SUBJECT: Panel Review Board - Disposition Statement

The following is an analysis of the attached grant application from the Committee on the Administration of Justice for a management study of the U. S. District Court.

The Committee on the Administration of Justice is presently engaged in conducting a study to design and implement an effective system for the organization, management, and operation of the courts of the District of Columbia through the application of management study and systems analysis techniques. The study began in April 1968 with a \$210,000 grant from the Ford Foundation and has received subsequent grants from other sources. At present, they have completed the initial analysis and identification phase and the study team is about to proceed with an in-depth analysis and evaluation of each of the courts and work out immediate and long-range solutions.

This grant application is specifically for an in-depth study of the U. S. District Court and the U. S. Attorney's and U. S. Marshal's offices as they are involved in the court's administrative problems. The primary goal is to develop methods that will speed the processing of cases through the system. This has been noted as a critical area by the District of Columbia and National Crime Commissions. The application of management principles to the court system can bring about changes in court administration which will substantially improve both the speed and quality with which justice is dispensed. Among the specific improvements expected from this study are an improved personnel system with better utilization of court employees, improved and better coordinated flow of cases through the court system, improved jury and witness systems, reduction of unnecessary records and reports, and improvement of the court record systems.

The District of Columbia should provide a favorable environment for this type of effort. The study team comprises highly qualified personnel and has been functioning as a unit for more than six months. Our participation in this effort should not only produce an improved court system for the Federal Court, but also result in substantial improvements in the entire court system of the District of Columbia. In addition, this study should produce methodology for diagnosing and solving problems in court systems throughout the country. A Model booklet series will be issued to cover all aspects of the court management study.

It is recommended that a grant of \$120,000 be awarded to the Committee on the Administration of Justice to conduct this study of the U. S. District Court and the U. S. Attorney's and U. S. Marshal's offices.

S A M P L E

NATIONAL INSTITUTE OF LAW ENFORCEMENT AND CRIMINAL JUSTICE

Draft Regulation No. NI 9

March 17, 1969

Personnel Processing Procedure Guide

Abstract

This regulation contains a step sequenced, time phased procedure guide for hiring an individual.

A handwritten signature in cursive script, appearing to read "Robert A. L. Smith".

Acting Director, National Institute of
Law Enforcement and Criminal Justice

TABLE OF CONTENTS

I. Introduction	2
II. Forms and Offices	5
III. Office Position Descriptions	7
A. Institute Personnel	7
B. LEAA Personnel	9
C. Functional Center	11
D. Main Justice Personnel	12
E. Applicants - Main Justice	13
F. Civil Service Commission	14
G. Applicant	14
H. Justice Printing Office	14
I. Institute Panel	15
IV. Step Sequence Procedure Flow Diagram	16
V. Sample Forms	30

I. Introduction

A. Purpose

The purpose of this regulation is to establish the procedures and policies for hiring personnel.

B. Objectives of the Institute Procedure

1. Develop a uniform procedure for hiring an individual.
2. Provide a central information source on how to hire an individual.
3. Delineate the organizational entities that are responsible for hiring an individual and enunciate their duties and functions in this regard.
4. Provide a positive control mechanism to insure that an individual is being processed in accordance with the requirements.
5. Serve as a vehicle for updating and amending the processing procedure as appropriate.

C. Structure

This guide is organized and presented in five parts. They are:

Introduction

Forms and Offices

Office Position Descriptions

Step Sequence Procedure Flow Diagram

Sample Forms

1. Introduction.

Contains a brief summary of the purpose, objectives and structure of the Personnel Processing Procedure Guide.

2. Forms and Offices.

Part A of this section contains a summary listing of all the Forms and Reports cited in the procedure. Part B contains a simple listing of all of the specific organizational elements directly involved in the personnel processing.

3. Office Position Descriptions.

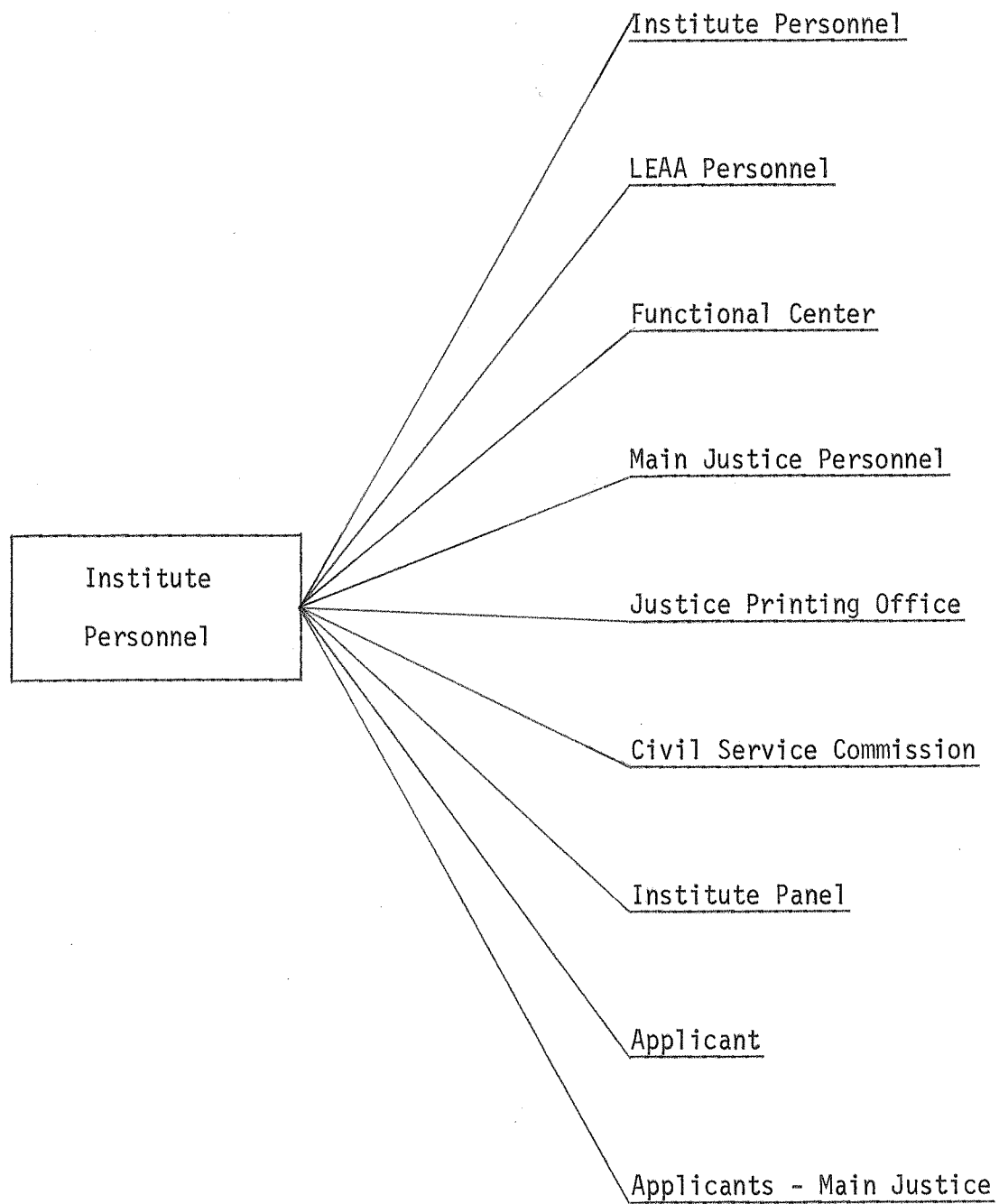
This section contains a description of what a given office does in personnel processing. It is not time-phased. The position descriptions include detailed information about the forms used and the interfacing agencies.

4. Step Sequence Procedure Flow Diagram.

This section contains a flow diagram of each of the steps involved in personnel processing. Each activity box drawn is titled with the office or organization that is responsible for the function described in the box. The interrelationship between organizational groups is also presented in a time-phased sequence. Each activity box carries an alpha-numeric tag identifying it to the responsibility statements within a given organization as described in Section III. For example, the designator A-1 refers to Section III, paragraph A (Institute Personnel), responsibility statement No. 1.

5. Sample Forms.

This section contains many of the sample forms which have been cited and described in the body of the report. Samples of each of the forms which are currently available are included.

Procedure Control Center Summary

II. Forms and Offices

A. Personnel Forms

- | | |
|-----------------------|--|
| 1. Standard Form 86 | Security Investigation Data for Sensitive Position |
| 2. Standard Form 87 | U. S. Civil Service Commission Fingerprint Chart |
| 3. Standard Form 170 | Application for Federal Employment |
| 4. Standard Form 171 | Personal Qualifications Statement |
| 5. Standard Form 50 | Notification of Personnel Action |
| 6. Optional Form 8 | Position Description |
| 7. Memorandum | Hiring Statement |
| 8. Memorandum | Selective Criteria |
| 9. Memorandum | Statement of Recruiting Efforts |
| 10. Memorandum | Advanced Within-Grade Hiring |
| 11. Standard Form 52 | Request for Personnel Action |
| 12. Standard Form 75 | Request for Preliminary Employment Date |
| 13. Form INSTITUTE 50 | Personnel Processing Control Form |
| 14. Form INSTITUTE 51 | Personnel Routing Form |
| 15. Memorandum | Recruiting Statement |
| 16. Memorandum | Advertising Statement |
| 17. Memorandum | Advertising Form |
| 18. DJ-84 | Notice of Vacancy |
| 19. Memorandum | Register Request |
| 20. CSF 1844(T) | Certificate of Eligibles |
| 21. DJ-85A | Promotion Candidate List |

B. Offices

1. Institute Personnel
2. LEAA Personnel
3. Functional Center
4. Main Justice Personnel
5. Justice Printing Office
6. Civil Service Commission
7. Institute Panel
8. Applicant
9. Applicants - Main Justice

III. Office Position Descriptions

A. Institute Personnel

1. Obtain manpower planning requirements from Functional Center Chiefs and the Director of the Institute. The requirements should include the type, titles, number and desired GS rating.
2. Submit manpower requirements to LEAA Personnel.
3. Review the draft OF 8, make comments where appropriate and send to Functional Center for review.
4. Receive reviewed copy of OF 8 from Functional Center. Type up a clean copy and send it to LEAA Personnel.
5. Receive and log in the Position Description from LEAA Personnel.
6. Receive approved copy of the Position Description from LEAA Personnel and log in the date of receipt.
7. Maintain a file of approved Position Descriptions.
8. Prepare a draft of Selective Criteria for each approved PD and send to Functional Center for review. Or prepare new Selective Criteria as a result of register rejections.
9. Type up Selective Criteria in final form and prepare Recruiting Statement.
10. Send to LEAA personnel (1) Recruiting Statement to Administrative Officer from Director, Institute (re: PD#), (2) Selective Criteria.

11. Receives the following package from LEAA Personnel:
 - a. Certificate of Eligibles
 - b. Personnel Qualifications Statements
 - c. Department of Justice internal applicants.
12. Return SF 171 and Certificate of Eligibles to LEAA Personnel with reason for reject.
13. Receive the request to hire of an individual from the Functional Center with the SF 171, Personnel Routing Form and the rationale for hiring. Also rejected applicant and the Certificate of Eligibles.
14. Prepare the:
 - a. Hiring Statement - includes job opening, grade, and the status.
 - b. Selective Criteria
 - c. Statement of Recruiting Efforts.
 - d. Letter of Intent.
15. Prepare the Personnel Processing Control Form to monitor the personnel processing function through LEAA Personnel, Justice Personnel, and Security Clearance.
16. Send the current package to LEAA Personnel for processing. The package will include:
 - a. SF 171, Personal Qualification Statement
 - b. Hiring Statement
 - c. Selective Criteria
 - d. Statement of Recruiting Efforts (when required)
 - e. Certificate of Eligibles

B. LEAA Personnel

1. Receive manpower requirements from Institute Personnel.
2. Prepare Optional Form 8 - Position Description, for the personnel requested by the Institute. Rewrite disapproved Position Descriptions.
3. Send draft OF 8 to Institute Personnel.
4. Receive the corrected OF 8 from Institute Personnel and type it in final form.
5. Submit the Optional Form 8 - Position Description to Justice Personnel for review and send a copy to Institute Personnel for their files.
6. Receive the Position Description and log in the date. Make a copy of the approved Position Description and send it to Institute Personnel.
7. Prepare Recruiting Statement and Advertising Statement.
8. Package and send the following personnel information to the Assistant Attorney General for Administration:
 - a. Recruiting Statement (from LEAA Administrator)
 - b. Selective Criteria
 - c. Advertising Statement (enunciate the specifics for advertising)
9. Receives the following package and sends it to the Institute:
 - a. Certificate of Eligibles
 - b. Personal Qualifications Statements
 - c. Department of Justice internal applicants

10. Receive the current package from Institute Personnel with the following:
 - a. SF-171
 - b. Hiring Statement
 - c. Selective Criteria
 - d. Statement of Recruiting Efforts
 - e. Certificate of eligibles
11. Review the package for completion and compliance to standards.
12. Prepare the Personnel Processing Follow-Up form to monitor the personnel processing and to keep Institute personnel informed of progress and to take corrective action when processing delays are experienced.
13. Send the following security forms to the applicant:
 - a. SF 86
 - b. SF 87
14. Receive SF 86 and SF 87 from the applicant and log in date of receipt.
15. Complete:
 - a. SF 52 - Request for Personnel Action
 - b. SF 75 - Request for Preliminary Employment Date
16. Collate and check the total personnel package for submission to Justice Personnel.

17. Send the total package to Justice Personnel. The package will include:

- a. SF 86 - Security Investigation Data for Sensitive Position
- b. SF 87 - U. S. Civil Service Commission Fingerprint Chart
- c. SF 171 - Personal Qualifications Statement
- d. Memorandum - Hiring Statement
- e. Memorandum - Selective Criteria
- f. Memorandum - Statement of Recruiting Effort (when required)
- g. SF 52 - Request for Personnel Action
- h. SF 75 - Request for Preliminary Employment Date
- i. CSF-1844(T) Certificate of Eligibles

C. Functional Center

- 1. Receive draft OF 8 from Institute Personnel, review and amend as appropriate. Return it to Institute Personnel.
- 2. Receive and review Selective Criteria from Institute Personnel and amend as appropriate. Return to Institute Personnel.
- 3. Review the personnel availability listings obtained through Notice of Vacancy and Certificate of Eligibles.
- 4. Determines status of application. Statuses are:
 - a. Hire; target date and reason
 - b. No hire; reason
- 5. Inform Institute Personnel that applicants are unsatisfactory and return applications to them. Provide reason for reject.

6. Informs Institute Personnel of the desire to take action to hire with the rationale. Send the SF 171, Personnel Routing Form, and rationale for hiring to Institute Personnel. Also return Certificate of Eligibles.

D. Main Justice Personnel

1. Receive and review the Position Description received from LEAA Personnel.
2. Disapprove the Position Description and return it to LEAA Personnel.
3. Approve the Position Description and return it to LEAA Personnel.
4. Receive the personnel package from LEAA Personnel containing the following:
 - a. Recruiting Statement (from LEAA Administrator)
 - b. Selective Criteria
 - c. Advertising Statement (enunciate the specifics for advertising).
5. Prepares Advertising Form and sends it to Justice Printing Office.
6. Receives the Notice of Vacancy from the Justice Printing Office and circulate it throughout the Justice Department including LEAA. There is a two weeks posting for GS-13 grade levels and above and a one week posting for GS-12 grade levels and below.
7. Prepare and send the Register Request to Civil Service Commission (CSC) asking for register of applicants with desired backgrounds.

8. Receive the following package from Main Justice:

- a. Certificate of Eligibles
- b. SF 171 Personal Qualification Statements

Also receive Department of Justice applicant from posting of DJ-84, Notice of Vacancy. This package is sent to LEAA Personnel.

9. Receive the total package from LEAA Personnel. The package will include:

- a. SF 86 - Security Investigation Data for Sensitive Position
- b. SF 87 - U. S. Civil Service Commission Fingerprint Chart
- c. SF 171 - Personal Qualifications Statement
- d. Memorandum - Hiring Statement
- e. Memorandum - Selective Criteria
- f. Memorandum - Statement of Recruiting Effort (when required)
- g. SF 52 - Request for Personnel Action
- h. SF 75 - Request for Preliminary Employment Date
- i. CSF-1844(T) Certificate of Eligibles

10. Send the following to Civil Service Commission:

- a. Certificate of Eligibles
- b. Rejected SF 171's with rationale

11. Process the applicant (i.e., payroll, security check, etc.)

12. Establish the Enter On Duty date (EOD), and release date, and inform applicant.

E. Applicants - Main Justice

- 1. Review Notice of Vacancy and make inquiry.

F. Civil Service Commission

1. Receives request; goes to specialty desired; question of ranking arises at this point. If cut and dried, CSC does ranking. If 50 or 60 applicants with very little range in quality, CSC will request that the ranking be done by us. This latter entails appointment of a panel of Institute personnel. Panel must be of same grade or above as that of position vacancy.
2. Receive findings from the Institute Panel and type up the CSF-1844(T), Certificate of Eligibles.
3. Send the following package to Main Justice:
 - a. Certificate of Eligibles
 - b. SF 171 Personal Qualification Statements
4. Receive:
 - a. Certificate of Eligibles
 - b. Rejected SF 171's with rationale

G. Applicant

1. Receive SF 86 and SF 87 from LEAA Personnel. Complete and return them to LEAA Personnel.
2. Assumes a state of readiness to meet a new and challenging experience.

H. Justice Printing Office

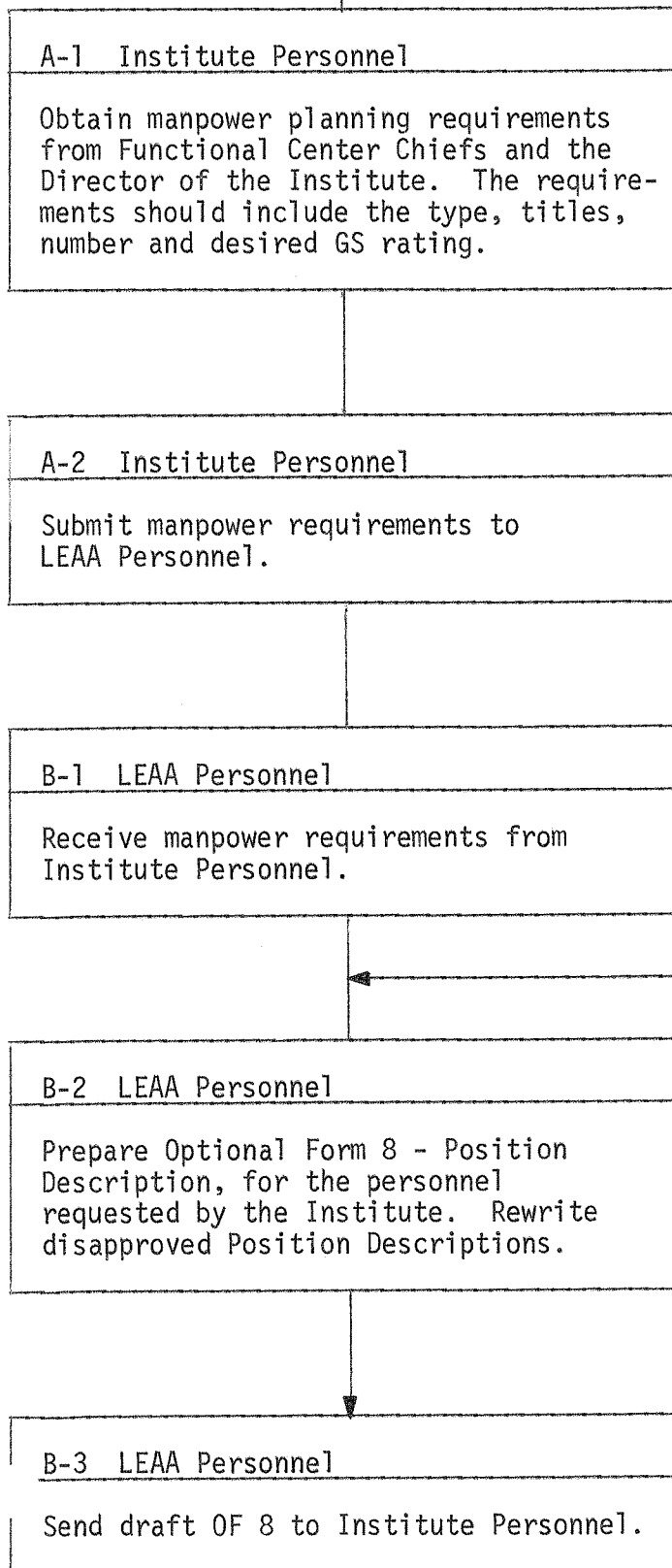
1. Receive Advertising Form from Main Justice Personnel and prepares DJ-8 - Notice of Vacancy, and returns it to Main Justice Personnel.

I. Institute - Panel

1. Go to CSC, sit around small table where applications are brought to them. They evaluate the application and rank them. Their findings are given to CSC.

IV. Step Sequence Procedure Flow Diagram.

Start



(2)

(2)

A-3 Institute Personnel

Review the draft OF 8, make comments where appropriate and send to Functional Center for review.

C-1 Functional Center

Receive draft OF 8 from Institute Personnel, review and amend as appropriate. Return it to Institute Personnel.

A-4 Institute Personnel

Receive reviewed copy of OF 8 from Functional Center. Type up a clean copy and send it to LEAA Personnel.

B-4 LEAA Personnel

Receive the corrected OF 8 from Institute Personnel and type it in final form.

(3)

(3)

B-5 LEAA Personnel
Submit the Optional Form 8 - Position Description to Justice Personnel for review and send a copy to Institute Personnel for their files.

D-1 Main Justice Personnel
Receive and review the Position Description received from LEAA Personnel.

D-3 Main Justice Personnel
Approve the Position Description and return it to LEAA Personnel.

B-6 LEAA Personnel
Receive the Position Description and log in the date. Make a copy of the approved Position Description and send it to Institute Personnel.

(4)

A-5 Institute Personnel
Receive and log in the Position Description from LEAA Personnel.

D-2 Main Justice Personnel
Disapprove the Position Description and return it to LEAA Personnel.

(1)

(4)

A-6 Institute Personnel
Receive approved copy of the Position Description from LEAA Personnel and log in the date of receipt.

A-7 Institute Personnel
Maintain a file of approved Position Descriptions.

(5)

A-8 Institute Personnel
Prepare a draft of Selective Criteria for each approved PD and send to Functional Center for review. Or prepare new Selective Criteria as a result of Register rejections.

C-2 Functional Center
Receive and review Selective Criteria from Institute Personnel and amend as appropriate. Return to Institute Personnel.

(6)

(6)

A-9 Institute Personnel

Type up Selective Criteria in final form and prepare Recruiting Statement.

A-10 Institute Personnel

Send to LEAA personnel (1) Recruiting Statement to Administrative Officer from Director, Institute (re: PD#), (2) Selective Criteria.

B-7 LEAA Personnel

Prepare Recruiting Statement and Advertising Statement.

B-8 LEAA Personnel

Package and send the following personnel information to the Assistant Attorney General for Administration:

- a. Recruiting Statement (from LEAA Administrator)
- b. Selective Criteria
- c. Advertising Statement (enunciate the specifics for advertising)

(7)

(7)

D-4 Main Justice Personnel
Receive the personnel package from LEAA Personnel containing the following: a. Recruiting Statement (from LEAA Administrator) b. Selective Criteria c. Advertising Statement (enunciate the specifics for advertising)

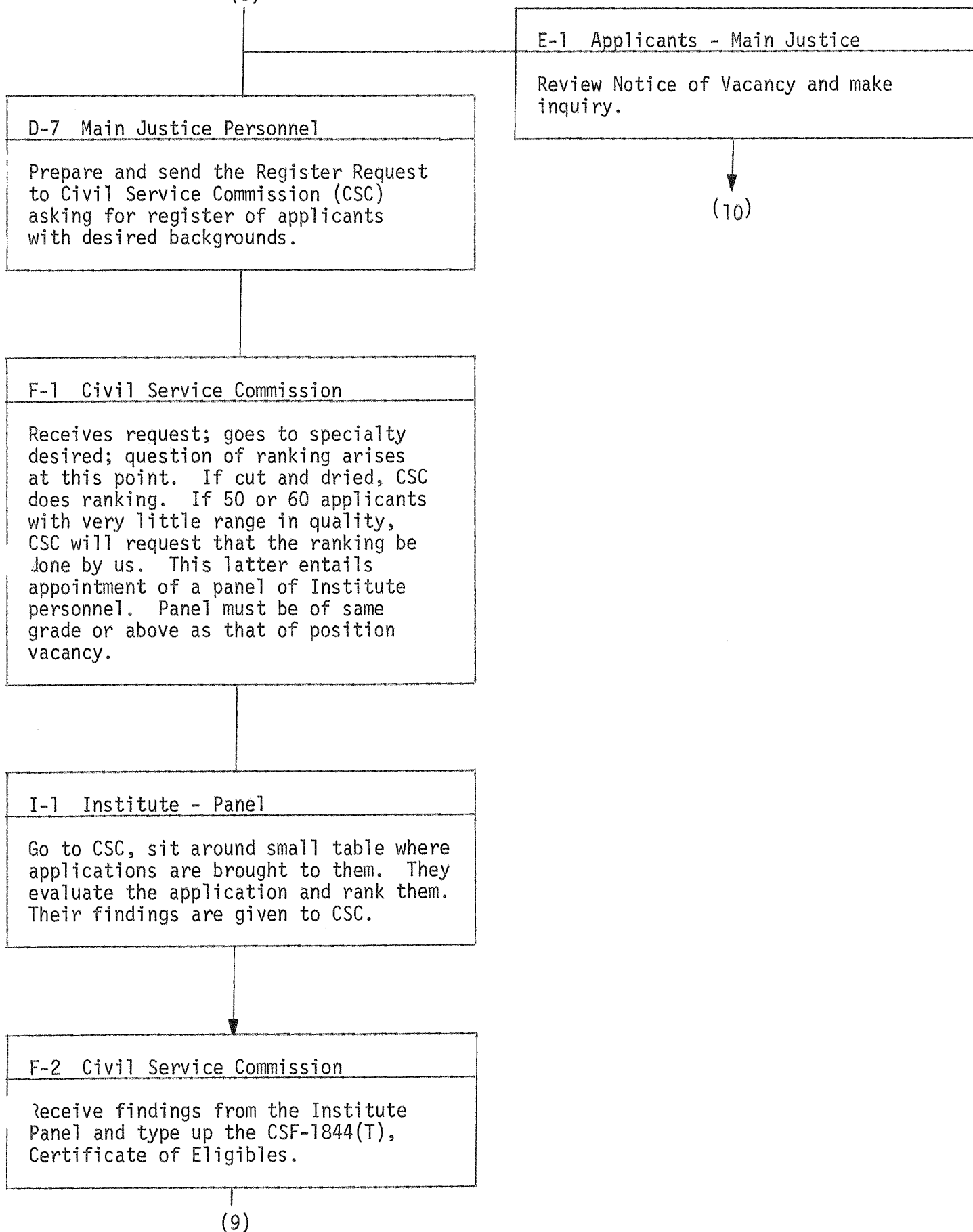
D-5 Main Justice Personnel
Prepares Advertising Form and sends it to Justice Printing Office.

H-1 Justice Printing Office
Receive Advertising Form from Main Justice Personnel and prepares DJ-8 - Notice of Vacancy, and returns it to Main Justice Personnel.

D-6 Main Justice Personnel
Receives the Notice of Vacancy from the Justice Printing Office and circulate it throughout the Justice Department including LEAA. There is a two weeks posting for GS-13 grade levels and above and a one week posting for GS-12 grade levels and below.

(8)

(8)



(9)

F-3 Civil Service Commission

Send the following package to Main Justice:

- a. Certificate of Eligibles
- b. SF 171 Personal Qualification Statements

(10)

D-8 Main Justice Personnel

Receive the following package from Main Justice:

- a. Certificate of Eligibles
- b. SF 171 Personal Qualification Statements

Also receive Department of Justice applicant from posting of DJ-84, Notice of Vacancy. This package is sent to LEAA Personnel.

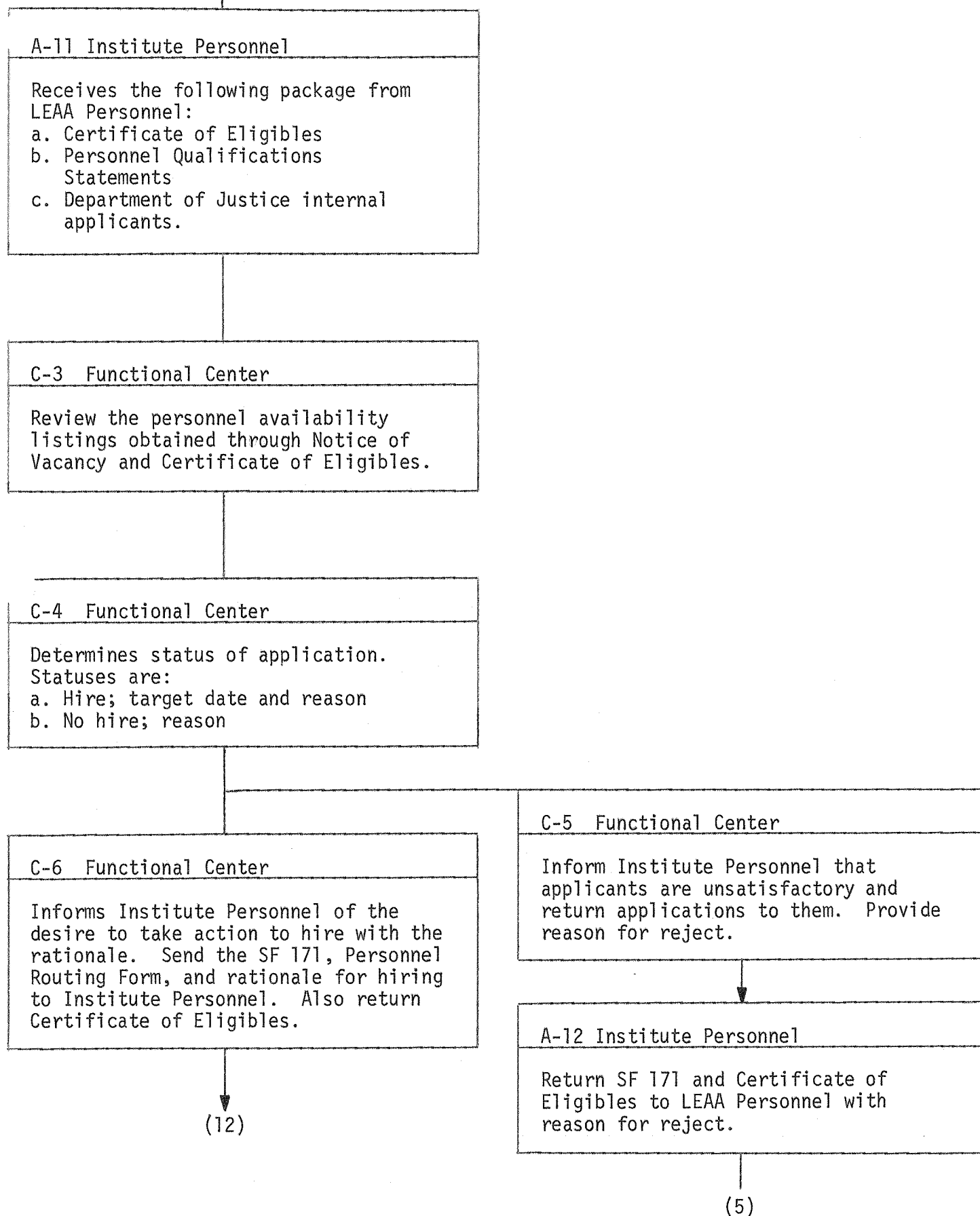
B-9 LEAA Personnel

Receives the following package and sends it to the Institute:

- a. Certificate of Eligibles
- b. Personal Qualifications Statements
- c. Department of Justice internal applicants.

(11)

(11)



(12)

A-13 Institute Personnel

Receive the request to hire of an individual from the Functional Center with the SF-171, Personnel Routing Form and the rationale for hiring. Also rejected applicant and the Certificate of Eligibles.

A-14 Institute Personnel

Prepare the:

- a. Hiring Statement - includes job opening, grade, and the status.
- b. Selective Criteria.
- c. Statement of Recruiting Efforts.
- d. Letter of Intent.

A-15 Institute Personnel

Prepare the Personnel Processing Control Form to monitor the personnel processing function through LEAA Personnel, Justice Personnel, and Security Clearance.

(13)

A-16 Institute Personnel

Send the current package to LEAA Personnel for processing. The package will include:

- a. SF-171, Personal Qualification Statement
- b. Hiring Statement
- c. Selective Criteria
- d. Statement of Recruiting Efforts (when required)
- e. Certificate of Eligibles

B-10 LEAA Personnel

Receive the current package from Institute Personnel with the following:

- a. SF-171
- b. Hiring Statement
- c. Selective Criteria
- d. Statement of Recruiting Efforts
- e. Certificate of Eligibles

B-11 LEAA Personnel

Review the package for completion and compliance to standards.

B-12 LEAA Personnel

Prepare the Personnel Processing Follow-Up form to monitor the personnel processing and to keep Institute personnel informed of progress and to take corrective action when processing delays are experienced.

(14)

B-13 LEAA Personnel
Send the following security forms to the applicant: a. SF 86 b. SF 87

G-1 Applicant
Receive SF 86 and SF 87 from LEAA Personnel. Complete and return them to LEAA Personnel.

B-14 LEAA Personnel
Receive SF 86 and SF 87 from the applicant and log in date of receipt.

B-15 LEAA Personnel
Complete: a. SF 52 - Request for Personnel Action b. SF 75 - Request for Preliminary Employment Date.

B-16 LEAA Personnel
Collate and check the total personnel package for submission to Justice Personnel.

(15)

(15)

B-17 LEAA Personnel

Send the total package to Justice Personnel. The package will include:

- a. SF 86 - Security Investigation Data for Sensitive Position
- b. SF 87 - U. S. Civil Service Commission Fingerprint Chart
- c. SF 171 - Personal Qualifications Statement
- d. Memorandum - Hiring Statement
- e. Memorandum - Selective Criteria
- f. Memorandum - Statement of Recruiting Effort (when required)
- g. SF 52 - Request for Personnel Action
- h. SF 75 - Request for Preliminary Employment Date
- i. CSF-1844(T) Certificate of Eligibles

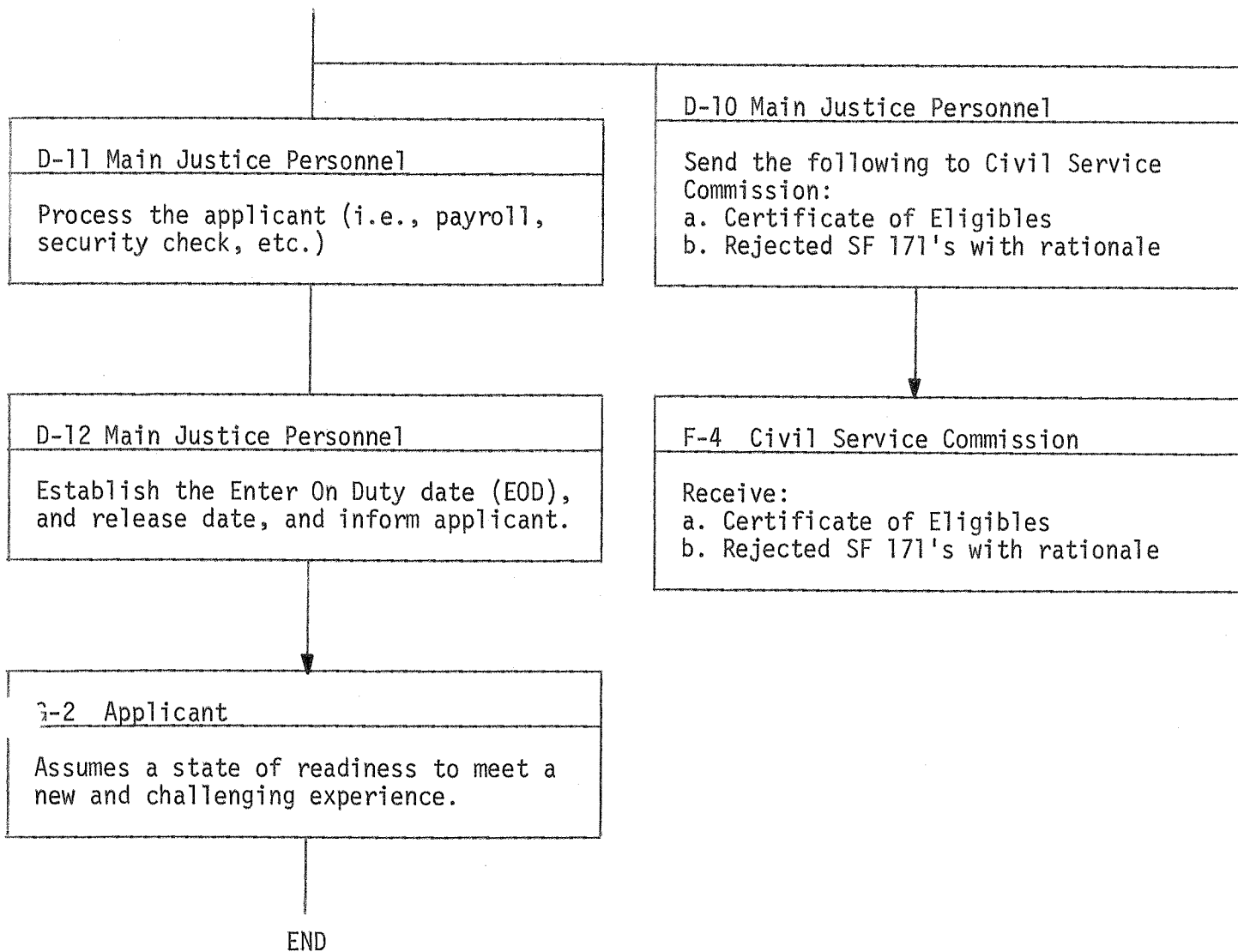
D-9 Main Justice Personnel

Receive the total package from LEAA Personnel. The package will include:

- a. SF 86 - Security Investigation Data for Sensitive Position
- b. SF 87 - U. S. Civil Service Commission Fingerprint Chart
- c. SF 171 - Personal Qualifications Statement
- d. Memorandum - Hiring Statement
- e. Memorandum - Selective Criteria
- f. Memorandum - Statement of Recruiting Effort (when required)
- g. SF 52 - Request for Personnel Action
- h. SF 75 - Request for Preliminary Employment Date
- i. CSF-1844(T) Certificate of Eligibles

(16)

(16)



V. Sample Forms.

The forms currently available are contained in this section. They are:

Security Investigation Data for Sensitive Position

U. S. Civil Service Commission Fingerprint Chart

Application for Federal Employment

Personal Qualifications Statement

Notification of Personnel Action

Position Description

Hiring Statement

Selective Criteria

Statement of Recruiting Efforts

Advanced Within-Grade Hiring

Request for Personnel Action

Request for Preliminary Employment Date

Personnel Processing Control Form

Personnel Routing Form

Recruiting Statement

Advertising Statement

Advertising Form

Notice of Vacancy

Register Request

Certificate of Eligibles

Promotion Candidate List

Standard Form 50 - Notification of Personnel Action

Not available

POSITION DESCRIPTION

1. Check one:
Dept ☐ Field ☐

2. Official headquarters:

4. Agency position No.

3. Reason for submission:

(a) If this position replaces another (i. e., a change of duties in an existing position), identify such position by title, allocation (service, series, grade), and position number

5. C. S. C. certification No.

6. Date of certification

(b) Other (specify)

7. Date received from C. S. C.

8. CLASSIFICATION ACTION

ALLOCATION BY	CLASS TITLE OF POSITION	CLASS			INITIALS	DATE
		Service	Series	Grade		
a. Civil Service Commission						
b. Department, agency, or establishment						
c. Bureau						
d. Field office						
e. Recommended by initiating office						

9. Organizational title of position (if any)

10. Name of employee (If vacancy, specify V-1, 2, 3, or 4)

11. Department, agency, or establishment

c. Third subdivision

a. First subdivision

d. Fourth subdivision

b. Second subdivision

e. Fifth subdivision

12. This is a complete and accurate description of the duties and responsibilities of my position

13. This is a complete and accurate description of the duties and responsibilities of this position

(Signature of immediate supervisor)

(Date)

(Signature of employee)

(Date)

Title:

14. Certification by head of bureau, division, field office, or designated representative

15. Certification by department, agency, or establishment

(Signature)

(Date)

(Signature)

(Date)

Title:

Title:

16. Description of duties and responsibilities

UNITED STATES GOVERNMENT

DEPARTMENT OF JUSTICE

Memorandum

TO :

DATE:

FROM :

SUBJECT: Hiring Statement

A sample will be provided at a later date.

SELECTIVE CRITERIA:

Organization:

Law Enforcement Assistance Administration

National Institute of Law Enforcement and Criminal Justice

Detection and Apprehension Development Center

Position:

Communications Engineer GS-855-15

1. (a) A Master's degree in electrical (electronics) engineering; or
(b) A Bachelor's degree in electrical (electronics) engineering and two years work experience equivalent to advance study in the discipline.
2. Two years of professional electrical (electronics) engineering experience subsequent to 1(a) or 1(b).
3. Item 2 must include at least one year of experience in state or local law enforcement communications engineering and progressively more responsible experience in the conduct of, administration of, and evaluation of research, including research contract administration.

APPROVAL: _____

DATE: _____

S A M P L E

Memorandum

TO : Mr. Kenneth J. Stallo
Director of Personnel

DATE: January 29, 1969

FROM : Robert L. Emrich, Acting Director
National Institute of Law Enforcement
and Criminal Justice

SUBJECT: Statement of Recruiting Efforts - Communications Engineer

Since the National Institute of Law Enforcement and Criminal Justice was established within the Law Enforcement Assistance Administration, an extensive recruitment program has been in effect. General announcements have been posted throughout the Department of Justice and its bureaus, and have appeared in various LEAA and professional publications.

Specific recruitment efforts for the Communications Engineer position have been use of the CSC's referral service of appropriate applicants and referrals from knowledgeable individuals in the field.

As a result of these efforts eight applications were received. Three of these applicants meet the selective criteria. These men were interviewed and references reviewed. Two of the applicants withdrew their application, based on more lucrative offers from private industry.

Based on the above recruiting efforts, the administrators have tentatively selected Mr. John Smith has a Master's degree in electrical engineering and approximately ten years of experience in the field. He has been involved in research, contract administration, and research evaluation much of that time. He is the only electronics engineer known to be employed by a major police department in the United States. During the past year he has concentrated on the development of a new personnel radio for the Chicago Police Department. Consequently, he is particularly qualified to work on the priority project of developing a new personnel radio for use by police throughout the nation. We believe it would be virtually impossible to find a better qualified person for the Institute position.

If the Civil Service Commission requires a panel to review additional applicants, Mr. Louis Mayo and Dr. Robert Emrich will represent LEAA.

S A M P L E

Memorandum

TO : William E. Caldwell

DATE: December 6, 1968

FROM : Robert L. Emrich

SUBJECT: Advanced within grade hiring of John Smith

It is requested that permission be granted to hire John Smith as a Mathematician, GS-15/4. This would allow us to approximate his present salary of \$21,800 with a private research corporation. Mr. Smith possesses outstanding qualifications including a Ph.D. in statistics and highly responsible and varied experience in mathematics, systems analysis, and operations research. One of his recent projects dealt with organized crime, one of the highest priority areas in our program.

Mr. Smith has been tentatively selected for a position with the National Institute of Law Enforcement and Criminal Justice. He would be assigned to our Criminal Justice Management and Systems Center which is responsible for the systems analysis of law enforcement and criminal justice and the application of operations research techniques in the reduction of crime and the dispense of justice. His knowledge and experience in mathematics and related fields would be invaluable assets in these areas. Mr. Smith's expertise is especially required in the developmental phases of our program. In view of the fact that many of our projects will involve grantees and contractors, his experience in project management is another significant qualification. We feel that it is vital to our mission to attract personnel of this caliber to the Institute.

S A M P L E

REQUEST FOR PERSONNEL ACTION

PART I. REQUESTING OFFICE: Unless otherwise instructed, fill in all items in this part *except those inside the heavy lines*.
If applicable, obtain resignation and separation data on reverse side.

1. NAME (CAPS) LAST—FIRST—MIDDLE		MR.—MISS—MRS.	2. (For agency use)	3. BIRTH DATE (Mo., Day, Year)	4. SOCIAL SECURITY NO.
A. KIND OF ACTION REQUESTED: (1) PERSONNEL (Specify appointment, reassignment, resignation, etc.)				B. REQUEST NUMBER	C. DATE OF REQUEST
(2) POSITION (Specify establish, review, abolish, etc.)				D. PROPOSED EFFECTIVE DATE	E. POSITION SENSITIVITY
5. VETERAN PREFERENCE 1—NO 2—5 PT. 3—10 PT. DISAB. 4—10 PT. COMP. 5—10 PT. OTHER			6. TENURE GROUP	7. SERVICE COMP. DATE	8. HANDICAP CODE
9. FEGLI 1—COVERED (REGULAR ONLY—DECLINED OPTIONAL) 2—INELIGIBLE 3—WAIVED 4—COVERED (REG. & OPT.)			10. RETIREMENT 1—CS 2—FICA 3—FS 4—NONE 5—OTHER		11. (For CSC use)
12. NATURE OF ACTION CODE			13. EFFECTIVE DATE (Mo., Day, Year)		14. CIVIL SERVICE OR OTHER LEGAL AUTHORITY

15. FROM: POSITION TITLE AND NUMBER	16. PAY PLAN AND OCCUPATION CODE	17. (a) GRADE OR LEVEL (b) STEP OR RATE	18. SALARY
19. NAME AND LOCATION OF EMPLOYING OFFICE			

20. TO: POSITION TITLE AND NUMBER	21. PAY PLAN AND OCCUPATION CODE	22. (a) GRADE OR LEVEL (b) STEP OR RATE	23. SALARY
24. NAME AND LOCATION OF EMPLOYING OFFICE			

25. DUTY STATION (City—county—State)			26. LOCATION CODE
27. APPROPRIATION	28. POSITION OCCUPIED 1—COMPETITIVE SERVICE 2—EXCEPTED SERVICE	29. APPORTIONED POSITION FROM: 1—PROVED-1 2—WAIVED-2 TO: STATE	

F. REMARKS BY REQUESTING OFFICE (Continue in item F on reverse side, if necessary)

G. REQUESTED BY (Signature and title) (Leave blank on resignations)	I. REQUEST APPROVED BY:
H. FOR ADDITIONAL INFORMATION—CALL (Name and telephone number)	SIGNATURE _____
	TITLE: _____

PART II. TO BE COMPLETED BY PERSONNEL OFFICE (Items inside heavy lines in Part I above also to be completed)

J. POSITION CLASSIFICATION ACTION <input type="checkbox"/> IDENTICAL <input type="checkbox"/> ADDITIONAL <input type="checkbox"/> NEW <input type="checkbox"/> VICE <input type="checkbox"/> REGRADED			(7) REMARKS: (Note: Use item 30 on reverse for Standard Form 50 remarks) QUALIFICATION STANDARD: _____
K. CLEARANCES	Initials or Signature	Date	
(1)			
(2) CEIL. OR POS. CONTROL			
(3) CLASSIFICATION			
(4) PLACEMENT OR EMPL.			
(5)			
(6) APPROVED BY:			

REQUEST FOR PRELIMINARY EMPLOYMENT DATA

(Safeguard the confidential nature of the data on this form)

TYPE OR PRINT THE NAME AND ADDRESS OF THE ACTIVITY TO WHICH THIS FORM IS BEING SENT. (Include enough information to identify employing office.)



DATE _____

Please furnish the information for the items CIRCLED on the reverse of this form and for those items listed below (if any) for the applicant whose name appears below and who has been tentatively selected for an appointment in the department or agency to which this form is to be returned. Only those items needed to complete the employment process have been CIRCLED and LISTED, and only those items need to be filled in.

If the person is separated and the Official Personnel Folder is in the Records Center, complete items 1, 18, 19, and 20 on the reverse and return the form to the address below. If this information has to be obtained from another office, that office may return the form directly to the address below.

DO NOT FORWARD THIS FORM TO THE RECORDS CENTER

PART I—TO BE COMPLETED BY THE ACTIVITY REQUESTING INFORMATION

1. NAME OF TENTATIVE SELECTEE (CAPS)* LAST—FIRST—MIDDLE—MAIDEN		2. DATE OF BIRTH (Mo., day, year)	3. SOCIAL SECURITY NO.
<input type="checkbox"/> Mr. <input type="checkbox"/> Miss <input type="checkbox"/> Mrs.			
4. NAME OF PERSON REQUESTING (OR RECORDING) INFORMATION:		5. POSITION TITLE	
Signature: _____		6. TEL. NO., OR CODE, EXT.	

7. ADDITIONAL ITEMS. (This space is for use by requesting activity to obtain data needed by a single agency. Additional items should begin with No. 25.)

*NOTE: If applicant's name differs from that on the latest SF 50, indicate difference _____

RETURN FORM TO: (Complete if form is to be mailed)

Name _____ Sworn In: _____

Title: _____

Application Date: _____ Target Start Date: _____ Start Date: _____

Grade: _____ Clearance: _____ Pay Start: _____

Registry Search _____ Building Pass _____ Federal I.D. _____

Forms	Date Assigned	Date Complete	Date to Justice	Date Return	Status
Pers. Qual. SF 171					
Security SF 86 Investigation					
Finger Print SF 87					
Position (OF 8) Description					
Selective Criteria					
Recruiting Efforts					
Hiring Statement					
Request SF 52 Pers. Action					
Request SF 75 e. Employ.					

Other _____

Center: _____

Name: _____ Log No. _____ Date: _____

Title: _____ Birth Date: _____

Position Desired: _____

Current Salary: _____ Desired Salary: _____ GS Grade: _____

Route to: (1) _____ Rqmts. & Stds. (2) _____ Prev. & Rehab. (3) _____ Det. & Appreh.
(4) _____ Mgmt. & Sys. (5) _____ Law & Society (6) _____ Statistics (7) _____ Demon.
(8) _____ Fellows (9) _____ Director (10) _____ Advis. Counsel (11) _____ Violence
(12) _____ Organ. Crime

Action Examples: No Interest, Bring in for Interview, Obtain Addtl. Information, etc.

Interviewer: _____ Action _____

Interviewer: _____ Action _____

Interviewer: _____ Action _____

Interviewer: _____ Action _____

Final Action Taken by Personnel: _____

* For Field Offices, Civil Service requirements will be checked by the Personnel Office in Washington when the Request for Personnel Action (SF-52) is submitted.