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DEPARTMENT OF
POLICE

ARTURO VENEGAS, JR.
CHIEF OF POLICE

CITY OF SACRAMENTO
CALIFORNIA

February 24, 1995

HALL OF JUSTICE
813 SIXTH STREET
SACRAMENTO, CA
95814-2495

PH 916-264-5121

Neighborhood and Public Safety Issues Committee
Sacramento, California

Honorable Members in Session:

SUBJECT: Report-Backs from Committee meetings of February 15, and 22, 1995

LOCATION AND COUNCIL DISTRICT

City. All council districts.

RECOMMENDATION

None.

CONTACT PERSON

Capt. Mike Busch
Planning and Research Division
(916) 264-7380

FOR COMMITTEE MEETING OF

March 6, 1995

*(This date is incorrect -
Should be March 11, 1995)*

SUMMARY

This report contains information regarding ten (10) requests for report-backs from the "Council Committee Meetings on Neighborhood and Public Safety Issues" held on February 15, and 22, 1995. Answers to seven (7) of the Committee requests will be in writing and are included in this report. Data collection for two items will take one or two weeks, and answers will be submitted to the Committee as soon as available. An oral presentation on the remaining request (the impact of civilianization proposals) will be made during the next Committee meeting on March 6, 1995. In addition, Police Department staff will be available at that meeting to answer additional questions that may arise.

Neighborhood and Public Safety Issues Committee
Re: Civilianization Strategies for Police Department
February 24, 1995
Page 2

COMMITTEE/COMMISSION ACTION

None

BACKGROUND INFORMATION

Ten (10) requests for additional information were generated as a result of the "Council Committee Meetings on Neighborhood and Public Safety Issues" meetings held on February 15, and February 22, 1995. The following is a recapitulation of the 10 requests for information made by Committee members:

FIRST MEETING (February 15, 1995)

QUESTION #1: What is the relationship between Neighborhood Police Officers and regular patrol officers, and how many calls for service do NPOs handle?

ANSWER #1: NPOs augment regular officers assigned to patrol districts that contain NPO sites. NPOs and district officers communicate regarding neighborhood problems. These communications occur during one-on-one conversations between officers, at roll call meetings, via the police radio or the mobile data terminals, and through premise histories entered into the computer aided dispatch (CAD) system (which alert patrol officers of active neighborhood problems being handled by an NPO). NPOs and patrol officers also communicate at community meetings and during tactical situations.

Often, neighborhood problems identified by district officers are referred to NPOs. NPOs, in turn, focus their attention and resources on the problem, and apply proven strategies to develop long term resolutions. Achieving long term solutions to neighborhood problems reduce or eliminate return calls for district officers. In this way, district officers are more available to handle calls for service and response times are maintained, and usually improved.

When the Neighborhood Police Officer concept was introduced in 1992, it was believed that NPOs would not handle calls for service. While their primary duties include neighborhood problem solving and community mobilization, NPOs do handle calls for service (CFS) in actual practice. NPOs are currently included in the sequence of assignments (a Departmental order designating the sequence in which available police officers are assigned to a CFS) for high priority and/or emergency

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Page 3

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QUESTION #2: What will be the difference in duties for the 23 new NPOs (as opposed to existing NPOs) working in the larger project areas?

ANSWER #2: The strategies of neighborhood reclamation and the duties of NPOs will not change with the addition of the 23 new NPOs from the COPS: Phase I grant program. However, there will be some differences in precisely how various NPOs conduct business. These differences are a result of contractual agreements, specific needs of various neighborhoods, the size of the NPO site, and the resources available.

Contractually, existing NPOs (funded by SHRA and Kaiser Hospital) work within small, well defined boundaries. The activities of these NPOs are generally focused on problem solving and community mobilization. However, they occasionally handle priority/emergency calls for service and are available to provide backup for patrol officers.

NPOs hired under the COPS: Phase I grant program are required to perform community policing activities. The program proposal submitted to the U.S. Department of Justice described how NPOs would implement neighborhood reclamation strategies. There is flexibility in **where**, and in what ways, these NPOs perform community policing. For example, if necessary, two or more NPOs could be temporarily teamed up to deal with a particular neighborhood problem.

Differences in neighborhoods influence how NPOs conduct business. Problems unique to a given neighborhood require customized approaches and solutions. NPOs confer with neighborhood residents to identify problems (e.g., crime, gangs, traffic, problem residences, and neighborhood nuisances) and develop solutions.

Larger NPO sites will require that NPOs and district officers develop closer working relationships. NPOs can expect to spend more time and effort in identifying or forming neighborhood organizations, conducting strategy meetings to identify problems and prioritize solutions, and mobilizing community members and City services for action. These NPOs will need to be even more flexible and creative in applying problem solving strategies to neighborhood problems.

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Page 4

QUESTION #3: What are the boundaries of the current (SHRA funded) NPO sites?

ANSWER #3: Maps of the existing NPO sites are being prepared by ICS (the Information and Communications Services Division) and will be submitted to the Committee as soon as they are available.

QUESTION #4: Councilmember Waters asked for a copy of the federal guidelines and application for the COPS: Phase I grant.

ANSWER #4: A copy of this document is contained in ATTACHMENT A.

QUESTION #5 What is the SPD's definition of Calls for Service (CFS)?

ANSWER #5: The basic definition of a call for service (CFS) is an incident dispatched by the communications center to a police officer or CSO as a result of a telephonic request, personal request by a citizen, or observation of the officer. Additional illustrations of the components and examples will be presented at the next Committee meeting (March 6, 1995).

SECOND MEETING (February 22, 1995)

QUESTION #6: Have crime statistics and response times improved due to Community Oriented Policing?

ANSWER #6: Data collection is in progress and will take approximately two (2) weeks. A written report will be submitted to the Committee on or about March 6, 1995.

QUESTION #7: What is the attrition rate for Sacramento Police Department personnel - sworn and civilian?

ANSWER #7: The attrition rate for sworn SPD personnel over the last three years, based on service and disability retirements, has averaged approximately 24 officers per year (24 in 1992; 24 in 1993; and 25 in 1995). As of February 24, 1995, two (2) service retirements have occurred.

Civilian attrition occurs at a higher rate than for sworn personnel. Information regarding civilian attrition is contained in a number of data bases. The collection of data regarding the attrition rate for SPD civilian personnel will take

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approximately one week to obtain. A report will be submitted to the Committee on or about March 1, 1995.

QUESTION #8: What are the cost differences between civilian and sworn CSI and CSO proposals?

ANSWER #8: Eleven (11) sworn positions are authorized for CSI (1 sergeant and 10 officers). Total salaries and benefits for these 11 officers is \$801,389 annually. Thirteen (13) civilian identification technicians are proposed for the CSI unit, at a total cost (salaries and benefits) of approximately \$475,462 annually. The average cost difference between these officers and the proposed identification technician is approximately \$36,280.

The cost difference between a starting police officer (\$51,182) and CSO (\$31,699) is \$19,483.

QUESTION #9: Councilmember Waters asked for a copy of the traffic grant guidelines.

ANSWER #9: A copy of these guidelines are contained in ATTACHMENT B.

QUESTION #10: What is the impact of the addition of proposed civilian positions in patrol and investigations?

ANSWER #10: A verbal response to this question will be provided at the next Committee meeting (March 6, 1995).

FINANCIAL CONSIDERATIONS

NA

ENVIRONMENTAL CONSIDERATIONS

NA

POLICY CONSIDERATIONS

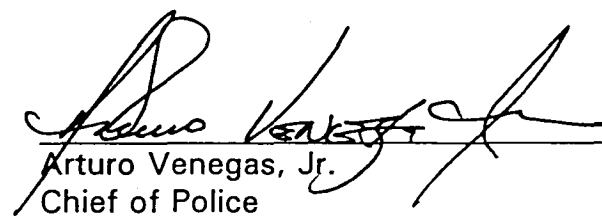
NA

Neighborhood and Public Safety Issues Committee
Re: Civilianization Strategies for Police Department
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Page 6

MBE/WBE REPORTS

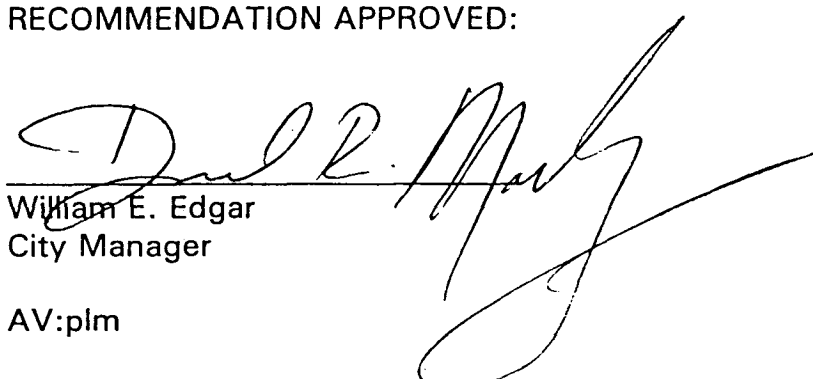
NA

Respectfully submitted,



Arturo Venegas, Jr.
Chief of Police

RECOMMENDATION APPROVED:



William E. Edgar
City Manager

AV:plm

Attachments
Ref: 2-33



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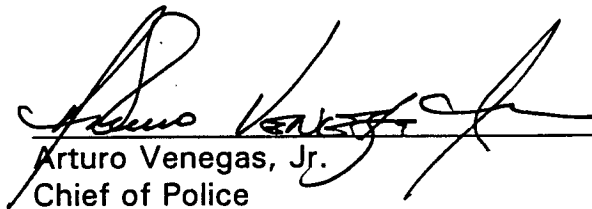
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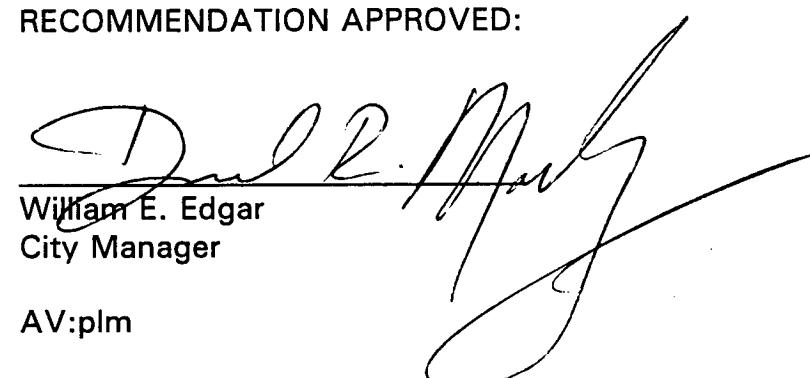
MBE/WBE REPORTS

NA

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Arturo Venegas, Jr.
Chief of Police

RECOMMENDATION APPROVED:

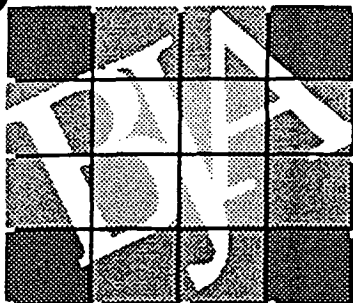

William E. Edgar
City Manager

AV:plm

Attachments
Ref: 2-33

ATTACHMENT A

U.S. Department of Justice
Office of Justice Programs
Bureau of Justice Assistance



Bureau of Justice Assistance

Police Hiring Supplement Program

FY 1993 DISCRETIONARY PROGRAM
APPLICATION KIT

SL000080



Office of the Attorney General
Washington, D. C. 20530

August 30, 1993

Dear Colleague:

I am pleased to send you the application kit for the new Police Hiring Supplement Program. This program represents the first stage of our efforts to fulfill President Clinton's promise to put more officers on the street and make America's neighborhoods safe places in which to grow, live, and work.

Through the Police Hiring Supplement Program, the Department of Justice will award a total of \$150 million to law enforcement agencies throughout the nation to help hire and/or rehire additional sworn law enforcement officers. This program will target funds to localities most in need and provide an incentive for communities to develop innovative, locally designed, long-term public safety plans.

Increasing the number of officers and expanding community policing are key parts of our overall strategy to combat crime. We all recognize that putting more police on the streets will not alone solve America's crime problems. But, law enforcement officers can lead the way, by building partnerships with residents and with public and private agencies to develop and implement strategies tailored to the unique needs of their communities. Our program goals are simple: prevent crime, promote problem-solving, and enhance public safety.

The Department of Justice is committed to reducing crime and violence across the nation and in your community. I encourage your agency to compete for a grant under the Police Hiring Supplement Program.

Sincerely,

A handwritten signature in cursive script, appearing to read "Janet Reno".

Janet Reno

Police Hiring Supplement Program

Overview

The Department of Justice, Office of Justice Programs, Bureau of Justice Assistance (BJA), announces a new competitive grant program, the program requirements, and administrative guidance for jurisdictions eligible to apply for grants under this program. The *Police Hiring Supplement Program* is hereinafter referred to as the *Program*.

The *Program* will make direct grants to law enforcement jurisdictions to hire and/or rehire additional sworn law enforcement officers as part of an overall plan or strategy to address crime and related problems through community policing. An applicant's plan should reflect its community's unique needs and be responsive to local circumstances. In general, community policing is designed to forge effective crime-fighting partnerships between law enforcement and the community. These partnerships, using a problem-oriented approach, can result in innovative and tailored strategies for preventing and controlling crime. As part of their community policing efforts, communities have used various strategies to address crime problems, including multi-disciplinary crime prevention teams, public education programs, neighborhood resource centers, and foot patrols.

A total of \$150 million is available for these grants, beginning in Fiscal Year 1993. Fifty percent of the funds (\$75 million) will be awarded to applicants serving jurisdictions with populations of 150,000 and above. Fifty percent of the funds (\$75 million) will be awarded to applicants serving jurisdictions with populations of less than 150,000. These funds may be used to help pay salaries and fringe benefits of newly sworn officers, excluding overtime, for a 3-year period. Funding will commence at the time, and not until, a hired or rehired officer is sworn in. The deployment of new hires and the selection of the officers to implement the individual projects funded under this *Program* will be at the discretion of the local jurisdiction.

Program Goals and Objectives

The goals of the *Program* are to:

- increase the number of sworn law enforcement officers serving areas where they are needed most.
- improve the long-term ability of law enforcement agencies to engage in community policing by deploying additional sworn law enforcement officers.
- improve public safety through innovative crime prevention, including community policing.

The objectives are to:

- hire additional law enforcement officers to increase sworn officer deployment and expand community policing designed to prevent crime, promote problem solving, and enhance public safety.
- rehire law enforcement officers who have been laid off (as a result of State and local budget reductions) to increase sworn officer deployment and expand community policing.

Eligibility Requirements

Applications are invited from all law enforcement agencies, or consortia of law enforcement agencies, that can demonstrate a significant need for additional sworn law enforcement officers and are committed to using community policing to address crime and related problems in their jurisdictions. Eligible applicants under this program are law enforcement agencies that recruit and hire law enforcement officers who serve local communities. State law enforcement agencies may apply if they have law enforcement jurisdiction and provide local law enforcement services to communities within their State.

Application Requirements

The application must be developed in consultation with community groups and appropriate public and private agencies and must: A. demonstrate the jurisdiction's public safety need for additional sworn law enforcement officers; B. include a strategy for

community policing in the jurisdiction; C. include an implementation plan that specifies how the funds awarded under this project will help deploy additional sworn police for community policing activities; D. describe a plan to continue the project and retain the positions at the end of the grant period; E. discuss the availability and use of non-project funds and resources from other organizations; and F. provide a detailed budget proposal to support the grant request.

A. Public Safety Need: (40 percent of the Selection Criteria)

Provide a narrative that describes the community's need for additional sworn law enforcement officers, as well as the reason(s) local funding is not available to meet these needs. The narrative should describe the jurisdiction's overall crime situation and highlight positive steps already taken to improve law enforcement effectiveness. These highlights might include, for example; any efforts already made to reduce the number of sworn officers in administrative positions. It is important to make the strongest case possible. Include any special conditions or factors that help to document your needs, such as relevant demographic trends and/or significant unemployment problems resulting from plant or military base closings, natural disasters, etc.

In addition to the narrative, provide information on the following factors, to the extent that it is available:

1. The population for the jurisdiction according to the 1990 U.S. Census.
2. The unemployment rate for the jurisdiction for each of the last 5 years.
3. The ratio of population to sworn officers, expressed as number of residents per sworn officer.
4. The number and types of citizen calls for service (i.e., emergency, non-emergency, violent offense, property offense, etc.) handled by patrol officers for each of the last 5 years.
5. The jurisdiction's Uniform Crime Report (UCR) rates (or their equivalent) for all Part I offenses for each of the last 5 years.
6. The actual number of full-time and part-time civilians and sworn law enforcement officers employed during each of the last 5 years.

7. The number of officers deployed, by function (administrative, patrol, and investigative), during each of the last 5 years.

8. The actual number of sworn officers laid off and/or furloughed during each of the last 5 years.

9. The actual operational expenditures for police services and total expenditures by the jurisdiction for each of the past 5 years.

10. The expenditures for police overtime and/or the amount of compensatory time granted in lieu of overtime spending for each of the past 5 years; provide an explanation for overtime expenditures.

B. Strategy: (30 percent of the Selection Criteria)

Develop a 3-year strategy that specifies how additional sworn law enforcement officers would lead to increased community policing targeted against crime and related problems in the jurisdiction.

The strategy narrative should describe:

1. Any community policing activities currently used by the applicant, emphasizing those efforts that promote law enforcement partnerships with citizens and non-law enforcement organizations.
2. How the applicant will involve community leaders and residents in planning, implementing, and coordinating this project with non-law enforcement organizations.
3. How the applicant will coordinate this project with other criminal justice system components, including an assessment of the effects of additional police on these agencies.
4. The specific geographic area(s) to be served by this project and the crime and related problems that community policing would address effectively.
5. The specific strategies and innovations that the applicant will employ to respond to identified problems.
6. How the applicant will select the officers who will be assigned to community policing. (These officers do not need to be the officers actually hired with these project funds.)

7. How the applicant will assess how well the project was implemented and the extent to which the strategy has achieved the *Program's* goals and objectives.

C. Implementation Plan: (10 percent of the Selection Criteria)

Provide a plan for implementing the strategy described in B. above. Provide a detailed schedule that includes milestones for significant tasks. The schedule and milestones must include the expected dates when newly hired/rehired officers will be sworn and deployed. Also provide the dates when officers will be assigned to project-related community policing activities.

D. Continuation and Retention Plan: (10 percent of the Selection Criteria)

Describe how the applicant intends to continue this project and retain the positions created with the project funds following the conclusion of the grant period. If possible, include an endorsement of the jurisdiction's continuation and retention plan by local budget authorities.

E. Additional Resource Commitments: (10 percent of the Selection Criteria)

Applicants are encouraged to apply other resources, Federal, State, local, or private, in support of this project. Describe the sources and the amounts of non-project funding or resources that will be available from all sources. Describe how those resources will be used. If no other funds or resources are available, please explain.

F. Budget Proposal:

The application must contain a budget and budget narrative that specifically identifies salary and fringe benefits costs. Salary and fringe benefits costs are the only allowable costs. Standard fringe benefits paid by the jurisdiction should be supported by a list of itemized costs explaining what is included in the benefits package. Expenditure of project funds for overtime is expressly forbidden. The budget breakdown must show the number of officers to be hired, the salary and fringe benefits per officer, and the total salary and fringe benefits costs. Estimate

scheduled salary increases, if any, over the life of the grant.

Program Evaluation

In addition to the assessment referenced in Application Requirements, section B, number 7, a national-level evaluation of this *Program* may be conducted in the future. The evaluation would use some combination of process and impact measures that may include, but would not be limited to, crime and victimization indices, quality-of-life measures, community perceptions, indications of changes in management philosophy, and individual police perceptions of their own work. Evaluators may visit sites to collect data for the evaluation. All selected applicants must be willing to participate in such national evaluation.

Selection Criteria

Applications will be evaluated based on the extent to which they meet the following weighted criteria:

Public Safety Need	40 percent
Soundness of Strategy	30 percent
Clarity and Appropriateness of Implementation Plan	10 percent
Continuation and Retention Plan	10 percent
Additional Resource Commitments	10 percent

The Department of Justice will award grants to those applicants that best meet all these criteria. Consideration may also be given to equitable distribution of grants based on geographic or other factors.

Federal Share

For each officer funded under this program, the Federal share may not exceed the greater of (1) 75 percent of the total salary and benefits over the life of the grant, up to a maximum of \$75,000; OR (2) 50 percent of the total salary and benefits over the life of the grant. The authorized Federal share per officer may be increased upon submission of sufficient evidence of extraordinary economic hardship, resulting from such factors as economic dislocation, a natural disaster, or other severe mitigating circumstances. An increase in the Federal share will

be granted only in the most extreme circumstances. If the applicant agency is requesting an increase in Federal share, include the narrative and documentation justifying the request as an appendix to the application. Indicate on Standard Form 424--Budget Information--in Section F, Block 23, that a request is being submitted. Grantees may specify how the Federal share is disbursed over the life of the grant.

Distribution of Funds

As stated in the Overview, the total amount available for this program is \$150 million, which will be allocated as follows:

1. \$75 million will be allocated for grants to applicants serving jurisdictions with populations of 150,000 and above.
2. \$75 million will be allocated for grants to applicants serving jurisdictions with populations of less than 150,000.

Application Process

All applications must be submitted on 8½ x 11 paper. The program narrative portion of the application should be no more than 30 pages double-spaced and should be printed on one side of the paper only. All applicants must also submit an Application for Federal Assistance (Standard Form 424), a signed original and three copies. A copy of this form is provided in Appendix B of this application kit. Video presentations will not be accepted. Applications submitted via FAX will not be accepted.

Executive Order 12372 requires applicants from State and local units of government or other organizations providing services within a State to submit a copy of the application to the State Single Point of Contact (SPOC), if one exists, and if the *Program* has been selected for review by the State. A list of the State Single Point of Contacts is available in Appendix A of this application kit. Applicants must contact their State SPOC to determine if the *Program* has been selected for review by the State.

In addition to the required standard assurances that are part of the Standard Form 424, each application must include a certification that Federal funds made

available under the grant will not be used to supplant State or local funds, but will be used to increase the amount of State or local funds that would be available for law enforcement purposes in the absence of Federal funds.

In submitting applications which involve a consortium of more than one agency, the relationships among the parties must be set forth in the application. In the event of a consortium submission, one agency must be designated as the payee to receive and disburse project funds and to be responsible for the supervision and coordination of the activities of the consortium members. Each co-applicant must sign the Standard Form-424.

The original and three copies of the application must be sent to:

U.S. Department of Justice
Office of Justice Programs
Control Desk, Room 948
633 Indiana Avenue, N.W.
Washington, DC 20531

Application Format

The following format and guidance are provided to assist the applicant in writing and organizing the program narrative section of the application. To assist the application review, the narrative should be presented in the same order as in the Application Requirements above:

Public Safety Need Section: This descriptive narrative should respond to Section A, page 2. Information relating to items 1-10 should be displayed in a list format in the order in which they appear.

Strategy Section: This descriptive narrative should respond to Section B, page 2.

Implementation Plan Section: This descriptive narrative should respond to Section C, page 3.

Continuation and Retention Plan Section: This descriptive narrative should respond to Section D, page 3.

Additional Resource Commitments Section: This descriptive narrative should respond to Section E, page 3.

Budget: Use Standard Form 424--Budget Information--to display the total cost for each allowable category (i.e., Salary and Fringe Benefits) of the application. Refer to the Federal Share section if an increase in the Federal share is requested.

Budget Narrative: Include an itemization of proposed costs for personnel salaries, fringe benefits, and any scheduled salary increases. This descriptive narrative should respond to Section F, page 3. The narrative should also provide detail on Federal and non-Federal shares.

****STANDARD FORM 424:** Most items on the cover page of the Standard Form 424 are self-explanatory. For purposes of this application, please include the following information:

Face Sheet, Block 7

Type of Applicant: If the applicant is representing a consortium of agencies, specify by checking Block N and entering Consortium.

Face Sheet, Block 10

Catalogue of Federal Domestic Assistance: The Number for this program is 16.580.

Title: Drug Control and System Improvement Discretionary Grant Program

Face Sheet, Block 11

Descriptive Title of Applicant's Project: List the following information in this order:

Police Hiring Supplement

Population of jurisdiction to be served: _____

Total number of sworn officers to be hired: _____

Name of jurisdiction to be served (i.e., "County of" or "City of"): _____

Section F, Block 23

Indicate if the Applicant is requesting an increase in the Federal share.

Award Period

Grants will be awarded to help pay for salary and fringe benefits for a 3-year period.

Maximum Award Amount

- Eligible applicants serving a jurisdiction with a population of less than 150,000 may apply for a maximum of \$1 million over the life of the grant.

- Eligible applicants serving a jurisdiction with a population between 150,000 and 749,999 may apply for a maximum of \$2 million over the life of the grant.

- Eligible applicants serving a jurisdiction with a population between 750,000 and 2,000,000 may apply for a maximum of \$3 million over the life of the grant.

- Eligible applicants serving a jurisdiction with a population in excess of 2,000,000 may apply for a maximum of \$4 million over the life of the grant.

No waiver of the maximum award amounts will be granted.

Application Deadlines

Applications for funding under this program will be considered competitively in three rounds. Funding will be distributed over the three rounds. Applications that are not selected in the first two rounds will be reconsidered during the subsequent round(s). It is anticipated that awards will be made in November and December, 1993.

Round 1: Applications received no later than October 14, 1993, will be considered under Round 1.

Round 2: Applications received no later than November 1, 1993, will be considered under Round 2.

Round 3: Applications received and/or post-marked no later than December 1, 1993, will be considered under Round 3.

Contact

For further information or to obtain technical assistance in preparing your application, contact the U.S. Department of Justice, Bureau of Justice Assistance at (202) 307-1480, Monday through Friday, 8:00 a.m. - 5:00 p.m., Eastern time.

Administrative Requirements

Civil Rights Requirements

Prohibition of Discrimination for Recipients of Federal Funds. No person in any State shall on the grounds of race, color, religion, national origin, sex, or disability be excluded from participation in, be denied the benefits of, or be subjected to discrimination under, or denied employment in connection with any program or activity receiving Federal financial assistance, pursuant to the following statutes and regulations: Section 809(c), Omnibus Crime Control and Safe Street Act of 1968, as amended, 42 U.S.C. 3789d, and Department of Justice Nondiscrimination Regulations, 28 CFR Part 42, Subparts C, D, E, and G; Title VI of the Civil Rights Act of 1964, as amended; Section 504 of the Rehabilitation Act of 1973; Subtitle A, Title II of the Americans with Disabilities Act (ADA) (1990) and Department of Justice regulations on disability discrimination, 28 CFR Part 35 and Part 39; Title IX of the Education Amendments of 1972; and the Age Discrimination Act of 1975.

In the event a Federal or State court or a Federal or State administrative agency makes a finding of discrimination after a due process hearing on the grounds of race, color, religion, national origin, sex, or disability against a recipient of funds, the recipient will forward a copy of the finding to the Office of Civil Rights (OCR) of the Office of Justice Programs.

Audit Requirement

In October 1984, Congress passed the Single Audit Act of 1984. On April 12, 1985, OMB issued Circular A-128, "Audits of State and Local Governments," which establishes regulations to implement the Act. OMB Circular A-128 outlines the requirements for organizational audits that apply to BJA grantees.

Institutions of higher education, hospitals, and other nonprofit organizations are responsible for providing an audit of their activities not less than every 2 years, in accordance with OMB Circular A-133. The required audits are to be on an organization-wide, rather than a grant-by-grant, basis.

Disclosure of Federal Participation

Section 623 of Public Law 102-141 requires that, for awards of \$500,000 or more, "when issuing statements, press releases for proposals, bid solicitations, and other documents describing projects or programs funded in whole or in part with Federal money, all grantees receiving Federal funds, including but not limited to State and local governments, shall clearly state (1) the percentage of the total cost of the program or project which will be financed with Federal money, and (2) the dollar amount of Federal funds for the project or program."

Certifications Regarding Lobbying; Debarment, Suspension, and Other Responsibility Matters; and Drug-Free Workplace Requirements

Applicants should refer to the regulations cited in OJP Form 4061/6 (3-91) to determine the certification(s) to which they are required to attest. A copy of the form is provided in Appendix B of this application kit. Applicants should also review the instructions for certification included in the regulations before completing this form. Signature of this form provides for compliance with certification requirements under 28 CFR Part 69, "New Restrictions on Lobbying," and 28 CFR Part 67, "Government-wide Debarment and Suspension (Nonprocurement) and Government-wide Requirements for Drug-Free Workplace (Grants)." The certifications will be treated as a material representation of fact upon which reliance will be placed by the Department of Justice in awarding grants.

Suspension or Termination of Funding

BJA may suspend, in whole or in part, or terminate funding for a grantee for the following reasons:

-
- Failure to conform to the requirements or statutory objectives of Title I of the Omnibus Crime Control and Safe Streets Act of 1968, as amended; or
 - Failure to comply substantially with the Act, regulations promulgated thereunder, or with the terms and conditions of its grant award.

Prior to suspension of a grant, BJA will provide reasonable notice to the grantee of its intent to suspend the grant and will attempt informally to resolve the problem resulting in the intended suspension. Hearing and appeal procedures for termination actions are set forth in Department of Justice regulations in 28 CFR Part 18.

TENNESSEE

State Single Point of Contact
State Planning Office
500 Charlotte Avenue
309 John Sevier Building
Nashville, Tennessee 37219
Telephone: (615) 741-1676

TEXAS

Governor's Office of Budget and Planning
P.O. Box 12428
Austin, Texas 78711
Telephone: (512) 463-1778

UTAH

Utah State Clearinghouse
Office of Planning and Budget
Room 116 State Capitol
Salt Lake City, Utah 84114
Telephone: (801) 538-1535

VERMONT

Office of Policy Research and
Coordination
Pavilion Office Building
109 State Street
Montpelier, Vermont 05602
Telephone: (802) 828-3326

WEST VIRGINIA

Community Development Division
Governor's Office of Community
Industrial Development
Building #6 Room 553
Charleston, West Virginia 25305
Telephone: (304) 348-4010

WISCONSIN

Federal/State Relations Office
Wisconsin Department of Administration
101 South Webster Street
P.O. Box 7864
Madison, Wisconsin 53707

WYOMING

State Single Point of Contact
Wyoming State Clearinghouse
State Planning Coordinator's Office
Capitol Building
Cheyenne, Wyoming 82002
Telephone: (307) 777-7574

TERRITORIES**GUAM**

Bureau of Budget and Management
Research
Office of the Governor
P.O. Box 2950
Agana, Guam 96910
Telephone: (671) 472-2285

PUERTO RICO

Puerto Rico Planning Board
Minillas Government Center
P.O. Box 4119
San Juan, Puerto Rico 00940-9985
Telephone: (809) 727-4444

NORTHERN MARIANA ISLANDS

State Single Point of Contact
Planning and Budget Office
Office of the Governor
Saipan, CM
Northern Mariana Islands 96950

In accordance with executive Order #12372, "Intergovernmental Review Process," this listing represents the designated State Single Points of Contact. Upon request, a background document explaining the Executive Order is available. The Office of management and Budget point of contact for updating this listing is: Donna Rivelle (202)395-5090. The States not listed no longer participate in the process. These include: Alabama, Alaska, Kansas, Idaho, Louisiana, Minnesota, Montana, Nebraska, Oklahoma, Oregon, Pennsylvania, Virginia, and Washington. This list is based on the most current information provided by the States. Information on any changes or apparent errors should be provided to the Office of Management and Budget and the State in question. Changes to the list will be made only upon formal notification by the State.

Appendix B

Application Forms

INSTRUCTIONS FOR THE SF 424

This is a standard form used by applicants as a required facesheet for preapplications and applications submitted for Federal assistance. It will be used by Federal agencies to obtain applicant certification that States which have established a review and comment procedure in response to Executive Order 12372 and have selected the program to be included in their process, have been given an opportunity to review the applicant's submission.

- | Item: | Entry: | Item: | Entry: |
|-------|--|-------|--|
| 1. | Self-explanatory. | 12. | List only the largest political entities affected (e.g., State, counties, cities). |
| 2. | Date application submitted to Federal agency (or State if applicable) & applicant's control number (if applicable). | 13. | Self-explanatory. |
| 3. | State use only (if applicable). | 14. | List the applicant's Congressional District and any District(s) affected by the program or project. |
| 4. | If this application is to continue or revise an existing award, enter present Federal identifier number. If for a new project, leave blank. | 15. | Amount requested or to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions should be included on appropriate lines as applicable. If the action will result in a dollar change to an existing award, indicate <u>only</u> the amount of the change. For decreases, enclose the amounts in parentheses. If both basic and supplemental amounts are included, show breakdown on an attached sheet. For multiple program funding, use totals and show breakdown using same categories as item 15. |
| 5. | Legal name of applicant, name of primary organizational unit which will undertake the assistance activity, complete address of the applicant, and name and telephone number of the person to contact on matters related to this application. | 16. | Applicants should contact the State Single Point of Contact (SPOC) for Federal Executive Order 12372 to determine whether the application is subject to the State intergovernmental review process. |
| 6. | Enter Employer Identification Number (EIN) as assigned by the Internal Revenue Service. | 17. | This question applies to the applicant organization, not the person who signs as the authorized representative. Categories of debt include delinquent audit disallowances, loans and taxes. |
| 7. | Enter the appropriate letter in the space provided. | 18. | To be signed by the authorized representative of the applicant. A copy of the governing body's authorization for you to sign this application as official representative must be on file in the applicant's office. (Certain Federal agencies may require that this authorization be submitted as part of the application.) |
| 8. | Check appropriate box and enter appropriate letter(s) in the space(s) provided:
— "New" means a new assistance award.
— "Continuation" means an extension for an additional funding/budget period for a project with a projected completion date.
— "Revision" means any change in the Federal Government's financial obligation or contingent liability from an existing obligation. | | |
| 9. | Name of Federal agency from which assistance is being requested with this application. | | |
| 10. | Use the Catalog of Federal Domestic Assistance number and title of the program under which assistance is requested. | | |
| 11. | Enter a brief descriptive title of the project. If more than one program is involved, you should append an explanation on a separate sheet. If appropriate (e.g., construction or real property projects), attach a map showing project location. For preapplications, use a separate sheet to provide a summary description of this project. | | |

BUDGET INFORMATION — Non-Construction Programs

OMB Approval No. 0348-0044

SECTION A — BUDGET SUMMARY

Grant Program Function or Activity (a)	Catalog of Federal Domestic Assistance Number (b)	Estimated Unobligated Funds		New or Revised Budget		
		Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)	Total (g)
1.		\$	\$	\$	\$	\$
2.						
3.						
4.						
5. TOTALS		\$	\$	\$	\$	\$

SECTION B — BUDGET CATEGORIES

6 Object Class Categories	GRANT PROGRAM, FUNCTION OR ACTIVITY				Total (5)
	(1)	(2)	(3)	(4)	
a. Personnel	\$	\$	\$	\$	\$
b. Fringe Benefits					
c. Travel					
d. Equipment					
e. Supplies					
f. Contractual					
g. Construction					
h. Other					
i. Total Direct Charges (sum of 6a - 6h)					
j. Indirect Charges					
k. TOTALS (sum of 6i and 6j)	\$	\$	\$	\$	\$
7. Pre-award Income	\$	\$	\$	\$	\$

Standard Form 424A (4-88)
Prescribed by OMB Circular A-102

SECTION C - NON-FEDERAL RESOURCES

	(a) Grant Program	(b) Applicant	(c) State	(d) Other Sources	(e) TOTALS
8.		\$	\$	\$	\$
9.					
10.					
11.					
12. TOTALS (sum of lines 8 and 11)		\$	\$	\$	\$

SECTION D - FORECASTED CASH NEEDS

	Total for 1st Year	1st Quarter	2nd Quarter	3rd Quarter	4th Quarter
13. Federal	\$	\$	\$	\$	\$
14. NonFederal					
15. TOTAL (sum of lines 13 and 14)	\$	\$	\$	\$	\$

SECTION E - BUDGET ESTIMATES OF FEDERAL FUNDS NEEDED FOR BALANCE OF THE PROJECT

(a) Grant Program	FUTURE FUNDING PERIODS (Years)			
	(b) First	(c) Second	(d) Third	(e) Fourth
16.	\$	\$	\$	\$
17.				
18.				
19.				
20. TOTALS (sum of lines 16 -19)	\$	\$	\$	\$

SECTION F - OTHER BUDGET INFORMATION

(Attach additional Sheets if Necessary)

21. Direct Charges:	22. Indirect Charges:
23. Remarks	

INSTRUCTIONS FOR THE SF-424A

General Instructions

This form is designed so that application can be made for funds from one or more grant programs. In preparing the budget, adhere to any existing Federal grantor agency guidelines which prescribe how and whether budgeted amounts should be separately shown for different functions or activities within the program. For some programs, grantor agencies may require budgets to be separately shown by function or activity. For other programs, grantor agencies may require a breakdown by function or activity. Sections A, B, C, and D should include budget estimates for the whole project except when applying for assistance which requires Federal authorization in annual or other funding period increments. In the latter case, Sections A, B, C, and D should provide the budget for the first budget period (usually a year) and Section E should present the need for Federal assistance in the subsequent budget periods. All applications should contain a breakdown by the object class categories shown in Lines a-k of Section B.

Section A. Budget Summary Lines 1-4, Columns (a) and (b)

For applications pertaining to a *single* Federal grant program (Federal Domestic Assistance Catalog number) and *not requiring* a functional or activity breakdown, enter on Line 1 under Column (a) the catalog program title and the catalog number in Column (b).

For applications pertaining to a *single* program *requiring* budget amounts by multiple functions or activities, enter the name of each activity or function on each line in Column (a), and enter the catalog number in Column (b). For applications pertaining to multiple programs where none of the programs require a breakdown by function or activity, enter the catalog program title on each line in Column (a) and the respective catalog number on each line in Column (b).

For applications pertaining to *multiple* programs where one or more programs *require* a breakdown by function or activity, prepare a separate sheet for each program requiring the breakdown. Additional sheets should be used when one form does not provide adequate space for all breakdown of data required. However, when more than one sheet is used, the first page should provide the summary totals by programs.

Lines 1-4, Columns (c) through (g.)

For *new* applications, leave Columns (c) and (d) blank. For each line entry in Columns (a) and (b), enter in Columns (e), (f), and (g) the appropriate amounts of funds needed to support the project for the first funding period (usually a year).

Lines 1-4, Columns (c) through (g.) (continued)

For *continuing grant program applications*, submit these forms before the end of each funding period as required by the grantor agency. Enter in Columns (c) and (d) the estimated amounts of funds which will remain unobligated at the end of the grant funding period only if the Federal grantor agency instructions provide for this. Otherwise, leave these columns blank. Enter in columns (e) and (f) the amounts of funds needed for the upcoming period. The amount(s) in Column (g) should be the sum of amounts in Columns (e) and (f).

For *supplemental grants and changes to existing grants*, do not use Columns (c) and (d). Enter in Column (e) the amount of the increase or decrease of Federal funds and enter in Column (f) the amount of the increase or decrease of non-Federal funds. In Column (g) enter the new total budgeted amount (Federal and non-Federal) which includes the total previous authorized budgeted amounts plus or minus, as appropriate, the amounts shown in Columns (e) and (f). The amount(s) in Column (g) should not equal the sum of amounts in Columns (e) and (f).

Line 5 — Show the totals for all columns used.

Section B Budget Categories

In the column headings (1) through (4), enter the titles of the same programs, functions, and activities shown on Lines 1-4, Column (a), Section A. When additional sheets are prepared for Section A, provide similar column headings on each sheet. For each program, function or activity, fill in the total requirements for funds (both Federal and non-Federal) by object class categories.

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

Line 6j — Show the amount of indirect cost.

Line 6k — Enter the total of amounts on Lines 6i and 6j. For all applications for new grants and continuation grants the total amount in column (5), Line 6k, should be the same as the total amount shown in Section A, Column (g), Line 5. For supplemental grants and changes to grants, the total amount of the increase or decrease as shown in Columns (1)-(4), Line 6k should be the same as the sum of the amounts in Section A, Columns (e) and (f) on Line 5.

INSTRUCTIONS FOR THE SF-424A (continued)

Line 7 - Enter the estimated amount of income, if any, expected to be generated from this project. Do not add or subtract this amount from the total project amount. Show under the program narrative statement the nature and source of income. The estimated amount of program income may be considered by the federal grantor agency in determining the total amount of the grant.

Section C. Non-Federal-Resources

Lines 8-11 - Enter amounts of non-Federal resources that will be used on the grant. If in-kind contributions are included, provide a brief explanation on a separate sheet.

Column (a) - Enter the program titles identical to Column (a), Section A. A breakdown by function or activity is not necessary.

Column (b) - Enter the contribution to be made by the applicant.

Column (c) - Enter the amount of the State's cash and in-kind contribution if the applicant is not a State or State agency. Applicants which are a State or State agencies should leave this column blank.

Column (d) - Enter the amount of cash and in-kind contributions to be made from all other sources.

Column (e) - Enter totals of Columns (b), (c), and (d).

Line 12 - Enter the total for each of Columns (b)-(e). The amount in Column (e) should be equal to the amount on Line 5, Column (f), Section A.

Section D. Forecasted Cash Needs

Line 13 - Enter the amount of cash needed by quarter from the grantor agency during the first year.

Line 14 - Enter the amount of cash from all other sources needed by quarter during the first year.

Line 15 - Enter the totals of amounts on Lines 13 and 14.

Section E. Budget Estimates of Federal Funds Needed for Balance of the Project

Lines 16 - 19 - Enter in Column (a) the same grant program titles shown in Column (a), Section A. A breakdown by function or activity is not necessary. For new applications and continuation grant applications, enter in the proper columns amounts of Federal funds which will be needed to complete the program or project over the succeeding funding periods (usually in years). This section need not be completed for revisions (amendments, changes, or supplements) to funds for the current year of existing grants.

If more than four lines are needed to list the program titles, submit additional schedules as necessary.

Line 20 - Enter the total for each of the Columns (b)-(e). When additional schedules are prepared for this Section, annotate accordingly and show the overall totals on this line.

Section F. Other Budget Information

Line 21 - Use this space to explain amounts for individual direct object-class cost categories that may appear to be out of the ordinary or to explain the details as required by the Federal grantor agency.

Line 22 - Enter the type of indirect rate (provisional, predetermined, final or fixed) that will be in effect during the funding period, the estimated amount of the base to which the rate is applied, and the total indirect expense.

Line 23 - Provide any other explanations or comments deemed necessary.

SPECIAL INSTRUCTIONS

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

Public reporting burden for this collection of information is estimated to average 26 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspects of this collection of information, including suggestions for reducing this burden, to the Comptroller, Office of Justice Programs, U.S. Department of Justice, 633 Indiana Avenue, NW., Washington, D.C. 20531; and to the Public Use Reports Project, 1121-0140, Office of Information and Regulatory Affairs, Office of Management and Budget, Washington, D.C. 20503.

ASSURANCES

The Applicant hereby assures and certifies compliance with all Federal statutes, regulations, policies, guidelines and requirements, including OMB Circulars No. A-21, A-110, A-122, A-128, A-87; E.O. 12372 and Uniform Administrative Requirements for Grants and Cooperative Agreements - 28 CFR, Part 66, Common Rule, that govern the application, acceptance and use of Federal funds for this federally-assisted project. Also the Applicant assures and certifies that:

1. It possesses legal authority to apply for the grant; that a resolution, motion or similar action has been duly adopted or passed as an official act of the applicant's governing body, authorizing the filing of the application, including all understandings and assurances contained therein, and directing and authorizing the person identified as the official representative of the applicant to act in connection with the application and to provide such additional information may be required.
2. It will comply with requirements of the provisions of the Uniform Relocation Assistance and Real Property Acquisitions Act of 1970 P.L. 91-646) which provides for fair and equitable treatment of persons displaced as a result of Federal and federally-assisted programs.
3. It will comply with provisions of Federal law which limit certain political activities of employees of a State or local unit of government whose principal employment is in connection with an activity financed in whole or in part by Federal grants. (5 USC 1501, et seq.)
4. It will comply with the minimum wage and maximum hours provisions of the Federal Fair Labor Standards Act if applicable.
5. It will establish safeguards to prohibit employees from using their positions for a purpose that is or gives the appearance of being motivated by a desire for private gain for themselves or others, particularly those with whom they have family, business, or other ties.
6. It will give the sponsoring agency or the Comptroller General, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the grant.
7. It will comply with all requirements imposed by the Federal sponsoring agency concerning special requirements of law, program requirements, and other administrative requirements.
8. It will insure that the facilities under its ownership, lease or supervision which shall be utilized in the accomplishment of the project are not listed on the Environmental Protection Agency's (EPA) list of Violating Facilities and that it will notify the Federal grantor agency of the receipt of any communication from the Director of the EPA Office of Federal Activities indicating that a facility to be used in the project is under consideration for listing by the EPA.
9. It will comply with the flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973, Public Law 93-234, 87 Stat. 975, approved December 31, 1976. Section 102(a) requires, on and after March 2, 1975, the purchase of flood insurance in communities where such insurance is available as a condition for the receipt of any Federal financial assistance for construction or acquisition purposes for use in any area that has been identified by the Secretary of the Department of Housing and Urban Development as an area having special flood hazards. The phrase "Federal financial assistance" includes any form of loan, grant, guaranty, insurance payment, rebate, subsidy, disaster assistance loan or grant, or any other form of direct or indirect Federal assistance.
10. It will assist the Federal grantor agency in its compliance with Section 106 of the National Historic Preservation Act of 1966 as amended (16 USC 470), Executive Order 11593, and the Archeological and Historical Preservation Act of 1966 (16 USC 569a-1 et seq.) by (a) consulting with the State Historic Preservation Officer on the conduct of investigations, as necessary, to identify properties listed in or eligible for inclusion in the National Register of Historic Places that are subject to adverse effects (see 36 CFR Part 800.8) by the activity, and notifying the Federal grantor agency of the existence of any such properties, and by (b) complying with all requirements established by the Federal grantor agency to avoid or mitigate adverse effects upon such properties.
11. It will comply, and assure the compliance of all its subgrantees and contractors, with the applicable provisions of Title I of the Omnibus Crime Control and Safe Streets Act of 1968, as amended, the Juvenile Justice and Delinquency Prevention Act, or the Victims of Crime Act, as appropriate; the provisions of the current edition of the Office of Justice Programs Financial and Administrative Guide for Grants, M7100.1; and all other applicable Federal laws, orders, circulars, or regulations.
12. It will comply with the provisions of 28 CFR applicable to grants and cooperative agreements including Part 18, Administrative Review Procedure; Part 20, Criminal Justice Information Systems; Part 22, Confidentiality of Identifiable Research and Statistical Information; Part 23, Criminal Intelligence Systems Operating Policies; Part 30, Intergovernmental Review of Department of Justice Programs and Activities; Part 42, Nondiscrimination/Equal Employment Opportunity Policies and Procedures; Part 61, Procedures for Implementing the National Environmental Policy Act; Part 63, Floodplain Management and Wetland Protection Procedures; and Federal laws or regulations applicable to Federal Assistance Programs.
13. It will comply, and all its contractors will comply, with the non-discrimination requirements of the Omnibus Crime Control and Safe Streets Act of 1968, as amended, 42 USC 3789(d), or Victims of Crime Act (as appropriate); Title VI of the Civil Rights Act of 1964, as amended; Section 504 of the Rehabilitation Act of 1973, as amended; Subtitle A, Title II of the Americans with Disabilities Act (ADA) (1990); Title IX of the Education Amendments of 1972; the Age Discrimination Act of 1975; Department of Justice Non-Discrimination Regulations, 28 CFR Part 42, Subparts C, D, E, and G; and Department of Justice regulations on disability discrimination, 28 CFR Part 35 and Part 39.
14. In the event a Federal or State court or Federal or State administrative agency makes a finding of discrimination after a due process hearing on the grounds of race, color, religion, national origin, sex, or disability against a recipient of funds, the recipient will forward a copy of the finding to the Office for Civil Rights, Office of Justice Programs.
15. It will provide an Equal Employment Opportunity Program if required to maintain one, where the application is for \$500,000 or more.
16. It will comply with the provisions of the Coastal Barrier Resources Act (P.L. 97-348) dated October 19, 1982 (16 USC 3501 et seq.) which prohibits the expenditure of most new Federal funds within the units of the Coastal Barrier Resources System.

INSTRUCTIONS FOR COMPLETION OF SF-LLL, DISCLOSURE OF LOBBYING ACTIVITIES

This disclosure form shall be completed by the reporting entity, whether subawardee or prime Federal recipient, at the initiation or receipt of a covered Federal action, or a material change to a previous filing, pursuant to title 31 U.S.C. section 1352. The filing of a form is required for each payment or agreement to make payment to any lobbying entity for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with a covered Federal action. Use the SF-LLL-A Continuation Sheet for additional information if the space on the form is inadequate. Complete all items that apply for both the initial filing and material change report. Refer to the implementing guidance published by the Office of Management and Budget for additional information.

1. Identify the type of covered Federal action for which lobbying activity is and/or has been secured to influence the outcome of a covered Federal action.
2. Identify the status of the covered Federal action.
3. Identify the appropriate classification of this report. If this is a followup report caused by a material change to the information previously reported, enter the year and quarter in which the change occurred. Enter the date of the last previously submitted report by this reporting entity for this covered Federal action.
4. Enter the full name, address, city, state and zip code of the reporting entity. Include Congressional District, if known. Check the appropriate classification of the reporting entity that designates if it is, or expects to be, a prime or subaward recipient. Identify the tier of the subawardee, e.g., the first subawardee of the prime is the 1st tier. Subawards include but are not limited to subcontracts, subgrants and contract awards under grants.
5. If the organization filing the report in item 4 checks "Subawardee," then enter the full name, address, city, state and zip code of the prime Federal recipient. Include Congressional District, if known.
6. Enter the name of the Federal agency making the award or loan commitment. Include at least one organizational level below agency name, if known. For example, Department of Transportation, United States Coast Guard.
7. Enter the Federal program name or description for the covered Federal action (item 1). If known, enter the full Catalog of Federal Domestic Assistance (CFDA) number for grants, cooperative agreements, loans, and loan commitments.
8. Enter the most appropriate Federal identifying number available for the Federal action identified in item 1 (e.g., Request for Proposal (RFP) number; Invitation for Bid (IFB) number; grant announcement number; the contract, grant, or loan award number; the application/proposal control number assigned by the Federal agency). Include prefixes, e.g., "RFP-DE-90-001."
9. For a covered Federal action where there has been an award or loan commitment by the Federal agency, enter the Federal amount of the award/loan commitment for the prime entity identified in item 4 or 5.
10. (a) Enter the full name, address, city, state and zip code of the lobbying entity engaged by the reporting entity identified in item 4 to influence the covered Federal action.
(b) Enter the full names of the individual(s) performing services, and include full address if different from 10 (a). Enter Last Name, First Name, and Middle Initial (MI).
11. Enter the amount of compensation paid or reasonably expected to be paid by the reporting entity (item 4) to the lobbying entity (item 10). Indicate whether the payment has been made (actual) or will be made (planned). Check all boxes that apply. If this is a material change report, enter the cumulative amount of payment made or planned to be made.
12. Check the appropriate box(es). Check all boxes that apply. If payment is made through an in-kind contribution, specify the nature and value of the in-kind payment.
13. Check the appropriate box(es). Check all boxes that apply. If other, specify nature.
14. Provide a specific and detailed description of the services that the lobbyist has performed, or will be expected to perform, and the date(s) of any services rendered. Include all preparatory and related activity, not just time spent in actual contact with Federal officials. Identify the Federal official(s) or employee(s) contacted or the officer(s), employee(s), or Member(s) of Congress that were contacted.
15. Check whether or not a SF-LLL-A Continuation Sheet(s) is attached.
16. The certifying official shall sign and date the form, print his/her name, title, and telephone number.

Public reporting burden for this collection of information is estimated to average 30 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0046), Washington, D.C. 20503.

DISCLOSURE OF LOBBYING ACTIVITIES
CONTINUATION SHEET

Approved by OMB
0348-0046

Reporting Entity: _____ Page _____ of _____



U.S. DEPARTMENT OF JUSTICE
OFFICE OF JUSTICE PROGRAMS
OFFICE OF THE COMPTROLLER

**CERTIFICATIONS REGARDING LOBBYING; DEBARMENT, SUSPENSION AND
OTHER RESPONSIBILITY MATTERS; AND DRUG-FREE WORKPLACE REQUIREMENTS**

Applicants should refer to the regulations cited below to determine the certification to which they are required to attest. Applicants should also review the instructions for certification included in the regulations before completing this form. Signature of this form provides for compliance with certification requirements under 28 CFR Part 69, "New Restrictions on Lobbying" and 28 CFR Part 67, "Government-wide Debarment and Suspension (Nonprocurement) and Government-wide Requirements for Drug-Free Workplace (Grants)." The certifications shall be treated as a material representation of fact upon which reliance will be placed when the Department of Justice determines to award the covered transaction, grant, or cooperative agreement.

1. LOBBYING

As required by Section 1352, Title 31 of the U.S. Code, and implemented at 28 CFR Part 69, for persons entering into a grant or cooperative agreement over \$100,000, as defined at 28 CFR Part 69, the applicant certifies that:

(a) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the making of any Federal grant, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal grant or cooperative agreement;

(b) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal grant or cooperative agreement, the undersigned shall complete and submit Standard Form - LLL, "Disclosure of Lobbying Activities," in accordance with its instructions;

(c) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subgrants, contracts under grants and cooperative agreements, and subcontracts) and that all sub-recipients shall certify and disclose accordingly.

**2. DEBARMENT, SUSPENSION, AND OTHER
RESPONSIBILITY MATTERS
(DIRECT RECIPIENT)**

As required by Executive Order 12549, Debarment and Suspension, and implemented at 28 CFR Part 67, for prospective participants in primary covered transactions, as defined at 28 CFR Part 67, Section 67.510-

A. The applicant certifies that it and its principals:

(a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, sentenced to a denial of Federal benefits by a State or Federal court, or voluntarily excluded from covered transactions by any Federal department or agency;

(b) Have not within a three-year period preceding this application been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a

public (Federal, State, or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;

(c) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State, or local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and

(d) Have not within a three-year period preceding this application had one or more public transactions (Federal, State, or local) terminated for cause or default; and

B. Where the applicant is unable to certify to any of the statements in this certification, he or she shall attach an explanation to this application.

**3. DRUG-FREE WORKPLACE
(GRANTEES OTHER THAN INDIVIDUALS)**

As required by the Drug-Free Workplace Act of 1988, and implemented at 28 CFR Part 67, Subpart F, for grantees, as defined at 28 CFR Part 67 Sections 67.615 and 67.620-

A. The applicant certifies that it will or will continue to provide a drug-free workplace by:

(a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;

(b) Establishing an on-going drug-free awareness program to inform employees about-

(1) The dangers of drug abuse in the workplace;

(2) The grantee's policy of maintaining a drug-free workplace;

(3) Any available drug counseling, rehabilitation, and employee assistance programs; and

(4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;

(c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);

(d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will-

(1) Abide by the terms of the statement; and

(2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;

(e) Notifying the agency, in writing, within 10 calendar days after receiving notice under subparagraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to: Department of Justice, Office of Justice Programs, ATTN: Control Desk, 633 Indiana Avenue, N.W., Washington, D.C. 20531. Notice shall include the identification number(s) of each affected grant;

(f) Taking one of the following actions, within 30 calendar days of receiving notice under subparagraph (d)(2), with respect to any employee who is so convicted—

(1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or

(2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;

(g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e), and (f).

B. The grantee may insert in the space provided below the site(s) for the performance of work done in connection with the specific grant:

Place of Performance (Street address, city, county, state, zip code)

Check if there are workplaces on file that are not identified here.

Section 67, 630 of the regulations provides that a grantee that is a State may elect to make one certification in each Federal fiscal year. A copy of which should be included with each application for Department of Justice funding. States and State agencies may elect to use OJP Form 4061/7.

Check if the State has elected to complete OJP Form 4061/7.

**DRUG-FREE WORKPLACE
(GRANTEES WHO ARE INDIVIDUALS)**

As required by the Drug-Free Workplace Act of 1988, and implemented at 28 CFR Part 67, Subpart F, for grantees, as defined at 28 CFR Part 67; Sections 67.615 and 67.620—

A. As a condition of the grant, I certify that I will not engage in the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance in conducting any activity with the grant; and

B. If convicted of a criminal drug offense resulting from a violation occurring during the conduct of any grant activity, I will report the conviction, in writing, within 10 calendar days of the conviction, to: Department of Justice, Office of Justice Programs, ATTN: Control Desk, 633 Indiana Avenue, N.W., Washington, D.C. 20531.

As the duly authorized representative of the applicant, I hereby certify that the applicant will comply with the above certifications.

1. Grantee Name and Address:

2. Application Number and/or Project Name

3. Grantee IRS/Vendor Number

4. Typed Name and Title of Authorized Representative

5. Signature

6. Date

ATTACHMENT B

OFFICE OF TRAFFIC SAFETY

7000 FRANKLIN BLVD., SUITE 440
SACRAMENTO, CA 95823
TDD (800) 735-2929 - Referral Number
FAX (916) 324-9606



February 1994

Dear Traffic Safety Professional:

Each year the Office of Traffic Safety (OTS) invites eligible governmental agencies to submit memorandum proposals for traffic safety projects. The proposals are evaluated, ranked and used in developing California's annual Highway Safety Plan (HSP). The HSP serves as the State's application for available federal funds. If your agency is interested in obtaining a traffic safety grant please follow the directions contained in this letter.

While agencies are invited to submit memorandum proposals which address their specific traffic safety problems, this year OTS is particularly interested in receiving proposals in the following areas:

- comprehensive occupant protection/child passenger safety programs that are multi-disciplinary in nature including enforcement, education, public health, and public communication. Agencies are encouraged to include or develop a component for providing "low-cost" child restraint devices;
- comprehensive pedestrian and bicycle safety programs that involve enforcement, education, public health, driver education and licensing, transportation engineering and public communication;
- comprehensive impaired driving programs which are aimed at permanently changing the public's attitudes and behaviors concerning drinking and driving, including adjudication strategies to train and educate judges and district attorneys on aggressive and appropriate sanctions in the prosecution and sentencing of persons arrested for driving under the influence; and youthful offender components that publicize and enforce the under age drinking and driving laws.

You are invited to submit a memorandum proposal to OTS. All proposed projects must eliminate current deficiencies or expand existing programs. Proposed projects cannot replace existing program expenditures, nor can traffic safety funds be used for program maintenance, research, or rehabilitation.

Typically OTS does not have sufficient funds for funding all proposals that are submitted. Obtaining a grant is a competitive process. Proposals are reviewed based upon several criteria. A memorandum proposal must include, at a minimum, a statement of the problem to be addressed, the objectives to be reached, a description of the proposed solution

activity, an estimate of the probable cost of the project, a statement of the time required to conduct the project, and any required documentation. Refer to the enclosed Memorandum Proposal format and Funding Criteria as your guides.

The program areas and the appropriate OTS staff person to contact if you need more information are:

Alcohol/Other Drugs - Includes specialized community enforcement, education, public information, youth programs, community prevention/intervention programs, etc. Contact D. Arnold Trotter at (916) 445-9734.

Police Traffic Services - Combines enforcement with public information and education (PI&E), and may include sobriety and seat belt/child restraint checkpoints, speed enforcement and educational presentations. Specialized equipment may include sobriety and radar display trailers, alcohol testing devices, robot mini-patrol cars, etc. Contact Christopher Murphy at (916) 445-9734.

Emergency Medical Services - Includes the purchase of ambulances, rescue vehicles, rescue equipment, miscellaneous medical equipment and supplies, and training for first responders and emergency medical technicians. Contact William Jacobs at (916) 445-9734.

Traffic Records - Includes the addition of crash and arrest databases to local records systems, the development of comprehensive records information systems, and the computerization of analytical processes. Contact Ken Logan at (916) 445-9734.

Occupant Protection - Includes child restraint and safety belt programs. Proposals may address education, training, and public information, and may include personnel, educational materials, and child restraint devices. Contact Suzi Haywood at (916) 445-9734.

Bicycle/Pedestrian Programs - Includes development and implementation of public awareness programs and local safety education programs. Contact William Jacobs at (916) 445-9734.

Traffic Safety Cities - A program developed to encourage communities to take responsibility for their traffic safety problems. A city should establish a traffic safety task force to assist in the development and implementation of an annual community supported traffic safety plan. Contact William Jacobs at (916) 445-9734.

Motorcycle Safety - Includes programs for the development and implementation of motorcycle safety awareness campaigns. Campaigns should include information on the use of proper motorcycle helmets, and safety awareness for motorcyclists and for drivers of other motor vehicles. Contact William Jacobs at (916) 445-9734.

Engineering Programs - Includes programs to enable cities and counties to identify and analyze high accident locations, to correlate crashes with traffic control devices and traffic volumes and to recommend remedial action. They may also address safe routes to school and recommendations for bicycle and pedestrian routing and controls. Proposals may include traffic count programs, signal preemption equipment, control device inventories, and geographic-based information systems. Contact Ken Logan at (916) 445-9734.

Please submit your memorandum proposal(s) by April 30, 1994, in order to be considered for the 1994-95 fiscal year, which begins in October 1994. If you have a proposal pending from last year, you will need to resubmit, and provide any updated information that may be appropriate.

Sincerely,



ARTHUR L. ANDERSON
Director
(916) 445-0527

MHS:cs

Enclosures

OFFICE OF TRAFFIC SAFETY

7000 FRANKLIN BLVD., SUITE 440
SACRAMENTO, CA 95823
TDD (800) 735-2929 - Referral Number
FAX (916) 324-9606

**MEMORANDUM PROPOSAL**

A political jurisdiction desiring assistance under the National Highway Safety Act in funding a highway safety project, should submit a memorandum proposal to the Office of Traffic Safety. The proposal may be for assistance in eliminating program deficiencies, expansion of an ongoing activity, or development of a new program.

This memorandum should include the following information:

1. Statement of the Problem

Identify the traffic safety related problem or deficiency that the proposed project is intended to correct. Points or questions to be addressed in the problem statement are:

- a. What is the traffic safety related problem or deficiency and how was it identified?
- b. What factors contribute to and/or are affected by the identified problem?
- c. Provide pertinent statistical data that help identify the problem. When available, three years of data should be presented and analyzed. The following are examples of data categories that you may include, but are not limited to, in your application:
 - Level of Traffic Safety Education in the Schools
 - Fatal and/or Injury Crashes
 - Number of Sobriety Checkpoints
 - Victims Counts by Category
 - Property Damage Only Accidents
 - Enforcement Index (Hazardous Citations + Fatal & Injury Crashes)
 - Hazardous Citations (include seat belt and child restraints)
 - DUI Arrests
 - DUI and Alcohol Involved Crashes
 - Blood Alcohol Concentration
 - Population Trends
 - Roadway Mileage Changes
 - Emergency Vehicle Response Time
 - High Accident Locations
 - Safety Belt and Child Restraint Usage Rates
 - Daytime vs Nighttime Crashes
 - Primary Collision Factor Data
 - Nighttime Hit and Run Crashes
- d. Present the problem so it has a logical connection to the project objectives and the proposed solution.

2. Project Objectives

State the objectives of the project. Objectives should be described in terms of measurable goals to be reached in expanding or modifying present activities or creating new programs to reduce traffic accidents. Objectives should be:

- a. stated in measurable terms;
- b. concise and deal with a specific item;
- c. realistic with a reasonable probability of achievement; and
- d. related to a specific time frame.

3. Proposed Solution

Explain how you propose to solve the problem. Give a description of the work to be done and method of doing the work. This description should be in such detail that the merits of the project can be evaluated. If you do not know how you would solve the problem, say so. It may be possible to provide funds to develop a work plan designed to solve your traffic problems.

4. Time Required

Estimate the total time that will be needed to complete the project.

5. Cost Estimate

Estimate the total cost of the project, along with a year by year cost estimate for those projects exceeding a life of one year. Items eligible for funding include personnel costs, travel expenses, contractual services, and other direct program related expenses. Items not eligible include indirect cost rates.

This budget should be your best estimate of the funds necessary to accomplish the objectives of your project proposal. Refer to Funding Criteria, form OTS-67, for guidance.

OFFICE OF TRAFFIC SAFETY

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**FUNDING CRITERIA**

The following represent highlights of the Office of Traffic Safety's (OTS) funding criteria for traffic safety pilot projects.

Facilities

The cost of land is not allowable. Costs are not allowable for construction, rehabilitation, remodeling, or for office furnishings and fixtures.

Equipment

~~Costs for police motorcycles/vehicles and large scale computers are not allowable.~~

Small scale computers are allowable up to a maximum of \$5,000 per workstation.

Costs of ambulance and first responder (rescue) vehicles and associated equipment are allowable only up to 25% of the total cost, unless the agency submits documentation supporting a higher percentage of highway safety utilization. This funding restriction includes communications' equipment.

Costs for the following equipment items are allowable, subject to compliance with applicable standards and specifications established, or adopted by the state through legislation or by the actions of an appropriate state agency or commission:

- police traffic radar and other speed measuring devices used by the police;
- alcohol testing devices;
- ambulances [Minimum requirements for ambulances purchased with 402 funds include: 1) meeting federal specification for ambulances, KKK-A-1822C; 2) being equipped in accordance with the essential equipment list, recommended by the American College of Surgeons; 2) contains space for two litter patients and 60 inch headroom for EMTs; 3) be manned by two basic level EMTs; and 4) have exterior vehicle lighting sufficient for identification as an ambulance.]; and
- child restraint devices (only if they are in compliance with NHTSA performance standard FMVSS #213).

Public Communications and Education

The design and printing of billboards, bus posters and cards, and other public information materials are allowable. The purchase of television/radio time and billboard space is not allowable. The printing and/or purchase of educational materials (e.g. brochures, pamphlets, etc.) is allowable.

Indirect Costs

The application of a percentage rate for indirect activities is allowable.

Sample Budget

Below is an example of the type of budget to submit for a two year program.

ITEM	YEAR 1	YEAR 2	TOTAL
1. PERSONNEL Officer Analyst	XYXY.00 YXYX.00	XYX.00 YXY.00	XYXYX.00 YXYXY.00
2. TRAVEL	XX.00	X.00	XXX.00
3. CONTRACTS Server Awareness	ABCD.00	ABC.00	ABCDE.00
4. PROPERTY Radar	AXA.00	00.00	AXA.00
5. OTHER DIRECT Printing Materials	XX.00 ABD.00	XX.00 AB.00	XXX.00 ABBD.00
TOTAL	XXXXXX.00	XXX.00	XXXXXX.00

1.2 Report Backs from Committee meetings of February 15 and 22,
1995.