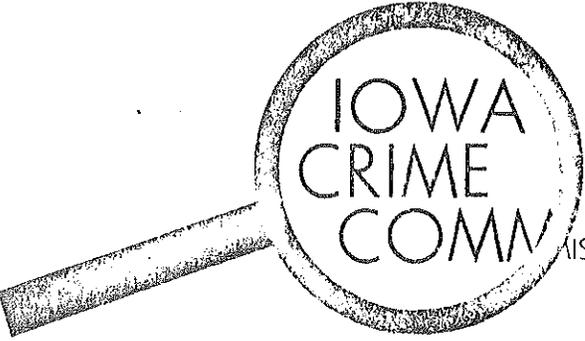


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Robert D. Ray
Governor



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May 17, 1973

Mr. William H. Smith, Regional Administrator
U. S. Department of Justice
Law Enforcement Assistance Administration
436 State Avenue
Kansas City, Kansas 66101

Dear Mr. Smith:

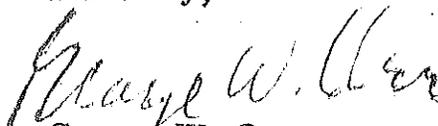
Attached is the response of the State of Iowa to the final audit report as transmitted by your letter of April 20, 1973.

We have deviated from the format of the response to the draft audit by way of indicating the audit finding to be followed by the response and referenced by an exhibit. In other words, it is a simple question-answer arrangement.

We note that the final audit report did not seem to recognize much of the commentary provided in the response to the draft. In this latest response, we have repeated previous transmissions and have added or clarified as required. In a few cases, not much more can be said than has previously been stated.

It is not expected that a work of this magnitude can answer all of the questions that the Regional Office may have. We are, therefore, standing by to clarify in the event this may be needed.

Sincerely,



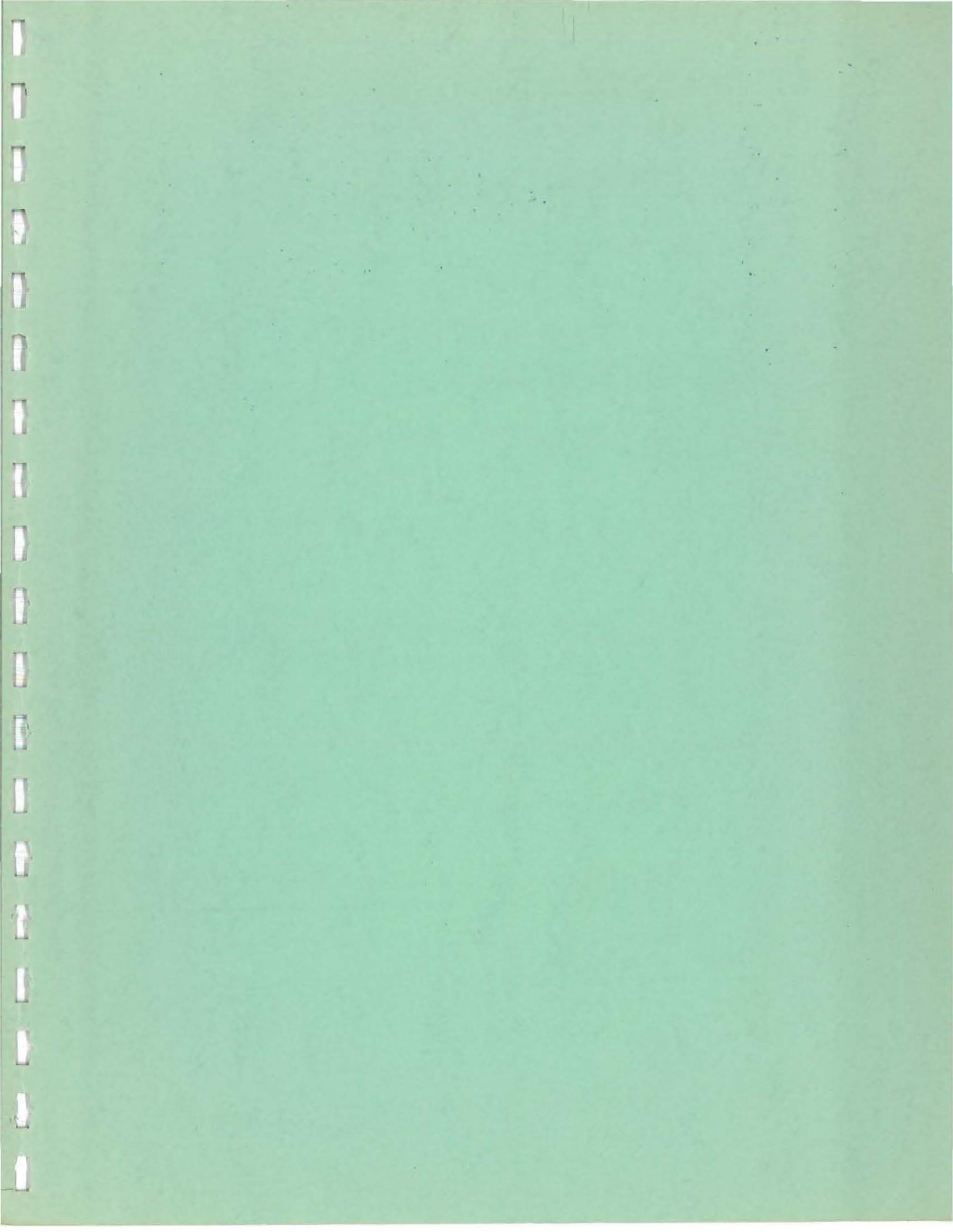
George W. Orr
Executive Director

GWO:cc

Attachment



Iowa
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DETAILED AUDIT FINDINGS AND RECOMMENDATIONS

A. General Management and Planning

1. Failure of Supervisory Board to Properly Execute Its Function and Responsibility: The Supervisory Board had failed to establish and carry out procedures for decisive action relative to overseeing the SPA operations as required by LEAA guidelines. In our opinion, an adequate review and periodic evaluation of the SPA activities would give the Supervisory Board a better insight of the operations of the SPA.

The Supervisory Board had initiated corrective action relative to the above weakness.

Recommendation: LEAA region determine that adequate corrective action has been taken.

SPA Response:

SPA position unchanged since response to original audit draft dated February 28, 1973. Further support is offered by way of Exhibit , a letter from our Chairman to LEAA Regional Administrator.

2. Weaknesses in SPA Plan of Organization and System of Internal Control: The SPA organizational chart for fiscal year 1972 consisted of four divisions or functional components - Community Relations, Financial Management, Administrative Assistant and Program Management, all of which reported to the Executive Director through the Deputy Director with the exception of Community Relations. Our review of this arrangement, as well as other charts existing during the period under audit, disclosed that the charts did not satisfy the basic requirements of a "plan of organization" since such charts were not supported by: (i) delegation of authority issued by the Executive Director; (ii) functional statements setting forth the duties and responsibilities of each division or functional components; or (iii) position descriptions outlining the duties of all employees within each organizational unit. There was also a general absence of written policy and procedures for employee guidance and coordination of duties and responsibilities. Therefore, we attempted through an interview with the Deputy Director to determine whether or not the 12 areas of SPA responsibility as set forth in the LEAA Grant Guide had been assigned to one or more of these divisions, individuals or groups of individuals therein.

We determined that virtually all divisions were involved in all the 12 areas and that specific delegations had not been made. This conclusion was confirmed through our observance of the operation of the SPA and interviews with the division heads. All personnel interviewed indicated that the Executive Director made all policy and administrative decisions with respect to all areas of the SPA's operations. Further confirmation of this arrangement resulted from the fact that the LEAA audit staff was consistently referred to the Executive Director for confirmation and/or verification of evidential material. For example, the Deputy Director, Program Manager or Fiscal Manager would advise the LEAA auditor that it would be necessary to contact the Executive Director concerning why certain projects were approved when, in our opinion, it seemed questionable whether such projects were within the intent of the Act, or similar operational matters concerning questionable practices and procedures of the SPA.

The conditions disclosed in this regard served to show that many of the basic principles underlying an effective system of internal control were not carried out. Some of these principals are: (i) satisfactory plan or organization should lend itself to the establishment of clear lines of authority and responsibility; (ii) a plan of organization must provide organizational independence of the operating, custodial, accounting and auditing functions; (iii) a proper functional division of duties, with responsibility

within divisions being established in conformity with clearly defined managerial policy requirements and supported by delegations of authority; and (iv) effective staffing and personnel management policies, procedures and practices. The extent to which these and other internal control principles were not carried out by the Iowa Supervisory Board/SPA precluded the LEAA audit staff from determining the general validity of many actions and transactions through the application of normal audit procedures, i.e., the existence of a satisfactory system of internal control as a basis for limiting audit inquiry to tests of selected actions and transactions.

At the time of our audit, the SPA was in the process of revising its organizational structure along the lines of major program areas, i.e., law enforcement, corrections and courts plus additional separate components for the fiscal, auditing and planning function and preparing functional statements for each. However, a delegation of authority and responsibilities should accompany the organizational structure if such is to be effective.

The SPA has initiated corrective action relative to the above weakness.

Recommendation: We recommend that the LEAA region review the corrective action and determine the adequacy of same.

SPA Response:

Our position has not changed since the original audit draft response dated February 28, 1973. We submit for further evidence, however, completed Internal Procedures Manual, Exhibit 2.

3. Inadequate Personnel Policies and Procedures: The SPA was not included in the State's merit system and had been operating, since inception, without any formal personnel policies and procedures. Although the SPA utilized the State merit pay scale for establishing salaries, there were no procedures for hiring, dismissals, position descriptions, or personnel file data. A review of the files disclosed that pertinent data such as original application, merit evaluation forms, background information on individuals, reasons for dismissal, evaluation of personnel dismissed, etc., were not present. One of the minimum standards as set out in the LEAA Planning Guide for establishment of SPA staff is "The inclusion of the planning agency staff within the State's existing personnel system or some other adequate merit system, subject to administration approval".

This was recognized by the Denver LEAA Region in a review on April 7-9, 1971. As a result of that review, the region stated that, "We endorse a policy of including SPA staff in the State's merit system". The SPA's reply dated April 20, 1971, stated that, "The Iowa Merit Employment Department has been contacted in order that they may do a personnel audit and position description classification when they are able to accomplish it. There have been some legislative concerns about our Iowa Merit Employment Department and the situation cannot be described as stable. I feel confident that these problems will be resolved and their work can progress". At the time of our audit, about one year after the SPA's reply, the SPA had not as yet been included in the system.

During our review of SPA employment practices, we were unable to obtain sufficient evidence to determine whether or not the State had taken an active role relative to implementation of Title VI of the Civil Rights Act of 1964 and subsequent legislation. However, a passive position was indicated by our observance of the SPA staff and our review of the files. As far as we could determine only one member of a minority group had ever been employed by the SPA and this employment was for a period of less than one year. Without sufficient documentation to support positive action to obtain minority employment, this statistic raises questions regarding compliance with the provisions and requirements of the above mentioned Act. This situation could, in our opinion, lead to abuses in the entire area of Civil Rights enforcement if allowed to continue unchecked.

Recommendation: LEAA region require the Supervisory Board and/or SPA to: (i) take the steps necessary to place all applicable SPA employees under the State Merit System or some other adequate system and implement other personnel policies and procedures which conform to the State's personnel practices; and (ii) provide sufficient evidence that the SPA is taking a positive, rather

than a passive action regarding compliance with the Civil Rights Act.

SPA Response:

An "adequate system" is used and personnel policies and procedures have been implemented (refer to Internal Procedures Manual Section I, Personnel Information, Policies and Procedures). Our personnel system is now in the main part consistent with the State Merit System.

For positive action regarding compliance with the Civil Rights Act, refer to Internal Procedures Manual, Section IV, Statement on Civil Rights.

See Exhibit 2.

4. Inadequacies in Plan Development: Although the SPA had not written overall planning procedures, and documentation was not available to allow the retracing of actual steps taken in the planning process, we determined, through interview with SPA personnel, that the SPA utilized action grant applications to develop the Statewide 1969, 1970, and 1971 comprehensive plans. The CCCs were requested to submit "Planning Work Sheets for Action" which were to provide the local input to the planning process. Despite the title of this form we determined that the planning worksheets were actually action grant applications since, according to SPA employees, action grant applications were not approved unless the CCC had previously submitted a corresponding "Planning Worksheet" for the applicable action project. The action grant application includes a statement which reads, "An approved planning worksheet must be attached and made part of this application".

A review of the "Planning Worksheets" revealed that they did not contain sufficient information beyond local wants (i.e., a "shopping list") to provide a data base for realistic planning.

The SPA did not require formal plans (i.e., a compilation of law enforcement problems, needs, priorities, and the approach to be used for the improvement of the criminal justice system) from either State agencies or the CCCs and subsequently had received none for incorporation into the 1969, 1970, and 1971 Statewide comprehensive plans. Therefore, since local plans were not required to be developed and there was no basis for costs applicable to the planning effort, and the only effort required of the CCCs was the preparation of and subsequent administration of action subgrants, we have no alternative but to consider the 40 percent planning funds awarded and disbursed (\$385,924 for the three years) as questionable.

Recommendation: We recommend that the LEAA region request the SPA to provide justification for using the 40 percent planning funds merely for the preparation of action applications and administration of action subgrants and determine whether the justification is adequate.

SPA Response:

Audit Finding: The SPA did not require formal plans from either State Agencies or County Crime Commissions, therefore, the \$385,924.00 in disbursed planning funds is questionable.

The Guide for State Planning Agency Grants dated November, 1968.

Part I, Administrative Provisions, Comprehensive Plan, Section 10, states "Section 203 (c) (of the act) requires at least 40% of all

federal funds granted for planning activities for any fiscal year must be made available to units of general local government, or combination of such units to enable such units to participate in formulation of state plans".

Section 303 (3) of the Act requires generally that state plans adequately take into account the needs and requests of the units of general local government in the state and provide for an appropriately balanced "allocation of funds between state and local units." (Section 10 of the guide states "take in due account of local government needs and requests.")

The SPA Guide, dated November, 1968, page 9, section (2) states: "The purpose of any planning agency funds transferred to local units of government should be to (i) provide local components of the comprehensive state plan, or studies, recommendations, analyses and data to be used in formulating, revising or expanding the State plan or (ii) where appropriate, establish and support continuing planning units or capabilities."

The guide does not establish a requirement that planning agency funds transferred to local units of government be used to develop "formal plans" as set forth in either LEAA audit submission. The states' comprehensive plans developed in FY 1969, 1970 and 1971, contained data submitted by County Crime Commissions via active liaison, application narratives and letters citing local needs, problems and priorities. Collectively, this activity was "a compilation of law enforcement problems, needs, "and" priorities," as outlined in the LEAA audit dated April 11, 1973.

The Iowa Crime Commission in establishing countywide crime commissions comprised of units of government within the county, considered them to be sub-planning units of the State Planning Agency. The fact that these units met and discussed problems and needs provided justification for using 40% planning funds. Most of the planning was performed across the table. In fact, local and statewide dialogue concerning criminal justice problems was a historic first. It seems to be good progress and was considered a stepping-stone to more formal planning such as now exists. Projects developed as a result of these meetings were incorporated into the statewide plan. The Iowa Crime Commission initiated action late in 1971 to develop more sophisticated planning programs which resulted in the formulation and the development of eight area crime commissions each charged with development of a multi-county comprehensive criminal justice plan.

5. Lack of Documentation on Technical Assistance and Services: The SPA did not have sufficient records to adequately identify and control the technical assistance and helping services that were provided in implementing the State's plan(s) in assisting subgrantees and otherwise advancing the State crime control records to identify what assistance and services were provided it by other State agencies, e.g., the review of subgrant applications in areas where the SPA did not have the necessary expertise.

Section 303 (9) of the Act requires that the State plan demonstrate the willingness of the State to contribute technical assistance or services for programs contemplated by the State and by units of general local government. LEAA instructions require that the State planning agencies enumerate and describe the technical assistance and helping services that it will provide in implementing the plan, assisting subgrantees and otherwise advancing the State crime control effort. LEAA guidelines further require State planning agencies to specify which of these efforts are supported by State resources and contributions beyond Title I grant funds and matching shares.

The Iowa law enforcement plan(s), nevertheless, contained only known examples of services provided by the State in implementing the plan. The SPA did not identify all the services provided or anticipated. We were able to supplement the lack of information through interview. Furthermore, the SPA had not obtained service agreements or other written evidence of State agencies' willingness to provide technical assistance and helping services.

We believe that the absence of evidence by State Agencies' willingness to provide technical assistance can be attributed to the SPA not developing the necessary operating procedures to identify the assistance and services provided on a continuing basis. Had this been done, the basic support would have been available to demonstrate the willingness of the State to contribute technical assistance or services for programs contemplated by the State plan and by units of general local government. Consequently, the SPA records did not contain sufficient information to properly prepare the "Technical Assistance and Services" subsection of its plan(s).

Recommendation: LEAA region require the SPA to develop the necessary policies and procedures to adequately identify in its records the State's willingness to contribute technical assistance and services for programs contemplated by the State's plan(s). In addition, operating guidelines should be developed to assist responsible staff members in preparing and presenting such data in future plans submitted for LEAA approval.

SPA Response:

In addition to data submitted with our response to the original audit draft dated February 28, 1973, written commitments from various state agencies are offered as further documentation. See Exhibit 3.

B. Subgrant Administration

1. Weaknesses in Subgrant Administration Procedures and Controls:

The SPA had not established procedures for subsequent program monitoring through field reviews or for the evaluation of program progress and accomplishments. The SPA and the Supervisory Board were, therefore, not provided appropriate assurances that the subgrants awarded were subjected to proper administration by subgrantees.

- a. Method of Awarding Action Subgrants and Resulting Additional Administrative Costs: The SPA awarded action subgrants and disbursed funds to the 82 County Crime Commissions (CCCs) and four Regional Crime Commissions (RCCs) but not to the units of local government (agency), the entity actually implementing the project, which resulted in additional project costs for the administration of subgrants by the CCCs/RCCs. The CCCs and RCCs were delegated responsibility by the SPA to "insure that the agency fulfilling the project complies with the local commissions grant request and guidelines, as approved by the State Crime Commission". Therefore, the subgrantees were the CCCs/RCCs and not the units of local government.

The LEAA field audit of three CCCs disclosed that until late 1971 the "grant administration" costs were not properly charged or accounted for. Project directors and/or fiscal officers did not maintain time and attendance records which precluded adequate salary distribution to the various projects they administered. In several cases, we were unable to determine whether or not costs charged to a subgrant were related to that particular project. For example, an analysis of the grant administration costs of \$3,956 charged to action subgrant 77-702-2C-5(71) administered by CIRCC disclosed the following: (i) unsupported payroll charges totaling \$2,905; (ii) remodeling of \$680 for the CIRCC offices; (iii) travel expense of \$133 for project director to attend planning conference; (iv) personnel advertising of \$85 for another project; (v) six months of xerox costs for \$132; and (vi) cost of posters for \$21. Of the total administration costs charged to this subgrant, we were only able to determine that the cost of the posters was applicable to this subgrant.

The SPA used a formula not to exceed three percent of total project budget costs for subgrant administration which we consider questionable from the standpoint that action subgrants range from \$100 to several thousands of dollars. For example, subgrant 77-702-43-001-000(72) awarded for \$477,000 included administrative costs of \$25,000 (3 percent of total budget of \$824,584). The budget included several administrative components exclusive of administrative costs such as salaries

for a Department Director, an Administrative Assistant and two Divisional Directors, which in our opinion, is sufficient to provide the effort necessary to administer the subgrant. However, the additional administrative costs of \$25,000 were approved by the SPA without specifying the administrative purpose for which it was to be used. This cost is questionable.

- b. Progress Reporting by Subgrantees and Program Monitoring (Field Visits): Although SPA instructions required subgrantees to submit quarterly progress reports, we found that these requirements were not being strictly enforced, and further that the content of those progress reports which were received was generally inadequate. Our review of the SPA files on 66 action subgrants disclosed that only nine files contained progress reports of adequate content and in the required number to allow meaningful review of subgrantee progress. We did not find any evidence that the progress reports submitted were reviewed by SPA personnel, or that corrective action was taken when subgrantees failed to submit, or submitted inadequate progress reports.

We discussed this situation with SPA personnel who informed us that the SPA's policy was to stop funds to any county crime commission that did not submit current progress and/or fiscal reports. We were also informed that all progress reports were reviewed, but there was no method of documenting these reviews. SPA personnel responsible for the review of progress reports were aware that in many cases their content was inadequate, but they did not have time to take corrective action; the only exception was in the case of final reports when they might request more meaningful data from the subgrantee.

We were unable to determine whether the SPA applied the policy of suspending funding to subgrantees who failed to submit fiscal and/or progress reports. However, we considered this policy inadequate and unfair from the standpoint of the local units of government. The responsibility for preparing progress and fiscal reports rests with the county crime commission project directors, not with the local units of government who implement action projects. Thus, the policy of suspending LEAA funding punishes the local units of government, not the project directors of CCCs.

Also, the SPA awards its subgrants in such a way that, in our opinion, progress reports could not possibly be meaningful in relating the accomplishment of LEAA funded programs. The absence of meaningful progress reports left the SPA without any realistic means of evaluating the progress of both planning and action projects other than through field visits by program personnel. With respect to the performance of these visits, it was disclosed that the SPA had not established procedures and controls for selecting projects for field reviews, for conducting such reviews or for reporting the results thereon. We were, therefore, unable to evaluate the effectiveness of the SPA's actions in this regard. We did, nevertheless, conclude that the extent of program monitoring was minimal since the 66 SPA files subjected to review contained no evidence of field reviews performed by SPA personnel.

- c. Evaluation of Program Accomplishments: The SPA had not developed the criteria or accumulated total project data in a manner which would enable them to effectively evaluate program accomplishments. Instead, the SPA started to "evaluate" individual planning and action subgrants in July of 1971. The method, scheduling, and utilization of these evaluations were considered of questionable value as discussed below.

The SPA had not developed evaluation criteria and guidelines in sufficient detail to assure that all subgrants would be evaluated in a standard manner. The criteria provided consisted of short questions and/or statements for each of the 23 action programs utilized in the 1971 plan, and was presented to the evaluator as suggested guidelines to be utilized or not, as he saw fit. The SPA's evaluation form provided for basic subgrant award data, a brief description of project, and an analysis of "Program Progress" to be ranked excellent, good, poor, or unsatisfactory. The content and format of narrative and/or data to support the progress ranking, as well as the basis for the ranking, was left to the evaluator's judgement. Thus, the SPA had no assurance the project evaluations would be comparable from one subgrant to the next.

The SPA did not have any written procedures for the selection and scheduling of subgrants for evaluation. We were informed by SPA personnel that the SPA's policy was to evaluate every subgrant awarded to a subgrantee (i.e., County Crime Commission). Subgrantees were selected first to evaluate all 1969 projects, and then on a basis of size (largest first). Furthermore, the SPA maintained no summary record of the number or type of subgrants evaluated; the control record showed the subgrantee (CCC) and the date evaluations were completed. These procedures were considered inadequate, because selection was not made on the basis of program areas.

Finally, the SPA had not developed procedures for correlating evaluation of projects by program area to determine overall effectiveness, or determine how project evaluations would be incorporated into the past progress sections of the Statewide comprehensive plans.

The SPA had initiated corrective action relative to the above weaknesses in some cases.

Recommendation: The LEAA region determine: (i) that adequate corrective action has been taken; and (ii) the eligibility of the cost questioned.

SPA Response:

- (i) Response unchanged since submission dated February 28, 1973.
- (ii) The \$25,000 allowed in the Polk County Grand #77-702-43-001-00 (72) was misnamed and actually was indirect costs which are allowable in the LEAA financial guide, dated December, 1971

which permits indirect costs of local government not to exceed 5% of total project costs. This amount is below the 5% allowable.

2. Deficiencies in Controls on the Use of Federal Funds to Supplant State and Local Funds: The SPA did not have adequate documentation to verify that the nonsupplanting requirement of the Act was being complied with. The SPA first required nonsupplanting certificates from subgrantees (State agencies and CCCs) in June 1971, two and one-half years after the program started. However, at the time of our audit no certificates had been received from State agencies. Furthermore, it is our opinion that as a certifying agency, a county encompasses too many suborganizational units to provide an accurate representation of law enforcement expenditures by the agencies who eventually receive actions funds (i.e., individual cities, towns, police departments, etc.).

The LEAA guidelines require that the SPA obtain from each of its subgrantees an annual certification that Federal grant funds will be used to supplement rather than supplant State or local units of government funds. Also, the SPA must receive certification that the subgrantee's expenditures for law enforcement, for the annual period covered, are at least as great as the preceding year's expenditures, plus the average annual increment of such expenditures for the past two, three, four or five years.

Thus, the SPA did not have adequate documented evidence from subgrantees to assure that Federal funds were not used to supplant State and local funds.

Recommendation: The LEAA region require the SPA to refine its procedures with respect to nonsupplanting, in the areas of documentation and grant review procedures, and implement better controls to assure compliance with such procedures.

SPA Response:

See Non-supplanting Certificate and Application, Exhibit 4.

3. Questionable SPA Action Program/Subgrants

Computerized Motor Vehicle Information: The SPA awarded the following subgrants to the Scott County Crime Commission for a "Computerized Information System".

<u>Subgrant Number</u>	<u>Total Budget</u>	<u>Awarded by SPA</u>	<u>Level of Federal Funding</u>
82-702-2C-11(71)	\$27,894	\$16,736	60%
82-702-5B-8(71)	11,087	6,652	60%
82-702-5A-7(71)	<u>27,003</u>	<u>16,202</u>	<u>60%</u>
	\$65,984	\$39,590	60%

According to the project narrative of grant 82-702-2C-11(71) the system would "provide all Scott County law enforcement agencies with the capability to accurately identify - a. Stolen automobiles; b. Improperly registered vehicles; c. Automobiles believed to have been involved in a crime; d. Parking violations (multiple violations)." In our opinion, items b. and d. above do not represent activities which are eligible for funding under the LEAA program. Furthermore, we could find no evidence (due to inadequate accounting records and lack of documentation) that the SPA had made an effort to determine if the costs set forth in the grant applications were those associated only with activities eligible for LEAA funding (i.e., activities a. and c.) or if the budgeted costs related to the entire information system.

In addition, we were informed by the Scott County Project Director that the only phase of the system that had been implemented was the programming of the computer to process parking tickets. We were unable to determine when or if the other proposed information was to be computerized. Therefore, all funds disbursed by the SPA must be considered questionable.

The SPA, in their response to the draft report, did establish that only one objective had been achieved--parking violations, which, in our opinion, is questionable for LEAA funding.

Recommendation: We recommend that the LEAA region: (i) determine the eligibility of the funds expended; and (ii) if funds are determined to be ineligible, require the SPA to request refunds of all funds expended.

SPA Response:

See Exhibit 5 (copies of the grants as approved by the Iowa Crime Commission). The new internal procedures and application

guidelines, Exhibits 2 and 4, will prevent this type of grant from being funded in the future.

4. Lack of Guidelines and Controls Over Subgrantee Procurement and Contracting Practices: Our audit disclosed that the SPA did not have adequate controls over subgrantee procurements and local purchasing nor had the SPA provided proper instructions to their subgrantees on the necessary procurement criteria under which to operate effectively until late 1971 when it issued a supplement to the Administrative and Planning Guide detailing procurement procedures for purchase of "special equipment in excess of \$2,500." During the LEAA audit of selected subgrantees, we noted several instances of questionable procurement practices which were prior to the issuance of the SPA guidelines attributed to the fact that (i) the State of Iowa did not have a competitive bid law or procurement regulations which were applicable on a State-wide basis; and (ii) the SPA had not issued sufficient guidelines. Full responsibility for procurement had been left to the discretion of the respective subgrantees.

a. Questionable Equipment Procurement Practices: We found that local units of government did not adhere to prudent/practical procurement and pricing procedures which would have aided the subgrantee in obtaining the most favorable price and quality for their funds. These weaknesses were best illustrated by conditions which we found with respect to subgrantee purchases of police equipment. In reviewing six equipment subgrants to units of local government, we found that all involved questionable procurement practices of which the following are two examples:

- (1) Subgrants for Radio Equipment - Action Subgrant 85-702-3B-4(71), Story County Crime Commission: This subgrant was awarded August 20, 1971, in the amount of \$16,380; the total budget of \$27,300 included \$16,000 for radio communications equipment. During our review we were informed by the project director that he had notified three dealers by phone, given them verbal specifications, and subsequently received two bids. He stated that he selected the lowest bid, but he had not retained any documentation to show comparative prices. Cost questioned, \$16,000.
- (2) Action Subgrant 82-702-4B-5(71), Scott County Crime Commission: The subgrant award of \$13,071, Federal share, was made May 25, 1971 for radio equipment to be purchased within one year starting from the approval date. The grant was subsequently revised to increase the Federal share to \$14,145.89 because "between the time that estimates were obtained...and receipt of approval of project funds, the prices of installation and equipment costs had increased considerably. In addition, the originally planned material was discovered

to not be suitable for the area of operation". The four jurisdictions involved in the subgrant requested various types of communication equipment in the following amounts: (i) City of LeClaire (\$4,886); (ii) Scott County Sheriff (\$13,857); (iii) Town of Princeton (\$2,288); and (iv) City of Davenport (\$1,900). However, each local agency procured their equipment independently from the others, resulting in probable loss of volume discount, and widely varying prices for the equipment, as indicated by the revised subgrant budget for mobile units:

Scott County Sheriff:

Mobile Unit T71LHT1150-AV with modifications
four @ \$1,662 each

City of LeClaire:

1 Mobile unit	\$1,400
1 used mobile unit	408

Town of Princeton:

1 mobile unit with make, speaker, antenna,
etc. \$1,288

Furthermore, we noted that the City of LeClaire received only one bid which was accepted; the Town of Princeton did not advertise its bids, but gave specifications to dealers orally; and the County Sheriff had not yet purchased the budgeted equipment, but informed the auditor that he was in the process of taking bids (although the grant applications specifically named brand name equipment).

With respect to the other four subgrants for police equipment, it should be noted that all involved multiple jurisdictions, and that in all four cases procurement was made individually by each jurisdiction.

The conditions described above with respect to communication and police equipment procurements illustrates the necessity for the SPA to implement better control over local procurement procedures and practices. The SPA needs to be particularly alert with respect to subgrants involving more than one jurisdiction, since individual amounts may be less than the \$2,500 lower limit requiring competitive bidding, but jointly considered to be greater than \$2,500, and thus require competitive bids, in the interest of volume discounts.

- b. Questionable Contracting Practices for Consultant Services:
The SPA had not prepared and issued policy or procedural guidelines for the determination and evaluation of consultant services by their subgrantees. This weakness contributed to

the acquisition of consultant services by the subgrantees without, in various cases, justification for sole source selection of contractors, contracts including the rate of charge, and access to records clauses. Examples of the above conditions are illustrated in the following subgrants which were examined in the course of our audit review. (Refer also to consultant (contracting) services discussed in Part C.)

- (1) Subgrant No. 00-701-13(70)SC, Supreme Court of Iowa: This planning subgrant was awarded June 5, 1970 in the amount of \$9,000 for a period of six months. The total cost of the project, \$10,000, was for the purpose of hiring a consultant to perform a study of the operations of Iowa's Supreme Court. The consultant was selected without requiring proposals or budget information to support the contract award of \$10,000 and the contract did not contain an access to records clause. Furthermore, the consultant did not submit itemized billings detailing the cost incurred in performing the contract effort. Therefore, we were unable to determine if the contract award represented a reasonable and prudent cost to LEAA, nor could we evaluate the actual effort expended on the contract due to the lack of documentation and cost detail which would support the consultant's billings. Cost questioned, \$9,000.

- (2) Subgrant No. 77-701-8 DU - Drake University School of Law: The SPA entered into an agreement with Drake University School of Law on March 1, 1969 in the amount of \$7,500, Federal share \$5,000, to prepare a text and appropriate teaching manuals for a course to be offered at junior and senior highschools entitled Law and Society. The individual from Drake University was paid \$5,063 at a rate of \$25 per hour, which exceeds the hourly rate paid to consultant with prior approval from LEAA.

We found that no evidence was available indicating that the SPA had requested or received LEAA approval for consultant rates in excess of established limitation, therefore, \$2,500 is questionable. (LEAA limitation is \$100 per day/\$12.50 per hour without prior approval.)

- (3) Subgrant 00-702-6B-2-ICC(71), Iowa Crime Commission: The SPA awarded an action subgrant, 00-702-6B-2-ICC(71) to itself on October 21, 1970 in the amount of \$21,000 Federal share, to "develop a plan for operating two model area correctional centers". The total project

cost of \$35,000 was budgeted for consultant services to Batten, Batten, Hudson and Swab, Inc., for which a fixed price contract was entered into on September 10, 1970, one month before the award date. The matching contribution was provided by the State Department of Public Safety.

There was no indication from a review of the files that the SPA had requested proposals from a group of qualified consultants, or sole source justification data, if the consultant was considered as such. The file did contain a letter from the consultant stating "the estimated cost...is \$35,000...which includes all necessary travel and related expenses". Therefore, in the absence of necessary documentation, \$12,000 is considered questionable.

- (4) Subgrant No. 00-702-2C-4-PP(71), TRACIS Project Office, Office for Planning and Programming: The subject subgrant was awarded February 15, 1971 in the amount of \$200,000, Federal share, for the purpose of designing and implementing a computerized Traffic Records and Criminal Justice Information System (TRACIS) for the State of Iowa. Phases of the TRACIS project related to traffic safety were supported by a subgrant from the Department of Transportation in the amount of \$198,950. Within the total project budget of \$267,187 submitted to the SPA for LEAA funding the subgrantee budgeted the following amounts for the subcontracts for the design and implementation of the TRACIS system; development of communications study; and evaluation of the TRACIS design, respectively.

<u>Contract</u>	<u>Contractor</u>	<u>Amount of Contract</u>	<u>LEAA Share</u>
7/6/70	Planning Research Corp	\$327,000	\$119,123
3/17/71	Planning Research Corp (Amendment to previous contract)	50,000	50,000
5/5/72	Collins Radio Company	75,000	25,000
3/29/72	Baxter, McDonald & Co.	10,000	10,000
			<u>\$204,123</u>

The contract with Collins Radio Company for \$75,000 (\$25,000 LEAA share) was a sole source procurement and the subgrantee did not provide adequate documentation for the selection of the contractor or the basis for the cost of \$75,000. The contract with Baxter, McDonald & Company for \$10,000 was also sole source, without adequate

documentation, and furthermore was open-ended in that it did not specify a maximum contract amount. These contracts are considered questionable. Further, none of the contracts contained the access to records clause required by the LEAA.

In summary, we concluded that the conditions existing in Iowa relating to equipment procurement and contract consulting were in large measure, attributable to a lack of definitive policy with respect to contracting procedures, and failure of the SPA to specifically require cooperative procurements in the case of equipment subgrants including more than one jurisdiction.

Recommendation: We recommend that the LEAA region determine the eligibility of the cost questioned. We further recommend that the LEAA Region review existing subgrants that include significant equipment purchases and consultant contracts and determine the eligibility of the cost.

SPA Response:

See Internal Procedures Manual, Iowa Crime Commission and other attachments. Exhibits 2 and 6.

5. Lack of Control Over Continuation Projects: We were unable to determine the number or the award amounts of continuing projects being funded by the SPA due to the lack of separate accounting for continuation projects. The SPA could not identify the projects already committed for future years funding, nor did they know if the amount was increasing or decreasing. In addition, the SPA did not have written policies outlining criteria for approval of continuing projects.

We were informed by SPA personnel that the grants management system which is under development will include controls to obtain printouts on these projects by program categories. This system should be operational for fiscal year 1972 subgrants.

Recommendation: The LEAA region: (i) review the SPA's grants management system for continuation projects; and (ii) require the SPA to establish written policies and procedures for the approval of continuation projects.

SPA Response:

See Internal Procedures Manual, Iowa Crime Commission, Exhibit 2.

C. Financial Management

1. Accounting System Weaknesses: The SPA had established separate accounts by grant award year to record receipts and disbursements of the LEAA planning, action, and discretionary grant funds. However, the Iowa SPA had not exercised reasonable budgetary and accounting controls for the proper administration of funds for its own internal operation and for that of its subgrantees. The absence of these controls contributed, in our opinion, to the SPA's maintenance of an excessive cash position during most of the period under audit both at the SPA and subgrantee levels. These conditions are summarized as follows:

a. SPA Cash Balances

<u>Quarter Ending</u>	<u>Cash Balance (Federal only)</u>
9/30/69	\$ 107,279
12/31/69	214
3/31/70	74,592
6/30/70	131,882
9/30/70	304,519
12/31/70	1,096,005
3/31/71	693,633
6/30/71	814,108
9/30/71	941,540
12/31/71	119,322
3/31/72	419,294

b. Subgrantees Cash Balances

<u>Subgrantee</u>	<u>Cash Balance</u>
(1) CIRCC (average cash on hand 3rd quarter 1971)	\$381,107
(2) Scott County (average cash on hand last quarter 1970)	\$150,608
(3) <u>Subgrants to State Department of Public Safety</u>	
(a) <u>Subgrant 00-702-8-21-PS(71) for \$22,560</u>	
SPA funding (9/2/71 to 12/7/71)	\$22,560
Expended as of 3/72	116
Balance 3/31/72	\$22,444
(b) <u>Subgrant 00-702-4B-23-PS(71) for \$104,500</u>	
SPA funding 9/2/71	\$52,250
Balance 5/26/72	\$52,250

Thus, the SPA's failure to exercise reasonable and prudent fiscal management of Federal funds resulted in violation of the letter-of-credit method of financing Federal aid programs. The letter-of-credit procedure was established to reduce the Federal debt levels and interest costs of short term borrowing by: (i) postponing the withdrawal of funds from the U.S. Treasury until the time when funds are needed to cover disbursements; and (ii) limiting the amount withdrawn at any time to the amount needed for disbursements expected to be made immediately or within a few days.

We did not attempt to determine the amount of potential interest due on State funds because of the State of Iowa's investment practices which were quite detailed. However, we did determine that Central Iowa Regional Crime Commission and Scott County earned interest in the amount of \$15,771 and \$10,219, respectively, and should be refunded. Therefore, the funding practices of the SPA allow for interest or potential interest to be earned on funds disbursed to its subgrantees.

The SPA has subsequently refunded \$19,909.89 of the above mentioned amounts.

Recommendation: LEAA region require the SPA to: (i) determine the amount of interest earned on Federal funds due to excessive cash balances and return same to LEAA Region; (ii) determine the amounts of interest earned on funds disbursed to subgrantee and return same to SPA/LEAA; and (iii) adopt budget and accounting procedures and controls that will not allow for excessive cash balances to be maintained at the SPA and subgrantee level.

SPA Response:

See Exhibit 7.

2. Lack of Fiscal Review and Follow-Up on Subgrantee Financial Reporting and Direct Accounting Assistance by SPA: In accordance with LEAA regulations, the SPA had established procedures for the preparation and submission of subgrant budgets, periodic financial reports by subgrantees and for posting subgrant expenditures to worksheets maintained by the SPA. It, therefore, had established the procedures and controls necessary to perform continuing fiscal review. However, we concluded that the reporting requirements were not being enforced and that fiscal reviews of the reports were minimal. Our review of 58 subgrant files disclosed that there was no evidence that a fiscal review had been performed and that 35 files did not contain the required expenditure reports.

Recommendation: The LEAA region require the SPA to: (i) enforce its fiscal reporting requirements to subgrantees; and (ii) perform meaningful reviews of fiscal reports.

SPA Response:

The SPA has recently completed a full fiscal review of FY 1971 grants and all deficiencies, either in the reports or unrefunded federal funds, have been discussed with the area fiscal officers. These area officers are in the process of resolving the problems. The same review will be done on FY 1972 grants and, again, the items will be brought to the attention of the area officers. This will be accomplished by June 1, 1973. In addition, all sub-grant applications will not be approved until reports are current for the prior awards for the individual sub-grantee. In the future, the quarterly fiscal reports will be reviewed and any problems will be resolved with the sub-grantee.

See Internal Procedures Manual, Iowa Crime Commission, Exhibit 2.

3. Questionable Contractual Services Expenditures: Our review of five consultant agreements amounting to \$69,819, or about 87 percent of the \$81,041 in consultant services costs incurred by the SPA to March 31, 1972. These agreements involved three contracts awarded to nongovernment organizations and an individual without any evidence of "...competitive bids or proposals from a group of qualified organizations", as follows:
- a. Institute for Human Development Planning was employed to develop: (i) an inventory of information concerning services for certain children and youth; (ii) basic data for program projects in juvenile-related activities; and (iii) an analysis of the kinds and level of services for juveniles which have proven effective elsewhere and might be beneficial for utilization in the State of Iowa. This contract was awarded on May 5, 1969 in the amount of \$33,700.
 - b. Institute for Human Development Planning was employed also to: (i) conduct a survey to determine the extent of criminal activity within the State of Iowa; (ii) inventory all agencies providing law enforcement assistance within the State of Iowa; (iii) identify the elements in Iowa's court system; and (iv) identify the elements and do an inventory of the system of adult correction in Iowa. This contract was awarded on May 5, 1969 in the amount of \$27,060.

Our review also included one consultant agreement between the SPA and an individual. This agreement was a \$2,500 fixed price arrangement which was executed in March 24, 1969 for the purpose of advising and assisting the director of the program in identifying and establishing a sequence of actions required for local and Statewide law enforcement planning in Iowa, in developing a timetable for accomplishing the actions, and in determining the roles, composition, and assignments of task forces created to carry out specific work areas. He is also to participate directly in carrying out such phases of the design as assigned by the director of the program and provide such other consultation, advice, or assistance as required by the director.

There was no evidence that the above contracts were submitted to LEAA for approval. Furthermore, we were unable to determine compliance with paragraph M, Section III of the Financial Guide since no cost analysis data or other rate information was available. Due to the above, \$69,819 is considered questionable.

Recommendation: The LEAA region review the above and all other consultant service contracts awarded by the SPA and make an administrative determination as to their acceptability in light of the circumstances at the time of award.

SPA Response:

The questionable contractual services expenditures amounting to \$69,819.00 were awarded in March and May of 1969. The awards were initiated by the Iowa State Office of Planning and Programming (OPP). At the time of award OPP utilized as guide-lines (it is assumed) for LEAA Manual entitled Guide for State Planning Agency Grants, dated November 1968. Said guideline, page #35, limitations, (a), Contract Services., states "Except as specifically approved by the Administration, expenditures for planning services and assistance by non-governmental agencies under contract may not exceed 33 1/3 percent of total allowable expenditures and will comply with applicable state policy and procedures concerning contract procurement".

There was no evidence of LEAA approval since in our opinion, at the time of award, LEAA approval was not required. The guideline requiring LEAA approval of contractual services of the type in question was not issued until May, 1969 with an effective date of December, 1969, as indicated on page #3 of the "Financial Guide for Administration of Planning and Action Grants, Financial Guide Transmittal No. 1".

D. SPA Audits of Subgrants/Subgrantees

1. Lack of SPA Audits of Subgrants/Subgrantees: The initial LEAA "Guide for State Planning Agency Grants - Grants for Comprehensive Law Enforcement Planning" issued in November 1968 contained the requirement that a "... State planning agency's responsibilities include...auditing expenditures under grants to local units of government..." This requirement has been repeated verbatim in all subsequent issuances of this guide. However, the SPA did not begin auditing their subgrants/subgrantees until July, 1971, about two and one-half years after the initial issuance of the LEAA requirement.

At the time of our audit, the SPA relative to their audits performed, had issued audit letters (which summarized the audit findings) to 17 CCCs and to two Regional Crime Commissions. Our review of the SPA's audit procedures and related practices disclosed deficiencies in the selection, control and scheduling of these audits, in the audit program, and in follow-up action taken as a result of the audit findings. These conditions are summarized below:

- a. Selection, Scheduling and Control of Subgrant/Subgrantee Audits: The SPA had not established written policies or procedures for the selection and scheduling of their subgrants/subgrantees for audit. The SPA's method of selection and scheduling was based on auditing each subgrant of a CCC that had been awarded FY 1969 subgrants, and secondly, auditing the CCCs that had been awarded the largest dollar subgrants. However, at the time of our review the SPA had neither audited State agency subgrants nor were these subgrants scheduled for audit.

This selection method did not provide for the establishment of meaningful priorities, i.e., large dollar subgrants, continuation projects, demonstration programs, etc., and the utilization of desk audits, (e.g., "one-time" equipment purchases, etc.). In addition, this practice resulted in the auditing of some subgrants before a significant phase of completion had been reached. For example, the following schedule shows the percentage of completion of 1971 subgrants awarded to two CCCs:

<u>Percentage of Completion</u>	<u>Scott County Crime Comm.</u>	<u>Des Moines County Crime Comm.</u>	<u>Total</u>
0 - 25%	9	5	14
26 - 50%	2	1	3
51 - 75%	0	1	1
76 - 100%	<u>1</u>	<u>1</u>	<u>2</u>
	12	8	20

Furthermore, the SPA's control records of the audits performed only indicated which subgrantee (CCC) had been audited and the issue date of the applicable audit letter and not the number or type of subgrants audited.

In summary, the SPA's procedures for the selection and scheduling of subgrants/subgrantees for audit did not provide for maximum utilization of SPA audit resources or assure audit coverage that would be significant in size and type of subgrants audited.

- b. LEAA Audit of Subgrants/Subgrantees: As part of our audit, site audits were made of 58 subgrants/discretionary grants to evaluate the potential ill effects noted above with respect to the SPA's audit and grants management procedures. The subgrants/discretionary grants included in this effort are listed in Part IV-C, page 39, with identification given as to the conditions disclosed in each instance. These conditions are summarized as follows:
- (1) Expenditures could not be satisfactorily verified through normal audit procedures for eight of the 58 subgrants/discretionary grants because of inadequate and/or generally inaccurate accounting records.
 - (2) Expenditures could not be satisfactorily verified through other means (i.e., unable to identify expenditures in subgrantees general accounting records, absence of time distribution records and the like) for three of the eight action subgrants. (See Financial Exhibit B, Part IV, for listing of subgrants.)
 - (3) Inventory records and procedures to control and account for equipment purchased with subgrant funds were not maintained by five of 15 subgrantees.
 - (4) The required financial and/or accomplishment reports had not been submitted for 35 of the 58 subgrants/discretionary grants. (Refer to Part III.)

Other questionable conditions disclosed during our field audits included procurement and contracting practices, excessive cash balances wherein interest was earned or potential interest could be earned, supplanting of State and/or local funds, and questionable and/or unallowable programs.

The questions raised as a result of these audits clearly evidenced an immediate need for greater emphasis on the per-

formance of audits of subgrants/discretionary grants by the SPA. They also supported our previous conclusions (Part III, B.) that there had been insufficient technical monitoring from a program and financial management standpoint since such efforts should have disclosed some of these deficiencies.

Recommendation: The LEAA region assist the SPA in establishing audit selection and scheduling procedures, including the utilization of desk audit procedures, based on priorities that will provide an optimum-amount of information for the effective management of the subgrant programs.

SPA Response:

See Internal Procedures Manual, Iowa Crime Commission, Exhibit 2.

2. Questionable Costs Disclosed on Subgrants Subjected to LEAA Field Audit: The items discussed below represent questionable costs disclosed during our audit of the subgrants/discretionary grants set forth in Part IV-C. Details on these conditions have not been included in the findings presented in other parts of this report.

a. Subgrant 77-70208-13(70): This subgrant was awarded to the Polk County Law Enforcement Advisory Council in the amount of \$9,135 for the purchase of gas masks (\$1,240), protective equipment (\$3,440), and closed circuit TV (\$7,500) for a total project budget of \$12,180. However, we found that approximately \$4,157 had been expended to build a bomb disposal trailer which was not included in the subgrant application and was, therefore, considered questionable. Other equipment purchased (for a total of \$7,611) included 50 tear gas grenades, 25 flares, 100 fire extinguishers, 100 tactical face shields, safety gear for motorcycles, riot batons, and other miscellaneous equipment but due to the vagueness of the term "protective equipment", we were unable to determine the allowability of the above items. In addition, there was no documentation to support \$412 for other expenditures. As a result of the above conditions, the total award amount was considered questionable.

b. Subgrant 00-702-5B-26-AG(71): Our review of subgrant 00-702-5B-26-AG(71) for a one-year period to the Office of the Attorney General in the amount of \$47,871 for the purpose of creating within the Iowa Department of Justice, an area prosecutor unit to be responsible for investigating and prosecuting selected important criminal cases throughout the State disclosed the following unallowable/questionable cost. At the time of our review the project had been operative for seven months.

(1) The secretary's salary which was budgeted in the subgrant at an annual rate of \$5,000 was actually expended at an annual rate of \$5,200 for a five month period. The salary and fringe benefits (approximately \$87) paid over the budgeted yearly rate was considered questionable.

(2) The above mentioned secretary's time was budgeted at 100 percent to the subgrant effort, but the subgrantee records indicated that about 30 percent of the secretary's effort was applicable to matters pertaining to the subgrant. Thus, 70 percent of the secretary's salary and fringe benefits for seven months (at a rate of \$5,000/year) or about \$2,131 is unallowable.

- (3) Both area prosecutors' salaries were budgeted at \$20,000/year. However, one prosecutor was paid at a rate of \$21,000/year for the first six months of the project and then given an increase to \$22,000/year. Questionable salary payments and fringe benefits above the budgeted yearly rate for the seven month period were approximately \$696.
 - (4) The other prosecutor who was transferred from another department within the Attorney General's office had been paid at an annual rate of \$12,000. Subsequent to the transfer, the prosecutor's salary was increased 42 percent (to \$17,000/year). The questionable salary and fringe benefits charged to the subgrant above the previous salary rate of \$12,000/year were approximately \$3,044.
 - (5) Our review of the subgrantee's monthly financial reports submitted to the SPA revealed that the personnel benefits of the secretary and two area prosecutors had been charged twice to the subgrant (once as Federal share, once as in-kind match) for the months of March, April and May of 1972. The unallowable duplicate charges total \$980.
 - (6) A review of the items charged to the subgrant under the line item Equipment, disclosed that a payment of \$401 (Warrant No. 2351830 dated April 18, 1972) was for the services of a certified shorthand reporter. This item was not included in the subgrantee's budget and is therefore considered questionable.
 - (7) The subgrantee had charged \$1,050 rental cost of the subgrant during the seven month period under audit. However, no documentation was available to support this cost and we were informed that it was based on an "estimate". Therefore, the \$1,050 charged to the subgrant as rent is considered questionable.
- c. Subgrant 00-702-7-14-PA(70): This subgrant was awarded to the Department of Public Safety in the amount of \$117,112 for equipment and operational expenses of the Criminal Conspiracy Unit. The subgrantee had expended \$5,974 prior to the project period (\$1,177 in travel and \$4,797 in payroll) which are pre-agreement costs and as such are unallowable under OMB A-87 and the LEAA Financial Guide since prior approval was not obtained in either the subgrant application or by separate submission and approval.

grant and request that they refund the amount determined unallowable and provide justification of the amounts questioned; and (iv) require the State Legislative Service Bureau to supply cash match for unallowable in-kind match.

SPA Response:

- i. The grant approval was signed on June 29, 1970. The grant period start date which was 4/1/70, was left on the approval. Therefore, the SPA did intend to approve pre-agreement costs even though this was not specifically spelled out in the approval.
- ii. A letter, Exhibit 8, explains the rationale for building the bomb disposal trailer.
- iii.
 1. An audit of subgrantees records disclosed that the secretary was paid at the rate of \$5,000 a year for the first two months of the project. Then she was given a raise to \$5,200. She was paid at this rate for 6 1/2 months. Then her salary was transferred to the state payroll for three months, even though she continued to work 100% on the project. See Exhibit 9.
 2. The subgrantee stated that at the beginning of the project it is true that there was not enough work to keep the secretary busy 100% of the time, but that after the project got underway she had to work overtime in order to keep up with the increasing workload.
 3. The chief prosecutor was hired at \$21,000 and after six months was granted a \$1,000 raise. The grant was revised to reflect this.
 4. The second prosecutor was transferred and his salary raised from \$12,000 to \$17,000. After six months he was granted a \$1,000 raise. This was done in order to retain him. However, he did leave the staff 1 1/2 months later.
 5. The duplicate charges for benefits occurred only on the financial report. The subgrantees accounting records had the correct amounts.
 6. The \$401 charge for certified shorthand reporter fees was later incorporated into a revision and approved.
 7. The rental charge was supported later by the State's approved cost allocation plan.
- iv. A detailed audit of the subgrantee records disclosed that the following amount of legislative expenses were charged against

the grants.

00-701-1A (69) -	\$ 639.07
00-701-2 LR (70) -	214.40
00-702-5-5-LS (70) -	<u>2209.76</u>
	\$3063.23

UNALLOWABLE/IMPROPER SUBGRANT MATCHING CONTRIBUTION

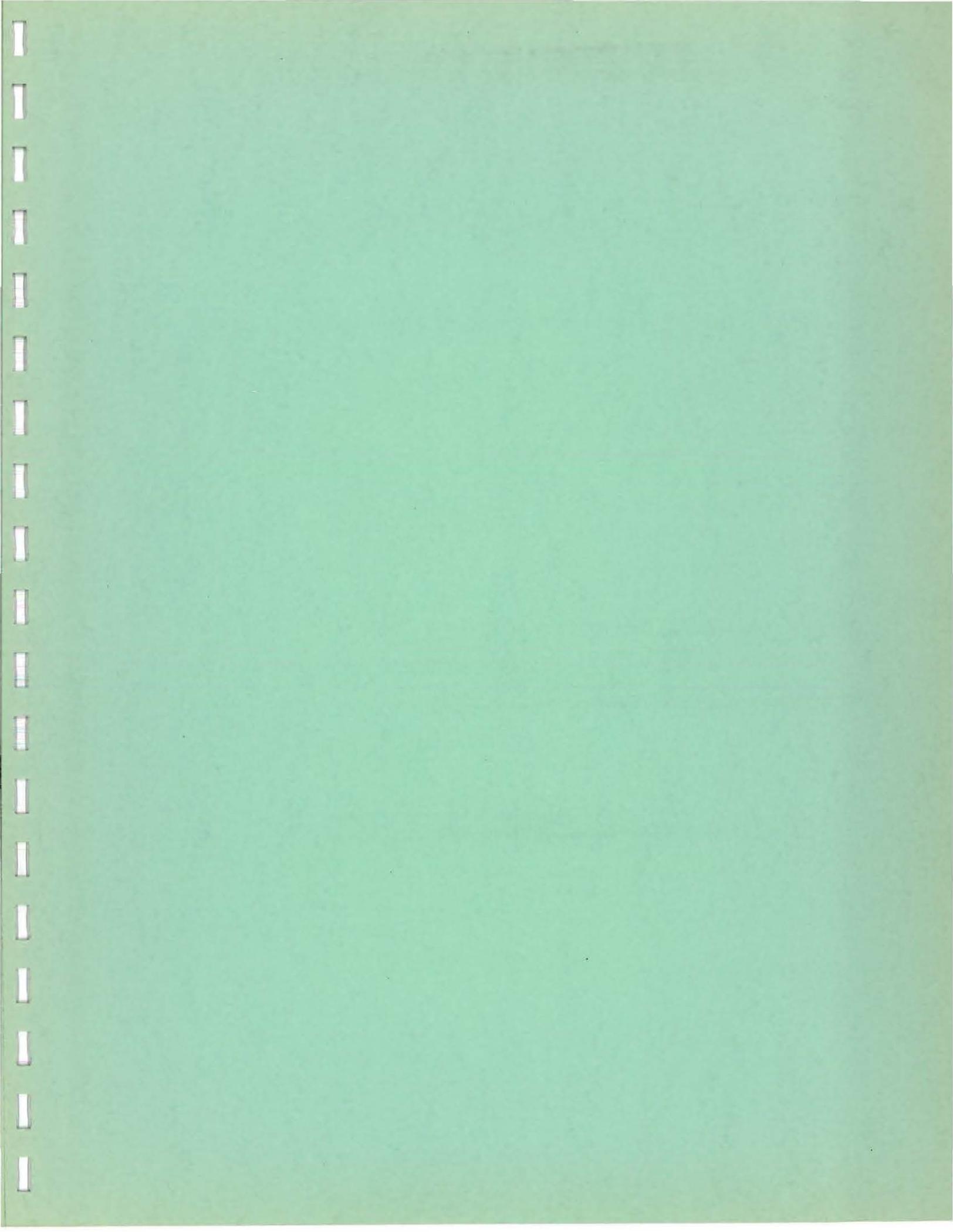
For grant #00-702-7-14-PS (70), the audit funding states that \$13,187.00 is unallowable because the grant was under matched. The SPA approved the under match because, at the same time, grant #00-702-1-15-PS (70) was approved and it contained \$46,115.86 of State match for \$18,709.58 of Federal funds. This latter grant eventually was reduced to \$43,414.41 of State match for \$17,620.87 of Federal funds, an overmatch of \$25,793.54, as the program required a 50% - 50% match of the Federal funds. The audit report does not state why this overmatch was not considered as it was pointed out to the Auditor. It is assumed that the overmatch was not considered as the projects were in different program areas. However, in 1970 this match by each program area was a new guideline and was not understood by the SPA. This problem has not occurred since and will not happen in the future as each project contains its own match need.

B. Summary of Unallowable/Refundable and Questioned Expenditures

All unallowable/refundable and questionable expenditures (including firm obligations) presented below are subject to final decision by the LEAA region. The classification as to "Unallowable" and/or "Refundable" or "Questionable" represents only the auditor's opinion based on conditions set forth in Part III of the audit report. The term "Unallowable/Refundable" refers to expenditures which the auditor considers ineligible for Federal participation or which are otherwise refundable to either the SPA and/or LEAA depending on the circumstances. The term "Questionable" refers to expenditures which, in most instances, require additional information or other action(s) to establish allowability.

Page References Part III	Description	Expenditures (and Firm Obligations)		Audit Response Page Number
		Unallowable/ Refundable	Questionable	
14	Planning subgrants to CCCs for 1969, 1970 and 1971		\$ 385,924	6 & 7
16-17	Grant Administration Cost		25,000	12 & 13
20-21	82-702-2C-11(71) 82-702-5B-8(71) 82-702-5A-7(71)		16,736 6,652 16,202	15 & 16
21-22	85-702-3B-4(71)		16,000	21
23	00-701-13(70)SC		9,000	21
23-24	77-701-8DU		2,500	21
24	00-702-6B-2-ICC(71)		21,000	21
24-25	00-702-2C-4-PP(71) (Collins Radio Co. \$25,000 - Baxter McDonald & Co. \$10,000)		35,000	21
27	Interest Earned on Federal Funds	\$ 6,080		24
28-29	Contractual Services Expenditures		69,819	27

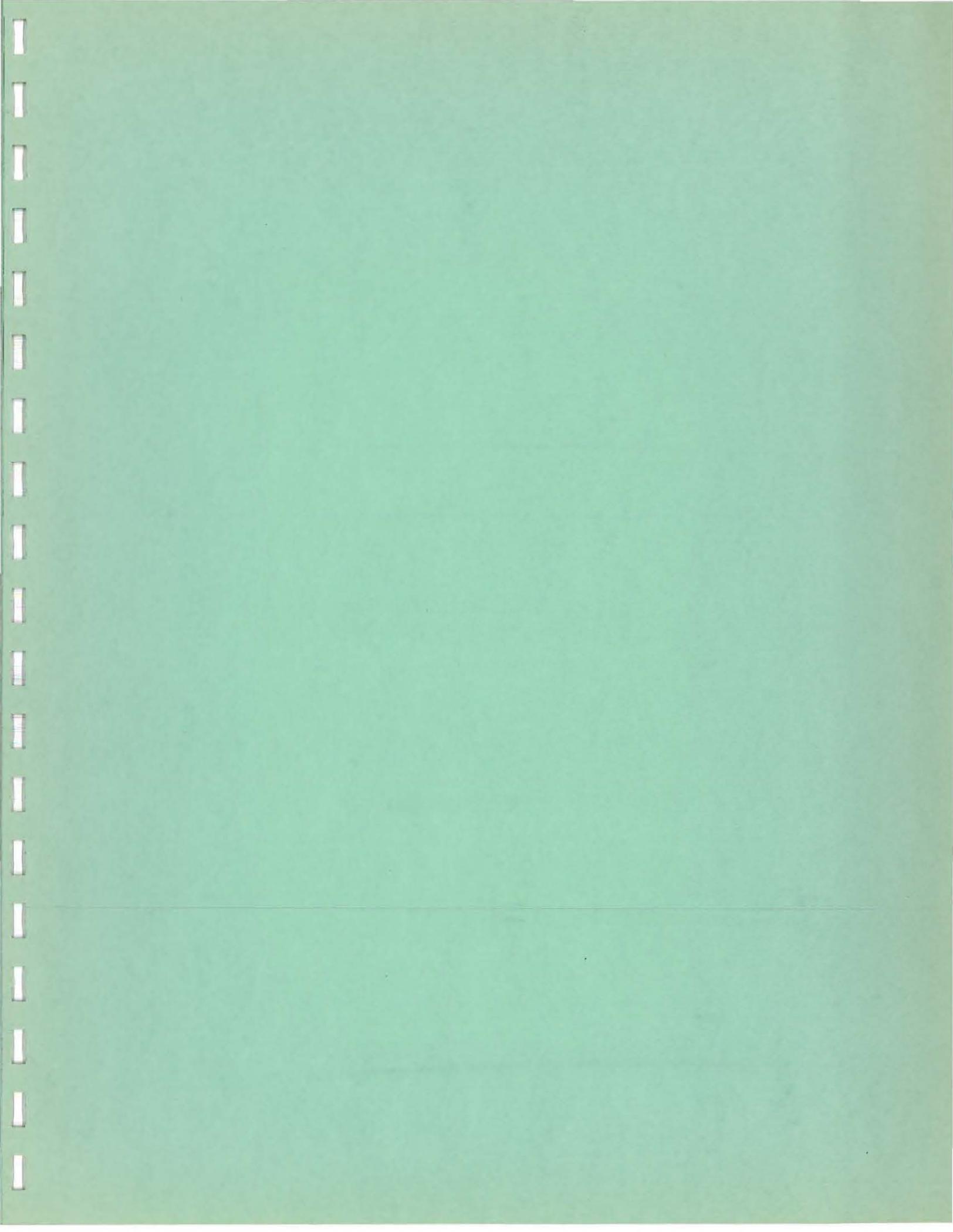
Page References Part III	Description	Expenditures (and Firm Obligations)		Audit Response Page Number
		Unallowable/ Refundable	Questionable	
32	77-702-8-13(70)		\$ 9,135	34
32-33	00-702-5B-26-AG(71)	\$ 3,111	5,278	34
33-34	00-702-7-14-PS(70)	5,974		34
34	Unallowable Match	4,585		34
34	00-702-7-14-PS(70)	<u>13,187</u>		34
		<u>\$32,937</u>	<u>\$ 618,246</u>	



State of Iowa Response to LEAA Audit

TABLE OF CONTENTS
EXHIBITS

Exhibit #1	Letter from Iowa Crime Commission Chairman to the LEAA Regional Administrator
Exhibit #2	Internal Procedures Manual
Exhibit #3	Technical Assistance Letters
Exhibit #4	Non-Supplanting Certificate and Application for Grant
Exhibit #5	Copies of Approved Grants
Exhibit #6	Equipment Procurement and Contract Consulting
Exhibit #7	Daily Cash Needs Letter and Request for Funds Form
Exhibit #8	Letter, Rationale on Bomb Disposal Trailer
Exhibit #9	Letter, Attorney General



Robert D. Ray
Governor



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May 9, 1973

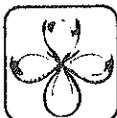
Mr. William H. Smith, Regional Administrator
U. S. Department of Justice
Law Enforcement Assistance Administration
436 State Avenue
Kansas City, Kansas 66101

Dear Mr. Smith:

Accelerated activities of the Iowa Crime Commission (supervisory board) automatically provide for a deeper review of State Planning Agency activities than ever before. The functioning of four specialized committees, in addition to the Executive Committee, brings us very close to the full-time staff. As you know, plans and revisions of plans are received by the committees as well as the full Commission. Approval of grants to include reversion requests to the Executive Committee also contribute to our overall supervision of the State Planning Agency. In its last meeting, the Executive Committee discussed a deeper and more formal involvement which would perhaps retain the services of an outside source to periodically evaluate SPA activities. While all agree that a greater insight is desirable by the Iowa Crime Commission of SPA operations, the very nature of a volunteer commission indicates that only reasonable controls can be afforded.

We must be ever mindful of the overhead cost of this program. The Commission has every confidence in the State Planning Agency and, while there is need for constant improvement, its progress certainly cannot be disputed.

I will be watching very closely to see whether our new over-view policy is adequate. In the meantime, I have requested the Executive Director to set up a program of evaluation and review of the Area Crime Commission staffs. This latter procedure, in addition to a critical analysis of applications, of grant administration, and of the submission of the FY 1974 Area Comprehensive Plan, will provide an excellent measuring stick. The Executive Director and/or his



Iowa
a place to grow

Mr. William H. Smith, Regional Administrator

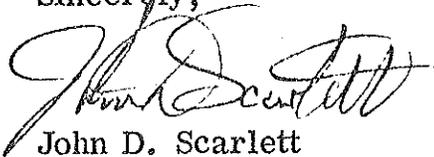
May 9, 1973

Page two

key people will also periodically visit each Area Crime Commission in the company of one of the Iowa Crime Commissioners.

As always, our Commission will be pleased to receive suggestions that would improve the overall effectiveness of this program in Iowa.

Sincerely,

A handwritten signature in cursive script, appearing to read "John D. Scarlett".

John D. Scarlett

Chairman

Iowa Crime Commission

INTERNAL PROCEDURES MANUAL



May 1973

TABLE OF CONTENTS

Section I

- A. Introduction
- B. Personnel Information, Policies & Procedures. 1
- C. Table of Organization 11

Section II

- A. Receipt Review & Approval of Grant Applications
& Application for Grant Revision. 15
- B. Appeals 19

Section III

- A. Functions & Procedures. 25
 - 1. Management. 26
 - 2. Fiscal/Administration 31
 - 3. Programs. 51
 - 4. Plan Development. 69
 - 5. Grant Evaluation & Audit. 98

Section IV

- A. Miscellaneous Procedures.111
 - 1. Technical Assistance.112
 - 2. Statement on Civil Rights115
 - 3. Field Review of Civil Rights Compliance . . .117

Section V

- A. Purpose & Functions of the Iowa Crime Commission.120
- B. Standing Committee Functions & Rules.122
- C. Committee Functions124

INTRODUCTION

The Omnibus Crime Control and Safe Streets Act of 1968 (P.L. 90-351) provides increased federal assistance to help states and localities deal with crime and lawlessness. It affirms the principle that crime is essentially a local problem and that the Federal Government should supplement, but not supplant, local support to states for a massive nationwide attack on crime.

The Omnibus Crime Control and Safe Streets Act was brought into existence to establish a method whereby the Federal Government could financially assist the state and local governments by providing a channel of funds through the bloc grant system.

PERSONNEL INFORMATION-POLICIES & PROCEDURE

I. Hours of Duty

- A. SPA employees work forty (40) hours a week, eight (8) hours a day, from 8:00 a.m. to 4:30 p.m., Monday through Friday, including a daily one-half hour lunch break.

II. Holidays

- A. State holidays are listed as follows:

1. Memorial Day
2. Independence Day
3. Labor Day
4. Veteran's Day
5. Thanksgiving Day
6. New Year's Day
7. Other days may be declared by the State Executive Council.

III. Leave

- A. There are two basic types of leave, 1 with pay and 1 without pay. Leave is both earned and charged in one hour increments.
1. Annual Leave
 - a. Annual leave is used for vacation or necessary personal business. While annual leave is earned as a matter of right, it may only be taken when approved by a supervisor. Each supervisor will do his best to show every reasonable consideration when time is requested off, but the needs of the office must be kept in mind. In consideration of this fact, each employee should plan and request leave as far in advance as possible so that the supervisor will be able to plan the work load accordingly and thus be better able to grant the request.
 - b. If a bona fide emergency occurs requiring that an employee remain away from work without prior approval, such must be communicated with the supervisor at the earliest possible moment on the first day of absence, but no later than two hours after the beginning of scheduled work time.

- c. Annual leave for full-time employees is accrued at the rate of:
1. One (1) week vacation during the first year of employment; 3 hours for the first month, 3 hours for the second month, 4 hours for the third month and similarly for succeeding three month periods during the first year of employment.
 2. Two (2) weeks vacation during the second and through the fourth year of employment; 6 hours for the first month, 6 hours for the second month, 8 hours for the third month and similarly for succeeding three month periods during the second and through the fourth year of employment.
 3. Three (3) weeks vacation during the fifth and through the eleventh year of employment; 9 hours for the first month, 9 hours for the second month, 12 hours for the third month and similarly for succeeding three month periods during the fifth and through the eleventh year of employment.
 4. Four (4) weeks vacation during the twelfth and all subsequent years of employment; 12 hours for the first month, 12 hours for the second month, 16 hours for the third month and similarly for succeeding three month periods during the twelfth and all subsequent years of employment.
 5. After one year employment if an employee is terminated, other than discharge for good cause, he shall be paid the vacation earned and has not taken prior to termination.
2. Sick Leave
- a. An employee may use sick leave:
 1. When he is unable to work because of sickness, injury, or pregnancy and confinement.
 2. When, because of exposure to contagious disease, his presence would jeopardize the health of others or when a member of his immediate family is afflicted with a contagious disease and requires care and attention. (A contagious disease is defined as one subject to quarantine and determined by local health authorities).
 3. When an employee has a medical, dental or optical examination or treatment.
 - b. The following are guidelines to be used when sick leave is involved:
 1. Use sick leave as frugally as possible and only for the reasons given above. Sick leave should not be used for rest, minor indispositions or to supplement annual leave.

2. If an employee is too sick to come to work, let the supervisor know before or within 2 hours after the time you are scheduled to report to work.
 3. Ask the supervisor in advance for approval to use sick leave for medical, dental or optical examination, whenever possible. Generally, a doctor's certificate will be requested for sick leave absences in excess of 3 working days. However, a supervisor may request a doctor's certificate for shorter sick leave absences when the validity of the illness is questioned.
 4. If an employee deviates from any of these guidelines, the absence may be charged to annual leave rather than sick leave, and may result in disciplinary action.
 5. All full-time employees earn 10 hours sick leave each pay period. Sick leave may be accumulated to a maximum of 90 days.
3. Leave Without Pay
 - a. Leave without pay is granted under certain conditions when annual or sick leave is exhausted or unavailable for use or for educational or other purposes which are determined to be in the interest of the State. Leave without pay is a privilege. It must be requested from a supervisor, who will determine whether it will be approved or denied.
 4. Absence Without Leave
 - a. An employee is absent without leave when permission is not obtained in advance or the office does not approve the reason for absence. This may be grounds for disciplinary action or dismissal.
 5. Time & Attendance Record
 - a. Leave must be requested of and granted by one's supervisor or his designee. Each employee is required to sign his time and attendance record after taking leave.
 - b. The record of time and attendance is maintained by the Administrative Assistant.

IV. Pay

A. Pay Period

1. The state payroll is figured on a 30 day basis. The first pay period is from the first day of the month through the fifteenth day of the month. The second pay period is from the sixteenth day of the month through the last calendar day of the month.
2. Your check will be delivered to you along with an earnings statement. Deductions will be made for State and Federal tax, FICA (Social Security) and IPERS (Iowa Public Employees Retirement System).
3. Each employee will be paid five (5) working days after the fifteenth of the month and five (5) working days after the last calendar day of the month.

V. Health Insurance

- A. Coverage is available under two plans to employees. The State contributes \$12.00 on either of the two plans. Further details on insurance coverage and rates are available in brochures.

VI. Life Insurance

- A. Coverage of \$5,000.00 is extended to all employees at no cost to the employee. Additional optional coverage is available at a slight charge. Further details are available in brochures.

VII. Retirement

- A. All permanent employees contribute to Iowa Public Employees Retirement System at the rate of 3.5% up to \$7,800.00. The State, as employer, contributes at the same rate.
- B. An employee who is no longer employed by the State, or this agency, may apply for a refund of his retirement contributions.

VIII. Recruitment

- A. The State Planning Agency will consider any prospective employee on his or her individual qualifications regardless of that person's race, color, creed, sex, religion, or national origin. All recruitment of employees will be done through the Iowa Employment Security Commission, the Merit Department, local private employment agencies, or through newspaper advertising. Consideration will also be given to anyone who makes application on his or her own initiative. No prospective employee will be queried with respect to his political persuasion.

IX. Selection

- A. Determined by appropriate section, supervise Deputy Director and Executive Director based upon qualifications and/or experience.

X. Background Investigation

- A. Each employee is advised that a routine background investigation is requested by this agency from the Bureau of Criminal Investigation. If this investigation turns up any former or present criminal activities or arrests, such can be considered grounds for failure to employ or termination of employment.

XI. Promotions

A. Selection

- 1. As far as practicable and feasible, vacancies shall be filled by promotion of qualified permanent employees based upon individual performance, as evidenced by recorded service records, personal observation and due consideration for length of service and capacity for the new positions.

XII. Separations

- A. To resign in good standing, an employee must give the appointing authority at least fourteen calendar days prior notice unless the appointing authority agrees to permit a shorter period of notice. A written resignation shall be supplied by the employee. If a permanent employee is retired under any provision of the Iowa code or through his own volition, he shall be considered separated without prejudice and does not have a right of appeal.
- B. Dismissal For Cause
 - 1. The attainment of permanent status in a position does not create sinecure a right of position regardless of performance level, but rather a fair evaluation and treatment in relation to a reasonable standard of performance and action. Any employee is subject to discharge for any of the following causes:
 - a. Inefficiency
 - b. Insubordination
 - c. Incompetence
 - d. Failure to perform his assigned duties
 - e. Inadequacy in performance of assigned duties
 - f. Narcotic addiction
 - g. Dishonesty

- h. Unrehabilitated alcoholism
 - i. Negligence
 - j. Conduct which adversely affects the employee performance or the agency employing him
 - k. Conviction of a crime involving moral turpitude
 - l. Conduct unbecoming a public employee
 - m. Misconduct or any other just and good cause
2. An appointing authority may discharge any permanent employee for any of the causes set forth in this subsection. A written statement setting forth the specific cause or causes under which the appointing authority has so acted shall be given to the employee within 24 hours of the action and copy sent to the Executive Committee. The discharged employee may appeal to the appointing authority and if not satisfied, may within thirty calendar days after such discharge appeal to the Executive Committee for a review of the action.

XIII. Appeals

A. Appeal From Discrimination

1. Any applicant or employee who has reason to believe that he has been discriminated against because of religious or political opinions or affiliations or race or national origin or any other factor in any personnel action including denial or transfer may appeal to the Executive Committee. Such appeal shall be filed in writing and within ninety (90) calendar days of the alleged discrimination. The Executive Committee shall hear the appeal at its next regularly scheduled meeting, or at special meetings as the Executive Committee shall direct, and give its written decision within seven calendar days of the hearing date.
2. Retirement - If a permanent employee is retired under any provisions of the Iowa code or, through his own volition, he shall be considered as separated without prejudice and does not have right of appeal of such action to the Executive Committee.
3. Resignation - Any permanent employee who resigns from his position shall not have the right of appeal to the Executive Committee.

B. Appeals From Dismissal

1. Any permanent employee who is dismissed, may appeal in writing to the Executive Committee within thirty (30) calendar days of such action by the appointing authority. Within seven (7) calendar days of the receipt of such written appeal, the Executive Committee shall serve the employee and the appointing authority with written notice of the hearing date, which shall be the next regular scheduled

9. At the beginning of his testimony, each witness will be required to state his name, address and other pertinent information. All testimony shall be made under oath and shall be subject to questioning by the parties and the Executive Committee at the proper time.
 10. Any letter, paper, or other object offered at the hearing shall be properly presented and shall be marked with a distinguishing number, such as appointing authority Exhibit No. 1 or appellant Exhibit No. 1. Opposing parties shall be entitled to examine the exhibits as offered and make objections where applicable.
 11. Testimony may be presented in statement or question and answer form and shall be recorded, transcribed or otherwise preserved as the Executive Committee may direct.
 12. No questioning shall be allowed or statements made, by any person attending the hearing, except through the appointing authority, the appellant, or their designated representative or through the presiding officer of the Executive Committee.
 13. The members of the Executive Committee shall have the power to administer oaths, subpoena witnesses and compel the production of books and papers pertinent to any investigation or hearing authorized by the Act.
 14. Good reason appearing therefore, hearings may be continued beyond the period originally scheduled or recessed until a future day by agreement of the Executive Committee and the parties. Request for continuance shall be made to the Executive Committee at least one calendar week prior to the scheduled hearing date.
- B. Order Of Procedure On Appeal
1. The Chairman of the Executive Committee, or any member of the Executive Committee, designated by the Chairman, shall convene the Executive Committee at the time and place specified for the purpose of hearing the appeal. Written notice of the time and place of the hearing shall be furnished in accordance with the Act and these rules.
 2. The Chairman, or Executive Committee member designated, shall state the subject of the hearing and the names of the principals.
 3. The hearing shall be heard in the following manner:
 - a. Presentation by the appellant, followed by responsive questioning by the appointing authority and the Executive Committee.

- b. Presentation of the appointing authority, followed by responsive questioning by the appellant and the Executive Committee.
- c. Closing statement by the appellant.
- d. Closing statement by the appointing authority.
- e. Submission of the case of the Executive Committee.

XIV. Performance Evaluation (Form Attached)

- A. Service records shall be prepared at least once per year for a permanent employee. Service records shall be considered in determining salary advancement, in making promotions, transfers and dismissals, and shall serve as a counseling device.
- B. Service records shall be discussed with the employee and each employee shall have a right to make his comments thereon. The signing of the service record by the employee does not signify his agreement with the service record, but only that he has seen the service record, it has been discussed with him and he has been afforded the opportunity to make comments to be attached to or placed in the service record.
- C. Each employee shall receive a copy of his service record or records and a copy of all service records shall be placed in the employee's file as a permanent record.
- D. For any period in which a service record has not been made as to the performance of an employee, or for which a service record is not made in accordance with this chapter, service shall be considered as satisfactory.

XV. Failure to Perform

- A. At any time an employee is not performing the required functions of the position, the supervisor will:
 1. Identify in written form those functions and place employee on probationary status.
 2. Cover same with employee.
 3. Set date for review allowing a 60 day period for employee to improve upon those functions.
 4. After 60 day period, identify in written form either positive or negative decision of performance.
 - a. Positive Decision - employee is informed in writing and removed from probationary status.
 - b. Negative Decision - employee is informed in writing that the probationary status shall continue and at the end of 30 additional days, work record will be reviewed and a decision reached as to continued employment
 5. At this time (total of 90 days) if the employee has still failed to perform, dismissal will be made in writing.

STATE OF IOWA
Iowa Crime Commission
Service Record
(Personnel Evaluation)

1 month _____ 3 month _____ 6 month _____ 1 year _____

Retain _____ Dismiss _____

Employee _____

Agency _____

Classification _____ Time Under Your Supervision _____

Period Covered, _____

Describe the actual work you have had this employee doing during the period covered? _____

What has been this employee's work progress while under your supervision (refer to equipment he has learned to use, skills acquired or improved, responsibility assumed, etc.)? _____

What do you consider to be this employee's strong points, weak points, attitude, demonstrated capabilities, etc.? _____

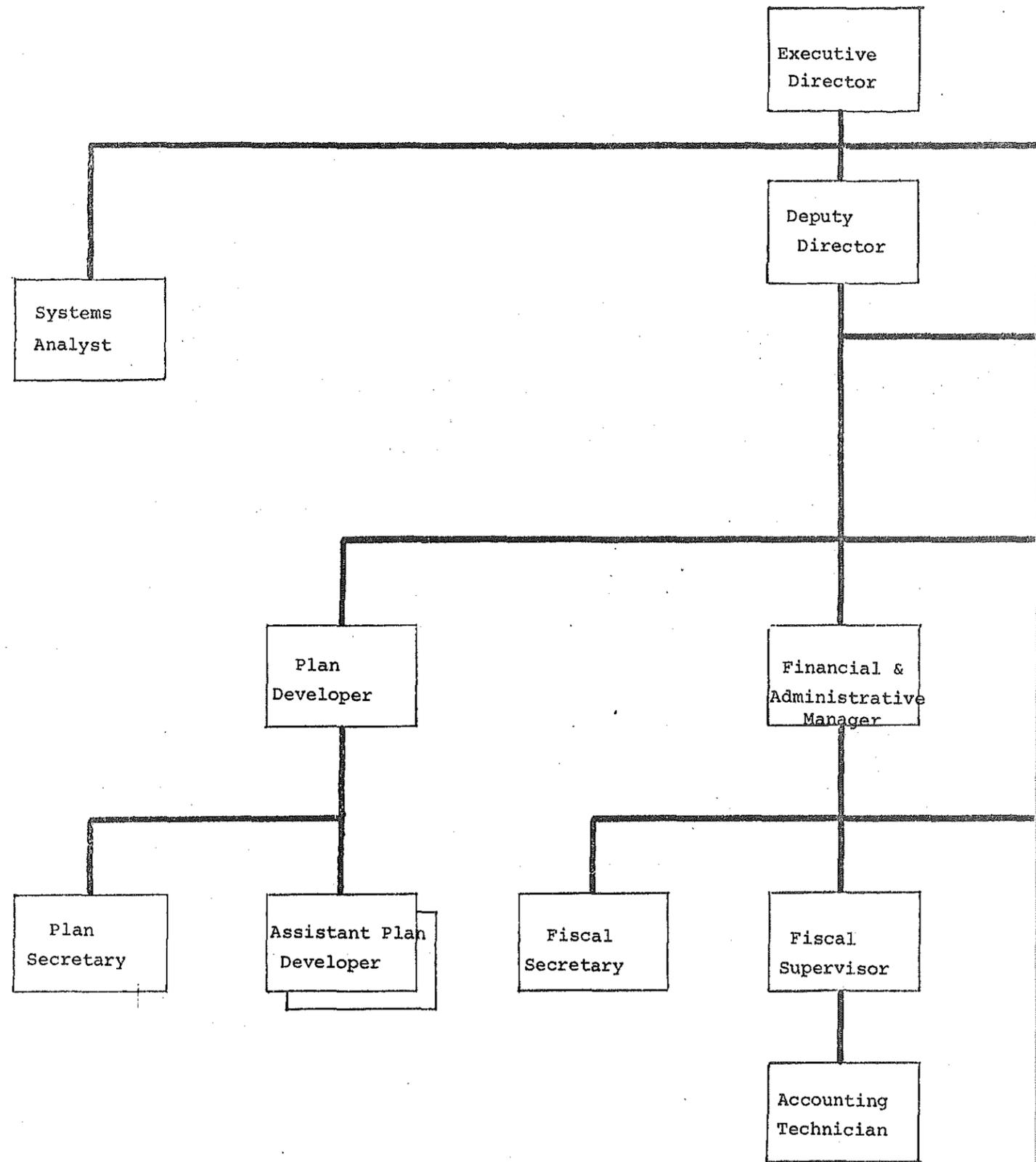
10 Signature of Employee _____

Date _____

Signature of Supervisor & Management _____

Table Of Organization

May 1973



Secretary

Grant
Evaluation
Supervisor

Grant
Evaluator

Program
Manager

Receptionist
Program
Secretary

Administrative
Assistant

Police
Specialist

Corrections
Specialist

Court
Specialist

Police
Prevention
Specialist

Administrative
Secretary

Application
Coordinator

Application
Expediter

Section II

- A. Receipt Review & Approval of Grant Applications & Applications For Grant Revision
- B. Appeals

Receipt, Review & Approval of Grant Applications &
Applications for Grant Revision

I. Receipt

- A. Applications for grants and grant revisions hereafter referred to as "applications" shall be received by the Financial Secretary, that person shall stamp the date of receipt on said application and route to the Program Monitor/ Application Coordinator, here after referred to as PMAC.

II. Log

- A. Applications shall be logged in by the PMAC in the following manner.
1. Application Central Control Log. (Attachment #1)
 2. Financial/Allocation Log
 - a. Entry of receipt of application for grant is made in appropriate section of Financial/Allocation Log. The three major sections of this log relate to reversion requests, 72 allocated, but unawarded requests and 73 requests. Purpose of the log is to insure that applications are within the appropriate year's plan budget and to insure that the fiscal year 1973 applications are within the area commissions fundable priorities.

III. Distribution By PMAC

- A. One copy to Program Manager
- B. One copy to Plan Developer
- C. One copy to Financial & Administrative Manager
- D. Original kept in file by PMAC

IV. Review

- A. Program (Program Manager shall assign to Program specialist).
1. Review for concurrence with short and long page goals of the Iowa Crime Commission.
 2. Review need, justification, implementation and impact.
 3. Review prior support of program and project in both dollars and time.
 4. Coordinate with audit section.

5. Prepare program review sheet (attachment #2) to include a listing of further explanation or information required from subgrantee.

B. Fiscal

1. Review for allowability of costs.
2. Review for accuracy of accounting to include match.
3. Determine if financial and progress reports from unit of government are current.
4. Review all certificates, resolutions, membership lists and signatures for compliance.
5. Prepare fiscal review sheet (attachment #3) to include a listing of further explanation or changes required from subgrantee and to include any special conditions of award.
6. Route fiscal sheet to Program Manager.

C. Plan

1. Review for compliance with appropriate comprehensive plan.
2. Prepare plan review sheet (attachment #4) to include a listing of further explanation or information required from subgrantee.
3. Route plan review sheet to Program Manager.

V. SPA Recommendation

- A. Program section will review all recommendations to determine if application is ready for approval.
- B. If application requires additional information, corrections or further explanation.
 1. Phone call is made to Project Director by Program Specialist, or the Program Monitor/Application Expeditor, hereafter referred to as PMAE, to resolve as many problems as possible. If additional material is to be submitted as a result of this call, the application and review package and a record of the phone call is given to PMAC for holding with suspense date until material is received.
 2. If necessary, a letter is written to the Project Director returning copies and original of application listing all problems to be resolved prior to resubmission. Copy of this letter is filed with PMAC.
 3. Upon submission of requested information PMAC shall route new material to requesting section or Program Specialist, along with appropriate review sheet and application. The review sheet shall be corrected and routed to the program section.

- C. Program Specialist or PMAC shall coordinate with State offices, if necessary and shall request from LEAA Region any costs not approvable by the State Planning Agency.
- D. If review sheets indicate approval or denial.
 - 1. Application for grant revision.
 - a. Specialist shall determine if revisions require approval of the appropriate standing committee.
 - b. If to be presented before a committee the recommendation is prepared for committee action.
 - c. If it does not require committee action or after committee action.
 - 1. Approval - Revision is routed to fiscal/administrative section for approval.
 - 2. Denial - Letter is written to Project Director denying request.
 - d. Fiscal Supervisor handles approval as follows.
 - 1. Compare revision to original grant.
 - 2. Determines affect of revision on federal and matching shares for account adjustment.
 - 3. If required, make adjustment to record of program area award.
 - 4. Route revision award to Accounting Technician.
 - e. Accounting Technician handles approval as follows.
 - 1. Check approval reflecting revision against application for accuracy.
 - 2. Prepare journal voucher reflecting change.
 - 3. Route to Fiscal Manager for concurrence and Deputy or Executive Director for signature.
 - 4. After signature award and copies are distributed as follows.
 - a. Copy to subgrantee
 - b. Copy to area office
 - c. Copy to Program Manager and PMAC for information and central control log.
 - d. Original in grant file.
 - 2. Application For Grant
 - a. Specialist or PMAC shall prepare application recommendation (attachment #5).
 - b. Application Recommendation shall be submitted to the appropriate standing committee for action.

- c. Action of the standing committee shall be entered on the application recommendation.
 - 1. Approval - Specialist shall route application documents in a package to the financial/administrative section for
 - a. Approval preparation of reversionary requests (approval preparation procedure as in e & f of the following.
 - b. Distribution to Iowa Crime Commissioners for action or if application is for continuation, for their information. Administrative Assistant will provide the Press the same information as is submitted to the Iowa Crime Commission.
 - 2. Denial - Specialist or PMAC shall notify the applicant in writing of denial.
- d. The Iowa Crime Commission shall approve or deny.
 - 1. Approval - The fiscal/administrative section will prepare for award.
 - 2. Denial - Application returned to Program Manager for return to appropriate area or State agency noting denial.
- e. The Fiscal Supervisor will
 - 1. Assign grant numbers.
 - 2. Establish project periods.
 - 3. Records grant by subgrantee in report record.
 - 4. Records grant for accounting of award by program area.
- f. The Accounting Technician will
 - 1. Set-up journal voucher.
 - 2. Check figures on approval of grant form for accuracy.
 - 3. Attaches routing slip for flow to Program Manager and Deputy Director or Executive Director for signature.
 - 4. After signature distribution is as follows
 - a. Copy to subgrantee.
 - b. Copy to appropriate area
 - c. Copy attached to initial funding claim and sent to Comptroller for payment.
 - d. Copy to Program Manager for information and PMAC for logging approval in central control log.
 - e. Copy to Administrative Assistant for logging of Special Conditions.

- f. Original inserted in grant file and grant file routed to Fiscal Supervisor for information.

VI. Appeals

- A. Appeal of decisions of the SPA, the standing committees or the Iowa Crime Commission are made in the following manner.
 - 1. If from a local unit of government, the decision to appeal must be approved by the county and area crime commission.
 - 2. If from a State department, the decision to appeal must be approved by the head of that department.
 - 3. Requests to appeal must be in writing and must be received at the SPA 30 days prior to the Executive Committee meeting it is to be reviewed before.
 - 4. All such appeals will be heard by the Executive Committee of the Iowa Crime Commission.
- B. Appeal of decision of the county or area crime commissions may be appealed to the county or area commissions.

PROGRAM REVIEW

Title of Project:
 Program Category:
 Unit of Government:
 Total Project Cost:
 Local Share:
 Iowa Crime Commission share:
 Recommendation:

- | | | |
|----|--------------------------|-------|
| A. | <input type="checkbox"/> | _____ |
| B. | <input type="checkbox"/> | _____ |
| C. | <input type="checkbox"/> | _____ |
| D. | <input type="checkbox"/> | _____ |
| E. | <input type="checkbox"/> | _____ |
| F. | <input type="checkbox"/> | _____ |
| G. | <input type="checkbox"/> | _____ |
| H. | <input type="checkbox"/> | _____ |
| I. | <input type="checkbox"/> | _____ |
| J. | <input type="checkbox"/> | _____ |

All staff review sheets will become a part of application

Date _____ Signature _____

Date _____ Concur PM _____



Program Specialist Review Continued

Date submitted to Task Force:

Action of Task Force:

Date:

Attach Recommendation

Action of Supervisory Board

Date:

Attach Results

Date submitted to fiscal if approved:

Date applicant notified of results:

Date:

FISCAL ADMINISTRATION REVIEW

Project Title:
Program Category:
Unit of Government:
Additional Data Required:

- A. ICC Form #21
- B. 10/72
- C. CP-B18592 DI 10/72
- D.
- E.
- F.
- G.
- H.

Recommendations:



Date:

Fiscal Representative:

PLAN DEVELOPMENT REVIEW

Project Title:
Program category:
Unit of government:
Additional data required:

A.
B.
C.

Recommendations:



Date:

Plan Development Representative:

Application Recommendation

Project Title
Unit of Government
Project Period
Local Share
State Buy-in
Crime Commission Share
Program Area
Fiscal Year Funds

Project Summary

Committee Recommendation: date of final action _____
approval, approval with conditions*, disapproval

SPA Recommendation:
approval, approval with conditions*, disapproval

ED _____

DD _____

FM _____

PD _____

PM _____



*conditions, if recommended are attached

Section III

A. Functions & Procedures

1. Management
2. Fiscal/Administration
3. Programs
4. Plan Development
5. Audit

Management

EXECUTIVE DIRECTOR

The Executive Director is appointed by the Governor, serves at his pleasure and is responsible for the entire operation of the State Planning Agency.

He must be an able administrator, familiar with all facets of policies and procedures of the Federal and State Acts pertaining to implementation of the Omnibus Crime Control and Safe Streets Act of 1968. In addition, he must maintain liaison with the Law Enforcement Assistance Administration of the United States Department of Justice. He must insure a close relationship with the Iowa Congressional Delegation to enhance the State's position and to provide for the successful coordination of any proposed modifications of the Omnibus Crime Control and Safe Streets Act of 1968. It is necessary for the Executive Director to be effective in working with the State Legislature toward the improvement of the Criminal Justice System. It is his responsibility to insure the implementation of Chapter 80 C of the Code of Iowa. Said Act requires him to: act as a catalyst between local units of government and state agencies promoting maximum intergovernmental cooperation; make certain the Commission conducts inquiries, investigations, analysis and studies into the incidence and causes of crime in Iowa; direct research, planning and action programs in furtherance of the policy and purpose of the Act.

DEPUTY DIRECTOR

The Deputy Director of the Iowa Crime Commission is appointed by the Governor and serves at his pleasure. In the absence of the Executive Director, the Deputy Director assumes the responsibilities of Director. The Deputy Director assists the Director in coordinating the State Planning Agency personnel and activities. The Deputy Director must make certain that the Executive Director's policies and procedures are properly implemented. He must be an able administrator, familiar with all facets of policies and procedures of the Federal and State Acts pertaining to implementation of the Omnibus Crime Control and Safe Streets Act of 1968.

He shall assist the Executive Director in maintaining liaison with the Law Enforcement Assistance Administration of the United States Department of Justice. He aids the Director in establishing a close relationship with the Iowa Senatorial and Congressional Delegation in order to insure the successful coordination of any proposed modifications of the Omnibus Crime Control and Safe Streets Act of 1968. He must be effective in working with the State Legislature toward the improvement of the Criminal Justice System in Iowa. He must assist the Director in conducting the regular Crime Commission meetings, Executive Committee meetings and all standing and special committee meetings of the Iowa Crime Commission. He must aid the Director in the implementation of those portions of Chapter 80 C of the Code of Iowa as set forth in the position description of the Executive Director of the Iowa Crime Commission.

SYSTEMS ANALYST

- I. To provide major assistance in the conversion to the extended Arkansas Grants Management Information System.
 - A. To analyze the Iowa SPA's procedures and the procedures in the Arkansas system.
 - B. To tailor the Arkansas system to fit Iowa's need as closely as possible.
 - C. To inform the Iowa SPA what changes they will need to make the procedures.
 - D. To supervise the programmers in converting the system.
 - E. To establish and document work flow.
 - F. To train staff in use of the new system.
 - G. To do a follow-up study on the system.
- II. To aid in evaluating the TRACIS project and to help insure that TRACIS fulfills it's original objectives as closely as is reasonable.
- III. To determine what statistics can be obtained from the TRACIS system and to implement procedures to obtain these statistics.
- IV. To aid in determining what criminal justice statistics and/or raw data can be obtained from the various possible sources and to determine that practicality of automated procedures for evaluating the raw data.

CONFIDENTIAL SECRETARY

- I. Transcribe and type letters for Executive Director and Deputy Director.
- II. Answer correspondence concerning meetings, appointments, etc.
- III. Make travel arrangements for Executive Director and Deputy Director.
- IV. Prepare expense reports for Executive Director and Deputy Director.
- V. Make travel arrangements for out-of-state travel for SPA staff (room reservations, plane tickets and reservations, travel authority, etc.)
- VI. Make travel arrangements for Commission members for out-of-state travel.
- VII. Attend staff meetings and take minutes.
- VIII. Attend Executive Committee meetings and take minutes.
- IX. Attend Iowa Crime Commission meetings and take minutes.
- X. Attend special committee (Executive) meetings and take minutes.
- XI. Schedule conference room engagements (along with Administrative Assistant).
- XII. Provide coffee, cups, etc. for conference room meetings.
- XIII. Log and update: Senate and House calendars, Senate and House journals and Senate and House bills.
- XIV. Type and distribute minutes of Executive Committee meetings.
- XV. Type minutes of Iowa Crime Commission meetings.
- XVI. Maintain newsclipping compilation for Executive Director.
- XVII. Carry out orders of instruction from Executive Director to staff members when instructed.
- XVIII. Type SPA memos.
- XIX. Schedule appointments for Executive Director.
- XX. Assist Administrative Assistant in Commission and Executive Committee meeting arrangements.

Fiscal/Administration

FINANCIAL & ADMINISTRATIVE MANAGER

To serve as the financial advisor to the Executive Director and the Commission. Responsible for the entire fiscal accounting, budgetary and administrative aspects of the Act as each pertains to the State of Iowa and its political subdivisions.

The accounting, purchasing, budgeting and SPA Administration required to administer this Act.

The coordination of the agency's financial activities with that of other State agencies, local criminal justice planning agencies, participating local units of government and the appropriate Federal agencies.

The supervision of the preparation of such reports, statements and other financial materials required.

The supervision of those fiscal and office management activities assigned by the Executive Director.

The development, direction and supervision of the financial controls necessary.

The review and interpretation of the financial status of the agency so as to keep the Executive Director and Commission informed of the current operating policies from a fiscal standpoint.

The review and necessary revision of all funding proposals including interpretation of Commission policy and financial guidelines.

FINANCIAL & ADMINISTRATIVE MANAGER PROCEDURES

- I. Supervision (primary part of position)
 - A. Overview of all activities in this section.
 - B. Review of budgets, reports and accounting system.
 - C. Make required decision on questions raised while section work is being accomplished.
 - D. Contact person with governmental agencies on financial and administrative problems.
- II. Receipt, Review and Approval of Applications
 - A. The fiscal review is performed by this position.
 - B. Details of that review contained in the procedure developed specifically for this process.
- III. Miscellaneous
 - A. Provide link with other sections through conference with section managers.
 - B. Through administrative assistant, provide general overview of agency administration.

ADMINISTRATIVE ASSISTANT

Provides administrative supervision and business management services in a State agency.

Is responsible for formulating procedures for agency activities, directing the correspondence flow, maintaining the central files, resource library, security procedures, directing the payroll administrative activities and recruitment of prospective employees for the agency staff.

The position supervises the procurement, storage and issuance of all equipment, materials, supplies and general printing utilized in agency operations. The duties are to study, analyze and make recommendations on operational procedures, to provide verbal and written interpretations of the application of policies and procedures for specific situations. Coordinates activities of the program with various other programs. He consults with all segments of management responsible for policy of action concerning any phase of the State agency affecting financial or program matters. Updates and disseminates all temporary and permanent guidance provided to subgrantees. Plans and coordinates regular and special meeting of the full Crime Commission and maintains minutes of same. Provides news media with news releases of Iowa Crime Commission, Standing and Special Committee meetings; also provides new media with grant application information to be reviewed pending approval of Iowa Crime Commission.

ADMINISTRATIVE ASSISTANT PROCEDURES

I. Personnel Activities

- A. Recruitment (also see Civil Rights Compliance)
 - 1. Places vacancy giving position description and educational and/or experience requirements.
 - 2. Arranges for skills testing if required.
 - 3. Schedules applicants for interviews.
 - 4. Request background investigation from Bureau of Criminal Investigation.
 - 5. Request other information as necessary.
- B. New Hire
 - 1. Provide detailed explanation of benefits, options and agency regulations (e.g. time sheets, leave application, etc.)
 - 2. Execute proper documents, M-3, M-27, M-P, health and life insurance forms, for Comptrollers record and Centralized Payroll (detailed instructions in Agency Payroll Manual).
- C. Table of Organization
 - 1. Review periodically to insure position number, position name and salary range concurrent with Comptrollers office.
 - 2. Execute M-5 for organizational changes including additions, deletions and/or reallocation of positions (detailed instructions in Agency Payroll Manual).
- D. Review Dates
 - 1. Establish above for individual employee.
 - 2. Provide section supervisor with agency form for review of employee weakness; strengths, recommendations positive or negative for pay increase 30 days prior to review date.
 - 3. Upon receipt of recommendation take any necessary action affecting payroll and/or employee file.
- E. Employee requests regarding payroll changes.
 - 1. Execute required forms to reflect changes.
- F. Preliminary and final payroll.
 - 1. Verify for accuracy of figures including all deductions, pay changes and inclusion of new hires.

II. Office Management

- A. Insure overall agency appearance.
- B. Periodically review working conditions, determine need and arrange with proper Department of Building and Grounds for handling.

- C. Instruct in equipment operation.
- D. Schedule reception and telephone coverage.
- E. Schedule vacation.
- F. Arrange for equipment and furnishing repair as well as building repair.
- G. Design forms as required and management of same.

III. Procedures For Agency Activities

- A. Review procedure periodically and coordinate with Fiscal, Plan and/or Program section as well as management for assurance of flow.
- B. Analyze and recommend to management adoption of new procedures or changes in current procedures.

IV. LEAA External Directives

- A. Update and maintain all directives.
- B. Coordinate any directives with appropriate section to assure compliance.

V. Correspondence Flow

- A. Review all incoming correspondence.
- B. Assign to proper section for staffing.
- C. Apprise management of any needed information while document is being staffed.
- D. Assign copy of deadline documents to suspense for bringing up at proper time to insure compliance.

VI. Central Files

- A. Analyze and recommend changes to current system to aid staff in identification and retrieval.
- B. Supervise clerical personnel to insure proper handling of file documents.
- C. Instruct clerical personnel in execution and placement of new files.
- D. Determine dates for assigning outdated files to storage.

VII. Plan and coordinate regular and special meetings of Iowa Crime Commission, Executive Committee and/or Special Committees.

- A. Upon determination of meeting date, arrange for space in State conference room or private sector.
- B. Prepare agenda
 - 1. Review last minutes for placement or follow-up items on agenda.
 - 2. Coordinate tentative agenda with section supervisors for additions or deletions.
 - 3. Present tentative agenda at weekly staff meeting for final determination of agenda items and assignment of those items for handling by staff members and/or member of appropriate committee or commission.

4. Coordinate agenda with chairman of appropriate committee or commission.
5. Set deadline and notify staff for receipt of information materials to accompany agenda for submission to appropriate committee or commission.
6. Upon receipt of information materials to accompany agenda, have reproduced and submitted ten days prior to meeting date (By-Law requirement).
7. Make appropriate news release.
8. Set-up conference room arrangement, including all meeting materials.
9. Arrange for taping of minutes and/or stenographic assistance.
10. Maintain log of confirmation of attendance to assure a quorum.
11. Have minutes transcribed, reproduced and forwarded to commission and/or committee members.

VIII. Update and disseminate temporary and permanent guidance to appropriate area office, county crime commission and sub-grantee.

- A. Determine need.
- B. Make appropriate administration Planning Guide changes.
- C. Mailings to subgrantee and others as required supervise.

IX. Printing

- A. Determine need according to size and binding.
- B. Determine need for Centralized Printing or Printing Board.
- C. If Centralized Printing, request required copies and method to be used in assembling, execute documents supporting same.
- D. If Printing Board, meet with department to establish estimated cost for printing, binding and assembling. Execute document supporting same.

X. Procurement

- A. Determine need.
- B. If office equipment or furnishing and within approved budget, submit to General Services Division a requisition outlining needs and/or any specifications.
- C. If miscellaneous item costing up to \$150.00, purchase.
- D. Expendable supplies order through General Services Supply.
- E. Detailed instructions for handling procurement covered in Agency's General Service Manual.

- XI. Storage and issuance of equipment, materials and supplies.
 - A. Assign expendable supplies to Controlled Storage.
 - B. Equipment contained in locked storage and may be checked out by signing register.
- XII. Inventory Control
 - A. Execute periodic inventory of all equipment, materials and supplies.
 - B. Supervises regular (semi-annually) inventory of all agenda equipment and furnishings to insure control.
- XIII. Reports
 - A. IPERS, Quarterly
 - 1. Reflecting new members earning \$300.00 or more and name changes covered under IPERS.
 - B. Employment Security Act, Quarterly
 - 1. Reflecting total wages paid to date and total taxable wages.
 - C. Occupational Injuries and Illness, Semi-Annually
 - 1. Reflecting average number of employees, total hours worked (detailed instruction within reporting form).
 - D. Time Sheets, Monthly
 - 1. Review and execute document for charging annual and/or sick leave to Centralized Payroll.
 - 2. Record total hours worked for Occupational Injuries and Illness Report.
- XIV. Receipt, Review and Approval of Application
 - A. Details contained in procedure developed specifically for this process.
- XV. Security
 - A. Issue key to agency employees upon completion of background clearance.
 - B. Establish procedures to insure building is secured at closing time.
 - C. Periodically check security lights.
 - D. Establish procedure to insure central files are secure.
- XVI. Special procedures for handling of Special Conditions.
 - A. Copies of all special conditions to grants are maintained.
 - B. By the 10th of each month, a report is prepared.
 - C. This is maintained on a worksheet basis and given to Accounting Technician each month.
 - D. A letter is sent 30 days after grant award, or if shorter time is given in Special Condition. The letter should state that as the Special Condition has not been satisfied, no further funds will be sent until they are satisfied.

FISCAL SUPERVISOR

Acts as project monitor for continually increasing individual grant and contract awards for the Iowa Crime Commission.

Assist in establishing accounting systems to properly account for Federal and local funds as required by LEAA Financial Guide.

Monitoring accounting records of subgrantees to insure fiscal and financial structure established by the Iowa Crime Commission and monitoring and reporting completed projects under Federal, State and local guides.

Assists the agency Fiscal Manager and Executive Director in the computation and preparation of financial data regarding annual formulation of State Comprehensive Plan based upon yearly activities in the field monitoring.

Prepares and submits to Fiscal Manager written reports on all subgrantees monitored and reviewed.

Reviews quarterly fiscal reports from individual subgrantees for correctness.

Assists in annual budget preparations, acts as representative of Fiscal Manager.

Prepares or assists in preparation of quarterly and annual Financial reports to the LEAA.

Participates in the establishment and continual maintenance of accountability records, budget accounts and the reconciliation and accuracy of such records.

Performs related work as assigned by the Fiscal Manager and/or the Executive Director.

FISCAL SUPERVISOR PROCEDURES

I. Original Application for Award

- A. Check accuracy of figures.
- B. Determine project period.
- C. Record grant in proper area or State agency log and assign grant number.
- D. Record award according to type and year of funds and by program area.
- E. Forward to Fiscal Secretary with instructions for approval preparations.

II. Grant Revision

- A. Check accuracy of figures.
- B. Determine what changes are involved for accounting purposes.
- C. Make adjustments, if necessary, in record of award by program area.
- D. Initiate letter for return of funds, if required.
- E. Forward to Fiscal Secretary.

III. Extension of Grant Requests

- A. Record change of grant period in grant log.
- B. Initiate letter of extension approval and forward to Fiscal Secretary.

IV. Refunds

- A. Determine that amount refunded is correct (per grant revision, grant termination, audit, or unused balance).
- B. If necessary, obtain financial status report to verify refund.
- C. Make adjustment in record of amount awarded by program area.
- D. Determine changes necessary for bookkeeping purpose.
- E. Forward to Fiscal Secretary.

V. Progress Reports

- A. Record receipt of each progress report.
- B. Forward to Program Manager.

VI. Financial Status Reports

- A. Record receipt of each financial status report.
- B. Determine that report is based on grant as approved (budget, project period, SPA and subgrantee shares).
- C. Check report for mathematical correctness and allowability of expenditures.
- D. Notify fiscal officer of any discrepancies that are

found in a report.

- E. Notify Financial & Administrative Manager of grants that indicate no fiscal activity.

VII. Request for Funds

- A. Determine eligibility for funding (current reports have been submitted, any special conditions pertaining to funding have been met).
- B. Check for required documentation for funding equipment and construction.
- C. If request is acceptable, forward to Accounting Technician.
- D. If request cannot be processed, notify appropriate fiscal officer of reason for denying request.

VIII. LEAA Quarterly Reports

- A. Series of reports prepared quarterly in accordance with LEAA instructions. Reports include grant awards and grant funding by FY and type of funds, letter of credit activity and all SPA expenditures. Semi-annually the reports include expenditures of subgrantees by budget category and by program area.

IX. Budget

- A. Work involved in preparing budgets includes compilation of all SPA expenditure by budget category and projections of these expenditures. Budget preparation is accomplished in accordance with the needs and requirements of LEAA, the State and the SPA.

ACCOUNTING TECHNICIAN

Under direction, performs advanced operating level technical accounting work maintaining accounts and financial records for an established accounting system; performs related work as required.

Prepares schedules, reports, and other supporting documents to reflect comparative trends. Reviews financial statements and annual reports received in the SPA, county crime organizations and others. Verifies calculations and locates discrepancies concerning reported assets, liabilities, revenues, expense mileage and depreciation; notifies county crime organizations of discrepancies. Analyzes and classifies accounting transactions which involve research to determine applicable procedures and entries. Determines and proves the accuracy of adjustment required in clearing accounts and making closing entries. Compiles and verifies data for reports and statements; prepares detailed knowledge of numerous account relationships. Applies knowledge of processing cycles within the accounting system to trace transactions entered to insure properly documented and reflected in related accounts. Develops approaches and detailed work methods required to complete assignments within established framework.

ACCOUNTING TECHNICIAN PROCEDURES

I. Process Approvals for Planning, Action & Discretionary Grants.

- A. Verify data typed on approval by Fiscal Secretary with original application.
- B. Assign journal voucher number and enter in journal voucher register.
- C. Route to Financial & Administrative Manager for final review and Executive Director or Deputy Director for signature.
- D. After approval is signed and returned
 - 1. Set-up file.
 - 2. Post journal voucher to ledger and control register.
 - 3. Retain copy for initial funding request.
 - 4. Retain copy for reference books.
 - 5. Retain copy for data processing (at present time FY 72 action approvals only).
- E. Route grant to Accounting Supervisor and then to file.

II. Process Claims for Planning, Action & Discretionary Funding.

- A. Funding requests are reviewed for accuracy.
 - 1. Balance available is checked on each grant.
- B. Prepare claim for signature of Executive Director or Deputy Director.
- C. Assign claim number and enter in claim register.
- D. Enter account number from which applicable funds will be drawn.
- E. Attach copy of approval to initial funding request. Each additional request must refer to claim number and date paid on the original claim.
- F. Route claim to Financial & Administrative Manager for final review and Executive Director or Deputy Director for signature.
- G. Depending on time limit, either mail claims to the Comptroller, Pre-Audit Division or take claims to Pre-Audit personally.
- H. When warrants are received from Comptroller, check amount paid against amount claimed.
- I. Enter date paid, warrant number and warrant amount on back of claim.
- J. Post payments to ledger, control register and claim register.

III. Approvals and Funding Requests on Computer.

- A. Send copy of initial and continuation approvals (card 3's) to data processing each month. May be sent with card 8 (funding request).
- B. All revisions (card 4's) are also sent.
- C. Funding requests are reviewed for accuracy.
 - 1. Balance available is checked on each grant.
 - 2. Grant number and requested amount is entered on a card 8.
 - 3. Cards 3, 4 and 8 are taken to data processing. (Final run is due back in 5 working days).
 - 4. Drawdown total amount of computer run if warrants are to be run prior to end of month.
 - 5. Check final run for accuracy.
 - 6. Prepare claim reflecting total amount of all claims on run, for Executive Director or Deputy Director signature.
 - 7. Take claim for Financial & Administrative Manager final review and Executive Director or Deputy Director signature.
 - 8. Take claim with initial and continuation approvals to Comptroller, Pre-Audit Division. (Prior to 11 a.m. for warrants to be run that evening).
 - 9. Pick-up warrants next morning.
 - 10. Check warrants against requests for accuracy.
 - 11. Send warrants to appropriate fiscal officer with carbon of claim stating grant number and amount.
 - 12. Post payments to ledger, control register and claim register.

IV. Process Travel Claims

- A. Check expenses.
 - 1. Make draft of claim for Fiscal Secretary to type.
 - 2. Assign claim number and enter in claim register.
 - 3. Get signature of claimant.
 - 4. Route claim to Financial & Administrative Manager for final review and Executive Director or Deputy Director for signature.
 - 5. Send claims to Comptroller, Pre-Audit.
 - 6. When warrants are received from Comptroller, check against amount claimed.
 - 7. Enter date paid, warrant number and amount on back of claim.
 - 8. Send or give warrant with copy of claim to claimant.
 - 9. Post payments to ledger and claim register.

V. Process Claims for SPA Expenses

- A. When invoice is received, send form letter and original copy of Voucher #1 to claimant for signature.
- B. When signed claim is returned, assign a claim number and enter in claim register.
- C. Designate objective code and account number.
- D. Route to Financial & Administrative Manager for final review and Executive Director or Deputy Director for signature.
- E. Send claim to Comptroller, Pre-Audit.
- F. When warrant is received from Comptroller check amount against claim.
- G. Enter date paid, warrant number and amount on back of claim.
- H. Send warrant with a copy of invoice to claimant.
- I. Post payment to ledger and claim register.

VI. Process Refund Checks

- A. Stamp all refund checks "Iowa Crime Commission, for deposits only, etc."
- B. Prepare journal voucher to reflect the decrease of SPA and matching funds.
- C. Prepare receipt transmittal letter.
 - 1. Enter sub-grantee name.
 - 2. Grant number.
 - 3. Account name.
 - 4. Account number.
 - 5. Objective code.
 - 6. Amount of check.
- D. Prepare above documents for Financial & Administrative Manager signature.
- E. Take to Financial & Administrative Manager for signature.
- F. Send original and 2 copies of "letter" to State Treasurer with checks and tape of total amount enclosed.
- G. Retain copy for file.
- H. When receipt is returned by State Treasurer, post information on bottom of journal voucher.
- I. Assign journal voucher number and record in journal voucher register.
- J. Post journal voucher to ledger and control.

VII. Process Letter of Credit

- A. Prepare letter of credit by entering calculated amounts according to fiscal year of planning, action or discretionary accounts.

- B. Prepare receipt transmittal letter.
 - 1. Enter Iowa Crime Commission and explanation.
 - 2. Account names.
 - 3. Account numbers.
 - 4. Objective code.
 - 5. Amount in applicable account.
- C. Take both of above documents to Financial & Administrative Manager for signature.
- D. Send original "transmittal" and 2 copies to State Treasurer.
- E. Send Xerox copy of "letter of credit" to Kansas City Regional Office.
- F. Take first 3 copies of "letter of credit" to Iowa-Des Moines National Bank.
- G. Retain last copy of "letter of credit" for file.
- H. Retain copy of "transmittal" for each account and 1 copy for "letter of credit" file.
- I. After return of receipt from State Treasurer, post deposit in cash status.

VIII. Posting to Ledger

- A. Set-up headings.
- B. Post journal vouchers and claims daily.
- C. Balance to control register monthly.

VIX. Posting to Control

- A. Set-up headings.
- B. Post journal vouchers and claims monthly.
- C. Balance monthly to cash status.

X. Posting to Cash Status

- A. Post drawdowns from "letter of credit" weekly.
- B. Post from control register monthly.
- C. Balance with Comptroller balance sheet monthly.

XI. Prepare Reports as Directed by Financial & Administrative Manager and Fiscal Supervisor.

XII. Keep Balances of All Accounts to a Minimum.

XIII. Originate Forms as Required for Approvals, Financial Status Reports, Progress Reports and Applications.

XIV. Maintain File of Grant Expiration Dates and Special Conditions.

XV. Maintain Inventory File of Office Equipment and Cost of Item.

ADMINISTRATIVE SECRETARY PROCEDURES

- I. Each Morning Unlock All Files
- II. Route Mail 2 Times a Day (Morning and Afternoon)
 - A. Pick-up mail in all staff "out" baskets.
 - B. Sort and route to "in" baskets.
 - C. Material to be filed is picked up in staff "out" baskets.
- III. Filing
 - A. As filing accumulates, it is placed in area, State and other designated baskets on top of files (sorting procedure).
 - B. Filed into 1971-1973 grant and related correspondence, area filing, 1971-1973 State grants and related correspondence, National and United States correspondence, ICC Staff, policy, meetings, minutes of committee meetings, personnel information, etc.
 - C. Reading file copy of correspondence sent is filed in reading files.
- IV. Procurement
 - A. Ordering of office supplies is done when items are needed.
 - B. Ordering of pens, paperclips, binders, etc. are ordered through General Services Supply.
 - C. Ordering of pre-printed letterhead, envelopes, second sheets, SPA letterhead, etc. are ordered through General Services - State Printing Board.
 - D. A copy of orders sent to General Services are maintained in desk file. When order is received it is checked off on copy of order. Any backorder is recorded on our copy of order. Delivery copies are attached to in-coming orders. One copy is signed by person accepting order and mailed (local envelope) back to General Services (their record of complete delivery or backorders).
- V. Centralized Printing
 - A. Frequently mass mailings are sent to Commission members, "16 Major City Mayors", Area Project Directors, Area Fiscal Officers, Area Chairman, Project Directors, Chairman and Fiscal Officers of State Grants.
 - B. Material for mailings are reproduced at Centralized Printing and the State Printing Board.

- C. An order is written up with instruction of number of copies, 3 hole punched, stapled, collated, etc., depending on use of material. On the order to Centralized, a date is given when material is to be completed and delivered to Crime Commission.
- D. Original and copies of order, along with original of material to be printed is sent to Centralized Printing. One copy (pink) is kept with copy of material and placed in notebook - PENDING or RECEIVED sections.

VI. Requests For State Pool Car

- A. Are ordered through car dispatcher. Order is written up with dates needed, destination. Authorized signature is needed.
- B. Personnel using car keeps original and all copies of form through trip. After trip is completed, pink copy is sent to Accounting for payment. Payment is based on mileage recorded.

VII. Correspondence

- A. Typing for incoming inquiries for literature, information on plans, inquiries on employment and other as required.

VIII. News Releases

- A. Typed and sent to News Directors prior to Iowa Crime Commission Standing and Special Committee meetings, giving time, location and date of meetings.

IX. Record of Attendance for Iowa Crime Commission Meetings.

- A. Cards are received from Iowa Crime Commissioners giving intention to attend.
- B. Responses are logged in. After meeting and after minutes have been typed, obtain copy of minutes and log in who actually attended meeting for future use.

X. Assists Other Sections as Time Allows.

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- VI. Procurement (Detailed Instructions for 1, 2 and 3 are Covered in General Services Purchasing Manual)
 - A. Purchase requisition
 - B. Purchase order
 - C. Field order
- VII. Application For Grant, Financial Status Report and Progress Report Forms are Sent Out Upon Request of Sub-Grantees.
- VIII. Mail
 - A. Incoming mail is received 2 times a day.
 - B. Mail is opened, stamped in and a routing slip is attached to each piece. It is routed to the Administrative Assistant for staffing assignments.
- IX. Correspondence
 - A. Typing of letters regarding grants and related information as required.
- X. Follow-Up File
 - A. File is kept in desk drawer. Should be checked daily for information requested by Financial/ Administration Section.
- XI. Quarterly Reports
 - A. Type planning and action quarterly reports prepared by Fiscal Supervisor.
 - B. Secure required signature (Executive Director or Deputy Director).
 - C. Original and 2 copies are sent to LEAA and 1 copy is retained in report file and 1 copy to Accounting Technician.
- XII. Filing
 - A. Assist Administrative Secretary in filing which is described in the Administrative Secretary outline.
- XIII. Assists Other Sections As Time Allows.

Programs

PROGRAM MANAGER

- I. Reports directly to the Executive Director and Deputy Director.
- II. Supervises activities of program specialists, program monitors, and program secretary.
- III. Provides program guidance to the area staff, crime commission committees and units of government directly or through program specialists.
- IV. Coordinates program activity with plan, fiscal and administrative, and audit sections of the SPA.
- V. Submits Reversionary Requests to the Executive Committee of the Iowa Crime Commission.
- VI. Responsible for maintaining unawarded fund balances, by year, of state and local action funds. Also maintains listing of area and state priorities.
- VII. Responsible for response for information and technical assistance.
- VIII. Assists Director and Deputy Director in the preparation of materials relating to program activity.
- IX. Reviews all program requests and assigns to a program specialists for appropriate action.

POLICE SPECIALIST

- I. Reports directly to the Program Manager.
- II. Performs all duties listed for specialists.
- III. Primary Liaison with the Law Enforcement Committee of the Iowa Crime Commission.
- IV. Reviews all communications equipment requests to determine what will be compatible with the State system and to recommend temporary assistance for those agencies without communications equipment.
- V. Shares responsibility for police applications and projects with Police/Prevention Specialist.

POLICE/PREVENTION SPECIALIST

- I. Reports directly to Program Manager.
- II. Performs all duties listed for specialist.
- III. Primary Liaison with the Prevention Committee of the Iowa Crime Commission.
- IV. Shares responsibility for police applications and programs with the police specialist.
- V. Responsible for Prevention applications and programs.

COURT SPECIALIST

- I. Reports directly to the Program Manager
- II. Performs all duties listed for specialists.
- III. Primary Liaison with Court Committee of the Iowa Crime Commission.
- IV. Responsible for Court Applications and programs.
- V. Responsible for overseeing civil rights compliance.

CORRECTIONS SPECIALIST

- I. Reports directly to Program Manager.
- II. Performs all duties listed for specialists.
- III. Primary Liaison with the Corrections Committee of the Iowa Crime Commission.
- IV. Responsible for Corrections applications and programs.

PROGRAM MONITOR/APPLICATION EXPEDITOR

- I. Reports directly to Program Manager.
- II. Performs all activities detailed for program monitoring.
- III. Assists other personnel in the program section in the application review and approval process.
 - A. Writes letter to the state comptroller's office, copy to the Governor's Office, regarding applications received from state departments.
 - B. Assists in the correction of applications through phone, letter or meetings.
 - C. Assists in the coordination of applications between SPA sections and others as required.
- IV. Provides support to Program Section as required.

PROGRAM MONITOR/APPLICATION COORDINATOR

- I. Reports directly to Program Manager.
- II. Performs all activities detailed for program monitoring.
- III. Responsible for logging and central control records of all applications received in the SPA.
 - A. Receives applications and logs into central control log and financial/allocation log.
 - B. Routes copies to financial, plans, and programs, keeps file of originals.
 - C. Receives, files and keeps follow-up file on application packages held for additional information, at program request.
 - D. Receives letters returning application, attaches original, insures that review sheets of SPA staff is attached to green coordination copy in his file for follow-up.
 - E. Upon resubmission, attaches prior SPA reviews to copies, routes to sections needing to see resubmission, and attaches green coordination copy of the letter to the resubmitted original which is placed in the file of originals.
 - F. After the project is ready for funding, does a final check on the application to insure that all corrections have been made to the original, then routes to Administrative Assistant.
- IV. Through the use of the financial Allocation Log, keeps totals of priorities and applications received and funded by year by program area. Appraises the program manager of totals weekly, and notes on applications when submitted if they are within the areas priority.

PROGRAM SECRETARY

- I. Reports directly to Program Manager.
- II. Typing & copying for programs section, audit section and programmer analyst.
- III. Maintenance of suspense file for above personnel.
- IV. Preparation of mailing for above personnel.
- V. SPA receptionist, phone and visitors guestbook.
- VI. Maintains check-out log for above personnel.
- VII. Assists other sections when time available.

TYPING PROCEDURE

- I. Types original w/complimentary copies, coordination and file copy, and reading file copy.
- II. Route original, cc, & coordination copy to originator.
- III. When returned, after full SPA coordination and signature, prepared letters for mailing, routes coordination copy and related material to file, and sends reading file copy to administrative section.

PROGRAM MONITORING

- I. The monitoring of action programs provides the SPA staff with information pertaining to the status, progress, and accomplishments within the grant. Problems may become apparent which can be remedied by timely action by the SPA and subgrantee.

Monitoring may be conducted by in-house review of progress and fiscal reports submitted by project directors. A more in-depth monitoring effort may be conducted on site with the project director and operating agency.

II. GRANT MONITORING AT THE SPA.

- A. Comparison of statements within the progress report of accomplishments to date as compared with objectives outlined in the grant narrative.
- B. Determine from fiscal reports if expenditure of funds is near the same rate as time elapsed within the grant period.
- C. Check equipment invoices submitted to the SPA for reimbursement to determine that items listed are allowable within the grant budget category.
- D. Contact with project director to require additional information within the progress report.
- E. Decision is made to monitor on-site if reports submitted indicate that grant program has developed problems requiring a closer examination.

III. GRANT MONITORING ON-SITE

- A. Compare project director's copy of grant(s) with latest on file with SPA.
- B. Review grant(s) with project director for any additional information about grant progress which has not been transmitted to the SPA.
- C. Determine if grant(s) has problems which the project director is aware of and may not have been brought to the attention of the SPA.
- D. Check financial status of grant(s) as shown by local fiscal officers accounts.

- E. Interview head of operating agency and any others as needed.
- F. Determine if personnel on grant were hired within grant period.
- G. Determine that equipment items purchased are allowable on grant.
- H. Determine if equipment inventory is maintained.
- I. Examine activity records maintained which give an indication of how the grant has impacted on criminal justice or a specific crime problem.
- J. Compare current data with prior years to show whether the grant has caused an improvement in the condition described in the application which was used as justification for grant submission.
- K. Determine if salary increases have improved morale, increased efficiency, reduced off time, reduced personnel turnover.
- L. Determine if training has improved reporting, performance, resulted in new procedures.
- M. Determine if training has improved the individual officer and the department.
- N. Determine if drug education programs have been effective in reducing drug use. Examine method by which this was determined by the operating agency.
- O. Determine if narcotics squads have increased arrests and reduced available supply of street drugs.
- P. Examine services provided in juvenile homes.
- Q. Determine if residence in a juvenile home decreases the possibility that the juvenile will become involved with the criminal justice system after leaving.
- R. Determine if additional police officers result in more arrests, higher clearance rates, earlier response.
- S. Determine if equipment purchases increase capability of the department. Determine if it resulted in more arrests, fewer complaints, lower cost of operation.

- T. Determine if court program has increased court days, reduced back log of cases, increased conviction percentage rates.
- U. Determine if correctional rehabilitation services have improved inmates change of returning to society as a working citizen. Determine if recidivism been reduced.

The monitor's on-site review of the grant is followed by a written report to be examined by the SPA staff.

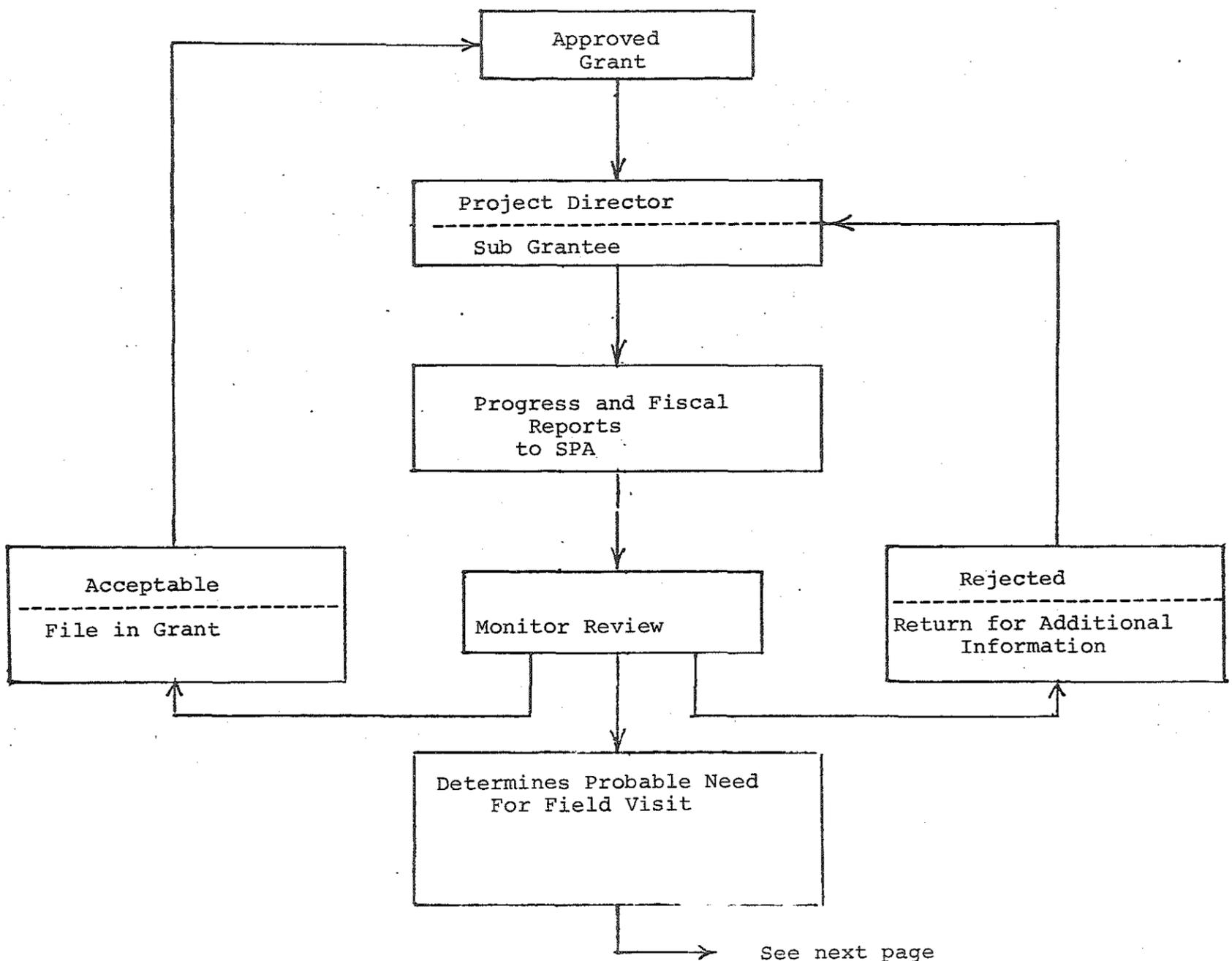
Elements covered in the report include determining that the grant has been implemented properly, whether or not it is on schedule and that deviations are not occurring in program direction, equipment purchases and expenditures.

Interviews on-site should disclose whether or not the program is achieving the goals set forth in the narrative portion of the grant.

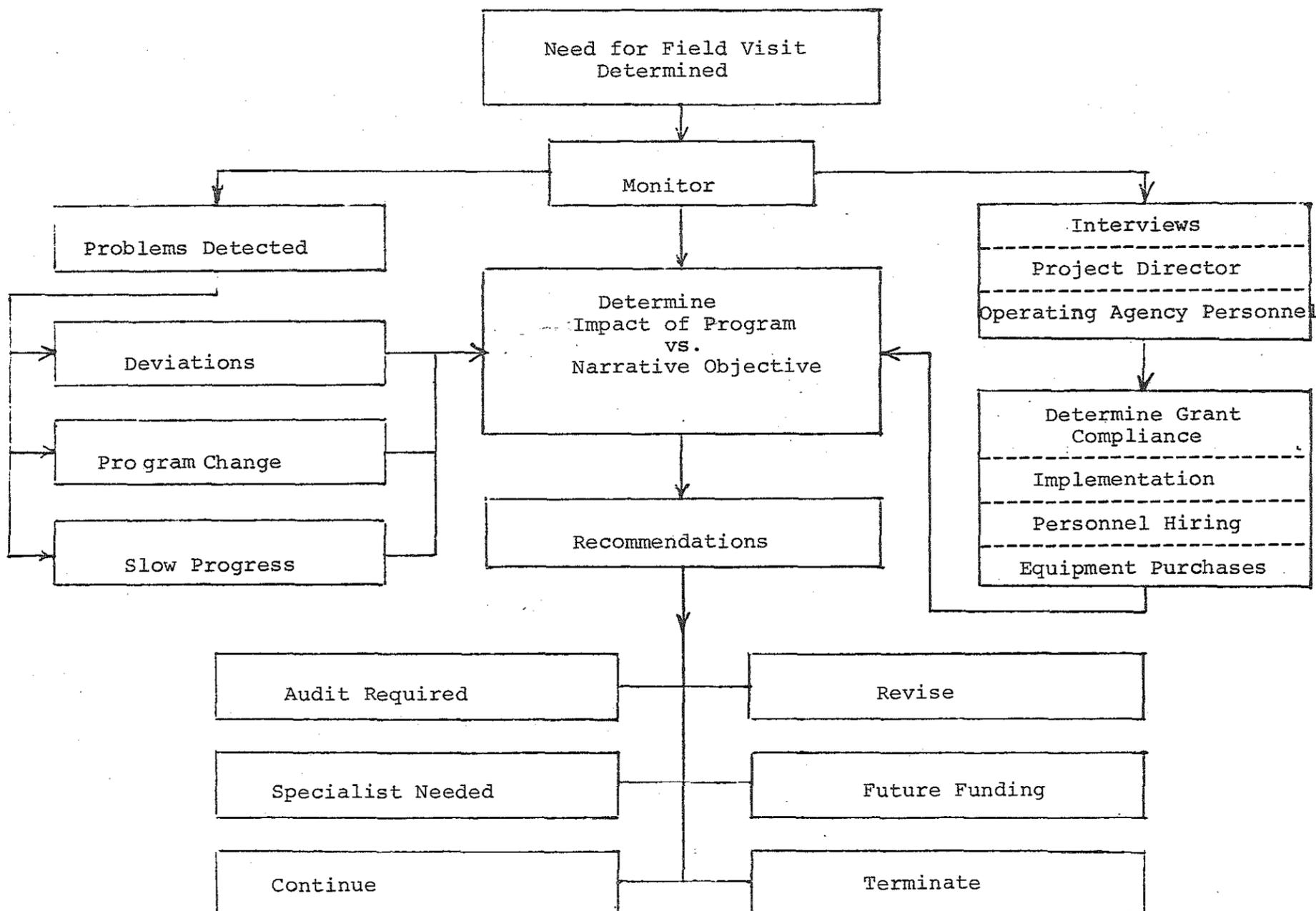
Problems may be detected during the field visit that have not been made known to the project director or the SPA.

The report will include recommendations made as a result of the monitor's findings and observations. This may include the need to revise the grant, have it reviewed by a staff specialist, have an audit made and possible termination of the grant.

Grant Monitoring in SPA



Grant Monitoring



PROGRAM SPECIALIST - GENERAL

I. Program and Project Development

- A. Specialists shall work with the area project directors to assist in program development of the area comprehensive plans. This work shall be coordinated with the Plan Section.
- B. Specialists shall work with their assigned standing committee in the development of programs for the Iowa Comprehensive plan. This work shall be coordinated with the Plan Section.
- C. Specialists shall work with state agencies to assist in program development. This work shall be coordinated with the Plan Section.
- D. Specialists shall work with area directors, local units of government and state agencies in the development of projects which are eligible for support under the currently approved comprehensive plan.
- E. Whenever technical assistance is necessary which cannot be personally provided by the program specialist, he shall be responsible for initiating a request to state agencies or LEAA for obtaining the necessary assistance.
- F. Specialists shall research projects and literature of other states to assist program and project development to meet the needs of Iowa.
- G. Specialists shall attend training seminars relating to their assigned field to better their ability to provide technical assistance in program and project development.

II. Project Application

- A. Applications, as received, shall be assigned to a program specialist by the program manager on the basis of program area.
- B. Specialists shall review the application to determine if the need has been justified, the implementation of the project has been adequately researched regarding alternatives and has been adequately explained, and if the project impact supports the state plans proposed impact and is justifiable in terms of project costs. Additional review shall include assumption of cost, coordination with Audit Section, and if the project request is for continued support shall address the impact of that project to date.

- C. The recommendation of the specialists per those subjects listed in item B above shall be written on the program review and routed to program manager for review and concurrence.
- D. Specialists shall receive the plan review and the fiscal review. The three reviews shall be compared, any problems listed resolved by phone, letter or meeting, and an application recommendation sheet shall be prepared. The program monitor/application expeditor shall assist in this process at the specialists request.
- E. Specialists shall be responsible for coordinating applications with state agencies or the state comptroller's office if required. They shall request approval from LEAA Region of any costs not approveable by the State Planning Agency. If the project cannot be supported by the Iowa Crime Commission, the specialists shall refer the application to other agencies who might be able to support.
- F. The application recommendation shall be presented by the specialist before the appropriate committee for its recommendation.
- G. Applications for Reversionary funds may be presented to the appropriate standing committee prior to their submission to the executive committee, depending on the time available. The Application Recommendation shall be prepared, with or without the committee recommendation and submitted to the Program Manager.
- H. If the application receives a recommendation to disapprove by the SPA staff and the committee, this shall constitute a rejection and the specialist shall so notify the listed project director by letter.
- I. If the application receives a combination of recommendations, the committee or the SPA may determine to submit to the full Iowa Crime Commission for its determination.
- J. If the application receives recommendations to approve by the SPA staff and the committee, the specialist shall route the package of application copies and recommendations to the Program Manager.
- K. If the application is denied by the Executive Committee or the Iowa Crime Commission the Specialist shall notify the listed project director by letter.

- L. Applications for continuation projects, but not reversionary funds, if the SPA recommendation is favorable, may be routed directly to the program manager prior to their presentation before committee, depending upon the time available.

III. Project Review

- A. 1. Revision and Extention requests for project revision and extention to determine their effect on the project objectives and impact. This review shall include a review of the grant file and a determination of the allowability of the request and the justification.

- 2. The specialist shall receive the fiscal and plan review of the request, formulate a recommendation and route the request and recommendations to the program manager.

B. Progress Reports

- 1. Specialists shall review progress reports to desk monitor the activities of on-going projects and the results of completed projects.
- 2. Questions resulting from these reports may be handled by phone, letter, on-site visit, or request for a program monitor to visit the project.
- 3. As reviewed specialists shall initial reports.
- 4. Specialists shall send copies of the reports to the appropriate standing committee chairman for his information.

C. Termination

- 1. A specialist may initiate termination action on any project which has failed to meet its objectives.
- 2. Such action may be initiated by memo to the program manager.

D. Monitor

- 1. Each specialist shall be responsible for providing technical project directors in the implementation of their projects.
- 2. Each specialist may perform on-site monitoring of grants at his discretion to determine the progress and impact of the project.

3. Specialists shall review reports made by program monitors regarding projects in their area of responsibility.

IV. Committee

- A. Each specialist shall assist the chairman of his assigned committee in the preparation of materials for the committee.
- B. The specialist shall serve as the primary liaison between the assigned committee and the SPA.

Plan Development

Plan Developer

Supervises the plan development effort within the State Planning Agency which includes preparation of the Comprehensive State Criminal Justice Plan and the Annual Progress Report.

Insure the appropriate inclusion of all sources of input, information, and data in the State Criminal Justice Plan.

Insure that appropriate programs are included in the Plan by closely coordinating this function with the State Planning Agency Program Manager.

Coordinate the collection of all pertinent criminal justice data needed for proper plan development.

Insure proper application of Federal guidelines in the development of the State Plan by coordinating the plan review process with the appropriate LEAA representative.

Review and analyze the criminal justice plans of other states for material that is pertinent to the development of the Iowa Criminal Justice Plan.

Provide technical assistance to the Area project directors during the development of the Area Criminal Justice Plans.

Review all project applications for compliance with the State Criminal Justice Plan insuring that appropriate data for justification is provided.

Coordinate the technical review of appropriate projects with the program section and compile the information gathered in the annual Progress Report.

Assistant Plan Developer

Compile information from all appropriate sources of input and organize this information in written form in the State Criminal Justice Plan.

Collect and analyze all pertinent Criminal Justice System data needed to prepare the State Plan.

Coordinate the plan development effort with the appropriate program specialist to insure sound program development within the State Plan.

Provide assistance to the area directors in the collection and interpretation of data and in the writing of the area criminal justice plans.

Review and analyze the criminal justice plans of other states for material that is pertinent to the development of the Iowa Criminal Justice Plan.

Analyze and evaluate appropriate projects in cooperation with the program specialists and compile this information in written form in the annual Progress Report.

Plan Development Secretary

Provides rough draft and finish typing of the State Criminal Justice Plan and the annual Progress Report.

Provides general typing and copying for the plan development section.

Prepares mailing for plan development section.

Maintains a library of the criminal justice plans received from other states.

Maintains the criminal justice data and information file for the Plan Development section.

Assists other sections when time allows.

I. CRIMINAL JUSTICE PLANNING CONCEPT

The planning accomplished by the State Planning Agency is intended to provide the several elements (enforcement, adjudication, and corrections) of the Criminal Justice System with supplemental funds to improve the existing systems' capacity to deal with the problem of crime in Iowa.

The basic criminal justice planning concepts utilized by the State Planning Agency in accomplishing this mission are as follows:

- A. Collection of Data: Collect all available data on the existing resources and any problem to be addressed.
- B. Base Line Data: Utilizing data collected on existing resources and the problem, analyze and define the extent and magnitude of the problem. Comprehensive base line data is essential in order to properly assess the problem and obtain the direction for development of programs which will effectively address the problem.
- C. Program Development: Design methods to correct inadequacies in the existing resources or methods which will have a corrective impact on the problem. Define the objective and quantified impact anticipated.
- D. Program Implementation: Implement the program or corrective measures deemed essential to provide the desired impact on the problem.
- E. Evaluation of Program Impact: Allow adequate time for the fully operational program to be effective before evaluation is accomplished, then, the comprehensive base line data utilized to define the magnitude and extent of the problem must be updated. Assessment of the updated baseline data should reflect the impact or lack of impact. Evaluation will reveal the program's effectiveness, alternatives, program modifications, or other methods which might be utilized to realize maximum impact. Evaluation can be an invaluable tool in future program development and planning efforts.

II. PLAN DEVELOPMENT

The Iowa State Comprehensive Criminal Justice Plan is intended to serve two basic purposes: 1. As an application to be submitted to the Law Enforcement Assistance Administration to realize Federal Funds to supplement Iowa's expenditures in addressing the State's crime problems and, 2. To provide direction for the effective utilization of these funds in the State of Iowa at the state and local levels of government during the year the plan is intended to be implemented as the four succeeding years.

Federal Guidelines set forth general requirements for plan development. These guidelines provide broad direction for use of LEAA funds, determine the plan format to be utilized, suggest functional categories, etc. Within these guidelines Iowa's Plan is developed to address the needs and problems within the state. Guidance and assistance from many sources is sought by the Planning Section in Plan development is accomplished by the planning section working in close concert with SPA program specialists, who have "line" exposure to guidance from the Crime Commission Standing Committees, as well as close contact with state and local units of government. The Planning Section also seeks out experts in the various elements of the CJS for advice and guidance.

In addition, the Planning Section works closely with the LEAA State Representative as well as to insure that plan development is in compliance with federal guidelines and that the LEAA technical expertise is also utilized. An index of resource persons is maintained in the Planning Section by individual contacts and data realized.

The plan is developed in segments and a general explanation of this process is described in the following material:

A. Existing Systems Section

The purpose for this section of the plan is to describe the resources already available in the various elements of the Criminal Justice System. In addition, a Crime Profile is included to convey the magnitude and extent of the crime problem in the State.

The Existing Systems Section, in effect, serves as a broad data base, and analysis of this material is intended to reveal the inadequacies of the existing resources.

The following material describes the various sources contacted and type of data obtained in developing the 1973 Plan, as well as data needed and sources to be pursued for 1974 Planning purposes.

A. Enforcement

Identification of Agencies

1973 Base Line Data: The base line data for the Enforcement Section of the 1973 Plan was initiated by updating the data compiled in previous years. An effort was then made to further broaden the scope for 1973 planning purposes. The purpose for developing a broader baseline, was to insure that all available relevant data was obtained and utilized, providing proper direction for the development of programs which would address problems revealed by the base line data. The sources of data utilized in 1973 planning efforts are listed below:

<u>Source</u>	<u>Base Line Data</u>
Federal Agencies Federal Bureau of Investigation	Uniform Crime Report
State Agencies Department of Public Safety Deputy Commissioner	1. Manpower levels and deployment for; the Iowa Highway Patrol, Liquor & Beer Enforce- ment, Radio Communica- tions 2. Overview of Department of Public Safety's Mission

<u>Source</u>	<u>Base Line Data</u>
Bureau of Criminal Investigation	<ol style="list-style-type: none"> 1. Manpower level and deployment 2. # of cases & type 3. Data pertaining to the CCU
Fire Marshal	<ol style="list-style-type: none"> 1. Mission, manpower level and deployment 2. Data pertaining to arson
Division of Narcotics & Drug Enforcement	<ol style="list-style-type: none"> 1. Manpower level and deployment 2. # of cases and type
Criminalistic Laboratory	<ol style="list-style-type: none"> 1. Manpower & technical assignments 2. # of exhibits submitted by source 3. Analysis of results; # of positive identifications, # negative, & exhibits pending analysis 4. Agencies authorized to use services of the lab.
Chief of Communications State of Iowa	<ol style="list-style-type: none"> 1. Technical data on Iowa Police Radio System 2. Technical data on conversion from lowband to highband communication 3. Communications Procurement procedures 4. Development of a Statewide communications plan
Iowa Law Enforcement Academy	<ol style="list-style-type: none"> 1. # of officers in the State of Iowa by level of Government 2. # of officers trained 3. # of officers lacking basic training 4. Future direction of training programs
Local Government County Sheriff's	<ol style="list-style-type: none"> 1. Manpower, # of deputies and # of supportive staff
SMSA Police Departments	<ol style="list-style-type: none"> 1. # of cases by type 2. Summary of Departmental activity 3. Arrest data 4. Manpower level and deployment 5. Crime incidence, location and frequency
Miscellaneous	
Regional Planning Commission	Metro-area (Iowa SMSAs) socio-economic data
Enforcement Committee of Iowa Crime Commission	Needs and problems as well as direction

Source

SMSA Police Chief's &
County Sheriff's

Base Line Data

Personal contact for input of experience and knowledge as to their thoughts concerning needs and problems.

Future Base Line Data: Those sources of data pursued in 1973 for base line data will of course be contacted in future years for updating purposes as well as additional data. In addition, the following sources will be added in 1973 and future planning efforts:

SourceBase Line Data

Department of Public Safety

Bureau of Criminal
Investigation

By classification, # of arrests, # of convictions obtained, # of cases still pending

Division of Narcotics &
Drug Enforcement

1. # of Drug arrests by classification (possession, use, or trafficking) and type of drug (narcotic, marijuana, hallucinogen, or other), as well as convictions by classification.
2. # of known addicts and estimate of total # of addicts.

Criminalistic Laboratory

1. By classification; # of exhibits, examinations and results of examination
2. Number and classification (narcotic, marijuana, hallucinogen, or other) of drug exhibits for each agency submitting exhibit

SMSA Police Departments

1. Police turnover rates
2. Patrols; mission, type, (# of foot and vehicle) average patrol time, and area covered.
3. Tactical units; mission, personnel, # of cases investigated, cases cleared by arrest.

Source

Base Line Data

4. Drug arrests by type (possession, use, or trafficking) & by classification (narcotic, marijuana, hallucinogen, or other).
5. # of known addicts and estimate of total # of addicts
6. Part I Offenses: incidence rate, chronology, and distribution (location) in the SMSA
7. Part I Offenses: # of incidences, # cleared by arrest, and # unresolved
8. Part I Offenses: Detailed data - detailed analysis of Part I Offenses will be essential for crime specific program development. For example, we need to know if our high larceny rate is caused by shoplifters or cattle rustlers, before specific planning can be accomplished. An example of "detail" to be sought; Burglary: entry point, time of day, location, and item stolen.

Miscellaneous

National Criminal
Justice Research Service

Data on a nationwide basis for comparative purposes

National Auto Theft
Bureau

Offender type (age & sex), target (year & model of auto) and apparent offender motivation.

b) Adjudication

Identification of Agencies

1973 Base Line Data: The base line data developed for the adjudication section of the 1973 Comprehensive Plan was developed for the purpose of revealing the needs and problems of the adjudication process. Backlogs in the courts, over-

burdening of prosecutors, etc., or in essence the direction for design and implementation of programs which would deal with and correct the shortcomings of the system.

Base line data was developed for the supreme court, district court, county prosecutors, and Attorney General's office through the following sources:

<u>Sources</u>	<u>Base Line Data</u>
<u>Supreme Court</u> Supreme Court Administrator	<ol style="list-style-type: none"> 1. Cases filed 2. Cases pending 3. Cases argued before the Supreme Court
<u>District Court</u> Judicial Statisticians Annual Report on Trial Courts	<ol style="list-style-type: none"> 1. Cases filed by judicial district 2. Dispositions; with or without trial 3. Cases pending at year's end 4. Comparison to previous years to develop trends
District Court Clerks and County Court Houses	<ol style="list-style-type: none"> 1. Cases filed and dispositions
<u>Prosecutors</u> County Attorneys & SMSA City Attorneys	<ol style="list-style-type: none"> 1. Cases filed 2. % of time spent on particular matters 3. Nature of cases 4. Disposition time
Criminal Appeals Division of the Attorney General's Office	<ol style="list-style-type: none"> 1. Appeals filed and argued
<u>Miscellaneous</u> Courts Committee of the Iowa Crime Commission	<ol style="list-style-type: none"> 1. Problems and direction
Offender Advocacy Office	<ol style="list-style-type: none"> 1. Cases handled (# and type)
University of Iowa Law School Study (Iowa Crime Commission funded)	Analysis of District courts and county attorney procedures - recommended improve- ments

Sources

Base Line Data

Area offices--Bureau of Field Operations

Parole caseloads and manpower

Polk County Juvenile Court, Chief Probation Officer

Caseloads, cases, services

Des Moines Child Guidance Center

Juvenile treatment data

Community Resources Handbook (Sioux City and Des Moines)

Capacities, costs, staff and services for youth (social service agencies)

Des Moines education resources (Drop-In Center, Public Schools, special school programs for delinquents)

Services for Youthful offenders

Future Base Line Data: Sources contacted in the development of baseline data for the 1973 Plan will, of course, be contacted in future years as well. In addition, the following data and sources will be pursued in 1974 and for future planning efforts.

Sources

Base Line Data

State Level

Eldora Training School for Boys and Mitchellville Training School for Girls (Superintendents, Annual reports to the legislature and Department of Social Services Annual Report)

1. All present offender information broken down by "Commitment crime"
2. Present offender information broken down by age, sex and race
3. Recidivism rates based on the number of releasees in a given year who commit a new crime within one year
4. Recidivism rates for specific "offender types" and by treatment
5. Description of all treatment programs and offenders involved in each
6. Random sample of offenders--time spent in treatment/month
7. Time-function study for random sample of manpower in each category

Sources

Base Line Data

Department of Social Services--
Bureau of Field Operations

8. Manpower data--background and training of staff
9. Data concerning availability and capacities of community-based residential programs for institution releasees

Supreme Court
(Supreme Court Administrator)

1. Manpower, caseload, treatment, and recidivism data for parolees by "commitment crime"
2. Parole violations data by "commitment crime", time in the institution and on parole
3. Client involvement in other rehabilitative service programs

Department of Social Services
Division of Statistics

1. Juvenile court data--like presented for Polk County--for all juvenile courts. Include budgets

Local Agencies
SMSA Juvenile Courts

1. Juvenile court data--for all juvenile courts

SMSA Residential facilities for youth

1. Treatment data by offense
2. Budget
3. Cooperation with community agencies
4. Recidivism data by offense and by treatment
5. Random sample--manpower time, function study
6. Random sample--client-treatment time/month study
7. Client involvement with community rehabilitative services
8. Referral sources by offense
9. Relative costs of supportive services in the community
10. Community volunteer programs

Community Resources Handbook
(for all SMSAs)

1. On four given days through the year
a) the number of youth offenders served by the facility, referral source, offense committed, a treatment involved

Social Services for youth, staff, costs

Federal Agencies
National Criminal Justice Research
Center

Nationwide data on youthful offenders
and data from other states for com-
parison purposes

d) Adult Corrections

Identification of Agencies

1973 Base Line Data: The baseline data developed for the corrections component of the 1973 Comprehensive Plan was developed for the purpose of revealing the needs and problems of the Corrections Systems. The identification of those problems and the development of a baseline with which to compare results of programs which attempt to alleviate the problems, will assist in the pinpointing of workable solutions. The data itself would also define the problem to the extent that particular program approaches would be implicated for the investment of LEAA funds.

The following sources are utilized in the development of 1973 baseline data:

<u>Source</u>	<u>Base Line Data</u>
<u>Federal Agencies</u> Federal Bureau of Investigation	FBI nationwide report on recidivism rates
International Half-way House Association	1971-72 Directory of Half-Way Houses
Department of Labor	Federal job programs for offenders
National Criminal Justice Newsletter	Corrections data--national and in other states

Source

Base Line Data

State Agencies

Bureau of Adult Corrections (Director, institution superintendents, Planning and Research Director, annual reports)

Institutional Data

1. Manpower
2. Commitments, populations, costs, recidivism rates
3. Facilities
4. Treatment
5. Prison industries data

Jail Inspection Unit

Jails

1. Data on county and city jail populations, capacities and conditions.

Bureau of Adult Corrections (Director, Deputy Director, and Planning and Research Director

Community Services Data

1. Parole, probation, pre-sentence investigation and work release data (caseloads, work-units, manpower, costs, training, absconding and parole revocation rates) Inter-state compact cases outside-the wall institution staff, capacity, population and cost data

Iowa State Drug Abuse Authority (Director and Program Analyst)

Staff, expenditures for drug related programs in Iowa, drug related programs and services

Division of Rehabilitation, Education and Services, Iowa (State administrative offices)

Staff and services for offenders

Iowa State Employment Service

Staff and services for offenders

Local Level

SMSA Sheriffs

County jail populations, trends, capacity

SMSA Police Chiefs

City jail populations, trends

Des Moines Community-Based Corrections Project-Director

Population, staff and costs data trial appearance rates, treatment

Harrison Treatment and Rehabilitation Center-Des Moines (Director)

Population, staff, costs, capacity and treatment data

Drug Treatment Units--Cedar Rapids,

Patient data, capacity, staff and

Source

Des Moines, Iowa City, Spencer,
Cherokee, Mt. Pleasant, Clarinda
and Independence (Directors)

SMSA Halfway Houses

SMSA Counseling

Community resource directories
(Des Moines and Sioux City)

Base Line Data

population, costs and treatment

Capacity, populations, staff and costs

Services, cost

Social Services--costs, staff, ser-

Future Base Line Data: Sources contacted in the development of baseline data for the 1973 plan will, of course, be contacted in future years as well. In addition, the following data and sources will be pursued in 1974 and for future planning efforts.

Source

State Level

Bureau of Adult Corrections

Base Line Data

Institutional Data

1. All present offender information would be broken down into "commitment crime"
2. Present offender information further defined by age, sex and race
3. Recidivism rates based on the number of releasees in a given year who commit a new crime within a given period of time
4. Recidivism rates for specific "offender types"
5. Listing of all treatment programs and offenders involved in each
6. Random sample of inmates--time spent in treatment/month
7. Random sample of manpower--time-function study
8. Prison industries--participant data and hours devoted to work and training

Source

Base Line Data

Community Services

1. Recidivism rates by treatment (parole, probation, work release, etc.)
2. Current data by crime committed
3. Parole violations and abscondings by commitment crime and time in the program
4. Random sample study of manpower (time-function study)
5. Complete listing of halfway houses and adult group homes
6. Manpower training by behavioral objectives
7. Client involvement in other rehabilitative services programs

Jail Inspection Unit

1. Present data by commitment crime

DRES

Number of offenders served

ISES

Number of offenders served

Department of Labor
 MDTA
 New Careers
 Operation Mainstream
 CEP

Number of offenders served

Broad of Parole

Number discharges, revocations, hearings, backlog, manhours spent in hearings, etc.

Local Level

SMSA - Sheriff and Police Dept.
 (largest 16 cities) and preferably all county jails

Prisoners on a given day by the following categories by sex, race, and adult or juvenile:

Also for all community-based corrections programs (including drug treatment

1. Not yet arraigned or being held for other authorities
2. Arraigned and awaiting trial
3. Serving sentences of 90 days or less
4. Serving sentences of more than 90 days and less than one year
5. Sentences of one year to five years
6. Longer than five years
7. Convicted persons awaiting further legal action

Source

Base Line Data

Also for all community-based corrections programs (including drug treatment)

- 8. Drug users
- 9. Alcoholics
- Also, indicate the number of offenders referred for treatment outside of the facility and the treatment sought (for six-month period)

of inmates

- Treatment within jails--number of offenders involved and recidivism rates
- Available services and facilities
- 1. Exercise yard
- 2. Sports equipment
- (3. Counseling (individual, family, or group)
- (4. Work release
- (5. Educational release
- 6. Record players, radios or TV
- 7. Movies
- 8. Other

of inmates

- (9. Community volunteer involvement
- (10. Job training
- 11. Drug treatment
- 12. Alcoholism treatment

Community-Based Corrections Programs, halfway houses and adult group homes

Drug and Alcohol Treatment Projects

Information by crime committed and recidivism data by crime and by treatment. Random sample study of manpower time, breakdown of referral sources by longitudinal treatment data on clients including a) recidivism, b) job success, c) drug or alcohol involvement, d) educational upgrading, e) follow-up data (one year after project release), f) violations of parole and probation, g) commitment crimes and recidivism and drug use by crime
Referral sources and number referred by each (from population on a given day)

Breakdown by drugs

- Breakdown of clients on given day:
- (1. Charged with drug use or possession
- (2. Charged with drug sale
- 3. Charged with other offense and shown to be user (breakdown by offense)

Source

Base Line Data

4. Not charged with criminal offense, but referred by a criminal justice agency
5. Referred by another public agency
6. Private agency
7. Self-committed

Average length of treatment
Use of methadone maintenance
Use of family therapy, group therapy, vocational training, educational training, work release

National Level

National Criminal Justice
Research Service

Data on a nationwide basis for comparison purposes

COPE

Data on a nationwide basis for comparison purposes

National Corrections Newsletter

Data on a nationwide basis for comparison purposes

Considerable personal contact is essential to insure a comprehensive portrayal of existing resources.

B. Multi-Year Section

The purpose for this section of the Plan is to utilize the Existing System Section's baseline data to describe the inadequacies of the existing resources. This is followed by a description of what the "ideal" system should be--a realistically achievable goal. A forecast and multi-year budget then, is set forth to describe what can be achieved toward this goal, and the anticipated cost. The objective requires quantification, and the forecast must portray specific, quantified accomplishments during specified time periods.

Developing this section requires personal contact and coordination by the Planning Section. The long range goals of the various state agencies, Crime Commission standing committees, Area Crime Commissions, etc., must be weighed, coordinated, and organized into realistic plans for attaining the stated goals.

C. Annual Action Section

The Annual Action Section is the first year of implementation of Multi-Year programs.

The various programs developed by the Crime Commission standing committees, state agencies, Area Crime Commissions, local units of government, etc., are described. The quantified objective, implementation, and budget for the programs are set forth.

Programs may be of short (implemented and completed in one year) or long (spanning two or more years) duration. The Annual Action program may be seen as the first stage, in many instances, of long range programs and goals.

In addition, the Annual Action Section includes assurances of the Iowa Crime Commission, required by LEAA Plan Guidelines, in the use of funds, allocation of funds to high crime areas, etc.

D. Related Plans and Systems Section

The purpose of this section is to reflect the combined effort and coordination of other state and federal funding sources with LEAA in various program areas. In addition, this section serves to insure that duplication of effort will be kept to a minimum.

The development of this section is primarily an updating process involving the incorporation of any additions or changes to the previous year's plan.

E. Progress Report

This section of the plan addresses programs implemented or continued during the previous year. The progress and effectiveness of each program is reviewed and a general evaluation accomplished. In order to address this section, the planning section works in close concert with SPA program specialists who have first hand knowledge of programs implemented and degree of success and realized.

Progress reports submitted by project directors are reviewed by the planning section as well, to gain insight into the degree of effectiveness realized.

In order to insure a thorough and well-coordinated plan development effort within the agency, the plan development section must rely heavily on the knowledge and current information available in the program section.

The following are the major sources of input available to produce a comprehensive state criminal justice plan.

1. Statistics collected from various sources.
2. SPA Programs Section.
3. Crime Commission Standing Committees.
4. Area Crime Commissions and staff.
5. State Agencies.

The program section in conjunction with the plan development section analyzes and purifies the planning efforts of the input sources in the following manner by source category:

1. Statistics: Statistics are currently collected and compiled by the planning section. This function is continued by the planning section as the information contacts are established and the section is familiar with the types and form of statistical data desired by LEAA. This data is on file and available for planning efforts by any of the input sources.
2. SPA Programs Section: The programs section has access to current publications and literature that provide information regarding innovations and trends in each of the particular program specialities. Combined with the current knowledge of each program specialist in their field, the program section provides valuable planning input to the plan development section. The program specialists submit written ideas or brief program descriptions to the plan development section for inclusion in the plan. A separate file for each of the functional program categories is maintained to store this material which is later compiled and included in the state plan as appropriate.

3. Crime Commission Standing Committees: The standing committees are a valuable source of planning input as they meet frequently and are composed of members knowledgeable in the particular functional area. The program specialists serve as staff liaison to the committees and assist the planning efforts of each of the committees as well as provide a link between the plan development section and the committees.

The committee planning efforts take various forms according to individual committee preference. The committee may determine needs and problems in their functional area and then develop or suggest program models as well as establish a general statement of priorities and goals. A report of the committee findings then is submitted to the plan development section via the appropriate program specialist. The committee planning effort may also simply consist of the periodic submission of suggested program models via the program specialist.

In either case, a separate file for each of the committees is maintained in the plan development section to compile the material submitted. This material is then later included in the state plan as appropriate.

4. Area Crime Commissions and Staff: The area commissions and staff provide input regarding the plans and program models developed on the local level. The plan development section insures that pertinent planning guidelines and information are furnished the Area staff through correspondence, periodic meetings, and training seminars.

Much of the development of the area plans is a joint programs/plans effort with the programs section furnishing technical assistance and the plan development section providing procedural planning guidance and assistance.

Upon submission of the area plans, a categorical review by the appropriate program specialist is completed as well as a total plan review by the plan development section. Following the joint programs/plans review, a meeting with the individual area director occurs with suggested refinements and corrections being made at that time.

5. State Agencies: The program specialists work closely with the state criminal justice agencies and provide technical assistance in program development and planning. The state agencies are required to submit a written statement regarding their plans and funding requirements for the next year. The programs section and plan development section provide assistance in this area. State agency input is compiled in the plan development section and included in the state plan as appropriate.

III. PLAN REVIEW PROCEDURES

The plan is written in sections. As each functional category within the major divisions of the state plan are completed by the plan development section, the material is submitted to the programs section for preliminary review and any suggested refinements, additions, or corrections. This process occurs prior to any final review by the LEAA representative and is spread over a period of several months occurring as each sub-category is written. This procedure insures program input prior to final LEAA review and allows an unhurried systematic review by the programs section.

As each section is developed, a copy is also sent to the LEAA State Representative for preliminary review. This review may result in suggested revisions or improvements.

Upon completion of this preliminary review process for each situation of the plan, a copy of the particular section is sent to the Fiscal Manager, Deputy Director, and Executive Director for review.

The program specialist also submits copies of the drafted section to the appropriate Crime Commission Standing Committee for review and refinement.

Where state agencies are involved, the portrayal of the Existing Resources section pertaining to the specific agency is submitted to the agency. By taking this step, the SPA can insure an accurate portrayal of existing systems.

Once a section has been through the complete review process described above, a final draft typing is accomplished-- pages are left unnumbered to allow flexibility in adding material as needed.

After all sections have passed through the review process, described above, the LEAA technical staff reviews the plan draft. Revisions, additions, etc., are then made prior to completion of the final draft. A copy of the draft is submitted to the Office of Planning and Programming to accomplish the A-95 review procedures. Thirty day review period for OPP must be allowed.

Sufficient copies of the final plan draft including OPP's approval are then printed and mailed to Crime Commission members as far as possible in advance of the Crime Commission meeting, at which the Commissioners must vote on the plan. Commission bylaws require that this material be mailed ten days in advance of the meeting, although at least a month in advance is most reasonable.

It is appropriate to have the endorsement of the appropriate standing committee for each section of the plan prior to the commission vote on the final plan draft.

Once Crime Commission approval is obtained, the Governor's endorsement is desirable. The LEAA final review is accomplished after the Crime Commission and Governor have endorsed the plan. However, LEAA will accept a draft copy at the same time copies are sent to the Crime Commission so that they will have more time to complete their review. LEAA will not take any action on the plan until such time as the Iowa Crime Commission has endorsed the plan. Upon receipt of the LEAA approval the final draft of the plan can be submitted to centralized printing to arrange the final printing of the plan. The final product is then disbursed to the Governor, members of the Crime Commission, the Legislature, the SPA staff, Area Crime Commissions and State and local units of government.

<u>RECIPIENT</u>	<u>1973 PLAN</u>	<u>PROGRESS REPORT</u>
Congress	10	10
Legislature	*50	150
Governor	10	10
OPP/ISDAA	2	2
LEAA	15	15
SPA Staff	15	15
File	2	2
IC Commissioners	30	30
Area Commissions	**32	16 (2 per)
County Commissions	***87	0
ICC Committee Advisors	20	0
States and Territories	55	0
Extras	<u>72</u>	<u>50</u>
	400	300

*# of anticipated requests

**One per area chairman, three per area staff

***One per county commission

Grant Evaluation & Audit

GRANT EVALUATION SECTION

- I. Perform audits of subgrantees.
- II. Prepare the audit reports.
- III. Follow-up to resolve audit findings.
- IV. Keep SPA staff informed regarding audits.
- V. Take part in subgrantee training seminars.

GRANT EVALUATION SUPERVISOR

- I. Supervise grant evaluators.
- II. Make up audit schedule.
- III. Notify subgrantees of audit.
- IV. Conduct entrance interview at beginning of audit.
- V. Supervise and conduct audits of subgrantees.
- VI. Review work papers.
- VII. Prepare audit report.
- VIII. Hold meetings with subgrantee concerning audit.
- IX. Inform staff of audits at staff meetings.
- X. Present audit material at subgrantee training seminars.
- XI. Train new grant evaluators.

GRANT EVALUATOR

- I. Conduct or assist in conducting audits of subgrantees.
- II. Assist in preparation of the audit report.
- III. Participate in meetings held with subgrantee regarding the audit.
- IV. Provide information to other staff members.
- V. Participate in subgrantee training seminar if required.

I. AUDIT SELECTION AND SCHEDULING PROCEDURES

- A. An audit is to be performed of each state agency and area crime commission annually.
- B. Those state agencies and areas receiving the largest awards shall be audited first.
- C. Grants to be audited shall be selected on the basis of dollar magnitude and impact on the Criminal Justice System.
- D. Each subgrantee should have at least one grant audited. If time permits, all grants should be audited.

II. CONDUCTING AN AUDIT

- A. Follow instructions as set forth under items 1, 2, 3, 4, and 5 under the Recommended Audit Program (Attachment #6).

III. WRITING AUDIT LETTER

- A. All audit exceptions not resolved in the exit conference should be summarized in a letter.
- B. The letter should be sent to the chairman of the Area Crime Commission with copies to the Project Director of the area, the County Crime Commission Chairman and local officials involved on the projects mentioned.
- C. A meeting should be scheduled with the subgrantee to discuss the audit. If further documentation is produced at this meeting it should be examined. The response may also be made in writing. If this is done, examine documentation submitted.
- D. Write final letter based on decisions and determinations made resulting from the audit response.

IV. APPEALS OF AUDIT FINDINGS

- A. The subgrantee must submit in writing a request to appeal the audit findings.
- B. The request must be submitted 30 days prior to the scheduled meeting of the Executive Committee of the Iowa Crime Commission.
- C. The Grant Evaluation Section prepares a fact sheet and may be required to present the facts in person to the Executive Committee.
- D. The subgrantee is allotted a place on the agenda of the Executive Committee Meeting.
- E. The subgrantee's position may be presented orally or in writing.
- F. The decision of the Executive Committee is final.

RECOMMENDED AUDIT PROGRAM
SUBGRANTS/SUBGRANTEES

1. Obtain copies of: (a) the SPA's Statement of Grant Award (See Attachment 1) and supporting data - e.g., special conditions, and (b) the last or latest fiscal report received from the subgrantee. Review this data to become familiar with the nature and scope of the project and its financial status. Also review the SPA's project files to determine that:
 - a. All essential provisions of the application for grant funds have been completed;
 - b. The SPA's files indicate that the application for grant funds was subjected to an adequate technical and fiscal review;
 - c. The SPA's files indicate that the application was processed in accordance with established procedures;
 - d. The SPA's files are complete as pertains to the submission of required financial and narrative (accomplishment) reports; and
 - e. The SPA's files contain evidence of review of all financial and narrative reports received from the subgrantee and that appropriate follow-up action was taken on questions noted.
2. Hold an entrance interview with appropriate subgrantee personnel to discuss the general scope and nature of the project, to obtain information pertaining to the subgrantees accounting procedures, and to follow-up on items noted during the reviewing of the SPA's files (Step 1 above). During this interview the auditor should also determine:
 - a. Whether the SPA and regional planning unit have been cooperative and responsive in providing direction, guidance and assistance;
 - b. Whether the subgrantee received a manual or other issuances setting forth grant application preparation and submission procedure, subgrantee administrative responsibilities, finance and accounting procedures, and instruction on allowable costs under OMB (BOB) Circular A-87;
 - c. Whether the subgrantee submitted any subgrant proposals or applications that were disapproved and, if so, whether or not the applicant was notified in writing of the reasons therefor;
 - d. Whether the subgrantee's proposal or application was processed and funds made available in a timely manner (follow-up to determine the reasons for any reported delays of an unusual nature);

e. Whether the subgrantee is of the opinion that the regional planning unit and the SPA supervisory board is representative of local governments and criminal justice interests in their area/the State and, if not, the reasons therefor; and

f. Whether any audits of subgrant records have been made by the State central auditor, applicant agency internal auditor, public accountants, etc. (If so, obtain and review the audit report).

3. Prepare a source and application of funds working paper (Attachment 2) from the subgrantees accounting records or latest cost report, if applicable. If the latter approach is followed, this working paper must be reconciled to the subgrantee's accounting records. Examine source documents supporting each classification set forth in the source and application of funds working paper as necessary to determine:

a. Whether the subgrantee has established and maintained records that identify receipts and expenditures of funds relating to each grant;

b. Whether the subgrantee is maintaining explicit documentation setting forth the amount, source and timing of matching shares, if applicable;

c. Whether all expenditures are allowed in accordance with the provisions of BOB Circular A-87, benefit the project and are necessary for an effective and efficient operation;

d. Whether the subgrantee employed a State or local government employee in addition to his full time job. If so, ascertain whether:

(1) The work on the project is performed on his own time;

(2) The compensation is consistent with that paid for similar work in the State or local government.

(3) The employment arrangement is approved and proper under State or local regulations.

(4) The time and/or services provided is supported by adequate documentation.

e. Whether the subgrantee performs monthly reconciliations of receipts, disbursements and balances to determine if the cash on hand in the bank agrees with cash on hand as recorded on the books. (If not, determine and evaluate the subgrantees' internal controls for determining the accuracy of the books and records);

f. Whether property cards and inventory control records are maintained for equipment and supplies purchased with action or planning funds and whether physical inventories are taken on a periodic basis and the assets are otherwise properly identified and safeguarded;

of the auditors finding and corrective action to be taken where appropriate.

GUIDE FOR EVALUATING ACCOUNTING SYSTEM
AND INTERNAL CONTROLS

GENERAL

1. Does the subgrantee utilize a double-entry system in accounting for program funds?
2. Does the accounting system identify adequately the receipt and expenditure of program funds separately for each grant?
3. Does the accounting system provide for the recording of expenditures for each grant by the component project and budget cost categories shown in the approved budget?
4. Does the system provide for adequate budgetary control to preclude incurring obligations in excess of:
 - a. Total funds available for a grant?
 - b. Total funds available for a component?
 - c. Total funds available for a budget cost category?
5. Does the system provide for recording the non-Federal share contribution in the accounting records?
6. Does the accounting system provide adequate information to permit the subgrantee to meet prescribed financial reporting requirements?
7. Are steps being taken to insure that the personnel assigned to the project are familiar with the provisions of the grant agreement and related SPA guides?
8. Does the subgrantee have an internal audit staff or its equivalent? If so, does the internal audit staff:
 - a. Follow written program designed to:
 - (1) Test internal control?
 - (2) Validate direct costs and overhead charged to "cost type" project contracts?
 - b. Issue reports covering examinations?

BUDGET PREPARATIONS

9. Is the responsibility for budget preparation vested in an appropriate body of the grantee?
10. Is there coordination between program and financial personnel in the budget preparation process?
11. Are supporting documents used for budget estimates available?

FUND CONTROL

12. Will a separate bank account be maintained for the project funds?
13. If the project funds are commingled with non-Federal funds, is the accounting adequate to identify LEAA/SPA grant funds received and expended?
14. Will the system allow the subgrantee to determine excess funds on hand from the project in order that such excess funds can be invested in approved securities which have a maturity date on or before the date the funds are needed for disbursement?
15. Are employees in positions of trust appropriately bonded?

PERSONNEL AND PAYROLL

16. Are personnel policies established in writing?
17. Are procedures adequate to provide that employees are paid in accordance with approved budget wage and salary rates?
18. Are personnel policies, particularly policies governing employees compensation in accordance with the requirements set forth in the LEAA Financial Guide?
19. As a minimum, do the personnel and/or payroll forms include the following, or similar forms?
 - a. A daily attendance record?
 - b. Leave form?
 - c. Individual payroll record form?
 - d. A payroll register?
 - e. A notification from the personnel section concerning appointments, terminations, position classification, and salary rates?
20. When employees are hired, do procedures provide for reference checks and confirmation of prior employment data?
21. When employees work overtime, are these provisions for:
 - a. Authorizing and paying overtime only to employees entitled to receive overtime?
 - b. Recording earned and used compensatory time in lieu of overtime pay?
22. Are there personnel policies prohibiting employment of individuals which result in:
 - a. Nepotism?

b. Conflict of interest?

23. Are records kept on personnel actions including hiring, promotion, dismissal, and resignation of both full-time and part-time employees?

24. Where duties require employees to spend considerable time away from their office, do they prepare reports for their supervisor disclosing weekly or monthly activities (e.g., number of persons contacted, purposes, etc.)?

TRAVEL - (f part of Project Costs)

25. Does the subgrantee have a formal travel policy in effect?

26. If so, are the following requirements incorporated in the policy?

a. Travel authorizations or orders?

b. Submission of approved travel vouchers before payment?

c. Per diem allowance or substantiation of actual expenses?

d. A mileage allowance for privately owned vehicle driven for official business?

e. The use of local travel by other than the most economical means be kept at a minimum?

27. Does the policy also restrict all air travel to coach accommodations, except when less than first class air accommodations are not available?

THIRD-PARTY CONTRACTS

28. Will the grantee enter into any third-party contracts? (If yes, answer the following questions)

29. Does the subgrantee policy require competitive bids on all contracts over \$2,500?

30. Do procedures provide for consideration of in-house capabilities to accomplish services before contracting for them?

CONSULTANTS AND CONTRACTS

31. Are procedures in effect to provide for formal approval of contracts by grantee official?

32. Do professional and consultant service contracts agree with LEAA regulations pertaining to Contract and Consultant Services?

33. Are contracts written so that the services rendered are clearly defined?

34. Does the grantee have controls for determining whether contracts are properly executed?

35. Are there adequate procedures for identifying and controlling property under the program?

36. Do procedures provide for periodic physical inventories of non-expendable property?

37. Are there adequate procedures to prevent the purchase of:

a. Real property without special LEAA approval?

b. Equipment purchases in excess of the LEAA allow ability?

38. Does the grantee have a systematic method for determining what supplies are needed and in what quantities?

OTHER MATTERS

39. Are there procedures for self-evaluation of project accomplishments?

40. Are there statistical reports prepared to indicate actual progress compared to planned progress?

41. Do projects initiated and operated appear to be in consonance with program plan and any special conditions within the project approval?

Section IV

A. Miscellaneous Procedures

1. Technical Assistance
2. Statement on Civil Rights
3. Field Review of Civil Rights Compliance

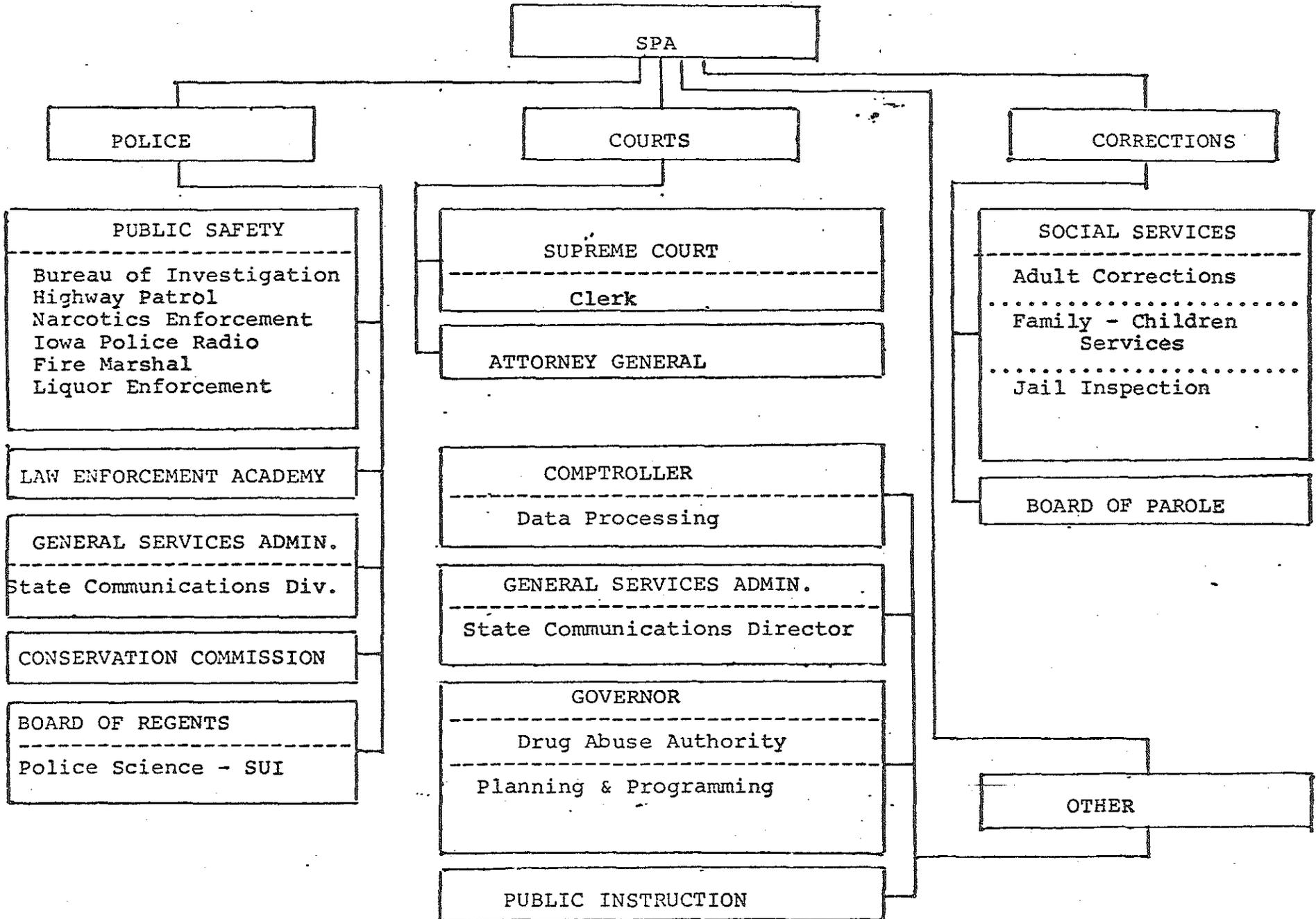
Technical Assistance

TECHNICAL ASSISTANCE

- I. The Guideline Manual (M 4100.1) for State Planning Agency Grants requires that states describe in their applications for part B funds the technical assistance and helping services that the state will provide (pg. 14, #18).
 - A. This requirement states "Specify those supported by state resources and contributions beyond Title I grant funds and matching shares. Describe any new technical assistance programs or services not in development but being planned for future activation."

- II. The procedures for identifying the resources and contribution and including these in the state planning grant application are as follows.
 - A. Program and Plan section members are to be aware of all state agencies identified as resources (see State statistical Data sources used by State Planning Agencies)
 - B. Any change in technical assistance status by an agency must be reported to the fiscal and administrative manager.
 - C. The fiscal and administrative manager holds the responsibility of preparing the annual planning grant application and insure that the specifications and descriptions of technical assistance are included.
 - D. Where technical assistance received is substantial staff members shall record and route to the Fiscal and Administrative Manager.
 - E. Daily contacts with agencies by phone or in person shall not be recorded unless they have met the requirements of D above.
 - F. Technical assistance to local units of government from state agencies during program development shall be recorded on the application review sheets.
 - G. Letters, memos and copies of relevant material shall be kept in a Technical Assistance file to centralize documentation of technical assistance.

STATE STATISTICAL DATA SOURCES USED BY STATE PLANNING AGENCY



114

Statement on Civil Rights

STATEMENT on CIVIL RIGHTS

- I. The State Planning Agency will consider any prospective employee on his or her individual qualifications regardless of that person's race, color, creed, sex, religion, or national origin. All recruitment of employees will be done through the Iowa Employment Security Commission, the Merit Department, local private employment agencies, or through newspaper advertising. Consideration will also be given to anyone who makes application on his or her own initiative.

- II. The following procedure has been adopted.
 - A. Civil Rights SPA Memo #68 has been issued (submitted to LEAA as part of original audit response).
 - B. Field audit section will review compliance as part of their audit. Their findings will become part of the audit workpapers.
 - C. Field monitors will review with subgrantees during their monitoring visit. The results of their review will become part of their report.
 - D. Other SPA staff, during field visits, will review civil rights compliance with subgrantees. A report will be prepared which reflects the results of the review.
 - E. All findings and reports contained in B, C & D above will be sent to the Courts Specialist for review. She will forward a letter to those subgrantees who are in non-compliance and ask that corrective action be taken. If corrective action is not taken within 30 days, administrative action will be taken by the SPA.

Field Review of Civil Rights Compliance

FIELD REVIEW OF CIVIL RIGHTS COMPLIANCE

- I. What procedure is followed with regard to recruitment of personnel?
 - A. Ad in newspaper of general circulation in the area
 - B. State employment agency
 - C. Local employment agency

- II. What percentage of the local population do minority groups comprise?

- III. Do you employ any minority group persons?
 - A. If yes, in what capacity?
 - B. How many?

- IV. How many persons do you currently employ?
 - A. Number of men
 - B. Number of women
 - C. In what capacity?

- V. How are vacated positions normally filled?
 - A. Shifting the duties of existing personnel.
 - B. Hiring new individuals.

Section V

- A. Purpose & Functions of the Iowa Crime Commission
- B. Standing Committee Functions & Rules
- C. Committee Functions

PURPOSE AND FUNCTIONS OF THE IOWA CRIME COMMISSION

The Iowa Crime Commission is composed of 32 persons appointed by the Governor under the provisions of Chapter 80C of the Code of Iowa. The existence of the Iowa Crime Commission is further supported by Title I of the Omnibus Crime Control and Safe Streets Act of 1968 as amended by the Omnibus Crime Control Act of 1970, Section 203 (A).

In order to carry out the responsibilities assigned in both State and Federal statutes, the Iowa Crime Commission employs a full-time staff called the State Planning Agency. The Crime Commission, however, is ultimately responsible for the conduct of the law enforcement assistance program in the State and serves within the jurisdiction of the Governor.

The Crime Commission shall cause to be prepared an annual comprehensive state-wide plan for the improvement of law enforcement throughout the State. It shall define, develop and correlate programs and projects for the State and units of general local government in the State for the improvement of law enforcement. It will establish priorities for the improvement of law enforcement throughout the State.

The Commission shall cause to be created five standing committees, namely: The Executive Committee, the Enforcement Committee, the Courts Committee, the Corrections Committee, and the Prevention Committee. Other committees, either standing or special, may be utilized in accordance with authority provided in the by-laws of the Commission. Amplification of the duties of the State Planning Agency and the committees is contained in another part of these guidelines.

The Commission, in accordance with the intent of Chapter 80C of the Code of Iowa, has delegated the overall administration of the program to the Executive Director of the Commission, who serves as the head of the State Planning Agency. This delegation includes the approval of planning or action grants a part of the State's annual action program or its multi-year plan in accordance with the procedure as outlined in the letter of January 2, 1973.

In its role of policy and decision making for the purposes of combating crime and upgrading the capabilities of the criminal justice process in Iowa, the Commission exercises an overview and will not be involved in the operation of specific segments of the criminal justice system. The Commission shall also generally manage the activities of area crime commissions which are declared to be for the same purposes as the Iowa Crime Commission except for their geographic size.

The Commission shall receive and implement rules and policies of the Law Enforcement Assistance Administration, or, of the Governor, and shall assist the State Planning Agency in obtaining these goals.

The Executive Committee of the Commission is charged by the Commission to hear appeals for deviations from the program, and/or special requests that cannot be approved by the State Planning Agency. The Executive Committee will also hear requests for reversion funding on a case-by-case basis and indicate to the State Planning Agency its decision.

STANDING COMMITTEE FUNCTIONS & RULES

- I. Each committee shall develop, for recommendation to, and formal adoption by the commission, a definition of its scope of interest.
- II. Each committee shall review the existing systems, needs and problems, multi-year funding, annual action, related plans, programs and systems, and the progress report components of the annual action plan that relate to its scope of interest. The committee's input to these sections shall be due in the SPA according to the following schedule:
 - A. Existing Systems, Needs and Problems - May
 - B. Multi-Year Plan - June
 - C. Annual Action Plan - July
 - D. Related Plans - August
 - E. Progress Report - September
- III. Each committee shall set forth, for recommendation to the Commission, a set of programs for the implementation throughout the state or specified parts of the state, within the scope of interest of that committee. Each such program shall have a brief title by which it may be known, a goal to be pursued by subsequent Commission and committee activities, a full description and a plausible method and timetable for pursuing the goal. These programs shall, after commission approval, be included in the plan recommendations submitted to the SPA.
- IV. Each committee will, as directed by the Commission or the SPA, participate in the review of proposals and plans.
- V. Each committee may initiate and recommend to the Commission, actions within its scope of interest which the committee deems necessary or desirable to further the Commission's mission.
- VI. Each committee, as and when directed by the Commission, will oversee the implementation of specialized long-range plans and Commission programs.
- VII. Each committee shall maintain a representative character in terms of its subject matter, units of government, geography, disciplines and public involvement.
- VIII. Meetings of committee shall be held as frequency as deemed necessary by the chairman thereof.
- IX. A quorum shall be a majority of the committee members. However, at the time a vote is taken by any committee on any matter properly before the committee, the majority of those voting shall be Commission members.

- X. Except in cases of severe illness, or other reasons acceptable to the committee chairman, any committee member who misses three consecutive committee meetings, having been given due notice of such meetings, may be removed from committee membership by the committee chairman after consultation with the Committee Chairman.
- XI. No committee member may be represented by another person for purposes of determining a quorum, nor may any person vote other than a duly appointed member. No vote by proxy will be honored.
- XII. Prospective non-commissioner members must be appointed by the Executive Committee of the Iowa Crime Commission, as stated in the Commission By-laws. Non-voting guests and advisors may be invited to attend individual committee meetings at the discretion of the committee chairman.
- XIII. Due to the heavy workload of the State Planning Agency requests for staff assistance must be submitted to the Executive Director.

COMMITTEE FUNCTIONS

- I. Functions of a temporary nature affecting only the FY 1972 and FY 1973 programs.
- A. Involvement into the FY 1972 program should be limited to appropriate reversion fund requests.
 - B. Involvement in the FY 1973 program should not include or attempt to reallocate funds to specific program categories. The formula currently being utilized in development of the FY 1973 program was determined based upon the following criteria:
 - 1. Anticipated continuation projects at the state and local levels.
 - 2. Expansion of current projects at the state and local levels.
 - 3. New projects brought to the attention of the SPA via multi-year projections in prior years plans.
 - 4. New LEAA interpretation of program guidelines.
 - 5. Pass through requirements.
 - 6. Priorities established by the commission in prior meetings.
- II. The committee system embodies a policy-making task of a specialized nature. The establishment of enforcement, courts, corrections and prevention committees segregates the huge scope of work of the full Commission and allows for concentration on more specific material. The activities of the committees are to be viewed as advisory to the full Commission and the State Planning Agency (SPA).

The committees must work in close coordination with the SPA to ensure that all effort is in compliance with federal, state, law and administrative requirements. Development of a policy which would require a decision of the full Commission must be thoroughly researched so that the necessary determination can be speedily made by the larger body. The long range benefit of the committee system will be in the providing of a thoroughly researched work order for future state comprehensive plans.

Committees should now concentrate on projected needs and problems for FY 1974 and beyond.

State of Iowa
Department of Public Safety

Lucas State Office Building
DES MOINES, IOWA 50319

DIVISIONS
ADMINISTRATION
FIRE MARSHAL
DRIVERS LICENSE
DEALERS LICENSE
SAFETY EDUCATION
RADIO COMMUNICATION
CRIMINAL INVESTIGATION
HIGHWAY SAFETY PATROL
MOTOR VEHICLE REGISTRATION
NARCOTIC AND DRUG ENFORCEMENT

May 9, 1973

Re: LOCAL
ENFORCEMENT

RECEIVED

MAY 9 1973

Mr. George W. Orr, Director
Iowa Crime Commission
L O C A L

IOWA CRIME COMMISSION

Dear Mr. Orr:

In reply to an inquiry from your office yesterday, please be advised that the Division of Narcotic and Drug Enforcement assists local police authorities throughout Iowa, to the extent possible with our agent force of ten men, in the following ways:

We furnish six hours of training to each class at the Iowa Law Enforcement Academy; give advice upon request concerning drug enforcement problems; furnish informants upon request, when possible; provide Special Agents for undercover investigations, when possible and advisable; and provide intelligence to local police.

In April, 1973, the Division held a drug seminar for local police for one day. One hundred seventy-five officers from around Iowa were in attendance.

Sincerely,

W. Penberthy
Wilbert Penberthy, Director
Division of Narcotic & Drug Enforcement

WP/lk

RECEIVED

State of Iowa
Department of Public Safety

Lucas State Office Building
DES MOINES, IOWA 50319

May 8, 1973

MAY 8 1973

LAW ENFORCEMENT DIVISIONS

IOWA CRIME COMMISSION

RADIO COMMUNICATIONS

CRIMINAL INVESTIGATION

NARCOTIC AND DRUG ENFORCEMENT

BEER AND LIQUOR LAW ENFORCEMENT

MOTOR VEHICLE ADMINISTRATION DIVISION

DEALER LICENSING

DRIVER LICENSING

MOTOR VEHICLE INSPECTION

MOTOR VEHICLE REGISTRATION



WILLIAM L. RAY

MARK W. MUELLERS

WILLIAM L. BIDLER

JOHN B. NIELSEN

Mr. George W. Orr
Director
Iowa Crime Commission
State Capitol Building
L O C A L

Dear Mr. Orr:

Traditionally, the Iowa Highway Patrol has a history of affording assistance to local law enforcement and local units of government anywhere in the State of Iowa, whenever the need existed. We are not only willing, but anxious, to continue this policy in the future.

Our participation with local law enforcement covers the entire spectrum from instruction to resolving actual law enforcement problems. We will continue to act in this capacity.

Sincerely,

Howard S. Miller
Howard S. Miller, Colonel
Chief
Iowa Highway Patrol

HSM:vh

RECEIVED

MAY 8 1973

IOWA CRIME COMMISSION



Department of Justice

RICHARD C. TURNER
ATTORNEY GENERAL
IRA "IKE" SKINNER
AREA PROSECUTOR

ADDRESS REPLY TO:
EXECUTIVE HILLS, EAST
1223 E. COURT, ROOM 202
DES MOINES, IOWA 50319
TELEPHONE: (515) 281-3648

May 8, 1973

Mr. George Orr
Director
Iowa Crime Commission
L O C A L

Re: Area Prosecutors Division

Dear Mr. Orr:

The Area Prosecutors Division of the Attorney General's Office has now been operational for a year and a half. Your attention is directed to the Quarterly Reports of the Area Prosecutors Division for specific details covering our technical assistance to the County Attorneys.

I wish to advise that after a review of the program, we are willing to provide continued technical assistance to the part-time County Attorneys in Iowa in the prosecution of criminal cases and for such other technical assistance as the County Attorneys may from time to time need.

Very truly yours,


IKE SKINNER
Area Prosecutor

IS:bjs

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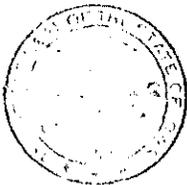
MAY 8 1973

Office of the Governor

STATE CAPITOL
DES MOINES, IOWA 50319

IOWA CRIME COMMISSION

FRED S. BRINKLEY, JR., DIRECTOR
DRUG ABUSE AUTHORITY



ROBERT D. RAY
GOVERNOR

May 8, 1973

Mr. George Orr
Director
Iowa Crime Commission
L O C A L

Dear Mr. Orr:

This communication will reiterate our willingness to make available technical assistance to local communities in the areas of drug abuse prevention, treatment and rehabilitation.

We will continue to develop these programs in cooperation with the Iowa Crime Commission to the mutual benefit of both agencies.

Sincerely,

Fred Brinkley

Fred S. Brinkley, Jr.
Director

FSB/ddf

RECEIVED

MAY 8 1973

IOWA CRIME COMMISSION

STATE OF IOWA

Department of Social Services

LUCAS STATE OFFICE BUILDING DES MOINES, IOWA 50319

ROBERT D. RAY
Governor

~~XXXXXXXXXX~~
Commissioner

May 8, 1973

Geroge W. Orr, Executive Director
Iowa Crime Commission
Hamilton Building
L O C A L

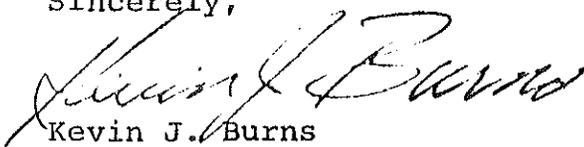
Dear Mr. Orr:

It is my understanding that a question has arisen regarding the technical assistance of staff from the Iowa Department of Social Services in relationship to various demonstration projects and established programs and services in which the Iowa Crime Commission has an interest.

This is to confirm the fact that staff from the Department's Bureau of Adult Corrections and Bureau of Family and Children's Services regularly provide technical assistance to a variety of local agencies and organizations involved in program development and the delivery of services in the broad field of adult corrections, juvenile corrections and the inspection of correctional facilities.

Please let me know if you desire additional information on this subject.

Sincerely,


Kevin J. Burns
Commissioner (Acting)

KJB/bjh

Court Administrator

STATEHOUSE
DES MOINES, IOWA 50319

R. HANSON LAWTON
COURT ADMINISTRATOR
WILLIAM J. O'BRIEN
RESEARCH DIRECTOR

RECEIVED

MAY 8 1973
CLARENCE A. KADING
JUDICIAL DEPARTMENT STATISTICIAN
IOWA CRIME COMMISSION

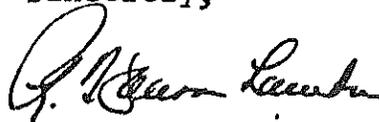
May 8, 1973

Mr. George W. Orr
Director Iowa Crime Commission
LOCAL

Dear Mr. Orr:

This letter is to confirm the Office of Supreme Court Administrator's willingness to provide continued technical assistance to various District Court Administrators in the area of Court Administration.

Sincerely,



R. Hanson Lawton
Court Administrator

RHL/jd

State of Iowa
OFFICE
State Comptroller
Des Moines

RECEIVED

MAY 8 1973

MARVIN R. SELDEN, JR., C.P.A.
IOWA CRIME COMMISSION
COMPTROLLER

HON. ROBERT D. RAY
GOVERNOR

May 8, 1973

Mr. George W. Orr
Executive Director
Crime Commission
Hamilton Building
L O C A L

Dear Mr. Orr:

When centralization of computer facilities began in the early 1960's, the Comptroller's Office adopted a policy of technical computer support for all agencies that were in need of such service. This policy has expanded to the point of being able to respond to almost any request for assistance within a reasonable amount of time.

I feel that this policy is necessary and vital to the efficient operation of the computer center. Only in the intimate association with the computer facility is it possible to develop a complete understanding of all aspects of the software and hardware.

It will remain the policy of this office to serve the needs of those departments, divisions and local communities that require this type of support within the constraints of budget. If you have any questions relating to this policy, please let me know.

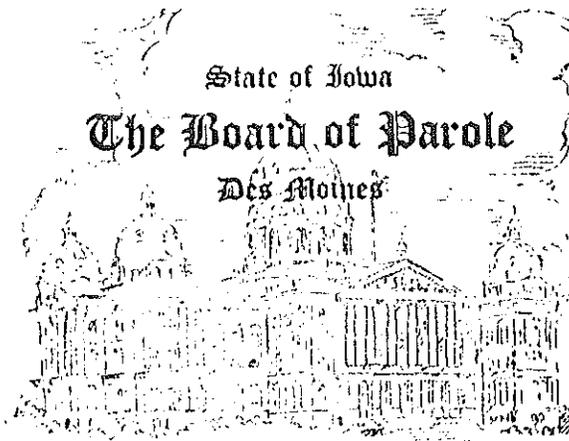
Very truly yours,

Marvin R. Selden, Jr.
State Comptroller


Verne H. Tanner, Jr.
Director of Data Processing

VHTjr:DLN:df

GEORGE L. PAUL, CHAIRMAN
BROOKLYN
JACK H. BEDELL, LEGAL ADVISER
SPIRIT LAKE
SILAS S. EWING, MEMBER
DES MOINES



Donald L. Olson
~~XXXXXXXXXXXXXXXXXXXX~~
~~XXXXXXXXXXXXXXXXXXXX~~ EXECUTIVE Secretary
6TH FLOOR
LUCAS STATE OFFICE BUILDING
DES MOINES 50319
PHONE 281-3308

May 8, 1973

RECEIVED

MAY 8 1973

IOWA CRIME COMMISSION

Iowa Crime Commission
State Capitol
Des Moines, Iowa 50319

Re: Grant No. 00-702-41-001-477-72

Dear Sir:

This letter is to confirm the intentions of the Board of Parole to provide technical assistance in the field of parole, upon request of local units of government.

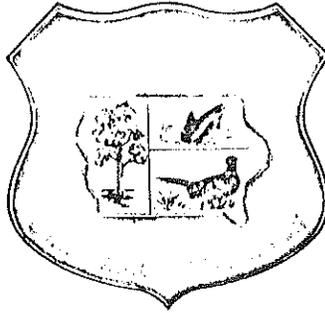
Very truly,

Donald L. Olson
Project Director

DLO/ds

COMMISSIONERS

EDWARD WEINHEIMER, CHAIRMAN—GREENFIELD
THOMAS A. BATES—BELLEVUE
JIM D. BIXLER—COUNCIL BLUFFS
LES LICKLIDER—CHEROKEE
JOHN G. LINK—BURLINGTON
DR. KEITH A. MC NURLEN—AMES
WILLIAM E. NOBLE—OELWEIN



FRED A. PRIEWERT, DIRECTOR
300 FOURTH STREET, DES MOINES, IOWA 50319
515/281-5145

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MAY 8 1973

IOWA CRIME COMMISSION

May 8, 1973

Mr. George W. Orr, Director
Iowa Crime Commission
State Capitol Building
L O C A L

Dear Mr. Orr:

This letter is to confirm the Conservation Commission's willingness to provide continued technical assistance to various local units of government in the area of Conservation Law Enforcement

Sincerely,

Ken Kakac
Ken Kakac

Conservation Enforcement
Superintendent

KK/sd

Department of General Services

Division of Communications

State Capitol Building
Des Moines, Iowa 50319

Hon. Robert D. Ray
Governor

Stanley L. McCausland
Director, Department of
General Services

Glen D. Anderson, Jr.
Director, State Communications
281-3336

May 8, 1973

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MAY 9 1973

IOWA CRIME COMMISSION

Mr. George W. Orr
Director
Iowa Crime Commission
State Capitol Building
L O C A L

Dear Mr. Orr:

The Division of Communications will continue to provide assistance to local law enforcement and local units of government within the state of Iowa pertaining to the technical aspects of telecommunications.

We solicit any request for assistance in any area where our technical expertise may be of use to a local authority.

Sincerely yours,



Glen D. Anderson, Jr.
Chief - Communications

State of Iowa
Department of Public Safety

Lucas State Office Building
DES MOINES, IOWA 50319

LAW ENFORCEMENT DIVISION
STATE
RADIO
CRIME
NARCOTIC AND
BEER AND LIQUOR
MOTOR VEHICLE REGISTRATION DIVISIONS
DEPARTMENT OF PUBLIC SAFETY
MOTOR VEHICLE REGISTRATION DIVISION
MOTOR VEHICLE REGISTRATION DIVISION

WILLIAM W. HAY
COMMISSIONER
MICHAEL M. SELLERS
COMMISSIONER
CARROLL L. HODGER
DEPUTY COMMISSIONER
JOHN B. NIELSEN
DEPUTY COMMISSIONER

RECEIVED

MAY 9 1973

IOWA CRIME COMMISSION

May 9, 1973

Mr. George W. Orr,
Director
Iowa Crime Commission
LOCAL

In re: Technical Assistance to Local Units of Government

Dear George:

The Iowa State Fire Marshal's Office has and shall continue to aid local units of government with technical assistance regarding fire safety, prevention, protection and apprehending of those responsible for criminally set fires.

The above also would pertain to explosions of all natures.

Yours sincerely,

Wilbur R. Johnson
State Fire Marshal

Reynold J. Hentges
By: Reynold J. Hentges
Assistant State Fire Marshal

RJH:ar

State of Iowa
Department of Public Safety

Lucas State Office Building
DES MOINES, IOWA 50319

May 9, 1973

LAW ENFORCEMENT DIVISIONS
HIGHWAY PATROL
STATE FIRE MARSHAL
RADIO COMMUNICATION
CRIMINAL INVESTIGATION
NARCOTIC AND DRUG ENFORCEMENT
BEER AND LIQUOR ENFORCEMENT
MOTOR VEHICLE ADMINISTRATION DIVISIONS
DEALER LICENSING
DRIVER LICENSING
MOTOR VEHICLE INSPECTION
MOTOR VEHICLE REGISTRATION

REFER TO OUR FILE NO. _____

RECEIVED

MAY 9 1973

IOWA CRIME COMMISSION

Mr. George W. Orr, Director
Iowa Crime Commission
Hamilton State Office Building
L O C A L

Dear Mr. Orr:

This letter is to confirm the Bureau of Criminal Investigation's willingness to provide continued technical assistance to various local units of government in the area of criminal investigation.

Sincerely,

Craig M. Beek
CMB

CRAIG M. BEEK, Director
Iowa Bureau of Criminal Investigation

CMB:bfc



State of Iowa
Department of Public Safety

Lucas State Office Building
DES MOINES, IOWA 50319

LAW ENFORCEMENT DIVISIONS
HIGHWAY PATROL
STATE FIRE MARSHAL
RADIO COMMUNICATION
CRIMINAL INVESTIGATION
NARCOTIC AND DRUG ENFORCEMENT
BEER AND LIQUOR LAW ENFORCEMENT

MOTOR VEHICLE ADMINISTRATION DIVISIONS
DEALER LICENSING
DRIVER LICENSING
MOTOR VEHICLE INSPECTION
MOTOR VEHICLE REGISTRATION

ROBERT D. RAY
GOVERNOR

May 8, 1973

MICHAEL M. SELLERS
COMMISSIONER

CARROLL L. BIDLER
DEPUTY COMMISSIONER

JOHN B. NIELSEN
DEPUTY COMMISSIONER

RECEIVED

MAY 9 1973

IOWA CRIME COMMISSION

Mr. George W. Orr
Iowa Crime Commission
State Capitol Building
Des Moines, Iowa 50319
L O C A L

Dear Mr. Orr:

This letter is to confirm that the Division of Beer & Liquor Law Enforcement of the Iowa Department of Public Safety is willing to provide continual technical assistance to the various local units of law enforcement within the State of Iowa in relation to beer and liquor law enforcement problems.

I remain in matters of mutual interest,

Sincerely,

GAVIN R. NEVINS, Director
Division of Beer & Liquor Law Enforcement
Iowa Department of Public Safety

GRN:ecw

May 11, 1973

RECEIVED

MAY 14 1973

IOWA CRIME COMMISSION

Mr. George W. Orr, Executive Director
Iowa Crime Commission
L O C A L

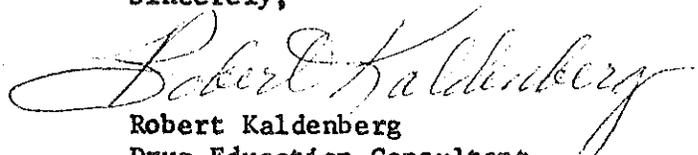
Dear Mr. Orr:

This correspondence will confirm our continued willingness to provide technical assistance to local communities in the area of drug abuse prevention, education and programming.

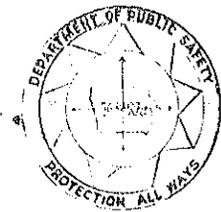
During the past three years we have been actively involved in the area of prevention at the local level and during the coming year specifically intend to concentrate on firming up local support of these programs.

If we can be of any further service, please feel free to call.

Sincerely,


Robert Kaldenberg
Drug Education Consultant

RK:dvr



ROBERT D. RAY
GOVERNOR

MICHAEL M. SELLERS
COMMISSIONER

State of Iowa

Department of Public Safety

Lucas State Office Building
DES MOINES, IOWA 50319

DIVISIONS OF
ADMINISTRATION
FIRE MARSHAL
DRIVERS LICENSE
DEALERS LICENSE
SAFETY EDUCATION
RADIO COMMUNICATION
CRIMINAL INVESTIGATION
HIGHWAY SAFETY PATROL
MOTOR VEHICLE REGISTRATION
NARCOTIC AND DRUG ENFORCEMENT

Address Reply to:
RADIO COMMUNICATIONS DIVISION
ROOM B-35, LUCAS BUILDING
DES MOINES, IOWA 50319

May 11, 1973

RECEIVED

MAY 14 1973

IOWA CRIME COMMISSION

Mr. George W. Orr
Executive Director
Hamilton Office Building
Des Moines, Iowa

Dear George:

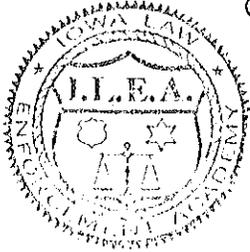
The technical personnel in this Division will continue to provide guidance and technical advice to any county or municipal agency wishing information regarding the establishing of a new communications system or modification of a present system.

Very truly yours

Boyd F. Porter, Director
Radio Communications Division
Department of Public Safety

BFP:dg

Iowa Law Enforcement Academy



JOHN F. CALLAGHAN
Director

CAMP DODGE
P.O. Box 130
JOHNSTON, IOWA, 50131

May 11, 1973

ROBERT D. RAY, Governor

COUNCIL MEMBERS

Warren Kruck, Chairman
Frank O'Keefe, Vice Chairman
Gerald D. Allan
Robert D. Jacobson
Art Klimer
George Matias
Fletcher D. Thompson
Senator Harold A. Thordson

RECEIVED

MAY 15 1973

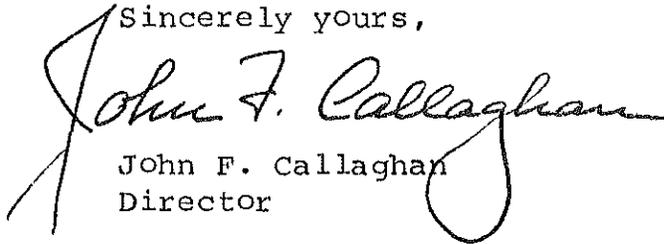
IOWA CRIME COMMISSION

Mr. George W. Orr
Executive Director
Iowa Crime Commission
Hamilton Office Building
Des Moines, Iowa 50319

Dear Mr. Orr:

This letter is to reiterate the established policy of the Iowa Law Enforcement Academy to continue to provide to local units of government assistance in the training and upgrading of all law enforcement functions.

Sincerely yours,


John F. Callaghan
Director

JFC:fmt



STANLEY REDEKER, *President, Boone*
 NED E. PERRIN, *Mapleton*
 RALPH H. WALLACE, *Mason City*
 RAY V. BAILEY, *Clorton*
 MRS. H. RAND PETERSEN, *Horton*
 DONALD H. SHAW, *Parcopol*
 JOHN D. BATHURIDGE, *Chariton*
 MRS. ROBERT M. COLLISON, *Oskaloosa*

State Board of Regents • DES MOINES, IOWA 50319

GRIMES STATE OFFICE BUILDING

Telephone (515) 281-5131

R. WAYNE RICHEY, *Executive Secretary*

May 14, 1973

RECEIVED

MAY 14 1973

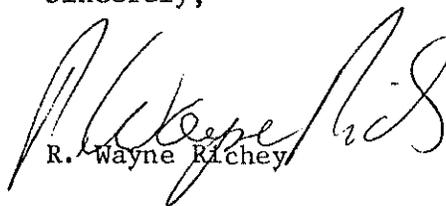
IOWA CRIME COMMISSION

George Orr
 Executive Director
 Iowa Crime Commission
 Hamilton Building
L O C A L

Dear Mr. Orr:

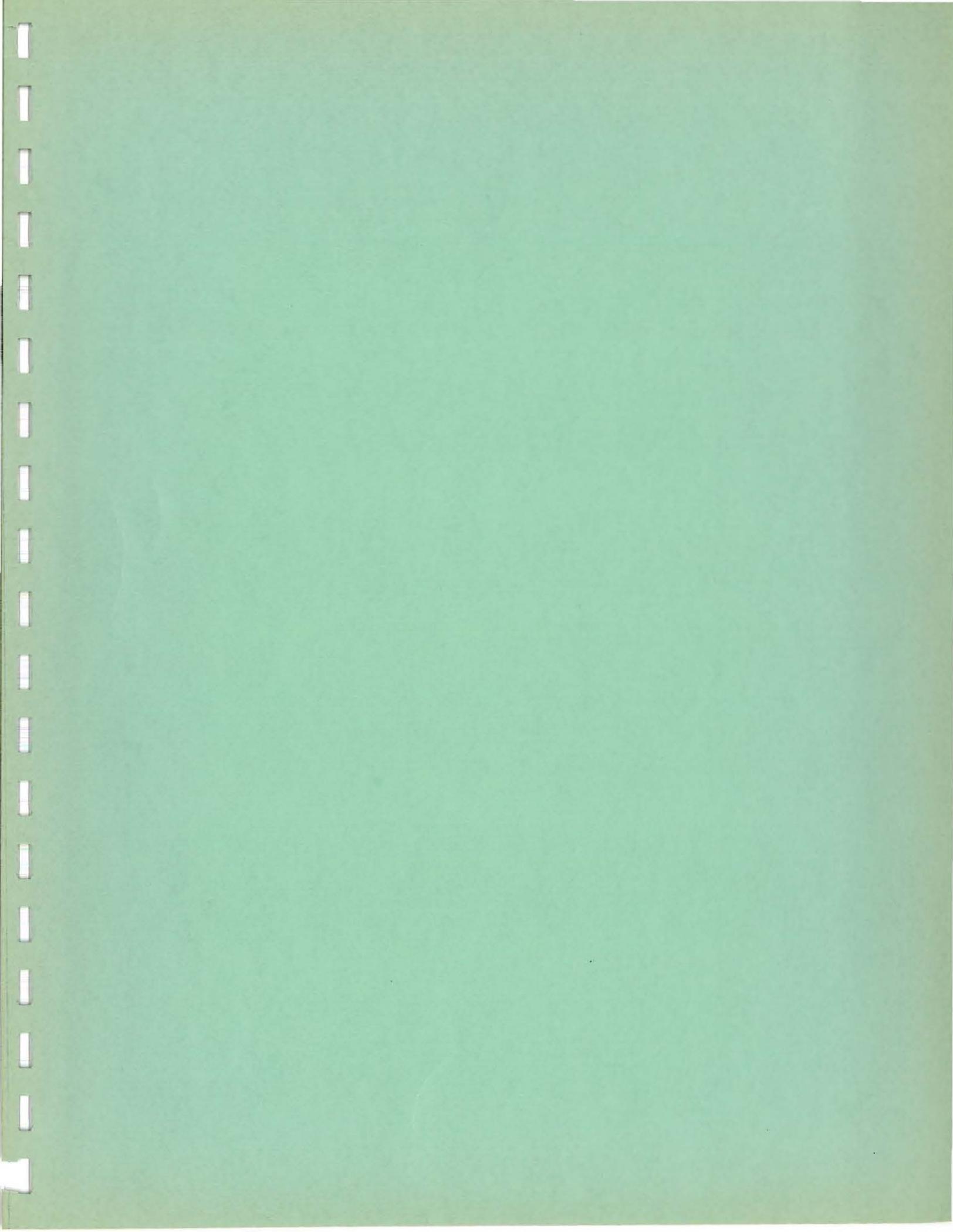
In answer to your request, the institutions under the Board of Regents have in the past and will in the future stand ready to offer assistance to local units of government in the area of criminal justice.

Sincerely,



R. Wayne Richey

mn





MISSION State Capitol • Des Moines, Iowa 50319 •

NON-SUPPLANTING CERTIFICATE

RECEIVED

NOV 1 1971
IOWA CRIME COMMISSION

State Agency

County

We certify that { ~~State~~ County } expenditures for law enforcement in

Black Hawk County for the fiscal year beginning
(County or State Agency)

January and ending December, or the calendar
year beginning January 1, 1971 and ending December 31, 1971,
are at least as great as in the preceding year plus the average
annual increment in such expenditures for the past 2, 3, 4, or 5
years.

Amount spent in	<u>1971</u>		<u>\$ 5,840,149.22</u>
	(Year)		(Amount)
Year	<u>1969</u>	<u>\$1,985,154.00</u>	
Year	<u>1970</u>	<u>\$1,804,253.00</u>	
Year	<u>1971</u>	<u>\$2,050,742.22</u>	
Year	<u> </u>	<u>\$</u>	
Year	<u> </u>	<u>\$</u>	
TOTAL		<u><u>\$5,840,149.22</u></u>	AVERAGE
			<u>\$ 1,346,716.40</u>

We cannot certify that law enforcement expenditures were as great as in the preceding year.

EXPLAIN:

[Signature], Project Director
Signature of Certifying Official

Iowa Crime Commission, Des Moines, Iowa 50319

RECEIVED

SEP 8 1972

NON-SUPPLANTING CERTIFICATE

IOWA CRIME COMMISSION

State Agency

County

City

We certify that ~~State~~ County expenditures for law enforcement in

DeWitt Police Department for the fiscal year beginning
(County or State Agency)

and ending _____, or the calendar year beginning January 1, 1971 and ending December 31, 1971, are at least as great as in the preceding year plus the average annual increment in such expenditures for the past 2, 3, 4, or 5 years.

Amount spent in 1971
(Year)

\$ 51,395.00
(Amount)

Year	<u>1969</u>	<u>\$ 49,824.00</u>
Year	<u>1970</u>	<u>\$ 48,700.00</u>
Year	<u>1971</u>	<u>\$ 51,395.00</u>
Year	<u>1972</u>	<u>\$ 55,800.00</u>
Year	<u>1973</u>	<u>\$ 57,920.00</u>

TOTAL \$263,639.00

AVERAGE \$ 52,727.80

We cannot certify that law enforcement expenditures were as great as in the preceding year.

EXPLAIN:

Mark E. Barnes Project Director
MARK E. BARNES

J. H. Lane
Signature of Certifying Official
J. H. LANE, County Auditor

RECEIVED

NON-SUPPLANTING CERTIFICATE

SEP 8 1972

IOWA CRIME COMMISSION

State Agency

County

We certify that ^{City}~~State~~_{County} expenditures for law enforcement in

Camanche Police Department for the fiscal year beginning
(County or State Agency)

and ending _____, or the calendar
year beginning January 1, 1971 and ending December 31, 1971,
are at least as great as in the preceding year plus the average
annual increment in such expenditures for the past 2, 3, 4, or 5
years.

Amount spent in 1971 \$ 40,954.00
(Year) (Amount).

Year	<u>1969</u>	\$ <u>30,172.00</u>
Year	<u>1970</u>	\$ <u>31,611.00</u>
Year	<u>1971</u>	\$ <u>40,954.00</u>
Year	<u>1972</u>	\$ <u>46,000.00</u>
Year	<u>1973</u>	\$ <u>50,100.00</u>

TOTAL \$ 198,837.00 AVERAGE \$ 39,767.40

We cannot certify that law enforcement expenditures were as
great as in the preceding year.

EXPLAIN:

Mark E. Barnes Project Director
MARK E. BARNES

J. H. Lane
Signature of Certifying Official
J. H. LANE, County Auditor

1971

5001 State Capital Bldg • Des Moines, Iowa 50319 • Phone 515 281 3741

NON-SUPPLANTING CERTIFICATE

RECEIVED

JUL 26 1972

IOWA CRIME COMMISSION

State Agency

County

We certify that { ^{City} ~~State~~ _{County} } expenditures for law enforcement in

City of Pella for the fiscal year beginning
(County or State Agency)
and ending _____, or the calendar
year beginning January 1, 1971 and ending December 31, 1971.
are at least as great as in the preceding year plus the average
annual increment in such expenditures for the past 2, 3, 4, or 5
years.

Amount spent in <u>1971</u>		<u>\$ 85,572</u>
(Year)		(Amount)
Year <u>1970</u>	<u>\$ 71,546</u>	
Year <u>1969</u>	<u>\$ 64,702</u>	
Year <u>1968</u>	<u>\$ 49,136</u>	
Year _____	<u>\$</u>	
Year _____	<u>\$</u>	
TOTAL	<u>\$185,384</u>	AVERAGE <u>\$ 61,782</u>

We certify that law enforcement expenditures were as great as in the preceding year

Ed DeJong
Ed DeJong, Chief of Police

Rec'd
7-26-72
@



1000 ... Iowa 50319 • Phone 515 281 1241

Rank

244-3257

NON-SUPPLANTING CERTIFICATE

State Agency

AUG 1 1972

County

IOWA CRIME COMM

We certify that { State } { County } expenditures for law enforcement in

City of Carlisle for the fiscal year beginning
(County or State Agency)

and ending _____, or the calendar
year beginning January 1, _____ and ending December 31, _____,
are at least as great as in the preceding year plus the average
annual increment in such expenditures for the past 2, 3, 4, or 5
years.

Amount spent in	1972	\$ 10880
(Year)	(Year)	(Amount)
Year 1967	\$ 6222	
Year 1968	\$ 10137	
Year 1969	\$ 9769	
Year 1970	\$ 9838	
Year 1971	\$ 9249	
TOTAL	\$ 45215	AVERAGE \$ 9043

We certify that law enforcement expenditures were as great as in the preceding year

Carolyn Treadway
City Clerk



MISSION State Capitol • Des Moines, Iowa 50319 • Phone 515-281-3241

NON-SUPPLANTING CERTIFICATE

State Agency

County

We certify that { ~~State~~ County } expenditures for law enforcement in

Johnson County for the fiscal year beginning
(County or State Agency)

and ending _____, or the calendar year beginning January 1, 1971 and ending December 31, 1971, are at least as great as in the preceding year plus the average annual increment in such expenditures for the past 2, 3, 4, or 5 years.

Amount spent in <u>1971</u>			<u>\$ 680,117</u>
	(Year)		(Amount)
Year <u>'71</u>		<u>\$ 680,117</u>	
Year <u>'70</u>		<u>\$ 565,793</u>	
Year <u>'69</u>		<u>\$ 509,327</u>	
Year <u>'68</u>		<u>\$ 435,173</u>	
Year _____		<u>\$ _____</u>	
 TOTAL		 <u><u>\$ 2,150,410</u></u>	 AVERAGE <u>\$ 81,648</u>

We cannot certify that law enforcement expenditures were as great as in the preceding year.

EXPLAIN:

X

William B. Leger, Project Director



NON-SUPPLANTING CERTIFICATE

State Agency

County

We certify that { ~~State~~ County } expenditures for law enforcement in

KOSSUTH for the fiscal year beginning
(County or State Agency)

~~January 1, 1971~~ and ending ~~December 31, 1971~~, or the calendar year beginning January 1, 1971 and ending December 31, 1971, are at least as great as in the preceding year plus the average annual increment in such expenditures for the past 2, 3, 4, or 5 years.

Amount spent in <u>1971</u>		<u>\$ 190,509.68</u>
(Year)		(Amount)
Year <u>1970</u>	<u>\$ 192,940.52</u>	
Year <u>1969</u>	<u>\$ 144,354.94</u>	
Year <u>1968</u>	<u>\$ 133,180.52</u>	
Year _____	<u>\$ _____</u>	
Year _____	<u>\$ _____</u>	
TOTAL	<u><u>\$470,975.98</u></u>	AVERAGE <u><u>\$ 168,991.99</u></u>

We cannot certify that law enforcement expenditures were as great as in the preceding year.

EXPLAIN:

In 1970 we had four Murder Trials that were transferred to 4 other counties to be tried and we had expenses of Defense Lawyers that for the year that was 22,052.06 against Defense Attorneys for 1971 of 1338.60 a difference of \$20,713.46.

Robert E. Liebhardt, Project Director
Signature of Certifying Official



MISSION State Capitol • Des Moines, Iowa 50319 • Phone 515-281-3241

NON-SUPPLANTING CERTIFICATE

State Agency

County

We certify that { ~~State~~ County } expenditures for law enforcement in

Polk County for the fiscal year beginning (County or State Agency)

and ending _____, or the calendar year beginning January 1, 1977 and ending December 31, 1977, are at least as great as in the preceding year plus the average annual increment in such expenditures for the past ② 3, 4, or 5 years.

Amount spent in	(Year)	(Amount)
Year <u>1977</u>	\$ <u>1,227,524.00</u>	\$ <u>1,227,524.00</u>
Year _____	\$ <u>1,273,341.00</u>	
Year _____	\$ _____	
Year _____	\$ _____	
Year _____	\$ _____	
TOTAL	\$ <u>2,500,865.00</u>	AVERAGE \$ <u>1,250,432.50</u>

We cannot certify that law enforcement expenditures were as great as in the preceding year.

EXPLAIN:

X

_____, Project Director

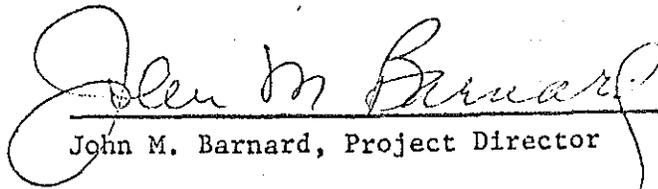
NON SUPPLANTING CERTIFICATE

I certify that expenditures for law enforcement in COUNTY
of SCOTT county/city for the fiscal year beginning January 1, 1972
and ending December 31, 1972 equal the amount spent in the preceding
fiscal year plus the average annual increase in such expenditures for the past
2, 3, 4, or 5 years:

CURRENT BUDGET \$ 3,585,500

<u>Year</u>	<u>Amount</u>
19 <u>71</u>	\$ <u>3,211,559</u>
19 <u>70</u>	\$ <u>2,889,689</u>
19 <u>69</u>	\$ <u>2,511,497</u>
19 <u> </u>	\$ <u> </u>
19 <u> </u>	\$ <u> </u>
TOTAL	\$ <u>8,612,745</u>

AVERAGE \$ 2,870,915



John M. Barnard, Project Director

SCOTT COUNTY CRIME COMMISSION

RECEIVED

JUN 23 1972

IOWA CRIME COMMISSION



MISSION State Capitol • Des Moines, Iowa 50319 • Phone 515-281-3241

NON-SUPPLANTING CERTIFICATE

State Agency

County

We certify that { ~~State~~ County } expenditures for law enforcement in

Palo Alto County for the fiscal year beginning _____
(County or State Agency)
_____ and ending _____, or the calendar
year beginning January 1, 1971 and ending December 31, 1971,
are at least as great as in the preceding year plus the average
annual increment in such expenditures for the past 2, 3, 4, or 5
years.

Amount spent in <u>1970</u>		<u>\$69,532.51</u>
(Year)		(Amount)
Year <u>1969</u>	<u>\$58,234.12</u>	
Year <u>1968</u>	<u>\$56,921.72</u>	
Year <u>1967</u>	<u>\$55,748.43</u>	
Year _____	\$ _____	
Year _____	\$ _____	
TOTAL	<u>\$170,904.27</u>	AVERAGE <u>\$56,968.09</u>

We cannot certify that law enforcement expenditures were as great as in the preceding year.

EXPLAIN:

X

James H. Hughes, County Auditor Mayor
Russell Hill, Project Director
Director Official

STATE OF IOWA
IOWA CRIME COMMISSION
STATE PLANNING AGENCY



APPLICATION FOR GRANT

1. APPLICANT: (Name and Address)	2. PROJECT NO.
	3. PROJECT TITLE:
	4. AREA AGENCY
	5. PROJECT PERIOD:

6. TYPE OF APPLICATION:

<input type="checkbox"/> Planning	<input type="checkbox"/> Initial		
<input type="checkbox"/> Action	<input type="checkbox"/> Continuation	_____ Grant No. _____	_____ Year Funding
	<input type="checkbox"/> Revision		
	<input type="checkbox"/> Reversion		

7. PROJECT DIRECTOR: (Name, Address, Phone)

8. FISCAL OFFICER: (Name, Address, Phone)

9. PROJECT BUDGET AND FUNDING SUMMARY

<u>EXPENSE CLASS</u>	<u>AMOUNT REQUESTED</u>
Salaries	_____
Personnel Benefits	_____
Contract Services	_____
Travel	_____
Tuition	_____
Equipment	_____
Construction	_____
Supplies & Operating Expenses	_____
TOTAL PROJECT BUDGET	\$ _____

10. EXPLANATION OF APPLICANT CONTRIBUTION

<u>IN-KIND</u>	<u>BY WHOM</u>
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
\$ _____ TOTAL IN-KIND	

11. FUNDING CATEGORY

<u>FUNDING CATEGORY</u>	<u>AMOUNT REQUESTED</u>
SPA Funds _____ %	\$ _____
State Match Funds (Cash)	\$ _____
State Match Funds (In-kind)	\$ _____
Local Match Funds (Cash)	\$ _____
Local Match Funds (In-kind)	\$ _____
TOTAL GRANT	\$ _____

<u>CASH AMOUNT</u>	<u>BY WHOM</u>
_____	_____
_____	_____
\$ _____ TOTAL CASH	
\$ _____ TOTAL CASH AND IN-KIND	

12. OTHER FEDERAL SUPPORT AND/OR SUBMISSION:

INSTRUCTIONS

- Block 1. **APPLICANT:** Name and adress of unit of government submitting the application.
- Block 2. **PROJECT NO.:** Leave blank. To be filled in by the SPA. (If revision, to be filled in by sub-grantee.)
- Block 3. **PROJECT TITLE:** Brief title which best describes project.
- Block 4. **AREA AGENCY:** Name of area crime commission submitting application.
- Block 5. **PROJECT PERIOD:** Anticipated start and ending date of project.
- Block 6. **TYPE OF APPLICATION:** Designate whether Planning of Action grant. If this is an Action application, designate whether initial, continuation, revision or reversion. If this is a continuation grant, enter previous SPA grant number on the line provided. Enter on line provided if 2nd, 3rd, or 4th year of funding.
- Block 7. **PROJECT DIRECTOR:** Fill in name and address and phone number of area crime commission Project Director.
- Block 8. **FISCAL OFFICER:** Fill in name and address and phone number of area crime commission Fiscal Director.
- Block 9. **PROJECT BUDGET AND FUNDING SUMMARY:** Enter the total project budget by expense class.
- Block 10. **EXPLANATION OF APPLICANT CONTRIBUTION:** If in-kind match is to be used on this project it must be shown on the corresponding line as the expense class in which it is to be used. If cash match is to be used, enter amount and By Whom contributed. State total cash and in-kind match on last line.
- Block 11. **FUNDING CATEGORY:** Enter the percentage and total amount of requested SPA Funds where indicated. This amount was formerly designated "Federal Grant Funds". Enter State Match Funds (Cash or In-kind). Enter Local Match Funds (Cash or In-kind). The total of these items must agree with the total project budget as stated in item 9.
- Block 12. **OTHER FEDERAL SUPPORT AND/OR SUBMISSION:** If funds are contributed by sources other than applicant state from whom and the amount.

Project Plan and Supporting Data

13. State Department or Area Crime Commission:

Category:

Project Title and Program Number:

Unit(s) of government involved in project:

1. Objective:

INSTRUCTIONS

Block 13.

Category: (Prevention, Police, Courts, Corrections, or Research and Development)

Project Title and Program Number:

Narrative Instructions:

Please state clearly and in detail the aims of the project, precisely what will be done, who will be involved, and what is expected to result. Use the following major headings:

1. Objective: The discussion of the objective should clearly indicate the problem or need being addressed and the manner in which it is expected that the program will make a contribution to the addressed segment of the Criminal Justice System. Sufficient background in terms of existing law enforcement, courts or correction conditions, crime incidence and other local circumstances (statistical and descriptive) to permit full understanding of the project's objective must be included.

Project Plan and Supporting Data

14. Method of Implementation:

INSTRUCTIONS

Block 14. Method of Implementation: This section should describe as precisely as possible how the project will be implemented and what design or methods will be utilized in carrying it out. This should include (a) a description of the various steps and stages of the project, (b) a work schedule of what will be done at each stage and estimated time intervals involved, (c) how the work will be organized, and (d) who will handle each element. If applicable, the following should also be included: (a) resumes of key professional staff or consultants, or if staff members have not yet been identified, the qualifications and background which will be sought for key positions, (b) staff organization, lines of decision, and policy or advisory bodies concerned with project execution, (c) achievements, experience and other activities which qualify the agency or group to conduct the project, and (d) where the cooperation and support of other units, groups, or agencies is necessary for project success, indicate their roles and furnish letters of endorsement or other evidence of support or willingness to participate in the project.

Project Plan and Supporting Data

15. Impact and Results:

INSTRUCTIONS

Block 15. Impact and Results: This section should clearly describe what the project, if successful, will demonstrate or achieve.

Continuation Projects:

In addition to the above information, a detailed report of the project accomplishments and status must be incorporated in or appended to the application.

INSTRUCTIONS

Block 16. SALARIES: Identify anyone to be paid or used as in-kind match on this grant. Give title of individual, the percent of time he will devote to this project, and his annual salary. If the individual listed is to be used as match, in-kind should be set out as such.

Example:

Position Title	% of Time	Annual Salary	Amount
Counselor	10	\$10,000.00	\$1,000.00

Block 17. PERSONNEL BENEFITS:

Social Security-the amount of the employer's share of FICA to be paid on the salaries in Item 16 to be stated here.
In-kind must be identified as in Item 16.

Workman's Comp.-the amount of workman's compensation to be paid on salaries in Item 16 to be stated here.

Retirement System-the employer's share of any retirement system to be paid should be stated here, such as POR and IPERS. Specify percentage.

Insurance Program-the employer's share of any insurance programs to be paid should be stated here, health and life insurance, etc.

Block 18. CONTRACT SERVICES: State name, address, hourly or daily rate for all contract or consultant services.

Block 19. TRAVEL: State who is to perform the travel, the purpose and the place. All out-of-state travel must be approved prior to the trip.

Block 20. TUITION: For training seminars and schools the number of personnel, the amount of tuition, the name of the institution and the place must be shown. Example: if you intend to send a law officer to ILEA, the information to be included would be as follows:

1 Officer - ILEA - Camp Dodge - tuition-\$86.00

APPLICATION FOR GRANT CONTINUED

BUDGET DETAIL CONTINUED <u>EXPENSE CLASS</u>	<u>AMOUNT</u>
21. Equipment: (Itemize)	Subtotal \$
22. Construction: (Itemize)	Subtotal \$
23. Supplies and Operating Expenses (Specify)	Subtotal \$
TOTAL PROJECT BUDGET	\$

INSTRUCTIONS

- Block 21. **EQUIPMENT:** Each item or items to be purchased must be specified including the description and the cost.
- Block 22. **CONSTRUCTION:** For guidance on construction Part C, refer to the LEAA Financial Guide, Section IV, pages 35 and 36, paragraph F. For Special Conditions pertaining to construction Part E, refer to Section I, page 5, paragraph G.
- Block 23. **SUPPLIES AND OPERATING EXPENSES:** Operating expenses must be enumerated separately. Such as rent, telephone, office machine rental, etc. Expendible office supplies may be shown as a lump sum. Such as paper, pens, pencils, staples, etc.

NON-SUPLANTING CERTIFICATE

- State Agency
- County
- City or Town

We certify that (State)
 (County) expenditures for law enforcement in _____
 (City or Town) (City, Town, County or State Agency)

for the fiscal year beginning _____ and ending _____
 or the calendar year beginning January 1, _____ and ending December 31, _____ are at least as great as
 in the preceding year and as great as the average annual increment in such expenditures for the past 2, 3, 4
 or 5 years.

Amount spent in _____ \$ _____
 (Year) (Amount)

Year _____	\$ _____

TOTAL \$ _____ AVERAGE \$ _____

- We cannot certify that law enforcement expenditures were as great as in the preceding year.

EXPLAIN:

 Signature (Chairman, Mayor and/or Director of State Agency)

MATCHING RESOLUTION

Whereas, the _____ of _____
(City, County or State Agency)

Iowa, by resolution duly passed heretofore, has resolved that it will provide during the calendar year of _____

cash funds for the following Iowa Crime Commission projects:

	<u>Brief Description of Project</u>	<u>Amount of Funds Being Provided</u>
1.		
2.		
3.		
4.		
5.		
6.		
7.		

We further resolve that we will provide in-kind match during the calendar year of _____ for the following projects:

	<u>Brief Description of Project</u>	<u>Type of In-kind — (Salary, Space, etc.)</u>	<u>Valuation of In-kind Provided</u>
1.			
2.			
3.			
4.			
5.			
6.			
7.			

Passed this _____ day of _____, 197_____

Signature _____
(Chairman, Mayor and/or Director of State Agency)

(Member)

(Member)

(Member)

Attest:

(Auditor - City Clerk)

(Member)

MONTHLY DRAWDOWN ESTIMATE

APPLICANT _____

Project Title: _____

Program Category number (if known): _____

Request start date: _____

Total Federal Funds requested: _____

Monthly request:

AMOUNT

Month 1 _____

Month 2 _____

Month 3 _____

Month 4 _____

Month 5 _____

Month 6 _____

Month 7 _____

Month 8 _____

Month 9 _____

Month 10 _____

Month 11 _____

Month 12 _____

TOTAL _____

Special Notes _____

APPLICANT'S AGREEMENT

A. Assurance of Compliance with Civil Rights Act of 1964.

No person shall, on the grounds of race, creed, color or national origin, be excluded from participation in, be refused the benefits of, or be otherwise subjected to discrimination under agency grants awarded pursuant to P.L. 90-351 or any project or program supported by such grants. Grantees must comply with the provisions and requirements of Title VI of the Civil Rights Act of 1964 and regulations issued by the Department of Justice thereunder as a condition of award of federal funds and continued grant support. The United States shall have the right to seek judicial enforcement of these assurances of compliance. This grant condition shall not be interpreted to require the imposition in State plans or planning agency subgrant programs of any percentage ratio, quota system, or other program to achieve racial balance or eliminate racial imbalance in a law enforcement agency.

B. The Hatch Act.

Federal Law prohibits partisan political activity by an officer or employee of a State or local agency if his principal employment is in connection with an activity which is financed in whole or part by loans or grants made by the United States or a Federal Agency. The law is enforced by the United States Civil Service Commission.

C. Procurement of Special Equipment.

The SPA (Iowa Crime Commission) expects that the subgrantee will procure such special equipment being purchased in whole or in part with grant funds by that method, authorized by state law or local ordinance, which results in the lowest price for goods of the kinds or type required.

D. National Environmental Policy Act of 1969.

This project application either does not involve construction, renovation, modification of facilities or the use of herbicides or pesticides, or the applicant has filed the necessary statements (Negative Declaration or Environmental Impact) with the SPA (Iowa Crime Commission).

E. National Historic Preservation Act of 1966.

This project application either will not have an effect on a site listed on the National Register of Historic Places or the applicant has notified the SPA (Iowa Crime Commission) that such a site is or will be involved.

F. Clearinghouse Notification

A copy of all applications involving planning projects, construction projects, or projects contemplating the use of herbicides or pesticides will be sent to the State Clearinghouse (O.P.P., State Capitol) in addition to the application submitted to the SPA (Iowa Crime Commission).

G. Uniform Relocation Assistance and Real Property Act.

The applicant insures either that no person will be displaced by this project or that any displaced person has been informed of the available benefits under this Act.

H. Freedom of Information.

All identifiable plans, applications, contract awards, reports, books, papers or other documents maintained by the applicant in relation to the grant shall be made promptly available upon request to any member of the public for the purpose of inspection and copying. Such inspection and copying may be made subject to reasonable rules relating to time, place and fees for reproduction.

I. Clean Air Act.

Neither the applicant nor any of its contractors have been convicted of any offense under the Clean Air Act.

J. Applicability of Federal Conditions.

All conditions, rules and regulations of the Law Enforcement Assistance Administration (LEAA) which relate to the administration of action grants by state planning agencies or the financial accounting therefore shall also apply to subgrantees and contractors of the Iowa Crime Commission.

K. Non-supplanting Requirement.

The Omnibus Crime Control and Safe Streets Act of 1968 contains a non-supplanting requirement (Section 303 (10)). This requirement stipulates that federal funds under Title I may not be used to supplant state and local funds that would have been available in the absence of federal aid. In complying with this requirement, the State Planning Agency will rely on written certification by state agencies and local government units to the effect that federal funds have been used to increase state or local funds available for law enforcement.

L. Reports.

The subgrantee shall submit monthly financial reports and quarterly progress reports indicating activities undertaken, expenditures, and general progress of the planning or action proposal for which the subgrant was awarded. In addition to the above reports, a final report (using same report forms) dealing with the evaluation of the entire project will be needed. This will include data needed to verify the success or failure of the project and a statement as to the effectiveness of the project.

M. Other Conditions.

The Applicant also understands and agrees: (1) that any grant received as a result of this application shall be subject to the grant conditions and other policies, regulations, and rules issued by the Department of Justice and the Iowa Crime Commission for the administration of grant projects under the Omnibus Crime Control and Safe Streets Act of 1968; (2) that funds awarded are to be expended only for the purposes and activities covered by the Applicant's approved application and budget; (3) that the grant may be terminated in whole or in part by the Iowa Crime Commission at any time that the Commission finds a substantial failure to comply with the provision of the Act or regulations promulgated thereunder by the Department of Justice or the Commission, including these grant conditions, or plan or application obligations, but only after notice and hearing and pursuant to all procedures set forth in the Act and Federal and State guidelines; (4) that appropriate grant records and accounts will be maintained and made available for audit as prescribed by the Commission; and (5) that the appropriate share of the total costs of this project shall be contributed by the Applicant from non-federal funds which are not being used in connection with any other program which is receiving federal financial assistance.

N. Current Inventory of all Assets.

It is required that each local crime commission or its equivalent state agency maintain a current inventory on all assets showing date purchased, cost and location of said asset. Those items that have a life span of short duration or the items at a limited purchase price need not be included on your inventory. The acceptable cost level of expendable supplies should be on this same basis as the unit of government concerned has determined.

O. Building Accessibility and Use by Physically Handicapped.

Any construction, design or alteration of a building or facility which will be used by the public or which may result in the employment or residence of physically handicapped persons shall provide for accessibility and use to physically handicapped persons through appropriate items (such as ramps, handrails, guardrails) as required by 42 U.S.C. § 4152 1970) and 34 Fed. Ref. 12828 1969).

P. Criminal Penalties.

Whoever embezzles, willfully misapplies, steals, or obtains by fraud any funds, assets, or property which are the subject of a grant or contract or other form of assistance, whether received directly or indirectly from the Administration, shall be fined not more than \$10,000 or imprisoned for not more than five years, or both.

I hereby affirm that the above information is, to the best of my knowledge and ability, a true and accurate statement.

Date	Signature	Typed Name and Title (Chairman, Mayor, Head of State Agency)
Date	Signature	Typed Name and Title (Sheriff, County Attorney, Section Head)
Date	Signature	Typed Name and Title (Contractor's or Consultants Authorized Officer)
Date	Signature	Typed Name and Title (Authorized Individual of Area Crime Commission)

Who authorized to sign:

Chief Executive Officer of unit of government, i.e., chairman of board of supervisors, mayors, state agency department head, or combinations thereof in multiple unit projects.

Co-signature:

Head of implementing agency, i.e., sheriff, county attorney, Section Head, etc.

STATE OF IOWA
IOWA CRIME COMMISSION
APPROVAL OF GRANT

APPLICANT (Name & Address): Scott County Crime Commission 627 W. Second Street Davenport, Iowa 52801	PROJECT TITLE: 82-702-2C-11 (71) Prevention of Crime-Computerized Information System <hr/> PROJECT PERIOD: 5/25/71 - 5/24/72
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TYPE OF APPLICATION:

<input type="checkbox"/> LEAA Planning <input checked="" type="checkbox"/> Action <input type="checkbox"/> Civil Disorder	<input type="checkbox"/> JUVENILE DELINQUENCY Planning <input type="checkbox"/> Action
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Initial Revision Continuation

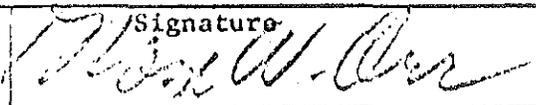
PROJECT DIRECTOR: (Name, Title, Address & Phone): Robert L. Hansen Scott County Crime Commission 627 West Second Street Davenport, Iowa 52801 319-322-6121	FISCAL OFFICER: (Name, Title, Address & Phone): John M. Barnard, Finance Director City of Davenport City Hall Davenport, Iowa 52801 319/326-7763
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PROJECT BUDGET AND FUNDING SUMMARY

<u>Expense Class</u>	<u>Amount Requested</u>	<u>Amount Approved</u>
Salaries	14,800.00	14,800.00
Personnel Benefits	1,287.00	1,287.00
Consultant Services	1,200.00	1,200.00
Travel	667.00	667.00
Office Supplies	3,300.00	3,300.00
Equipment	2,900.00	2,900.00
Construction	-0-	-0-
Other	3,740.00	3,740.00
TOTAL PROJECT BUDGET	\$ 27,894.00	\$ 27,894.00

<u>Funding Category</u>	<u>Amount Requested</u>	<u>Amount Approved</u>
Sub-Grantee Matching Share	11,158.00	11,158.00
Federal Share	16,736.00	16,736.00
TOTAL	\$ 27,894.00	\$ 27,894.00

REMARKS

Date 5/25/71	Signature 	Typed Name and Title George W. Orr Executive Director
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APPLICATION FOR GRANT

APPLICANT: (Name & Address): Scott County Crime Commission 627 W. 2nd Street Davenport, Iowa 52801	PROJECT TITLE: 82-702-2C-11 (71) Prevention of Crime - Computerized Information System - Priority #8
	PROJECT PERIOD: January 1, 1971 through April 30, 1972

TYPE OF APPLICATION:

<input type="checkbox"/> LEAA	<input type="checkbox"/> JUVENILE DELINQUENCY
<input type="checkbox"/> Planning	<input type="checkbox"/> Planning
<input checked="" type="checkbox"/> Action	<input type="checkbox"/> Action
<input type="checkbox"/> Civil Disorder	

Initial Revision Continuation

PROJECT DIRECTOR: (Name, Title, Address & Phone): Robert L. Hansen, Project Director Scott County Crime Commission 627 West 2nd St. Davenport, Iowa 52801 1-319-322-6121	FISCAL OFFICER: (Name, Title, Address & Phone): John M. Barnard Finance Director, City of Davenport City Hall Davenport, Iowa 52801 1-319-326-7763
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NARRATIVE DESCRIPTION AND JUSTIFICATION OF PROPOSED PROJECT:

Objective:

To provide all Scott County law enforcement agencies with the capability to accurately identify - a. Stolen automobiles; b. Improperly registered vehicles; c. Automobiles believed to have been involved in a crime; d. Parking violations (multiple violations).

Implementation:

This is a continuation of a current program wherein all license numbers and other essential information is being prepared for data processing. This is a cooperative effort being spearheaded by the City of Davenport and involves all law enforcement agencies in Scott County and the Data Processing Division of Scott Community College.

It is planned that an updated printout of all original registrations and current registrations will be furnished on a daily basis to law enforcement agencies to permit them to achieve the objective stated.

Scott County has a population of 142,687. There are 71,349 autos registered; 10,919 trucks registered; and 2,534 motorcycles registered in the County.

Subsequent Years Funding:

It is planned to maintain this program until it is superseded by a Statewide computer program, at a level of approximately \$25,000 per year.

Units of Local Government Involved:

Scott County, including County Treasurer and County Sheriff
 City of Davenport - Town of Eldridge - City of LeClaire - Scott Community College

APPLICATION FOR GRANT

<p>APPLICANT: (Name & Address): Scott County Crime Commission 627 W. 2nd Street Davenport, Iowa 52801</p>	<p>PROJECT TITLE: 82-702-2C-11 (71) Prevention of Crime - Computerized Information System - Priority #8</p>
<p>PROJECT PERIOD: 5/25/71 to 5/24/72 January 1, 1971 through April 30, 1972</p>	

TYPE OF APPLICATION:

<input type="checkbox"/> LEAA	<input type="checkbox"/> JUVENILE DELINQUENCY
<input type="checkbox"/> Planning	<input type="checkbox"/> Planning
<input checked="" type="checkbox"/> Action	<input type="checkbox"/> Action
<input type="checkbox"/> Civil Disorder	

Initial Revision Continuation

<p>PROJECT DIRECTOR: (Name, Title, Address & Phone): Robert L. Hansen, Project Director Scott County Crime Commission 627 West 2nd St. Davenport, Iowa 52801 1-319-322-6121</p>	<p>FISCAL OFFICER: (Name, Title, Address & Phone): John M. Barnard Finance Director, City of Davenport City Hall Davenport, Iowa 52801 1-319-326-7763</p>
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NARRATIVE DESCRIPTION AND JUSTIFICATION OF PROPOSED PROJECT:

Objective:

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Scott County has a population of 142,687. There are 71,349 autos registered; 10,929 trucks registered; and 2,534 motorcycles registered in the County.

Subsequent Years Funding:

It is planned to maintain this program until it is superseded by a Statewide computer program, at a level of approximately \$25,000 per year.

Units of Local Government Involved:

Scott County, including County Treasurer and County Sheriff
City of Davenport - Town of Eldridge - City of LeClaire - Scott Community College

APPLICATION FOR GRANT CONTINUED

BUDGET DETAIL			AMOUNT
<u>EXPENSE CLASS</u>			
Salaries:			
Position Title	% of Time	Annual Salary	
Computer Programmer	100%	9,500.00	
KeyPunch operator	100%	5,000.00	
Grant Administration Scott County Crime Comm.		(300.00)	
Subtotal			\$ 14,800.00
Personnel Benefits:			
Social Security	5.2%		
Workman's Comp.			
Retirement System		1,261.00	
Insurance Program		26.00 (GA)	
Other (List)	Iowa Pub Emp Ret System 3.5%		
Subtotal			\$ 1,287.00
Consultant Services: (List) -			
Computer consulting specialists - estimated 40 hrs @\$30.			1,200.00
Subtotal			\$ 1,200.00
Travel: (Itemize)			
Travel required to other cities to view working models and improve local system-coordination of local system with any future Statewide systems.			
KansasCity, Mo.	1 trip 3 days	116.00	
Chicago, Ill.	6 trips 14 days	400.00	
Des Moines, Ia	2 trips 4 days	151.00	
Subtotal			\$ 667.00

APPLICATION FOR GRANT CONTINUED

BUDGET DETAIL CONTINUED		AMOUNT
EXPENSE CLASS		
Office Supplies: (Itemize)		
Required items consisting of manifold paper - punch cards - envelopes and other special items for data processing :		
100 cases 1 part computer paper @ \$4.00	- 100.00	
60 cases 5 part computer paper @ \$25.00	- 1500.00	
50,000 envelopes @ 12.00 M	600.00	3,300.00
800,000 cards @ \$1.00 M	800.00	
	Subtotal	\$ 3,300.00
Equipment: (Itemize)		
10 disc paks	2,000.00	
2 file cabinets	500.00	
1 desk & chair	250.00	
2 chairs	150.00	
	<u>2,900.00</u>	2,900.00
	Subtotal	\$ 2,900.00
Construction: (Itemize)		
None		
	Subtotal	\$
Other: (Itemize)		
Equipment rental - cost of leasing two (2) combination keypunch verifier machines, 1 yr @ \$1870.00 each		3,740.00
	Subtotal	\$ 3,740.00
TOTAL PROJECT BUDGET		\$ 27,894.00

APPLICATION FOR GRANT CONTINUED

APPLICANT'S AGREEMENT:

A. Civil Rights Act of 1964.

No person shall, on the grounds of race, creed, color or national origin, be excluded from participation in, be refused the benefits of, or be otherwise subjected to discrimination under agency grants awarded pursuant to P.L. 90-351 or any project or program supported by such grants. Grantees must comply with the provisions and requirements of Title VI of the Civil Rights Act of 1964 and regulations issued by the Department of Justice thereunder as a condition of award of federal funds and continued grant support. This grant condition shall not be interpreted to require the imposition in State plans or planning agency subgrant programs of any percentage ratio, quota system, or other program to achieve racial balance or eliminate racial imbalance in a law enforcement agency.

B. Other Conditions.

The Applicant also understands and agrees: (1) that any grant received as a result of this application shall be subject to the grant conditions and other policies, regulations, and rules issued by the Department of Justice and the Governor's Crime Commission for the administration of grant projects under the Omnibus Crime Control and Safe Streets Act of 1968; (2) that funds awarded are to be expended only for the purposes and activities covered by the Applicant's approved application and budget; (3) that the grant may be terminated in whole or in part by the Governor's Crime Commission at any time that the Commission finds a substantial failure to comply with the provisions of the Act or regulations promulgated thereunder by the Department of Justice or the Commission, including these grant conditions, or plan or application obligations, but only after notice and hearing and pursuant to all procedures set forth in the Act and Federal and State guidelines; (4) that appropriate grant records and accounts will be maintained and made available for audit as prescribed by the Commission; and (5) that the appropriate share of the total costs of this project shall be contributed by the Applicant from non-federal funds which are not being used in connection with any other program which is receiving federal financial assistance.

I hereby affirm that the above information is, to the best of my knowledge and ability, a true and accurate statement.

DATE	SIGNATURE	TYPED NAME AND TITLE
3/15/71		Robert L. Hansen Project Director

STATE OF IOWA
IOWA CRIME COMMISSION

APPROVAL OF GRANT

APPLICANT (Name & Address): Scott County Crime Comm. 627 W. 2nd St. Davenport, Iowa	PROJECT TITLE: 82-702-2C-11 (71) Prevention of Crime - Computerized Information System
	PROJECT PERIOD: 5-25-71 to 5-24-72

TYPE OF APPLICATION:

<input type="checkbox"/> LEAA	<input type="checkbox"/> JUVENILE DELINQUENCY
<input type="checkbox"/> Planning	<input type="checkbox"/> Planning
<input checked="" type="checkbox"/> Action	<input type="checkbox"/> Action
<input type="checkbox"/> Civil Disorder	

Initial Revision Continuation

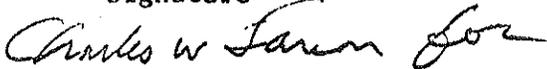
PROJECT DIRECTOR: (Name, Title, Address & Phone): Robert L. Hansen 627 W. 2nd St. Davenport, Iowa	FISCAL OFFICER: (Name, Title, Address & Phone): John Barnard City Hall Davenport, Iowa
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PROJECT BUDGET AND FUNDING SUMMARY

<u>Expense Class</u>	<u>Amount Requested</u>	<u>Amount Approved</u>
Salaries	14,800.00	14,800.00
Personnel Benefits	1,287.00	1,287.00
Consultant Services	1,200.00	1,200.00
Travel	667.00	667.00
Office Supplies	3,300.00	3,300.00
Equipment	2,900.00	2,900.00
Construction	-0-	-0-
Other	3,740.00	3,740.00
TOTAL PROJECT BUDGET	\$ 27,894.00	\$ 27,894.00

<u>Funding Category</u>	<u>Amount Requested</u>	<u>Amount Approved</u>
Sub-Grantee Matching Share	11,158.00	11,158.00
Federal Share	16,736.00	16,736.00
TOTAL	\$ 27,894.00	\$ 27,894.00

REMARKS Revision of itemized travel included in grant. Total project budget does not change.

Date 12-3-71	Signature 	Typed Name and Title George W. Orr Executive Director
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APPLICATION FOR GRANT CONTINUED

BUDGET DETAIL CONTINUED		AMOUNT
<u>EXPENSE CLASS</u>		
Equipment: (Itemize)		
10 disc paks	2,000.00	
2 file cabinets	500.00	
1 desk & Chair	250.00	
2 chairs	<u>150.00</u>	
		2,900.00
	Subtotal	\$ 2,900.00
Construction: (Itemize)		
NONE		
	Subtotal	\$ -0-
Other: (Itemize)		
Equipment rental - cost of leasing two (2) combination keypunch verifier machines, 1 year @ \$1870 each		3,740.00
	Subtotal	\$ 3,740.00
TOTAL PROJECT BUDGET		\$ 27,894.00

APPLICATION FOR GRANT CONTINUED

APPLICANT'S AGREEMENT:

A. Civil Rights Act of 1964.

No person shall, on the grounds of race, creed, color or national origin, be excluded from participation in, be refused the benefits of, or be otherwise subjected to discrimination under agency grants awarded pursuant to P.L. 90-351 or any project or program supported by such grants. Grantees must comply with the provisions and requirements of Title VI of the Civil Rights Act of 1964 and regulations issued by the Department of Justice thereunder as a condition of award of federal funds and continued grant support. This grant condition shall not be interpreted to require the imposition in State plans or planning agency subgrant programs of any percentage ratio, quota system, or other program to achieve racial balance or eliminate racial imbalance in a law enforcement agency.

B. Other Conditions.

The Applicant also understands and agrees: (1) that any grant received as a result of this application shall be subject to the grant conditions and other policies, regulations, and rules issued by the Department of Justice and the Governor's Crime Commission for the administration of grant projects under the Omnibus Crime Control and Safe Streets Act of 1968; (2) that funds awarded are to be expended only for the purposes and activities covered by the Applicant's approved application and budget; (3) that the grant may be terminated in whole or in part by the Governor's Crime Commission at any time that the Commission finds a substantial failure to comply with the provisions of the Act or regulations promulgated thereunder by the Department of Justice or the Commission, including these grant conditions, or plan or application obligations, but only after notice and hearing and pursuant to all procedures set forth in the Act and Federal and State guidelines; (4) that appropriate grant records and accounts will be maintained and made available for audit as prescribed by the Commission; and (5) that the appropriate share of the total costs of this project shall be contributed by the Applicant from non-federal funds which are not being used in connection with any other program which is receiving federal financial assistance.

I hereby affirm that the above information is, to the best of my knowledge and ability, a true and accurate statement.

DATE	SIGNATURE	TYPED NAME AND TITLE
11-30-71		Robert L. Hansen Project Director



STATE OF IOWA
IOWA CRIME COMMISSION

APPROVAL OF GRANT

APPLICANT: (Name & Address): Scott County Crime Commission West 2nd Davenport, Iowa 52801	PROJECT TITLE: 82-702-5B-8 (71) Improvement of Prosecution and Court Activity - Additional Personnel
	PROJECT PERIOD: 5/25/71 - 5/24/72

TYPE OF APPLICATION:

<input type="checkbox"/> LEAA	<input type="checkbox"/> JUVENILE DELINQUENCY
<input checked="" type="checkbox"/> Planning	<input type="checkbox"/> Planning
<input checked="" type="checkbox"/> Action	<input type="checkbox"/> Action
<input type="checkbox"/> Civil Disorder	

Initial Revision Continuation

PROJECT DIRECTOR: (Name, Title, Address & Phone): Robert Hansen 627 W. 2nd St. Davenport, Iowa 52801	FISCAL OFFICER: (Name, Title, Address & Phone): John M. Barnard City Hall Davenport, Iowa 52801
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PROJECT BUDGET AND FUNDING SUMMARY

<u>Expense Class</u>	<u>Amount Requested</u>	<u>Amount Approved</u>
Salaries -----	21,500.00	21,500.00
Personnel Benefits -----	1,890.00	1,890.00
Consultant Services		
Travel		
Office Supplies		
Equipment		
Construction		
Other		
TOTAL PROJECT BUDGET	\$ 23,390.00	\$ 23,390.00

<u>Funding Category</u>	<u>Amount Requested</u>	<u>Amount Approved</u>
Sub-Grantee Matching Share	9,356.00	9,356.00
Federal Share	14,034.00	14,034.00
TOTAL	\$ 23,390.00	\$ 23,390.00

REMARKS

Date 5/25/71	Signature <i>George W. Orr</i>	Typed Name and Title George W. Orr Executive Director
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APPLICATION FOR GRANT CONTINUED

NARRATIVE DESCRIPTION AND JUSTIFICATION OF PROPOSED PROJECT CONTINUED:

The following is the 1969 workload:

Felony cases	399
State (indictable and unindictable)	4,749
City Ordinance Cases	6,886
Meter Violations	93,030
Parking Violations	6,028
Civil Cases - Class "A"	1,064
Civil Cases - Class "B"	626
Total Civil Cases Docketed	1,690
Juvenile Cases Docketed	290

From the above it is evident that normal procedures are no longer satisfactory in the maintenance of court support operations, therefore action must be taken to simplify, consolidate, and improve, wherever possible, the handling of the court workload.

Subsequent Year's Funding:

Estimated at the \$20,000 level for subsequent years.

Units of Local Government Involved:

Municipal Court and City Juvenile authorities involved only.

APPLICATION FOR GRANT CONTINUED

PROJECT BUDGET AND FUNDING SUMMARY

<u>EXPENSE CLASS</u>	<u>AMOUNT REQUESTED</u>	<u>AMOUNT APPROVED</u>
Salaries -----	21,500.00	
Personnel Benefits -----	1,890.00	
Consultant Services		
Travel		
Office Supplies		
Equipment		
Construction		
Other		
TOTAL PROJECT BUDGET	\$ <u>23,390.00</u>	\$ _____

<u>FUNDING CATEGORY</u>	<u>AMOUNT REQUESTED</u>	<u>AMOUNT APPROVED</u>
Sub-grantee Matching Share	9,356.00	
Federal Grant Funds	14,034.00	

EXPLANATION OF GRANTEE CONTRIBUTION

In-kind contribution personnel salaries.

OTHER FEDERAL SUPPORT

NONE

OTHER FEDERAL SUBMISSION

NONE

APPLICATION FOR GRANT CONTINUED

BUDGET DETAIL			
<u>EXPENSE CLASS</u>			<u>AMOUNT</u>
Salaries:			
Position Title	% of Time	Annual Salary	
3 - Clerk typist - 25%		\$5,500.00 each \$16,500.00	4,100.00
3 - Dep. Clerks - 25%		\$4,300.00 each \$12,900.00	3,200.00
1 - Court Clerk - 50%		\$10,000.00	5,000.00
2 - Judges - 20%		\$16,800 each	6,700.00
2 - Bailiffs - 5%		\$10,000 each	1,000.00
Commission Staff (GA)			1,500.00
Subtotal			\$ 21,500.00
Personnel Benefits:			
Social Security	- 5.2%		
Workman's Comp.			
Retirement System			
Insurance Program	- 3.5		
Other (List)			
Subtotal			\$ 1,890.00
Consultant Services: (List)			
Subtotal			\$ -0-
Travel: (Itemize)			
Subtotal			\$ -0-

APPLICATION FOR GRANT CONTINUED

BUDGET DETAIL CONTINUED	
<u>EXPENSE CLASS</u>	<u>AMOUNT</u>
Office Supplies: (Itemize)	
Subtotal	\$ -0-
Equipment: (Itemize)	
Subtotal	\$ -0-
Construction: (Itemize)	
Subtotal	\$ -0-
Other: (Itemize)	
Subtotal	\$ -0-
TOTAL PROJECT BUDGET	\$ 23,390.00

APPLICATION FOR GRANT CONTINUED

APPLICANT'S AGREEMENT:

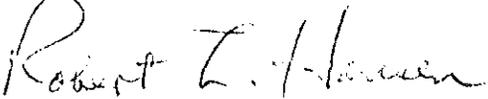
A. Civil Rights Act of 1964.

No person shall, on the grounds of race, creed, color or national origin, be excluded from participation in, be refused the benefits of, or be otherwise subjected to discrimination under agency grants awarded pursuant to P.L. 90-351 or any project or program supported by such grants. Grantees must comply with the provisions and requirements of Title VI of the Civil Rights Act of 1964 and regulations issued by the Department of Justice thereunder as a condition of award of federal funds and continued grant support. This grant condition shall not be interpreted to require the imposition in State plans or planning agency subgrant programs of any percentage ratio, quota system, or other program to achieve racial balance or to eliminate racial imbalance in a law enforcement agency.

B. Other Conditions.

The Applicant also understands and agrees: (1) that any grant received as a result of this application shall be subject to the grant conditions and other policies, regulations, and rules issued by the Department of Justice and the Governor's Crime Commission for the administration of grant projects under the Omnibus Crime Control and Safe Streets Act of 1968; (2) that funds awarded are to be expended only for the purposes and activities covered by the Applicant's approved application and budget; (3) that the grant may be terminated in whole or in part by the Governor's Crime Commission at any time that the Commission finds a substantial failure to comply with the provisions of the Act or regulations promulgated thereunder by the Department of Justice or the Commission, including these grant conditions, or plan or application obligations, but only after notice and hearing and pursuant to all procedures set forth in the Act and Federal and State guidelines; (4) that appropriate grant records and accounts will be maintained and made available for audit as prescribed by the Commission; and (5) that the appropriate share of the total costs of this project shall be contributed by the Applicant from non-federal funds which are not being used in connection with any other program which is receiving federal financial assistance.

I hereby affirm that the above information is, to the best of my knowledge and ability, a true and accurate statement.

DATE	SIGNATURE	TYPED NAME AND TITLE
2/3/71		Robert L. Hansen Project Director



STATE OF IOWA
IOWA CRIME COMMISSION
APPROVAL OF GRANT

APPLICANT: (Name & Address): Scott County Crime Comm. 306 First National Bldg. Davenport, Iowa	PROJECT TITLE: #82-702-5B-8 (71) Additional Personnel
	PROJECT PERIOD: 7-1-71 to 6-30-72

TYPE OF APPLICATION:

<input type="checkbox"/> LEAA Planning	<input type="checkbox"/> JUVENILE DELINQUENCY Planning
<input checked="" type="checkbox"/> Action	<input type="checkbox"/> Action
<input type="checkbox"/> Civil Disorder	

Initial Revision Continuation

PROJECT DIRECTOR: (Name, Title, Address & Phone): Robert Hansen 306 First National Building Davenport, Iowa	FISCAL OFFICER: (Name, Title, Address & Phone): John M. Barnard City Hall Davenport, Iowa
--	--

PROJECT BUDGET AND FUNDING SUMMARY

Expense Class	Amount Requested	Amount Approved
Salaries -----	10,200.00	10,200.00
Personnel Benefits -----	887.00	887.00
Consultant Services		
Travel		
Office Supplies		
Equipment		
Construction		
Other		
TOTAL PROJECT BUDGET	\$ 11,087.00	\$ 11,087.00

Funding Category	Amount Requested	Amount Approved
Sub-Grantee Matching Share	4,434.80	4,434.80
Federal Share	6,652.20	6,652.20
TOTAL	\$ 11,087.00	\$ 11,087.00

REMARKS: Revision of breakdown of salaries expense class. Total project budget does not change. Project period extended to 6-30-72.

Date 1-24-72	Signature <i>George W. Orr</i>	Typed Name and Title George W. Orr Executive Director
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APPLICATION FOR GRANT

An approved Planning Worksheet must be attached and made a part of this application.

FORM NO. 102

APPLICANT: (Name and Address) Scott County Crime Commission 306 First National Building Davenport, Iowa 52801	PROJECT NO. 82-702-5B-8 (71)
	PROJECT TITLE: Improvement of Prosecution & Activity -- Additional Personnel
	PROJECT PERIOD: 7/1/71 to 6/30/72

TYPE OF APPLICATION:

PLANNING
 ACTION
 INITIAL
 REVISION
 CONTINUATION

PROJECT DIRECTOR: (Name, Title, Address & Phone): John M. Barnard 306 First National Building Davenport, Iowa 52801 319-322-6121	FISCAL OFFICER: (Name, Title, Address & Phone): John M. Barnard 306 First National Building Davenport, Iowa 52801 319-322-6121
--	--

PROJECT BUDGET AND FUNDING SUMMARY		EXPLANATION OF GRANTEE CONTRIBUTION	
EXPENSE CLASS	AMOUNT REQUESTED	CASH AMOUNT	BY WHOM
Salaries	10,200.00	4,434.80	City of Davenport
Personnel Benefits	887.00		
Consultant Services			
Travel			
Office Supplies			
Equipment			
Construction			
Other			
TOTAL PROJECT BUDGET	\$ 11,087.00	\$ 4,434.80	
FUNDING CATEGORY	AMOUNT REQUESTED	IN-KIND	BY WHOM
Sub-grantee Matching Share	4,434.80		
Federal Grant Funds	6,652.20		
	<u>\$11,087.00</u>		
		\$ _____	
		<u>\$ 4,434.80</u> TOTAL CASH AND IN-KIND	

OTHER FEDERAL SUPPORT
None

OTHER FEDERAL SUBMISSION
None

APPLICATION FOR GRANT CONTINUED

BUDGET DETAIL			AMOUNT
EXPENSE CLASS			
Salaries:			
Position Title	% of Time	Annual Salary	
2 - Key Punch Op.	100%	2.00 per hour	5,710.00
1 Sup. Mach Op.	100%	3.00 per hour	4,250.00
Grant Administration			200.00
Subtotal			\$ 10,200.00
Personnel Benefits:			
Social Security	5.2%	} 8.7%	
Workman's Comp.			
Retirement System Insurance Program			
Other (List)	IPERS 3.5%		
Subtotal			\$ 887.00
Consultant Services: (List)			
Subtotal			\$
Travel: (Itemize)			
Subtotal			\$
Office Supplies: (Itemize)			
Subtotal			\$

STATE OF IOWA
IOWA CRIME COMMISSION

APPROVAL OF GRANT

APPLICANT (Name & Address): Scott County Crime Commission 306 First National Bldg. Davenport, Iowa	PROJECT TITLE: 82-702-5B-8 (71) Improvement of Prosecution & Court Activity -- Additional Personnel
	PROJECT PERIOD: 7-1-71 to 4-30-72

TYPE OF APPLICATION:

<input type="checkbox"/> LEAA	<input type="checkbox"/> JUVENILE DELINQUENCY
<input type="checkbox"/> Planning	<input type="checkbox"/> Planning
<input checked="" type="checkbox"/> Action	<input type="checkbox"/> Action
<input type="checkbox"/> Civil Disorder	

Initial Revision Continuation

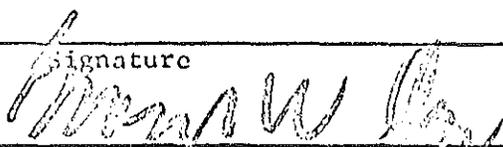
PROJECT DIRECTOR: (Name, Title, Address & Phone): Robert Hansen 306 First National Building Davenport, Iowa	FISCAL OFFICER: (Name, Title, Address & Phone): John M. Barnard City Hall Davenport, Iowa
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PROJECT BUDGET AND FUNDING SUMMARY

<u>Expense Class</u>	<u>Amount Requested</u>	<u>Amount Approved</u>
Salaries -----	10,200.00	10,200.00
Personnel Benefits -----	887.00	887.00
Consultant Services		
Travel		
Office Supplies		
Equipment		
Construction		
Other		
TOTAL PROJECT BUDGET	\$ <u>11,087.00</u>	\$ <u>11,087.00</u>

<u>Funding Category</u>	<u>Amount Requested</u>	<u>Amount Approved</u>
Sub-Grantee Matching Share	4,434.80	4,434.80
Federal Share	6,652.20	6,652.20
TOTAL	\$ <u>11,087.00</u>	\$ <u>11,087.00</u>

REMARKS This grant has been decreased \$12,303.00. Local share decreased \$4,921.20. Federal Share decreased by \$7,381.80.

Date 7-8-71	Signature 	Typed Name and Title George W. Orr Executive Director
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APPLICATION FOR GRANT

APPLICANT: (Name & Address): Scott Co. Crime Commission 306 First Natl. Bldg. Davenport, Iowa 52801	PROJECT TITLE: 82-702-5E-8 (71) Improvement of Prosecution and Court Activity - Additional Personnel
	PROJECT PERIOD: 1 July 1971 to April 30, 1972

TYPE OF APPLICATION:	
<input type="checkbox"/> LEAA <input type="checkbox"/> Planning <input checked="" type="checkbox"/> Action <input type="checkbox"/> Civil Disorder	<input type="checkbox"/> JUVENILE DELINQUENCY <input type="checkbox"/> Planning <input type="checkbox"/> Action
<input type="checkbox"/> Initial	<input checked="" type="checkbox"/> Revision
<input type="checkbox"/> Continuation	

PROJECT DIRECTOR: (Name, Title, Address & Phone): Robert L. Hansen, Project Director Scott County Crime Commission 306 First National Building Davenport, Iowa 52801 1-319-322-6121	FISCAL OFFICER: (Name, Title, Address & Phone): John M. Barnard Finance Director, City of Davenport Davenport City Hall 226 West Fourth St. Davenport, Iowa 52801 1-319-326-7763
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NARRATIVE DESCRIPTION AND JUSTIFICATION OF PROPOSED PROJECT:

Objective:

- To improve the processing of cases through the Municipal Court System by improving upon the installation of a Violations Bureau within the Municipal Court System.
- To reduce the workload for Municipal Court judges to permit them to spend more time on decisions on serious charges and improve the image of the court in the eyes of the Citizens.

Implementation

It is proposed to continue the operation of the Violation Bureau which was established under a prior year program. This year will be spent in improving procedures, acquisition of additional equipment to handle the ever increasing workload and mechanizing the handling of administrative paper work, i.e., microfilming of court records to permit rapid retrieval, posting of financial records, and development of improved forms and records to more adequately provide management information.

APPLICATION FOR GRANT CONTINUED

NARRATIVE DESCRIPTION AND JUSTIFICATION OF PROPOSED PROJECT CONTINUED:

The following is the 1969 workload:

Felony cases	399
State (indictable and unindictable)	4,749
City Ordinance Cases	6,886
Meter Violations	93,030
Parking Violations	6,028
Civil Cases - Class "A"	1,064
Civil Cases - Class "B"	626
Total Civil Cases Docketed	1,690
Juvenile Cases Docketed	290

From the above it is evident that normal procedures are no longer satisfactory in the maintenance of court support operations, therefore action must be taken to simplify, consolidate, and improve, wherever possible, the handling of the court workload.

Subsequent Year's Funding:

Estimated at the \$12,000 level for subsequent years.

Units of Local Government Involved:

Municipal Court

APPLICATION FOR GRANT CONTINUED

(Review)

PROJECT BUDGET AND FUNDING SUMMARY

<u>EXPENSE CLASS</u>	<u>AMOUNT REQUESTED</u>	<u>AMOUNT APPROVED</u>
Salaries	10,200.00 (GA 200)	
Personnel Benefits	887.40	
Consultant Services		
Travel		
Office Supplies		
Equipment		
Construction		
Other		
TOTAL PROJECT BUDGET	\$ 11,087.40	\$ _____

<u>FUNDING CATEGORY</u>	<u>AMOUNT REQUESTED</u>	<u>AMOUNT APPROVED</u>
Sub-grantee Matching Share	4,434.80	
Federal Grant Funds	6,652.60	

EXPLANATION OF GRANTEE CONTRIBUTION

Hard match - 4,434.80
 City of Davenport

OTHER FEDERAL SUPPORT

OTHER FEDERAL SUBMISSION

APPLICATION FOR GRANT CONTINUED

(Revised)

BUDGET DETAIL		
<u>EXPENSE CLASS</u>		<u>AMOUNT</u>
Salaries:		
Position Title % of Time Annual Salary		
Key Punch Operator - 100% - 5,000.00		5,000.00
Clerk Typist - 100% - 5,000.00		5,000.00
Scott County Crime Commission Personnel - Grant Administration		200.00
	Subtotal	\$ 10,200.00
Personnel Benefits:		
Social Security 5.2%		
Workman's Comp.		
Retirement System		
Insurance Program		
Other (List) IPERS - 3.5%		
	Subtotal	\$ 887. 10
Consultant Services: (List)		
None		
	Subtotal	\$
Travel: (Itemize)		
None		
	Subtotal	\$

APPLICATION FOR GRANT CONTINUED

BUDGET DETAIL CONTINUED		
<u>EXPENSE CLASS</u>		<u>AMOUNT</u>
Office Supplies: (Itemize)		
None		
	Subtotal	\$
Equipment: (Itemize)		
None		
	Subtotal	\$
Construction: (Itemize)		
None		
	Subtotal	\$
Other: (Itemize)		
None		
	Subtotal	\$
TOTAL PROJECT BUDGET		\$ 11,087.40

APPLICATION FOR GRANT CONTINUED

APPLICANT'S AGREEMENT:

A. Civil Rights Act of 1964.

No person shall, on the grounds of race, creed, color or national origin, be excluded from participation in, be refused the benefits of, or be otherwise subjected to discrimination under agency grants awarded pursuant to P.L. 90-351 or any project or program supported by such grants. Grantees must comply with the provisions and requirements of Title VI of the Civil Rights Act of 1964 and regulations issued by the Department of Justice thereunder as a condition of award of federal funds and continued grant support. This grant condition shall not be interpreted to require the imposition in State plans or planning agency subgrant programs of any percentage ratio, quota system, or other program to achieve racial balance or eliminate racial imbalance in a law enforcement agency.

B. Other Conditions.

The Applicant also understands and agrees: (1) that any grant received as a result of this application shall be subject to the grant conditions and other policies, regulations, and rules issued by the Department of Justice and the Governor's Crime Commission for the administration of grant projects under the Omnibus Crime Control and Safe Streets Act of 1968; (2) that funds awarded are to be expended only for the purposes and activities covered by the Applicant's approved application and budget; (3) that the grant may be terminated in whole or in part by the Governor's Crime Commission at any time that the Commission finds a substantial failure to comply with the provisions of the Act or regulations promulgated thereunder by the Department of Justice or the Commission, including these grant conditions, or plan or application obligations, but only after notice and hearing and pursuant to all procedures set forth in the Act and Federal and State guidelines; (4) that appropriate grant records and accounts will be maintained and made available for audit as prescribed by the Commission; and (5) that the appropriate share of the total costs of this project shall be contributed by the Applicant from non-federal funds which are not being used in connection with any other program which is receiving federal financial assistance.

I hereby affirm that the above information is, to the best of my knowledge and ability, a true and accurate statement.

DATE 6/25/71	SIGNATURE 	TYPED NAME AND TITLE Robert L. Hansen Project Director
-----------------	--	--

DEPARTMENT OF JUSTICE
FEDERAL BUREAU OF INVESTIGATION
APPLICATION OF GRANTS

Agency (Name & Address): State County Crime Commission West Main St. Davenport, Iowa	PROJECT TITLE: 62-7814a-7 (71) Improvement of Prosecution and Court Activity -- Increased Efficiency PROJECT PERIOD: 7-1-71 to 4-30-72
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TYPE OF APPLICATION:

<input type="checkbox"/> LEAA	<input type="checkbox"/> JUVENILE DELINQUENCY
<input type="checkbox"/> Planning	<input type="checkbox"/> Planning
<input checked="" type="checkbox"/> Action	<input type="checkbox"/> Action
<input type="checkbox"/> Civil Disorder	
<input type="checkbox"/> Other	<input checked="" type="checkbox"/> Revision
	<input type="checkbox"/> Continuation

PROJECT DIRECTOR: (Name, Title, Address & Phone): Robert Hansen 106 First National Building Davenport, Iowa	FISCAL OFFICER: (Name, Title, Address & Phone): John Barnard City Hall Davenport Iowa
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PROJECT BUDGET AND FUNDING SUMMARY

Class	Amount Requested	Amount Approved
Personnel Benefits		
Police Services		
-----	583.00	583.00
Police Supplies	2,460.00	2,460.00
Equipment	4,000.00	4,000.00
Construction		
Other	19,960.00	19,960.00
TOTAL PROJECT BUDGET	\$ 27,003.00	\$ 27,003.00

Funding Category	Amount Requested	Amount Approved
Non-Federal Matching Share	10,801.20	10,301.20
Local Share	16,201.80	16,201.80
TOTAL	\$ 27,003.00	\$ 27,003.00

MARKS: Total grant increased \$12,303.00. Local share increased \$4,921.20. Federal increased \$7,381.80.

Date: 7-7-71	Signature: 	Printed Name and Title: George W. Gray Executive Director
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APPLICATION FOR GRANT

APPLICANT: (Name & Address): Scott County Crime Commission 1st & 2nd St. Davenport, Iowa	PROJECT TITLE: 82-702-51-7 (71) Improvement of Prosecution Court Activity - Increased Efficiency PROJECT PERIOD: July 1 - 1971 -- April 30, 1972
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TYPE OF APPLICATION:

LEAA <input type="checkbox"/> Planning <input checked="" type="checkbox"/> Action <input type="checkbox"/> Civil Disorder	JUVENILE DELINQUENCY <input type="checkbox"/> Planning <input type="checkbox"/> Action	
<input type="checkbox"/> Initial	<input checked="" type="checkbox"/> Revision	<input checked="" type="checkbox"/> Continuation

PROJECT DIRECTOR: (Name, Title, Address & Phone): Robert Hansen 306 First National Building Davenport, Iowa 52801 319-322-6121	FISCAL OFFICER: (Name, Title, Address & Phone): John Barnard City Hall Davenport, Iowa 319-326-7763
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NARRATIVE DESCRIPTION AND JUSTIFICATION OF PROPOSED PROJECT:

OBJECTIVE:

To improve the processing of cases through the Municipal Court System by improving upon the installation of a Violations Bureau within the Municipal Court System.

To reduce the workload for Municipal Court judges to permit them to spend more time on decisions on serious charges and improve the image of the court in the eyes of the citizens.

IMPLEMENTATION:

It is proposed to continue the operation of the Violation Bureau which was established under a prior year program. This year will be spent in improving procedures, acquisition of additional equipment to handle the ever increasing workload and streamlining the handling of administrative paper work, i.e., microfilming of court records to permit rapid retrieval, posting of financial records, and development of improved forms and records to more adequately provide management information.

APPLICATION FOR GRANT CONTINUED

NARRATIVE DESCRIPTION AND JUSTIFICATION OF PROPOSED PROJECT CONTINUED:

The following is the 1969 workload:

Felony cases	399
State (indictable and unindictable)	4,749
City Ordinance Cases	6,886
Meter Violations	93,030
Parking Violations	6,028
Civil Cases - Class "A"	1,064
Civil Cases - Class "B"	626
Total Civil Cases Docketed	1,690
Juvenile Cases Docketed	290

From the above it is evident that normal procedures are no longer satisfactory in the maintenance of court support operations, therefore action must be taken to simplify, consolidate, and improve, wherever possible, the handling of the court workload.

Subsequent Year's Funding:

Estimated at the \$25,000 level for subsequent years.

Units of Local Government Involved:

Municipal Court

APPLICATION FOR GRANT CONTINUED

(Revised)

PROJECT BUDGET AND FUNDING SUMMARY

<u>EXPENSE CLASS</u>	<u>AMOUNT REQUESTED</u>	<u>AMOUNT APPROVED</u>
Salaries		
Personnel Benefits		
Consultant Services		
Travel	583.00	
Office Supplies	2,460.00	
Equipment	4,000.00	
Construction	-	
Other	19,960.00	
TOTAL PROJECT BUDGET	\$ 27,003.00	\$ _____

<u>FUNDING CATEGORY</u>	<u>AMOUNT REQUESTED</u>	<u>AMOUNT APPROVED</u>
Sub-grantee Matching Share	10,801.20	
Federal Grant Funds	16,201.80	

EXPLANATION OF GRANTEE CONTRIBUTION

Hard match, City of Davenport - \$10,801.20

OTHER FEDERAL SUPPORT

OTHER FEDERAL SUBMISSION

APPLICATION FOR GRANT CONTINUED

(Revised)

BUDGET DETAIL CONTINUED		
<u>EXPENSE CLASS</u>		<u>AMOUNT</u>
Office Supplies: (Itemize)		
100,000 data processing cards @ 1.00 M		100.00
5 part manifold paper - 30 cases @ 25.00		750.00
Docket forms, summons, warrants, microfilm		1,610.00
	Subtotal	\$ 2,460.00
Equipment: (Itemize)		
Purchase of microfilm equipment to include copying and retrieval machines.		4,000.00
	Subtotal	\$ 4,000.00
Construction: (Itemize)		
None		
	Subtotal	\$
Other: (Itemize) Data processing equipment rental for 8 months		
1 - 244 - CPU	1,075.00	
1 - 200 LPM printer	355.00	
1 - card reader punch	405.00	
1 - card sorter	85.00	
2 - disc drive and storage units @ 255.00 ea.	510.00	
Software features	65.00	
	Monthly Rental - 2,495.00	
	Subtotal	\$ 19,900.00
	TOTAL PROJECT BUDGET	\$ 27,003.00

APPLICATION FOR GRANT CONTINUED

APPLICANT'S AGREEMENT:

A. Civil Rights Act of 1964.

No person shall, on the grounds of race, creed, color or national origin, be excluded from participation in, be refused the benefits of, or be otherwise subjected to discrimination under agency grants awarded pursuant to P.L. 90-351 or any project or program supported by such grants. Grantees must comply with the provisions and requirements of Title VI of the Civil Rights Act of 1964 and regulations issued by the Department of Justice thereunder as a condition of award of federal funds and continued grant support. This grant condition shall not be interpreted to require the imposition in State plans or planning agency subgrant programs of any percentage ratio, quota system, or other program to achieve racial balance or eliminate racial imbalance in a law enforcement agency.

B. Other Conditions.

The Applicant also understands and agrees: (1) that any grant received as a result of this application shall be subject to the grant conditions and other policies, regulations, and rules issued by the Department of Justice and the Governor's Crime Commission for the administration of grant projects under the Omnibus Crime Control and Safe Streets Act of 1968; (2) that funds awarded are to be expended only for the purposes and activities covered by the Applicant's approved application and budget; (3) that the grant may be terminated in whole or in part by the Governor's Crime Commission at any time that the Commission finds a substantial failure to comply with the provisions of the Act or regulations promulgated thereunder by the Department of Justice or the Commission, including these grant conditions, or plan or application obligations, but only after notice and hearing and pursuant to all procedures set forth in the Act and Federal and State guidelines; (4) that appropriate grant records and accounts will be maintained and made available for audit as prescribed by the Commission; and (5) that the appropriate share of the total costs of this project shall be contributed by the Applicant from non-federal funds which are not being used in connection with any other program which is receiving federal financial assistance.

I hereby affirm that the above information is, to the best of my knowledge and ability, a true and accurate statement.

DATE 6/25/71	SIGNATURE <i>Robert L. Hansen</i>	TYPED NAME AND TITLE Robert L. Hansen Project Director
-----------------	--------------------------------------	--



STATE OF IOWA
IOWA CRIME COMMISSION
APPROVAL OF GRANT

APPLICANT: (Name & Address): Scott County Crime Commission West 2nd St. Davenport, Iowa	PROJECT TITLE: 82-702-5A-7 (71) Improvement of Prosecution and Court Activity Increased Efficiency PROJECT PERIOD: 5/25/71 - 5/24/72
--	--

TYPE OF APPLICATION:

<input type="checkbox"/> LEAA Planning	<input type="checkbox"/> JUVENILE DELINQUENCY Planning
<input checked="" type="checkbox"/> Action	<input type="checkbox"/> Action
<input type="checkbox"/> Civil Disorder	

Initial
 Revision
 Continuation

PROJECT DIRECTOR: (Name, Title, Address & Phone): Robert Hansen 627 W. 2nd St. Davenport, Iowa 52801	FISCAL OFFICER: (Name, Title, Address & Phone): John Barnard City Hall Davenport, Iowa
---	---

PROJECT BUDGET AND FUNDING SUMMARY

<u>Expense Class</u>	<u>Amount Requested</u>	<u>Amount Approved</u>
Salaries		
Personnel Benefits		
Consultant Services -----	7,000.00	7,000.00
Travel -----	1,700.00	1,700.00
Office Supplies -----	2,000.00	2,000.00
Equipment -----	4,000.00	4,000.00
Construction		
Other		
 TOTAL PROJECT BUDGET	 <u>\$ 14,700.00</u>	 <u>\$ 14,700.00</u>

<u>Funding Category</u>	<u>Amount Requested</u>	<u>Amount Approved</u>
Sub-Grantee Matching Share	5,880.00	5,880.00
Federal Share	8,820.00	8,820.00
TOTAL	<u>\$ 14,700.00</u>	<u>\$ 14,700.00</u>

REMARKS

Date 5/25/71	Signature 	Typed Name and Title George W. Orr Executive Director
-----------------	---------------	---



APPLICATION FOR GRANT

APPLICANT: (Name & Address): Scott County Crime Commission West 2nd St. Davenport, Iowa	PROJECT TITLE: 82-702-5A-7 (71) Improvement of Prosecution & Court Activity Increased Efficiency
	PROJECT PERIOD: 5/25/71 to 5/24/72

TYPE OF APPLICATION:

<input type="checkbox"/> LEAA Planning	<input type="checkbox"/> JUVENILE DELINQUENCY Planning
<input checked="" type="checkbox"/> Action	<input type="checkbox"/> Action
<input type="checkbox"/> Civil Disorder	

Initial
 Revision
 Continuation

PROJECT DIRECTOR: (Name, Title, Address & Phone): Robert Hansen 627 W. 2nd St. Davenport, Iowa 52801 319-322-6121	FISCAL OFFICER: (Name, Title, Address & Phone): John Barnard City Hall Davenport, Iowa 319-326-7763
---	---

NARRATIVE DESCRIPTION AND JUSTIFICATION OF PROPOSED PROJECT:

OBJECTIVE:
 To improve the processing of cases through the Municipal Court System by improving upon the installation of a Violations Bureau within the Municipal Court System.

To reduce the workload for Municipal Court judges to permit them to spend more time on decisions on serious charges and improve the image of the court in the eyes of the citizens.

IMPLEMENTATION:
 It is proposed to continue the operation of the Violation Bureau which was established under a prior year program. This year will be spent in improving procedures, acquisition of additional equipment to handle the ever increasing workload and mechanizing the handling of administrative paper work, i.e., microfilming of court records to permit rapid retrieval posting of financial records, and development of improved forms and records to more adequately provide management information.

Consulting services will be required to determine those areas in which these improvements can be made in the most expeditious manner at the lowest possible future cost.

APPLICATION FOR GRANT CONTINUED

NARRATIVE DESCRIPTION AND JUSTIFICATION OF PROPOSED PROJECT CONTINUED:

The following is the 1969 workload:

Felony cases	399
State (indictable and unindictable)	4,749
City Ordinance Cases	6,886
Meter Violations	93,030
Parking Violations	6,028
Civil Cases - Class "A"	1,064
Civil Cases - Class "B"	626
Total Civil Cases Docketed	1,690
Juvenile Cases Docketed	290

From the above it is evident that normal procedures are no longer satisfactory in the maintenance of court support operations, therefore action must be taken to simplify, consolidate, and improve, wherever possible, the handling of the court workload.

Subsequent Year's Funding:

Estimated at the \$20,000 level for subsequent years.

Units of Local Government Involved:

Municipal Court and City Juvenile authorities involved only.

APPLICATION FOR GRANT CONTINUED

PROJECT BUDGET AND FUNDING SUMMARY

<u>EXPENSE CLASS</u>	<u>AMOUNT REQUESTED</u>	<u>AMOUNT APPROVED</u>
Salaries		
Personnel Benefits		
Consultant Services -----	7,000.00	
Travel -----	1,700.00	
Office Supplies -----	2,000.00	
Equipment -----	4,000.00	
Construction		
Other		
TOTAL PROJECT BUDGET	\$ <u>14,700.00</u>	\$ _____

<u>FUNDING CATEGORY</u>	<u>AMOUNT REQUESTED</u>	<u>AMOUNT APPROVED</u>
Sub-grantee Matching Share	5,880.00	
Federal Grant Funds	8,820.00	

EXPLANATION OF GRANTEE CONTRIBUTION

Cash match - \$5,880.00.

OTHER FEDERAL SUPPORT

NONE

OTHER FEDERAL SUBMISSION

NONE

APPLICATION FOR GRANT CONTINUED

BUDGET DETAIL CONTINUED	
<u>EXPENSE CLASS</u>	<u>AMOUNT</u>
Office Supplies: (Itemize) Form changes and new form required.	2,000.00
Subtotal	\$ 2,000.00
Equipment: (Itemize) Purchase of microfilm equipment to include copying and retrieval machines.	4,000.00
Subtotal	\$ 4,000.00
Construction: (Itemize)	
Subtotal	\$ -0-
Other: (Itemize)	
Subtotal	\$ -0-
TOTAL PROJECT BUDGET	\$ 14,700.00

APPLICATION FOR GRANT CONTINUED

APPLICANT'S AGREEMENT:

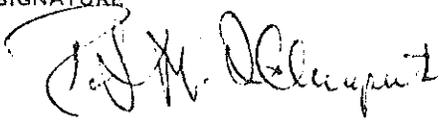
A. Civil Rights Act of 1964.

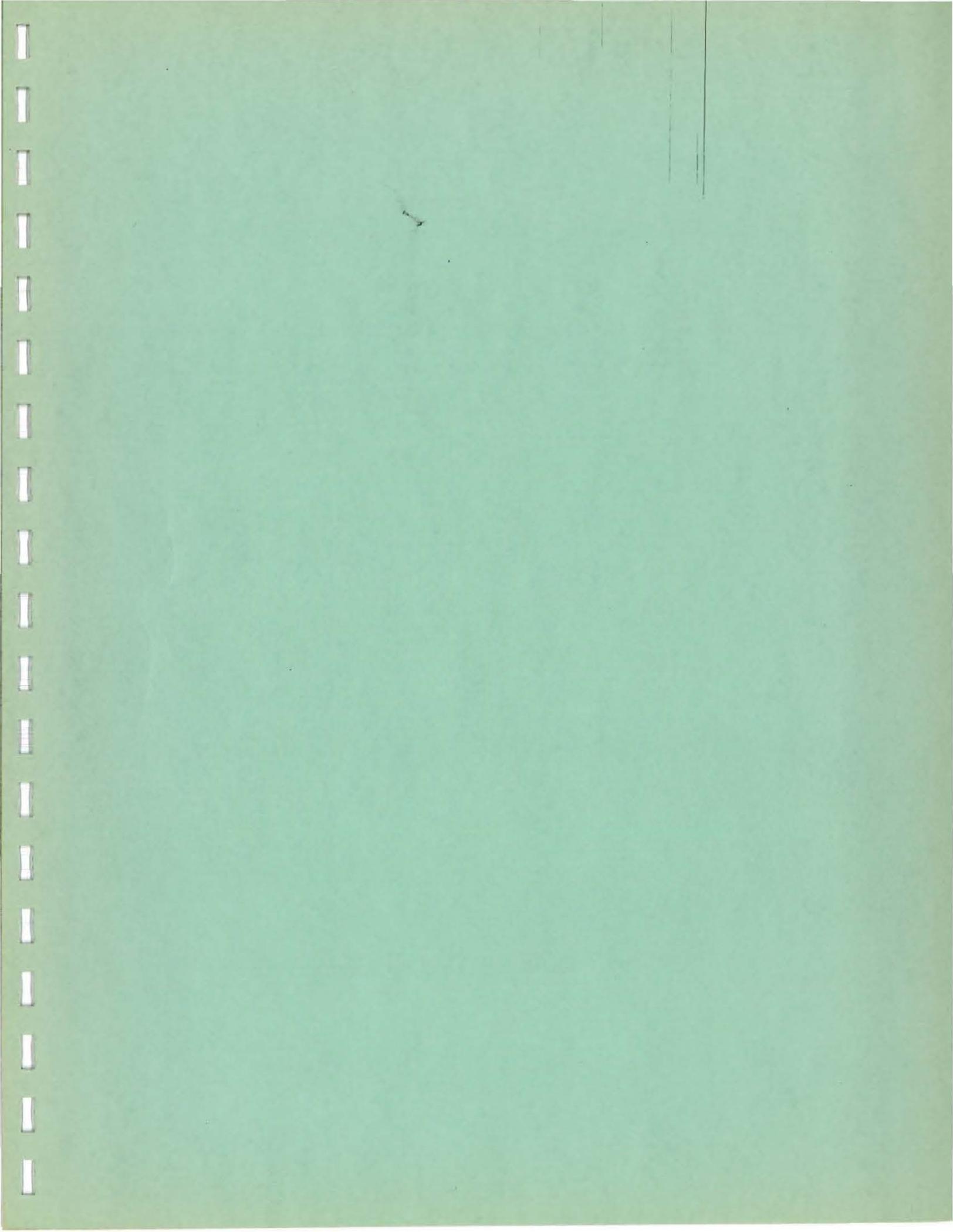
No person shall, on the grounds of race, creed, color or national origin, be excluded from participation in, be refused the benefits of, or be otherwise subjected to discrimination under agency grants awarded pursuant to P.L. 90-351 or any project or program supported by such grants. Grantees must comply with the provisions and requirements of Title VI of the Civil Rights Act of 1964 and regulations issued by the Department of Justice thereunder as a condition of award of federal funds and continued grant support. This grant condition shall not be interpreted to require the imposition in State plans or planning agency subgrant programs of any percentage ratio, quota system, or other program to achieve racial balance or eliminate racial imbalance in a law enforcement agency.

B. Other Conditions.

The Applicant also understands and agrees: (1) that any grant received as a result of this application shall be subject to the grant conditions and other policies, regulations, and rules issued by the Department of Justice and the Governor's Crime Commission for the administration of grant projects under the Omnibus Crime Control and Safe Streets Act of 1968; (2) that funds awarded are to be expended only for the purposes and activities covered by the Applicant's approved application and budget; (3) that the grant may be terminated in whole or in part by the Governor's Crime Commission at any time that the Commission finds a substantial failure to comply with the provisions of the Act or regulations promulgated thereunder by the Department of Justice or the Commission, including these grant conditions, or plan or application obligations, but only after notice and hearing and pursuant to all procedures set forth in the Act and Federal and State guidelines; (4) that appropriate grant records and accounts will be maintained and made available for audit as prescribed by the Commission; and (5) that the appropriate share of the total costs of this project shall be contributed by the Applicant from non-federal funds which are not being used in connection with any other program which is receiving federal financial assistance.

I hereby affirm that the above information is, to the best of my knowledge and ability, a true and accurate statement.

DATE	SIGNATURE	TYPED NAME AND TITLE
8/5/1970		Robert Illingsworth, Chairman



STATE COMPTROLLER'S OFFICE

MEMORANDUM

Extension 5330

FROM Terrance E. Swanson
TO George W. Orr
SUBJECT TRACIS Contracts with Collins Radio Company for Programming and Baxter, McDonald & Company for Management Services.

On May 4, 1973, Miss Karen Clausen requested that the TRACIS Executive Director provide a concise document to the Crime Commission outlining the reasons why Collins Radio and Baxter, McDonald & Company were contracted with on a sole-source basis. The background rationale is as follows:

1. Contract with Collins Radio Company for Communications Programming. The State of Iowa has leased a Collins C8500 communications computer to handle the communications processing for state systems including TRACIS. Analysis of the communications problem and the technology available to the State of Iowa indicated that the Bell Telephone ASR37 Teletype terminal controlled through a special 85B2 communications discipline would provide the level of service required by TRACIS design. An integral part of the special communications software was the development of the specialized 85B2 package called "split mode." In addition, Collins was requested to provide the software communications control routines for the interaction with the National Crime Information Center.

The Collins C-System Computer uses software programming techniques which are not of general knowledge to programmers. Similarly the C-System has capabilities and potentials not understood or known by personnel outside of Collins Radio Company. Because of the technical decision of the State of Iowa to bring in the Collins C-System as a front end message processor, the decision to award Collins the programming contract became a matter of economic and technical sense. To put out this software system for general bid would have undoubtedly resulted in unrealistic or uneconomical responses. This is due to the fact that it would take a considerable amount of time for an outside contractor to develop the necessary expertise in the Collins C-System programming techniques such as to offset any possible saving. Further, a company which, out of ignorance, proposed a too low of figure would have found itself in trouble right away and this would have resulted in long delays which the project could ill afford.

For these reasons, and with the full knowledge of the TRACIS Management Group and Executive Committee including the Executive Director of the Crime Commission, Collins Radio was awarded the programming contract for split mode and NCIC interface. Justifications are also written in quarterly reports at the time of contracting and policy committee minutes.

2. Management Consultation with Baxter, McDonald & Company. Prior to the initiation of the TRACIS Project the Office of Planning and Programming within the Office of the Governor of the State of Iowa had engaged the firm of Baxter, McDonald, Inc. in various management studies within the

DATE May 7, 1973

(SIGNED)



State of Iowa, especially in the areas of state planning administration. The OPP had found his work to exhibit sound awareness of state government and how to approach the various problems therein. His work had shown sound analysis and workable solutions. Therefore, in view of his earlier experience in computer technology and information systems, he was considered by the Project Policy Committee as fully capable of providing the types of technical assistance required. Mr. Angus McDonald, one of the principals of the company, participated in the extensive consultant selection process which resulted in the hiring of the Planning Research Corporation. During the early phases of the Project, Mr. McDonald was personally involved in evaluating various management aspects of the project. Because Mr. McDonald was involved with the TRACIS Project from the beginning but had unimpeachable objectivity by virtue of circumstance and design, the TRACIS Executive Committee requested Mr. McDonald to look into various aspects of TRACIS management from time to time. This procedure necessitated the amendment to the basic "not to exceed" contract with Baxter, McDonald, Inc. Essentially, the State of Iowa is contracting for the personal services of an expert management consultant to look into the problems of the TRACIS System and suggest alternative approaches and solutions from a viewpoint which all could agree was an objective one. This is especially important in view of the multi-agency nature of the TRACIS System and the fact that a great number of various interests and viewpoints were represented on the TRACIS Policy Committee and Administration.

These arrangements were known to and approved by all members of the TRACIS Policy Committee (Management Group).

February 23, 1973

TO BE INCORPORATED INTO STATE PLANNING AGENCY'S ADMINISTRATIVE AND PLANNING GUIDE FOR SUB-GRANTEES AND STATE AGENCIES.

Effective immediately all contracts which will be paid in whole or in part by Iowa Crime Commission funds must be written and include the following:

1. Identification of the contracting parties.
2. The period of the contract.
3. A detailed explanation of work to be accomplished.
4. The cost of the work.
5. Method of payment, whether:
 - a. Fixed price
 - b. Cost reimbursable
 - c. Cost, plus fixed fee
6. Termination clause (if in excess of \$2,500).
 - a. Manner and basis of settlement
 - b. Conditions allowing termination on:
 - (1) Default
 - (2) Circumstances beyond contractor's control
7. Access to records, documents and papers by Iowa Crime Commission, LEAA or U.S. Comptroller's Office for audit purposes.
8. Access to contractors' records (if negotiated contract in excess of \$2,500).
 - a. Requires records to establish all cost estimating and actual cost data.
9. Equal Employment Opportunity (if in excess of \$10,000).
 - a. Assurance that contractor has an affirmative action plan declaring no discrimination on basis of race, color, religion, creed, national origin, sex or age.
 - b. Plan must specify goals and target dates to assure its implementation.
10. Copeland "Anti-Kick Back" Act (if contract is for construction or repair).
 - a. Prohibits contractor or sub-grantee from inducing any person involved in construction, completion or repair of public work, to give up any part of the compensation to which person is entitled.

11. Compliance with Contract Work Hours and Safety Standards Act (if employment of mechanics or laborers is involved).
 - a. Requires payment of not less than 1 1/2 times basic pay rate of all hours worked in excess of 8 hours in any day or 40 hours in any work week.
 - b. Prohibits work surroundings which are unsanitary, hazardous, or dangerous to health and safety.
12. Method of fulfilling bonding requirements provided in Attachment B of OMB Circular A-102 (if for construction of facility improvement in excess of \$100,000 involved).
13. Compliance with all applicable standards, orders, or regulations issued pursuant to the Clean Air Act of 1970 (if in excess of \$100,000).

4. Procedure for Procurement of Supplies, Equipment, and Contract Services

(a) PROCUREMENT BY FORMAL ADVERTISING

Procurement by formal advertising is required when the supplies, equipment (items or systems whose components total \$2,500.00) or contract services involve amounts in excess of \$2,500 or where (b) below applies. Acceptance of the lowest bid is not required but the SPA limits its procurement funding to seventy-five percent (75%) of the lowest bona fide bid. The following steps must be taken.

- (1) SPA SUBMISSION. Need for the procurement must be justified to avoid purchasing unnecessary or duplicative items. Lease and purchase alternatives should be analyzed to determine which is most economical. Positive efforts should be made to utilize small business and minority-owned business source of suppliers, equipment and services. The type of procuring document used (fixed price contracts, costs reimbursable contracts, incentive contracts, purchase orders, etc.) should be appropriate for the particular procurement and project involved.

Invitation for bids or requests for proposals must clearly set forth all requirements which the bidder must fulfill with regard to the materials, product, or service to be procured. Descriptions using "brand name or equal" may be used as a means to define the performance or other essential requirements of the procurement. However, specific features of the named brand which must be met by bidders should be clearly specified. Items of comparable performance and cost may not be excluded merely on the basis of physical differences. The name and address of any supplier who assisted in specification preparation should be clearly indicated in the grant application.

- (2) AWAIT CONDITIONAL APPROVAL. The SPA will give notice in writing whether an application is eligible for funding and whether specifications are suitable for bid letting.
- (3) NOTICE. Notice of intent to procure must be published in a newspaper of general circulation in the area of the sub-grantee. Said notice shall contain the following information:

- a. (local crime commission or local unit of government) hereby gives notice to the public and prospective vendors of intent to procure, in part with Iowa Crime Commission funds, the following (list item).

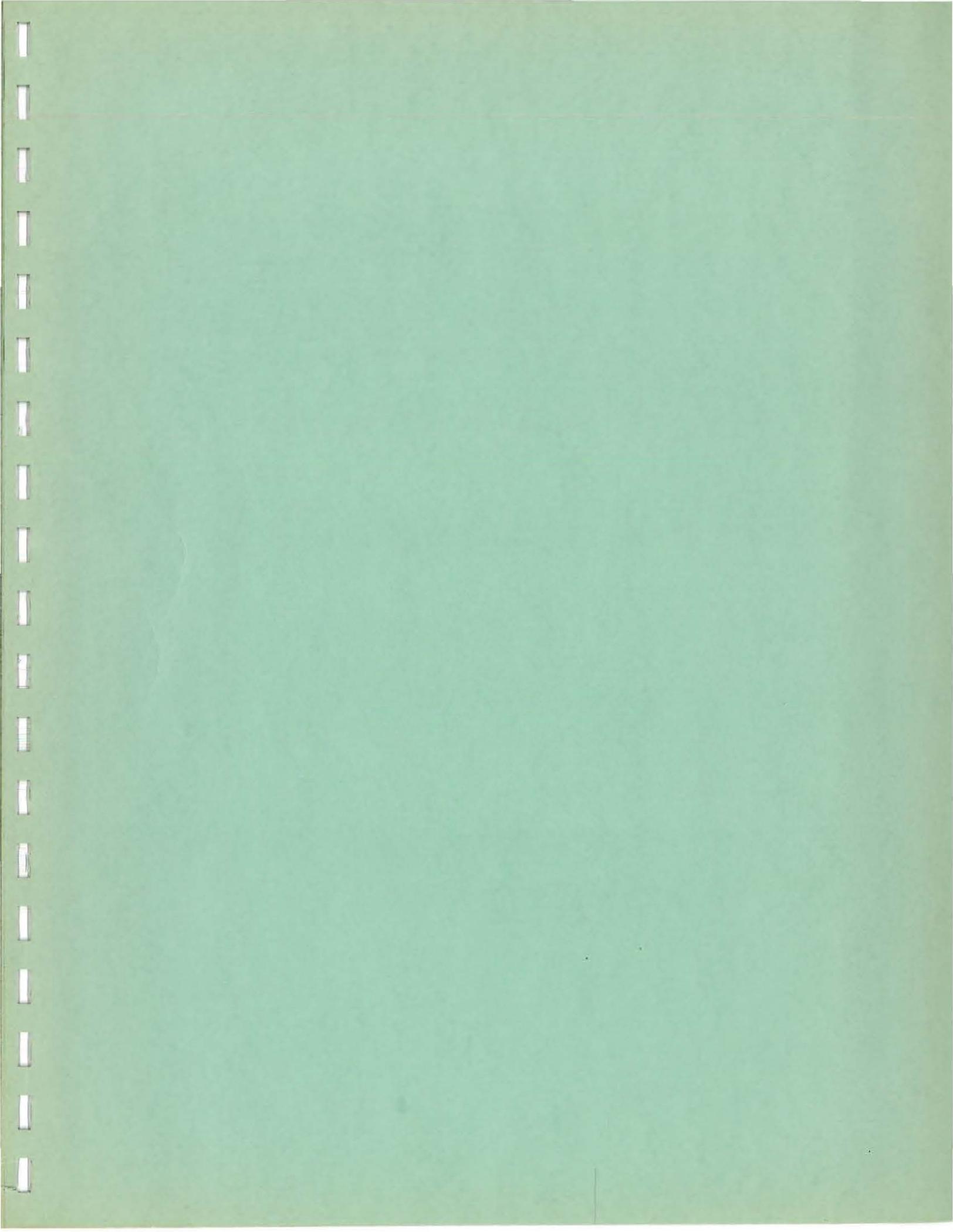
4. Technical assistance in selecting the equipment to be purchased from the bids received.
5. Consultants, not associated with a manufacturer or supplier, to analyze bids received under special conditions.

(b) PROCUREMENTS BY NEGOTIATION

Procurement records or files for purchases in amounts in excess of \$2,500.00 shall provide justification for the use of negotiation in lieu of advertising, contract or selection and basis for the cost or price negotiated.

Generally, procurements may be negotiated if:

- (1) The aggregate amount involved does not exceed \$2,500;
- (2) The public exigency will not permit the delay incident to advertising;
- (3) The material or service to be procured is available from only one person or firm; (all contemplated sole source procurements where the aggregate expenditure is expected to exceed \$2,500.00 shall be referred to the SPA for prior approval.)
- (4) The contract is for personal or professional services, or for any service to be rendered by a university, college, or other educational institutions;
- (5) No acceptable bids have been received after formal advertising;
- (6) The purchases are for highly perishable materials or medical supplies, for material or services where the prices are established by law, for technical items or equipment requiring standardization and interchangeability of parts with existing equipment, for experimental, developmental or research work, for supplies purchased for authorized resale, and for technical or specialized supplies requiring substantial initial investment for manufacture;
- (7) Otherwise authorized by law, rules, or regulations.



Financial Management

We acknowledge that our fund balances were greater than required during 1970, 1971, and early 1972, both at the SPA level and with our sub-grantees. This, however, has been corrected at both levels as evidenced by the attached letter from LEAA and our form entitled "Request for Funds". The letter is self-explanatory. The form is prepared by the sub-grantee and submitted to the SPA. The Financial Section reviews the form and, if the request appears to be needed, it is then entered into the funding process. This request form is prepared on a monthly basis for ongoing projects. The equipment purchases, or other one-time costs, would be funded on an "as needed" basis.

The interest earned by our sub-grantees has been returned to LEAA except for the \$6,080.00 which was used by Scott County as noted in our initial audit response. Public Law #90-577 provided that states would not be held accountable for earned interest (Section 203). This was the only guidance that was available to the SPA and, as a result, we approved the use of the \$6,080.00 by the Scott County Crime Commission in January, 1972. On April 7, 1972, we received Circular A-102 (effective 7/1/72) which required the refund of local earned interest. All local interest earned, other than the \$6,080.00, had not been approved for program purposes and was refunded to LEAA. It appears that Circular A-102 is being applied retroactively to the \$6,080.00.

All Federal money was deposited by the State Treasurer in a demand deposit non-interest bearing account.

LAW ENFORCEMENT ASSISTANCE ADMINISTRATION
KANSAS CITY REGIONAL OFFICE

November 30, 1972



438 STATE AVENUE
KANSAS CITY, KS 66101

PHONES:
ADMINISTRATION - 816/374-4501
OPERATIONS - 374-4504
TECHNICAL ASSISTANCE - 374-4508

1/2

Mr. George W. Orr
Executive Director
Iowa Crime Commission
520 E. 9th Street
Des Moines, IA 50319

Dear Mr. Orr:

May I extend my sincerest compliment to you for the business-like manner in which you are handling the daily cash needs of the Iowa Crime Commission.

A review of reports submitted to LEAA for the quarter ending September 30, 1972, indicates that the Iowa Crime Commission is maintaining a one-day cash balance on hand. This is far below the maximum one week cash allowed under present LEAA instructions.

Please convey my appreciation to Jim Dysart, your Fiscal Officer, and his financial staff, for their outstanding performance in this area. Certainly, fiscal integrity and sound management of finances are key elements in the success of this and any other undertaking.

It may be of interest to you to know that Iowa now has the best record of daily cash on hand balances of any state in Region VII.

Sincerest regards for this record and, keep up the good work!

Sincerely,

WILLIAM H. SMITH
Regional Administrator

RECEIVED

DEC 4 1972

IOWA CRIME COMMISSION

MEMO FOR RECORD:

NONE



STATE OF IOWA
IOWA CRIME COMMISSION
STATE PLANNING AGENCY

Project Number

REQUEST FOR FUNDS

Request No. _____

Period _____ thru _____

Area Agency	Sub-grantee
-------------	-------------

Total Approved SPA Funds \$ _____

Total Approved State Match Funds (Cash) \$ _____

TOTAL \$ _____

Balance Available \$ _____

Total funds received \$ _____

Total funds expended \$ _____

Unexpended balance on hand \$ _____

REQUEST \$ _____

EQUIPMENT FUNDS UNDER \$2,500.00:

The above request includes funds for equipment in the amount of \$ _____.
I certify that the requested funds are for equipment as approved and documentation is available upon request.

EQUIPMENT REQUIRING BIDS:

The above request includes funds for equipment in the amount of \$ _____.
Copies of bids and purchase contracts must be received by the SPA prior to release of funds for approved equipment.

CONSTRUCTION:

The above request includes construction or remodeling funds in the amount of \$ _____.
Copy of contract must be attached for initial funding.
Statement of progress must be attached for initial and subsequent requests.

Remarks:

Date	Area Fiscal Officer Signature	Typed Name
------	-------------------------------	------------

CENTRAL IOWA REGIONAL
Association of Local Governments

265 JEWETT BUILDING DES MOINES, IOWA 50309

PHONE 244-3257

CHARLES W. VANDERLINDEN — Chairman, 1973
JOEL B. GUNNELLS — Executive Director



SERVING LOCAL GOVERNMENT UNDER CIRALG'S UMBRELLA

April 30, 1973

Mr. George W. Orr, Executive Director
Iowa Crime Commission
520 East Ninth
Des Moines, Iowa 50319

Re: Grant #77-702-8-13: (70)

Dear Mr. Orr:

This letter is in response to your letter bringing to our attention the federal audit of the above referenced grant.

Our research into the records of the Des Moines Police Department and the now non-existent Polk County Law Enforcement Advisory Council uncovers the following rationale for items purchased in the grant: during the time the grant was being utilized by the Des Moines Police Department, the City was being terrorized by major civil disorders (see attached documentation). Among these was a rash of bombings and bomb threats. In order to cope with these, a bomb-disposal trailer (protective equipment) was constructed by the Des Moines Police Department. It was judged, due to the crisis in public safety caused by the bombings and threatened bombings, that a bomb disposal unit was of far greater immediate utility than the grant-specified closed circuit T.V.

Unfortunately, those administering the grant failed to revise the grant accordingly.

If we can respond to any other specific questions regarding this grant please advise us.

Sincerely,

A handwritten signature in cursive script, appearing to read 'David L. Brown', is written over the typed name.

David L. Brown
Acting Project Director

DLB:mds

Encl.

cc: Assistant Chief Tom Teale, Des Moines Police Department

April 30, 1973
Letter to George W. Orr

<u>YEAR</u>	<u>NUMBER OF BOMBINGS</u>	<u>TYPE OF EXPLOSIVE</u>	<u>TOTAL LOSS</u>
1968	2	dynamite	unknown
1969	4	dynamite	\$172,500
1970	4	dynamite	\$700,000
1971	3	various homemade devices	\$ 100
1972	6	various homemade devices	\$ 300
1973	5	various homemade devices	<u>\$ 200</u>
			\$873,100 ¹

These statistics reflect bombings in which only explosive devices were used. Statistics on other types (fire bombings, etc) are more extensive, and have not been included.

¹All information is from actual records of the Des Moines



Department of Justice

RICHARD C. TURNER
ATTORNEY GENERAL

ADDRESS REPLY TO:
STATE CAPITOL BUILDING
DES MOINES, IOWA 50319

RECEIVED

MAY 1 1973

IOWA CRIME COMMISSION

Mr. George W. Orr
Executive Director
Iowa Crime Commission
L O C A L

Re: LEAA Field Audit of Grant No. 00-702-5B-26-AG (71)

Dear Mr. Orr:

The following is in response to Crime Commission letter dated February 28, 1973, reporting deficiencies noted in the captioned audit.

QUESTIONABLE ITEMS

Item 1. Re: "Secretary's salary budgeted at \$5,000 was paid at a rate of \$5,200 and is considered 'questionable'".

SPA Planning and Administrative Guide pages IV-10 and IV-11, states that deviations from budgets of 10% are allowable without prior approval. However since the instructions do not pertain to individual items of expense, we had also questioned this requirement and had asked for an interpretation from the Crime Commission. It was affirmed that a 10% deviation above a budgeted salary was permissible. The \$5,200 salary is 4% above budget and is thus within the maximum limitation. It is also equal to or below the salary scale paid for legal secretaries and is consistent with this employee's skill and experience.

Item 3. Re: "Prosecutor's salary budgeted at \$20,000 was paid at a rate of \$21,000 for the first six months and \$22,000 for the balance of the year."

The explanation for this item is the same as for Item 1 above. See also Item 4 below.

Item 4. Re: "Prosecutor paid at an annual salary of \$12,000

was transferred to grant project at an annual salary of \$17,000 (42% increase)."

In hiring and retaining competent trial attorneys the Justice Department competes with the private sector in the establishment of salary levels. Traditionally offices such as ours have been used for "training" purposes by attorneys seeking experience for entry into private practice. As evidence of this fact our records show that the number of attorneys resigning in the past five years equals the current staff size. Faced with the resignation of the attorney in question, who was being paid \$12,000 per year in the Criminal Appeals Section, we were able to retain him by offering him a more responsible position with the Area Prosecutors. Our records show that he received an increase to \$17,000 and was transferred to the Area Prosecutors Section on November 1, 1971. His salary was then raised to \$18,000 on May 1, 1972, again in an attempt to retain him. However, he terminated nevertheless on December 17, 1972, and it was necessary at that time to conduct a search for another experienced attorney.

Item 6. Re: "Payment of \$401.00 for services of a shorthand reporter."

See discussion of Item 2 below for our proposal relative to this state-paid expense.

Item 7. Re: \$1,050.00 rental charge based on 'estimate' with no documentation support."

We recently became aware of a State-Wide Cost Allocation Plan submitted by the Iowa State Comptroller to the Federal Department of Health, Education and Welfare. This Plan covers the time period involved in the grant performance and provides the documentation necessary to support a "use allowance" of \$1,008.00 for the seven months covered by the audit. Note: See discussion under Item 2 below for our proposal relative to the small deficit in in-kind match (\$1,050.00 vs. \$1,008.00).

UNALLOWABLE ITEMS

Item 5. Re: "Unallowable duplicate charge for personnel benefits due to bookkeeping error totaled \$980.00."

See Item 2 below for our proposal in covering the deficit resulting from this bookkeeping error.

Item 2. Re: "Secretary's time charged 100% to grant project was actually utilized at only 30%."

This secretary was hired along with two attorneys to start up the Area Prosecutor's Project. With the two attorneys out of town on trial a large part of the time, she spent only about 30% of her time in direct dictation and typing support. However, she coordinated the attorney's requests and activities by phone, helped in ordering furniture and supplies, acted as office receptionist, answered the phone, etc. As the project continued, its dictation and typing work load grew steadily and the secretary worked on her own time evenings and weekends while she also received assistance from other secretaries in adjacent offices.

The practice of secretaries assisting one another, is very common in the Justice Department where the irregularity of trial dates, hearings, requests for legal assistance, etc., makes the work load difficult to manage. Still the need for legal secretaries to act as receptionists, maintain liaison for attorneys while out of the office, keep close control over the confidential legal files, etc., makes the assignment of secretaries to secretary pools undesirable. It is common practice for a number of attorneys in the office to be assigned a secretary, who acts as their personal secretary; and the sharing of typing and dictation amongst these secretaries during rush periods tends to balance out over a period of time.

At the time of the Area Prosecutors' audit, it became apparent that grant regulations would not accommodate this system, even though the assistance the federally paid secretary provided to other sections might be balanced by assistance received. The secretary was instructed to confine her work solely to the grant project. She was also removed from the federal funds payroll and placed on the state payroll for approximately six months to reconpense the project for prior work performed for other sections.

The permanent assignment of the project secretary to the state payroll and the budgeting of her time as administrative support would resolve the problem of her providing assistance to other sections. However, the current financial condition of the Justice Department prohibits this move. The Department, due to its own new programs and due to unanticipated work load from other new agencies and programs in state government, has substantially overrun its office appropriation during the last biennium. Emergency transfers of additional state funds to the Justice Department were required in both 1971 and 1972. The

alternative would have been to close the doors of the Justice Department several months prior to the end of each fiscal year. At the present time we are still operating on an emergency basis (see the attached memo) and have recently presented the entire fiscal situation to the Appropriations Committee of the Legislature. The appropriation for the next two fiscal years has not been determined at the time of this writing and relief, if granted, will not take effect until July 1, 1973. Needless to say the funds which you wish us to refund per the captioned audit letter are simply not available for that purpose.

A cursory review of the financial performance on the Area Prosecutors (71) grant which terminated October 15, 1972, showed that the Department of Justice and the State of Iowa contributed more than their required share to that project. Most of these contributions, however, would be disallowed because of the stringency of ICC Regulations (based on Federal Regulations) in requiring item by item approval of each contribution prior to the expenditure. The specific reasons for lack of approval are that many of our expenses cannot be anticipated in detail in advance but still have to be provided for on a timely basis. Then our attorneys during the first year of the grant were not intimately familiar with grant requirements and did not know how to obtain immediate approval on an emergency basis. The \$401.00 expense incurred for a court reporter is an example of the type expenditure which was unforeseen and not budgeted in advance. When the need for a special trial transcript occurred, the attorney on the case called this office from out of town and requested, justified and received approval for the expense through normal Justice Department channels. The court reporter's bill was automatically paid by the bookkeeper and credited by her to the Area Prosecutors' books. It remained for a federal auditor to discover the failure to anticipate and budget this state-paid expense in advance. The expense is allowable under federal guidelines and only the lack of foresight in obtaining special ICC approval during the confusion surrounding trial preparations makes it "questionable". Therefore, because of the current status of finances in the Justice Department, it seems reasonable to request retroactive approval of this and other similar legitimate expenses incurred to support the Area Prosecutors' Project.

The table below shows some of the additional state contributions made on the program which we feel should now be allowed on the captioned grant. There are many other allowable state-paid expenses which cannot be sorted out of the system and

recovered after the fact. For example, there are the expenses incurred by the State Comptroller's Office in assisting us, the expenses incurred by the General Services Department for remodeling work on the Area Prosecutors' offices, the expenses incurred by the Executive Council in paying court costs, etc.

UNBUDGETED AREA PROSECUTORS' EXPENSES

Court reporter's fees (Item 6 of audit letter)	\$ 401.00
Secretary's salary (7/16/72 - 10/15/72)	1,300.00*
Secretary's benefits (7/16/72 - 10/15/72)	56.81
Attorney's salary	2,440.00**
Attorney's benefits	106.63
Attorney's travel	318.89
Administrative support (see attached)	<u>5,401.15***</u>
Total unbudgeted state match	\$10,024.48

* After the federal audit in July, 1972, when the auditors disallowed 70% of the secretary's salary and benefits, the project director removed the secretary from the federally funded payroll and paid her with state funds. However, it did not occur to us that this state contributed salary was not budgeted to the grant and, therefore, not creditable even though the secretary subsequently worked 100% on the project.

** The attorney's salary, benefits and travel represents state funds paid to attorney Roxanne Conlin who provided needed assistance to Mr. Skinner on the Worth County Supervisors case tried in August and September, 1972, by the Area Prosecutors. These amounts represent allowable, unbudgeted state match which should be considered for retroactive approval (see attached Affidavit).

*** None of the true Justice Department administrative support provided to the project has ever been credited to the Area Prosecutors' books and an adequate study was never made until recently of the administrative efforts required to support a project of this type. Administrative job descriptions have now been prepared and contributed services time records have been maintained

by certain personnel for the past six months. The experience was utilized to provide a better estimate of the true administrative costs. The costs for administrative support included in the above table represent a conservative allowance to be considered for retroactive approval.

It is requested that \$3,111.00 of the above listed state-expenditures be employed to replace the \$3,111.00 of disallowed federal expenditures reported in your letter. The balance of the above, \$6,913.48, if approved as state match, can be applied to cover another bookkeeper's error recently discovered in the grant final financial report and to provide for the deficiency in office space "use allowance" discussed in Item 7 above. It is requested that this letter be attached to the grant application for the now defunct (71) grant and utilized as a formal grant revision to substantiate and approve the state expenditures shown above.

CORRECTIVE ACTION

The basic resolution to the above problems in the future, we believe, is to provide knowledgeable administrative support to operate the grant programs in strict accordance with ICC and LEAA requirements. Also, since our grants are for new dynamic programs, and not for static one time expenditures for buildings and equipment, the Crime Commission may have to provide for a simple call in approval system for grant revisions in order for us to operate efficiently. Within this office, our bookkeeper needs immediate assistance and will commence training secretaries to be used part-time, when available, for help in that area.

It is hoped that both the LEAA and ICC will find it possible to permit this straight forward retroactive revision to the now terminated Area Prosecutors' first year grant, in the same manner as the LEAA permitted a similar revision to our Special Prosecutions Section first year discretionary grant. With closer attention to budget requirements and with the continued assistance of the ICC, the Justice Department should be able to provide more adequate administration of its two grant projects in the future.

Sincerely,



RICHARD HAESEMEYER
Solicitor General
Project Financial Officer

Administrative Support Part

				Annual Salary	Amount credit	
1						
2	Attorney General (5%)			2250000	112500	
3	Solicitor General (Financial Officer) (10%)			2240000	224000	
4	Bookkeeper (20%)			680000	136000	
5	Admin. Asst (AG's secretary) (5%)			900000	45000	
6	Total In-kind Salaries					\$ 579500
7						
8						
9	Personnel Benefits (5795 x 4.37%)				22615	
10	Total In-kind Administrative Support					\$ 540115
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A F F I D A V I T

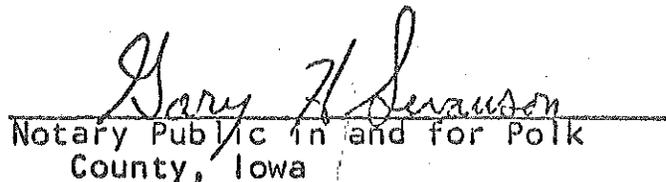
STATE OF IOWA)
() ss:
COUNTY OF POLK)

My name is Roxanne Barton Conlin and I am an Assistant Attorney General. In August of 1972 I was assigned temporarily to the Area Prosecutor's Staff to aid in the removal of three Worth County Supervisors for alleged criminal misconduct. I participated in the investigation and trial of that case and spent 104 working hours in the Mason City area in that capacity. In addition, we prepared a trial brief and a post-trial brief. Thereafter, it was necessary to reopen the record for the receipt of additional evidence, which was accomplished. After the court rendered its decision, removing one supervisor and chastising but not removing the other two, all parties appealed to the Iowa Supreme Court. The total number of hours I spent in the research and writing of the various legal documents necessary to the proper prosecution of this case was 172.


ROXANNE BARTON CONLIN

Subscribed and sworn to before me this 11th day of

April, 1973.


Notary Public in and for Polk
County, Iowa

