

**DEPARTMENT OF HOUSING AND
URBAN DEVELOPMENT**

**Office of the Assistant Secretary for
Public and Indian Housing**

[Docket No. FR-3921-N-01]

**Notice of Funding Availability for
Technical Assistance and Training for
Public and Indian Housing (PIH) Crime
Prevention Through Environmental
Design (CPTED)**

AGENCY: Office of the Assistant Secretary for Public and Indian Housing, HUD.

ACTION: Notice of Funding Availability (NOFA) for Training and Technical Assistance for Public and Indian Housing CPTED.

SUMMARY: This NOFA announces the availability of \$500,000 for one or more grant(s) to provide technical assistance and training to public and Indian housing authorities (HAs) in the development and training of HA staff and residents in the subject of crime prevention through environmental design (CPTED). The U.S. Department of Housing and Urban Development (HUD) is seeking proposals for one or more grant(s) to be executed through a Cooperative Agreement to provide technical assistance and training for Public and Indian Housing CPTED. For purposes of this announcement, CPTED is defined as the redesign, renovation, or rehabilitation of existing environmental conditions to improve the safety of staff and residents and eliminate conditions which may contribute to instances of crime. The purpose of these grants is to provide state-of-the-art CPTED training and technical assistance to HA staff, residents, Resident Councils (RC), Resident Management Corporations (RMC), housing authority security directors, local law enforcement officials, local government officials, architects, and other community leaders.

DATES: Proposals must be received at HUD Headquarters on or before 3 p.m. Eastern Daylight Time, August 24, 1995. This application deadline is firm as to date and hour. In the interest of fairness to all competing applicants, the Department will treat as ineligible for consideration any application that is received after the deadline. Applicants should take this practice into account and make early submission of their materials to avoid any risk of loss of eligibility brought about by any unanticipated or delivery-related problems. Applications received after the deadline will not be considered.

Applications received by facsimile machine will not be considered.

APPLICATION SUBMISSION: There is no application kit for this grant application submission. All applications should be submitted with the required tabs and Federal forms. Copies of the forms are available from the contact listed below.

An original and two copies of the application must be sent to the Crime Prevention and Security Division, Office of Community Relations and Involvement, Office of Public and Indian Housing, Department of Housing and Urban Development, Room 4116, 451 Seventh Street, SW., Washington, DC 20410. Facsimile ("FAX") applications are not acceptable.

FOR FURTHER INFORMATION, CONTACT: Elizabeth A. Cocke, Crime Prevention and Security Division, Office of Community Relations and Involvement, Office of Public and Indian Housing, Department of Housing and Urban Development, Room 4116, 451 Seventh Street, SW., Washington, DC 20410, telephone (202) 708-1197. A telecommunications device for hearing or speech impaired persons (TDD) is available at (202) 708-0850. (These are not toll-free telephone numbers.)

SUPPLEMENTARY INFORMATION:

Paperwork Reduction Act Statement

The information collection requirements contained in this NOFA have been submitted to the Office of Management and Budget (OMB) for review under the Paperwork Reduction Act of 1980 (44 U.S.C. 3501-3520) and have been assigned OMB control number 2577-0197.

I. Purpose and Substantive Description

(a) *Purpose.* The U.S. Department of Housing and Urban Development is seeking proposals for one or more grant(s) to provide state-of-the-art technical assistance (TA) and training to public and Indian housing authorities (HAs) for crime prevention through environmental design (CPTED). For the purposes of this announcement, CPTED is defined as the redesign, renovation, or rehabilitation of existing environmental elements to improve the safety of residents and to eliminate conditions which may contribute to instances of crime. The purpose of this grant is to build upon the Department's past successful TA and training and continue to develop and provide state-of-the-art CPTED training and technical assistance to housing authority staff, residents, Resident Councils (RC), Resident Management Corporations (RMC), and where appropriate, architects, engineers, local law enforcement officials, local

government officials, and other community leaders.

(b) *Authority.* These grants are authorized under Chapter 2, Subtitle C, Title V of the Anti-Drug Abuse Act of 1988 (42 U.S.C. 11901 *et seq.*), as amended by section 581 of the National Affordable Housing Act of 1990 (NAHA), approved November 28, 1990, Pub. L. 101-625, and Section 161 of the Housing and Community Development Act of 1992 (HCDA 1992) (Pub. L. 102-550, approved October 28, 1992).

The Departments of Veterans Affairs and Housing and Urban Development, and Independent Agencies Appropriations Act 1995, (approved September 28, 1994, Pub. L. 103-327), (95 App. Act) appropriated \$290 million for the Drug Elimination Program of which \$10 million will be used for funding drug elimination technical assistance and training.

(c) *Award amounts.* This NOFA makes up to \$500,000 available for one or more cost-reimbursable grants.

(d) *Objectives.* The overall objectives of this grant are to:

(1) Build upon the Department's past successful CPTED TA and training. A copy of the training curriculum for FY 1994 will be available for review at HUD's Community Relations and Involvement Clearinghouse, telephone 1-800-578-3472.

(2) Provide the TA and training in a comprehensive context that acknowledges the role of other safety elements in public and Indian housing, including police and security services, lease enforcement, etc.

(3) Provide training and TA using state-of-the-art techniques which are easily transferable and replicable to assist housing authority staff and residents in understanding and implementing the contributing factors of CPTED and to develop and implement CPTED elements and plans for their developments. The media could include, but is not limited to, on-site visits, printed materials, "fact sheets", "how-to" technical material, training material and training meetings, videos, or other instruments.

(4) Design and develop a series of TA instruments based on the needs of housing authority staff and residents, and other staff who work on CPTED design and implementation in public and Indian housing. In determining the needs of staff and residents, grantees should take into account possible ethnic/racial sensitivities and the needs of persons with disabilities.

(5) Design and develop an impact/process evaluation methodology for HA staff and residents to use in measuring

their progress after implementing CPTED elements.

(6) Successfully complete all tasks within a 24 month period within budget.

(e) *Scope of work.*

(1) General Requirements.

(i) The grantee shall furnish all necessary personnel, materials, services, and equipment and shall otherwise do all things necessary for, or incidental to the performance of the tasks set forth in this Statement of Work.

(ii) The work to be performed under this grant includes, but is not limited to: taking the issues and needs identified by public and Indian housing participants during the 1994 PIH/CPTED grant and developing TA, training, TA instruments and materials to address them; preparation of CPTED TA and training instruments which address issues and strategies peculiar to public housing; delivery of CPTED TA and training instruments to housing authority staff, residents, Resident Councils, Resident Management Corporations, housing authority security directors, local law enforcement officials, local government officials, architects, and other community leaders, and provision of TA to HA staff and residents. In addition, the grantee shall attend one or more meetings at HUD Headquarters for the purpose of discussing HUD's comments pertaining to the grantee's products.

(2) Specific Requirements. The grantee shall perform the following tasks in accordance with the objectives and general scope of the grant.

TASK 1—Orientation

Within the first week after the effective date of the grant Agreement, the Project Director and other key personnel shall attend a meeting at HUD Headquarters in Washington, DC, for the purpose of establishing a common understanding and strategy with respect to the grant objectives, and the scope of work necessary to achieve the objectives, the time frame, methodology, and deliverables.

TASK 2—Management and Work Plan

The grantee shall develop a draft management and work plan that addresses all of the requirements contained in the approved grant strategy and provide an updated and detailed work plan for the entire project. This draft plan shall be submitted to the HUD Government Technical Representative (GTR) for review and comment by the end of the second week of the grant, setting forth the timing of all stages of the project. The plan shall include a detailed allocation of grant resources

and a schedule for the accomplishment of the grant work. HUD shall submit its comments and suggestions to the grantee within one week from receipt of the draft plan. A Final Management and Work Plan incorporating HUD's comments and suggestions shall be submitted by the end of the 5th week of the grant.

TASK 3—Review of CPTED Elements Currently Used by or Under Consideration by Housing Authorities

The grantee shall use the bibliography and resources developed under HUD's CPTED TA and training grant in 1994, and update them. This includes but is not limited to:

(1) The evaluations of the 1994 TA and training.

(2) Published and unpublished pieces on CPTED activities and programs, especially in multi-family, high-density, urban, low-income environments.

(3) A bibliography of printed resources on the development and implementation of a CPTED program.

(4) Conversations with HA staff and residents, law enforcement officers, architects, engineers, membership organizations and other parties interested in the issue.

The grantee shall work with these organizations, including resident councils, resident organizations, Resident Management Corporations, and city government to identify key and current issues that the HAs, resident groups and member organizations consider essential for implementing elements of CPTED in public and Indian housing. The grantee shall develop a short written report summarizing the needs assessment and provide the assessment in writing to the GTR for review.

In the past, HUD has found the following elements to be of interest to HA staff and residents:

(1) Innovative TA and training which moves beyond commonly known and accepted practices of design and construction.

(2) Information on how to develop, fund, and implement CPTED in public housing, addressing issues peculiar to public and Indian housing.

(3) TA instruments to assist participants in identifying certain types of public housing designs and environments which support criminal activity, and those which can stem criminal activity. These instruments should span the spectrum from general, inexpensive, and easily replicable to those of a more complex, technical and specific nature.

(4) Information on successful CPTED initiatives in public and Indian housing,

the benefits housing authorities and residents have gained as a result of implementation of CPTED elements.

(5) Information on and case studies illustrating the successful combination of CPTED elements and other crime-prevention activities in low-income neighborhoods such as resident patrols, community policing, etc.

(6) Opportunities for TA recipients to meet one-on-one with expert advisors to review and discuss specific plans and to obtain technical assistance on specific design and implementation plans.

(7) Impact/process evaluation instruments to assist housing authorities in tracking outcome measures for their CPTED strategies.

TASK 4—Revision of TA and Training Plan

After review of the results of Task 3, the grantee and GTR will confer before the grantee develops a revised plan for producing technical assistance and TA instruments based on the results of Task 3. The proposed TA and training plan must include any elements proposed by the GTR, and the plan must be submitted to the GTR for review and approval before it can be implemented. The revision could require revision of the budget and timetable. The grantee must submit any revised budget, plan and timetable by Week 12 of the Grant. The GTR will work with the grantee to approve a revised budget, plan and timetable no later than Week 14 of the Grant.

TASK 5—Choosing HAs for Targeted TA and Training

The grantee will be responsible for identifying and contacting HAs and resident groups which have substantial funds set aside for or plans for implementing elements of CPTED in their developments. This includes HAs with substantial plans and funding from the Comprehensive Grant program, HOPE VI program, Public Housing Drug Elimination Program and others. From that list, the grantee will confer with the GTR regarding developing a targeted TA and training strategy for some of the identified HAs. Before providing TA, the grantee will submit the final list of HAs for targeted TA and training to the GTR for review and approval.

TASK 6—Develop and Administer CPTED Workshops, TA and Training Instruments

The grantee will begin and complete implementation of the plan as revised in Task 4 of this plan.

For any off-site training, the grantee, in consultation with HUD, will be responsible for making all arrangements

for the training, including classroom space and sleeping rooms for participants. Conference attendees will be responsible for their own travel, lodging and per diem costs. The grantee will be responsible for all costs associated with facilities, materials and training staff costs of travel, lodging and per diem at non-governmental rates.

TASK 7—Evaluation

The grantee will develop mechanisms for evaluating the effectiveness of each of the TA and training instruments. The draft instruments shall be provided to the GTR for review and approval before the grantee uses them for any purpose.

(f) *Eligibility.* Organizations that can demonstrate experience with conference planning and implementation, working with public and Indian housing authorities and resident groups, and in crime prevention programs in public and Indian housing are eligible to apply.

(g) *Application submission requirements.*

(1) Applicants must submit a completed Application for Federal Assistance (Standard Form 424). The application must be no longer than 25 pages, excluding attachments (e.g. resumes, certifications, etc.). All materials must be typewritten, single-spaced, with type no smaller than 10 cpi, on 8.5" by 11" paper, with at least 1" margins on all sides and printed on one side only. The SF-424 is the face sheet for the application. Applicants must also submit a Standard Form 424A (Budget Information), including a program narrative, a detailed budget with budget narrative with supporting cost analysis and legal and accounting services.

(2) Application format requirements. Each application must include the items listed in the following format:

- (i) Cover letter
- (ii) Tab 1—Standard Form 424, Application for Federal Assistance.
- (iii) Tab 2—Standard Form 424A, Budget Information with attached program narrative.

Applicants must provide a budget with detailed justification for all costs, including the basis for computation of these costs. The program budget must be complete, reasonable, and cost-effective in relation to the proposed program. This explanation must include the applicant's financial capability, i.e., the fiscal controls and accounting procedures which assure that Federal funds will be accounted for properly. Applicant must demonstrate that they have the financial capability to effectively implement a project of this size and scope.

(iv) Tab 3—Organizational Qualifications:

Applicants must fully describe their organizational structure and staff size, and demonstrate that they are sufficient to implement effectively a project of this size and scope. Applicants should outline a list of housing authorities where similar activities were conducted, the dates and numbers of persons involved, any current points of contact, and the results of any evaluations of the work.

(v) Tab 4—Staff Qualifications:

Applicants must fully describe the capabilities and work experience of the proposed director, and all key staff. Applicants must fully describe their knowledge and experience with the proposed activities, preferably in public housing. Applicants must include a staffing plan to fulfill the requirements of the statement of work, including staff titles, related educational background, experience, and skills of the director and the staff; and the time each will be required to contribute to the project.

(vi) Tab 5—Project Experience.

Applicants must fully describe prior experience in designing and delivering conference training programs. Applicants must demonstrate that their organization, staff size, and prior experience is sufficient to effectively implement a project of this size and scope. Applicants should have successful experience in working with persons with disabilities and with persons from diverse ethnic and racial backgrounds. Applicants should also outline a list of housing authorities or other sites where similar training was offered, the dates of the training, numbers of persons trained, any current points of contact, and the results of any evaluations of the training and TA.

(vii) Tab 6—Implementation Plan.

Applicants must submit a plan outlining the major activities of implementation and describe how available resources will be allocated. The plan must include an annotated organizational chart depicting the roles and responsibilities of key organizational and functional components and a list of key personnel responsible for managing and implementing the major elements of the program. There must be a time-task plan which clearly identifies the major milestones and products, organizational responsibility, and schedule for the completion of activities and products. The plan must discuss how the proposed activities reflect a knowledge of the subject and the target populations (including persons from diverse ethnic/racial backgrounds and persons with disabilities), and how the applicant

plans to take into account any minor or major changes in the timetable that might result from the review in Task 3.

(viii) Tab 7—Representations, certifications, and other statements of offerors or quoters.

(A) HUD Form 2880—Applicant Disclosure Report

(B) SF-LLL Disclosure of Lobbying Activities.

(C) Certification Regarding Drug-Free Workplace Requirements.

(h) *Selection criteria.* The Department will review and rate proposals according to the extent to which they meet the following criteria, and will make an award to the applicants that best meet all of the below criteria and receive the highest score, out of a possible 100 points, according to the criteria listed below:

(1) Corporate/Organizational Management Qualifications (20 points).

(i) Organizational Structure (10 points). Applicants must concisely describe how their organizational structure, staff size, financial reporting capacity and internal controls will maximize the successful implementation of the tasks described in this notice.

(ii) Administrative Experience (10 points). Applicants must demonstrate their experience in the successful administration of programs of a similar budget and staff size, and how that will contribute to successful completion of all tasks on-time and within budget.

(2) Staff Qualifications (20 points).

(i) Project Director (10 points).

Applicants should provide a project director with the experience and capacity to manage the budget and staff of the proposed grant. The project director should have experience in working with the public housing officials, architects, engineers, and law enforcement personnel and should also have experience in successfully completing proposed activities on-time and within budget.

(ii) Project Staff (10 points).

Applicants should provide staff with the experience and capacity to quickly and efficiently organize and implement the TA and training. Staff should have sufficient experience working with public housing staff and residents (including persons from diverse ethnic/racial backgrounds and persons with disabilities), especially on the issue of CPTED, and be able to demonstrate how that experience will maximize understanding of the issues specific to public housing CPTED and minimize any issues specific to implementing activities in public housing. This includes those issues listed in Task 3.

(3) Project Experience (20 points).

Applicants should be able to demonstrate knowledge and experience in developing and implementing needs assessments with public housing staff and residents, architects, engineers and law enforcement; showing previous success in matching identified needs to the type of TA and training provided, and to carrying out those plans. (10 points).

(ii) Applicants must demonstrate maximum experience working on a similar scale with a similar variety of proposed tasks, especially in the proposed subjects and methods of TA and training; the applicant should show experience with similar teams of public housing staff, architects, engineers, residents and law enforcement, and successful completion of the projects on-time and within budget (10 points).

(4) Quality of the Plan (40 points).

Applicants should demonstrate that the proposed plan will accomplish the goals outlined above with the following elements:

(i) Applicants must propose tasks, timetable and staff assignments for the proposed activities that demonstrate an understanding of the current needs of public housing communities regarding CPTED, that will maximize the benefits to be gained by HA communities, and that will minimize revisions to the budget, plan and timetable outlined in Task 4, and that will minimize any other difficulties. The activities proposed by the grantee should evidence an understanding of the diversity of public housing staff and residents. (20 points).

(ii) Applicants must propose TA, training and TA instruments that demonstrate maximum understanding of the current needs and capacity of public housing communities in the design and implementation of CPTED elements, that will provide a broad range of types of TA and training, that are cost-effective and state-of-the-art (20 points).

(i) *Review process.* Applications submitted in response to this competitive announcement will be reviewed by a panel of HUD representatives, which will make recommendations to the Assistant Secretary for Public and Indian Housing, Department of Housing and Urban Development. The panel will assign numerical values based on the weighted selection criteria. In the case of a numerical tie, preference will be given to the applicant with the highest numerical score for the Quality of the Plan. The final award decision will be made by the Assistant Secretary for Public and Indian Housing, Department of Housing and Urban Development.

Letters will be sent to all applicants notifying them that their proposal has been selected or the reason(s) it was not selected. HUD will then negotiate specific terms of the award with the selected applicant.

(j) *Administrative requirements.*

(1) Award Period. The grant(s) will be cost reimbursable, and awarded for a 12 to 24 month base period. HUD has the option to extend the Agreement for an additional year(s), subject to the Grantee's performance, and the availability of funding.

(2) Cooperative Agreement. After the grant has been awarded, HUD and the applicant shall enter into a grant (Form HUD-1044) setting forth the amount of the grant and its applicable terms, conditions, financial controls, payment mechanism/schedule, and special conditions.

(3) Prior to award execution, a successful applicant must submit a certification that it will comply with:

(i) Section 3 of the Housing and Community Development Act of 1968, Economic Opportunities for Low and Very-Low Income Persons (12 U.S.C. 1701u), and with implementing regulations at 24 CFR part 135. Section 3 requires, that to the greatest extent feasible, opportunities for training and employment arising in connection with housing rehabilitation, construction, or other public construction projects be given to lower income residents within the metropolitan area (or nonmetropolitan county) and contracts for work to be performed in connection with the housing rehabilitation, construction, or other public construction project be awarded to eligible businesses that provide economic opportunities for low and very-low income persons residing within the metropolitan area (or nonmetropolitan county) in which the assistance is expended;

(ii) Title VI of the Civil Rights Act of 1964 (42 U.S.C. 2000d-2000d-4) (Nondiscrimination in Federally Assisted Programs) and implementing regulations issued at 24 CFR part 1; and

(iii) The prohibitions against discrimination on the basis of age under the Age Discrimination Act of 1975 (42 U.S.C. 6101-07) and implementing regulations at 24 CFR part 146, and the prohibitions against discrimination against persons with disabilities under section 504 of the Rehabilitation Act of 1973 (29 U.S.C. 794) and implementing regulations at 24 CFR part 8.

(k) *Other matters.*

Environmental Review. Grants under this program are categorically excluded from review under the National Environmental Policy Act of 1969

(NEPA) in accordance with 24 CFR part 50.20(p). However, prior to an award of grant funds, HUD will perform an environmental review to the extent required by HUD's environmental regulations at 24 CFR part 50, including the applicable related authorities at 24 CFR 50.4.

Federalism Impact. The General Counsel, as the Designated Official under section 6(a) of Executive Order 12612, *Federalism*, has determined that the policies contained in this notice will not have substantial direct effects on States or their political subdivisions, or the relationship between the Federal government and the States, or on the distribution of power and responsibilities among the various levels of government and, therefore, the provisions of this notice do not have "federalism implications" within the meaning of the Order. The notice only makes available technical assistance for housing authorities to address the problem of drug-related crime.

Family Impact. The General Counsel, as the Designated Official for Executive Order 12606, *the Family*, has determined that the provisions of this notice have the potential for a positive, although indirect, impact on family formation, maintenance and general well-being within the meaning of the Order. This notice is intended to provide funding for technical assistance that will improve the quality of life of public and Indian housing development residents, including families, by reducing the incidence of drug-related crime.

Section 102 HUD Reform Act—Documentation and Public Access Requirements; Applicant/Recipient Disclosures

Documentation and public access. HUD will ensure that documentation and other information regarding each application submitted pursuant to this NOFA are sufficient to indicate the basis upon which assistance was provided or denied. This material, including any letters of support, will be made available for public inspection for a five-year period beginning not less than 30 days after the award of the assistance. Material will be made available in accordance with the Freedom of Information Act (5 U.S.C. 552) and HUD's implementing regulations at 24 CFR part 15. In addition, HUD will include the recipients of assistance pursuant to this NOFA in its **Federal Register** notice of all recipients of HUD assistance awarded on a competitive basis. (See 24 CFR 12.14(a) and 12.16(b), and the notice published in the **Federal Register** on January 16, 1992 (57 FR

1942), for further information on these requirements.)

Disclosures. HUD will make available to the public for five years all applicant disclosure reports (HUD Form 2880) submitted in connection with this NOFA. Update reports (also Form 2880) will be made available along with the applicant disclosure reports, but in no case for a period less than three years. All reports—both applicant disclosures and updates—will be made available in accordance with the Freedom of Information Act (5 U.S.C. 552) and HUD's implementing regulations at 24 CFR part 15, subpart C, and the notice published in the **Federal Register** on January 16, 1992 (57 FR 1942).

Section 103 HUD Reform Act

HUD's regulation implementing section 103 of the Department of Housing and Urban Development Reform Act of 1989 was published May 13, 1991 (56 FR 22088) and became effective on June 12, 1991. That regulation, codified as 24 CFR part 4, applies to the funding competition announced today. The requirements of the rule continue to apply until the announcement of the selection of successful applicants.

HUD employees involved in the review of applications and in the making of funding decisions are limited by Part 4 from providing advance information to any person (other than an authorized employee of HUD) concerning funding decisions, or from otherwise giving any applicant an unfair

competitive advantage. Persons who apply for assistance in this competition should confine their inquiries to the subject areas permitted under 24 CFR part 4.

Applicants who have questions should contact the HUD Office of Ethics (202) 708-3815. (This is not a toll-free number.) The Office of Ethics can provide information of a general nature to HUD employees, as well.

Section 112 HUD Reform Act

Section 13 of the Department of Housing and Urban Development Act contains two provisions dealing with efforts to influence HUD's decisions with respect to financial assistance. The first imposes disclosure requirements on those who are typically involved in these efforts—those who pay others to influence the award of assistance or the taking of a management action by the Department *and* those who are paid to provide the influence. The second restricts the payment of fees to those who are paid to influence the award of HUD assistance, if the fees are tied to the number of housing units received or are based on the amount of assistance received, or if they are contingent upon the receipt of assistance. Section 13 was implemented by final rule published in the **Federal Register** on May 17, 1991 (56 FR 22912). If readers are involved in any efforts to influence the Department in these ways, they are urged to read the final rule, particularly the examples contained in Appendix A of the rule.

Prohibition Against Lobbying Activities

The use of funds awarded under this grant is subject to the disclosure requirements and prohibitions of section 319 of the Department of Interior and Related Agencies Appropriations Act for Fiscal Year 1990 (31 U.S.C. 1352) (The "Byrd Amendment") and the implementing regulations at 24 CFR part 87. These authorities prohibit recipients of federal contracts, grants, or loans from using appropriated funds for lobbying the Executive or Legislative branches of the federal government in connection with a specific contract, grant, or loan. The prohibition also covers the awarding of contracts, grants, cooperative agreements, or loans unless the recipient has made an acceptable certification regarding lobbying.

Under 24 CFR part 87, applicants, recipients, and subrecipients of assistance exceeding \$100,000 must certify that no federal funds have been or will be spent on lobbying activities in connection with the assistance.

Authority: Sec. 5127, Public Housing Drug Elimination Act of 1988 (42 U.S.C. 11901 et. seq.); sec. 7(d), Department of Housing and Urban Development Act (42 U.S.C. 3535(d)).

Dated: July 7, 1995.

Joseph Shuldiner,

Assistant Secretary for Public and Indian Housing.

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