



COPS

COMMUNITY ORIENTED POLICING SERVICES
U.S. DEPARTMENT OF JUSTICE

2011 COPS Child Sexual Predator Program (CSPP) Grant Owner's Manual

U.S. Department of Justice
Office of Community Oriented Policing Services
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www.cops.usdoj.gov

2011 COPS Child Sexual Predator Program (CSPP) Grant Owner's Manual

This manual was created to assist COPS Child Sexual Predator Program (CSPP) grantees with the administrative and financial matters associated with the grant.

For more information about your CSPP grant, please contact your COPS Grant Program Specialist. If you do not know the name or telephone number of your Grant Program Specialist, please contact the COPS Office Response Center at 800.421.6770.



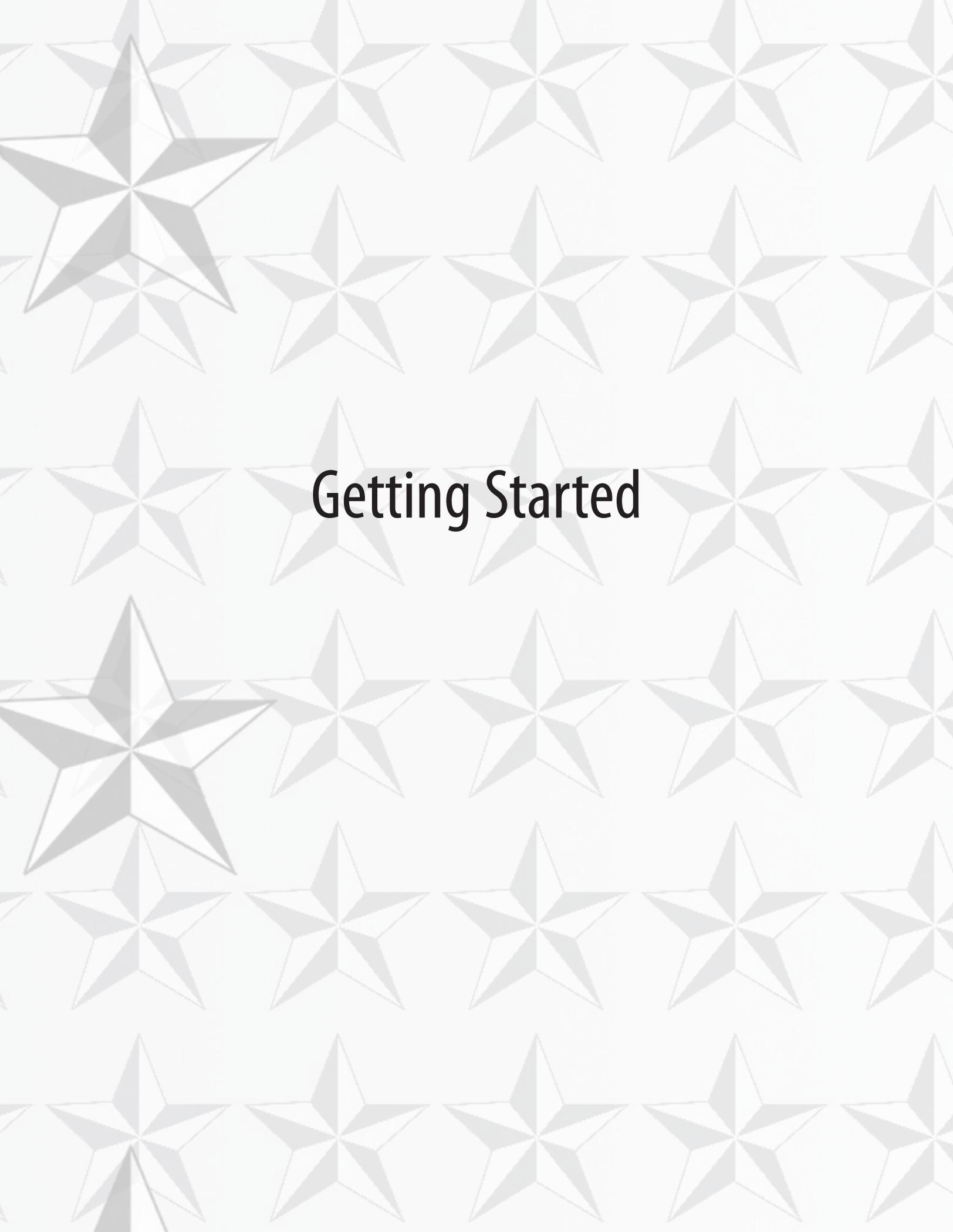
U.S. Department of Justice
Office of Community Oriented Policing Services
145 N Street, N.E., 11th Floor
Washington, DC 20530

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Getting Started

GETTING STARTED

Congratulations on receiving a grant from the U.S. Department of Justice, Office of Community Policing Services (the COPS Office). COPS Child Sexual Predator Program (CSPP) grants provide funding directly to law enforcement agencies to reduce child endangerment. This initiative is designed to support partnerships between state or local law enforcement agencies, their district United States Attorneys' Offices (USAO), and their district United States Marshals Service (USMS) offices, as well as with other community partners such as parole and probation offices, social service agencies, and state or local prosecutors to collectively reduce and prevent child endangerment by sexual predators. The funding will allow recipients the opportunity to establish and/or enhance strategies to locate, arrest, and prosecute child sexual predators and exploiters and to enforce state sex offender registration laws.

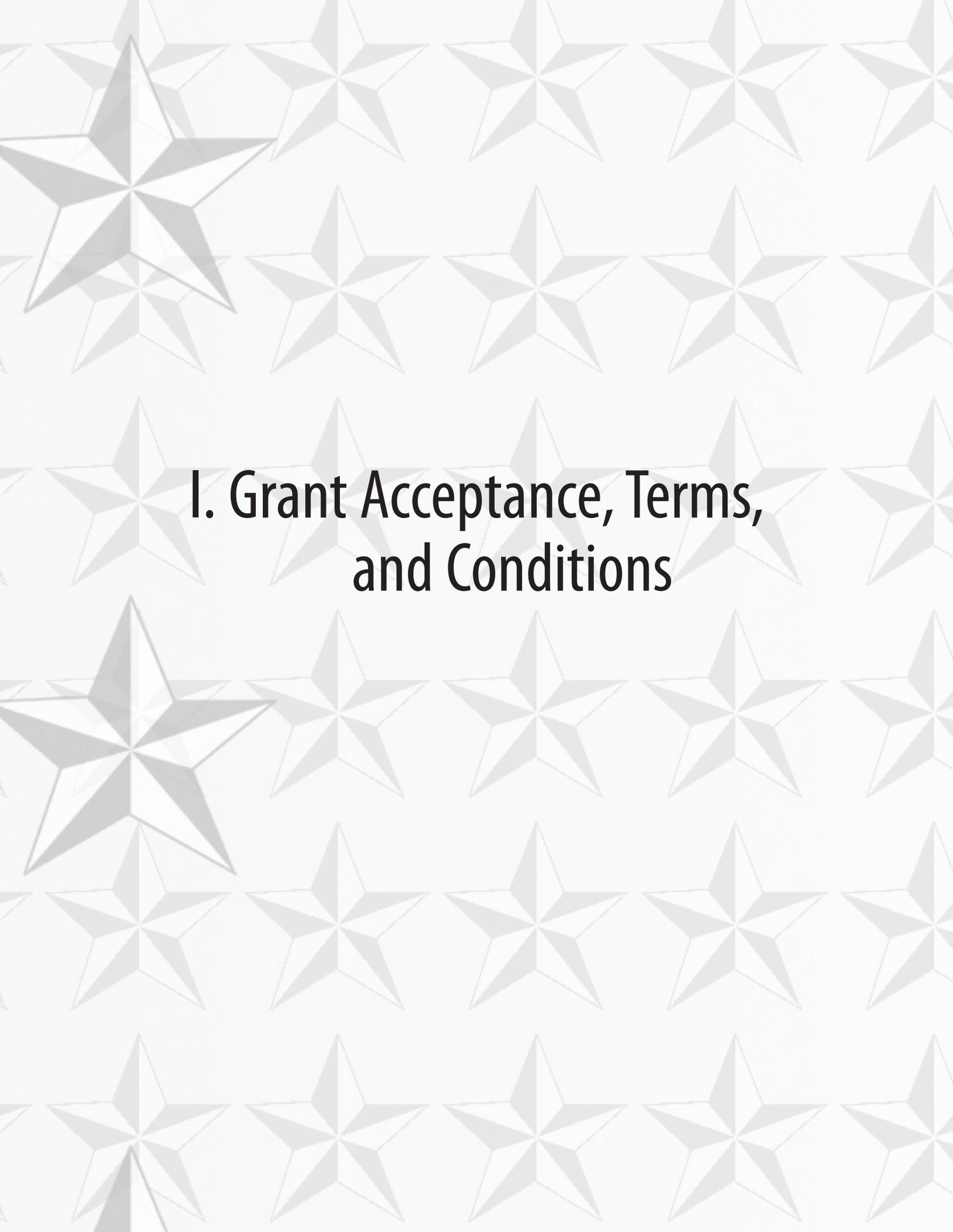
Sample grant projects may include activities such as:

- Developing, enhancing, or maintaining sex offender registration programs or functions
- Improving information sharing between law enforcement and other service providers to investigate and prevent child sex crimes and to increase offender accountability
- Managing high-risk offenders in the community through strategic problem analysis and response development
- Establishing or enhancing any other efforts to locate, arrest, and prosecute known child sex offenders.

Agencies funded under CSPP that wish to seek more information on operational and investigative standards are encouraged to visit <http://icactaskforce.org/icacindex.html> and learn more about resources available through the Internet Crimes Against Children (ICAC) Task Force Program, administered by the U.S. Department of Justice, Office of Juvenile Justice and Delinquency Prevention. The ICAC program was created to help state and local law enforcement agencies enhance their investigative response to offenders who use the Internet, online communication systems, or other computer technology to sexually exploit children.

This CSPP Grant Owner's Manual will assist your agency with the administrative and financial matters associated with your grant. It was developed by the COPS Office to ensure that all CSPP grantees clearly understand and meet the requirements of their grant. Please review this manual carefully, because a failure to follow grant requirements can have serious ramifications. Please do not hesitate to call the COPS Office Response Center at 800.421.6770 if you need assistance with the implementation of your grant.

Thank you for providing us with the opportunity to work in partnership with your community.



I. Grant Acceptance, Terms, and Conditions

I. GRANT ACCEPTANCE, TERMS, AND CONDITIONS

To officially accept and begin your CSPP grant, your agency must review, sign, and return both sides of the Award Document and all award condition pages to the COPS Office by e-mail, fax or standard mail within 90 days of the date shown on the award congratulatory letter. Stamps and/or electronic signatures will not be accepted.

Signed award documents may be returned to the COPS Office via one of the three options listed below:

Electronic Mail

COPS.CSPP@usdoj.gov

Fax

202.514.1335

Standard Mail

U.S. Department of Justice
Office of Community Oriented Policing Services
Attn: CSPP Control Desk
145 N Street, N.E., 11th Floor
Washington, DC 20530

Your agency will **not** be able to draw down grant funds until the COPS Office receives your signed Award Document. For more information on drawing down grant funds, please see Section III, "Accessing Grant Funds."

The Award Document

The Award Document is the document indicating your official grant funding amount, the grant number, the grant conditions, and the award start and end dates.

The Award Document is preprinted with your agency's law enforcement and government executives' names and addresses. If this information is incorrect or has changed, please complete the Change of Information (COI) form online at www.cops.usdoj.gov through the Account Access option. If the law enforcement or government official has changed since the time of application, please have the current law enforcement executive and/or government executive for your agency sign the Award Document. **Please do not make corrections to the original Award Document (including the use of correction fluid). The COPS Office will not accept an altered Award Document.** Once you have reviewed your Award Document, please sign it, make a copy of the document for your records, and e-mail, fax, or mail both sides of the signed award back to the COPS Office, along with all award condition pages, within 90 days of the date shown on the award congratulatory letter.

The award start date indicated on the Award Document means that your agency may be reimbursed for any allowable costs incurred on or after this date. The duration of your CSPP grant award is two years (24 months).

Your grant number is in the following format: 2011-CSWX-0000 for grants awarded in FY2011. The COPS Office tracks grant information based upon this number. Therefore, it is important to have your agency's grant number (and/or your agency's ORI number) readily available when corresponding with the COPS Office.

Your ORI number begins with your state abbreviation followed by five numbers and/or letters (e.g., VA00000). This number is assigned by the Federal Bureau of Investigation (FBI) for use in tracking information for the Uniform Crime Report (UCR). The COPS Office tracks programmatic grant information based upon this ORI number. If your agency does not have an ORI number assigned by the FBI, the COPS Office assigns a non-official ORI code to use as an agency identifier (in such cases, the last two digits will be "ZZ"). If you have any questions regarding your grant, please refer to your grant award number or your agency's ORI number when you contact the COPS Office.

Your OJP vendor number, in most circumstances, is your agency's nine- or thirteen-digit federal tax identification number assigned to you by the Internal Revenue Service. If your OJP vendor number differs from your tax identification number, the OJP vendor number is only to be used for administrative purposes in connection with this grant program, and should not be used for Internal Revenue Service purposes.

Grant Conditions

The grant conditions are listed on your agency's Award Document. By accepting this grant, you are obtaining federal funds from the U.S. Department of Justice, Office of Community Oriented Policing Services (the COPS Office). As part of that agreement, your agency acknowledges that it will comply with these conditions (and, if applicable, additional special conditions specific to your agency). The section that follows describes in detail each of the award conditions, their rationale, and their implications. It also addresses many frequently asked questions. If you have additional questions concerning any of these grant conditions, please contact your COPS Grant Program Specialist at 800.421.6770.

In limited circumstances, your award may be subject to special conditions that prevent your agency from drawing down or accessing grant funds until the special conditions are satisfied as determined by the COPS Office. Any special conditions will be included with your award package. However, if you have questions about the special conditions, please call your COPS Grant Program Specialist at 800.421.6770.

Reasons for Grant Conditions

The requirements of your CSPP grant are established within:

- The Public Safety Partnership and Community Policing Act of 1994, which established the COPS Office
- Applicable rules, regulations, and policies issued by the U.S. Department of Justice, Office of Management and Budget (OMB), the Government Accountability Office (GAO), and the United States Treasury
- The specific CSPP programmatic requirements established by the COPS Office
- A list of source documents for this booklet is provided in Appendix A. You may request copies of any source reference document from:

**Office of Administration, Publication Unit
New Executive Office Building, Room G 236
Washington, DC 20503**

COPS-specific documents may be requested directly from the COPS Office.

Review of Grant Conditions

By signing the Award Document to accept this 2011 Child Sexual Predator Program grant, your agency agrees to abide by the following grant conditions:

1. Grant Owner's Manual

The grantee agrees to comply with the terms and conditions in this 2011 Child Sexual Predator Program Grant Owner's Manual; COPS statute (42 U.S.C. §. 3796dd, et seq.); 28 C.F.R. Part 66 or 28 C.F.R. Part 70 as applicable (governing administrative requirements for grants and cooperative agreements); 2 C.F.R. Part 225 (OMB Circular A-87), 2 C.F.R. Part 220 (OMB Circular A-21), 2 C.F.R. Part 230 (OMB Circular A-122) and 48 C.F.R. Part 31.000 et seq. (FAR 31.2) as applicable (governing cost principles); OMB Circular A-133 (governing audits); representations made in the grant application for the COPS Child Sexual Predator Program; and all other applicable program requirements, laws, orders, regulations, or circulars.

Why This Condition:

This manual has been designed to inform you of the requirements, laws, regulations, and policies that apply to your grant. Your agency will be responsible for the information and rules contained in this manual and for implementing your grant in compliance with the applicable terms, conditions, and regulations. More detailed guidance regarding any particular grant requirement or your agency's specific circumstances can be requested through your COPS Grant Program Specialist.

What You Should Do:

Please read the entire CSPP Grant Owner's Manual carefully prior to signing the grant Award Document. If you have any questions, please contact your COPS Grant Program Specialist. When accepting your grant award, you should ensure that the proper reporting and financial systems are in place to satisfy the grant requirements.

2. Assurances and Certifications

The grantee acknowledges its agreement to comply with the Assurances and Certifications forms that were signed as part of its Child Sexual Predator Program application.

Why This Condition:

Although the COPS Office has made every effort to simplify the process of applying for and receiving grants, several provisions of federal law require us to seek your assurances and certifications regarding certain matters. Most of the assurances and certifications apply to all federal grant programs.

What You Should Do:

Applicants to COPS grant programs are required to sign the Assurances and Certifications forms at the time of application. Signing these documents assures the COPS Office that you have read, understood, and accepted the grant terms and conditions outlined in the Assurances and Certifications. Please read these documents carefully as signatures on these documents are treated as a material representation of fact upon which reliance will be placed when the U.S. Department of Justice determines whether to award the covered grant. Additional copies of the Assurances and Certifications forms are contained in Appendix B of this manual. If you have any questions about them, please contact your COPS Grant Program Specialist at 800.421.6770.

3. Allowable Costs

The funding under this project is for the payment of approved costs for activities related to the establishment and enhancement of a variety of problem-solving strategies to reduce child endangerment. The allowable costs for which your agency's grant has been approved are limited to those listed on the Financial Clearance Memorandum (FCM) and Final Funding Memorandum (FFM), which are included in your agency's award package. This grant was awarded to your agency to address its law enforcement needs that are not funded with other funds, including federal, state, local, tribal, or BIA funds. Consequently, your agency may not use this funding for items or services that you already have funding for from other sources.

*The FFM specifies the exact items/services that your agency is allowed to fund with your CSPP grant. The FCM specifies the overall amount approved for each budget request category. It also describes any costs which have been disallowed after review of your proposed budget. **Your agency may not use CSPP grant funds for any costs that are not identified as allowable in the FCM and FFM.** Additionally, you must notify the COPS Office if your agency receives, from any other source, funding for the same item or service also funded under this award. The COPS Office will work with your agency to reprogram funding for items or services that are allowable under this grant program.*

Why This Condition:

The funding under this project is for the purchase of items and services approved by the COPS Office as reflected in the FFM. The CSPP funds the hiring of personnel and purchase of equipment, services, and other items that will allow recipients the opportunity to establish and enhance strategies to locate, arrest, and prosecute child sexual predators and to enforce state sex offender registration laws.

To be eligible for payment under this grant, the purchase and/or hire of approved items/personnel must be made after the grant award start date and comply with the guidelines described in Section III, "Accessing Grant Funds," of this manual. Section IV, "Financial Record Maintenance," outlines the types of records you must keep to document that you followed this grant condition. Purchases must also reflect the costs that were approved as shown in the FFM.

What You Should Do:

Refer to your FCM and FFM for the list of approved allowable costs. Listed below are the budget categories that may appear on your FCM. As long as funds are spent during the grant period on the equipment and technology, supplies, travel, contracts/consultants, salaries and benefits, and other costs that were documented in your application's budget summary and were approved through the issuance of the FFM and FCM, this grant condition will be satisfied.

Personnel (Salaries and Benefits)

Personnel must be hired on or after the grant award start date, and specifically for the CSPP project. In addition, a position's salary must be reasonable for the services rendered, and must be paid to a person appointed under the law or rules governing hiring by your agency. Salary payments must be based on payroll records. Time and attendance records or the equivalent must support payroll records. Grant-funded salary and benefit costs must supplement, not supplant (replace), locally-funded personnel costs that would have been funded even in the absence of this grant. If any civilian personnel are employed on a part-time or temporary basis, then the agency must have specified the percentage of time that each person is working solely on the project identified in the agency's CSPP grant proposal.

Fringe benefits may be paid if they are part of a reasonable compensation package offered to your employees. Particular items of fringe benefits must fall within the categories authorized by the COPS Office. Authorized fringe benefits include FICA, Social Security, health insurance, life insurance, vacation, sick leave, retirement, worker's compensation, and unemployment insurance.

Equipment/Technology

To be eligible for payment under this grant, the purchase of equipment and technology must occur on or after the award start date, the items must be those specifically applied for and approved by the COPS Office, and they must meet the guidelines described in 28 C.F.R. Part 66 or 28 C.F.R. Part 70, as applicable. Equipment or technology purchased on or after the award start date must be in addition to purchases that the grantee is obligated or funded to make in its current budget. Funds currently allocated to purchase equipment or technology may not be reallocated to other purposes or reimbursed upon the award of a CSPP grant.

Supplies

All supplies must be solely used for the project identified in your project proposal. Reimbursements for office supplies that are consumed by routine administrative purposes instead of project-related activities are prohibited. Items must meet the guidelines described in 28 C.F.R. 66.33 or 28 C.F.R. 70.35, as applicable.

Travel/Training

Travel costs for transportation, lodging, subsistence, and related items are allowable under the CSPP with prior approval from the COPS Office. For grantees subject to 2 C.F.R. Part 220 (OMB Circular A-21) Cost Principles for Educational Institutions; 2 C.F.R. Part 225 (OMB Circular A-87) Cost Principles for State, Local and Indian Tribal Governments; or 2 C.F.R. Part 230 (OMB Circular A-122) Cost Principles for Non-Profit Organizations, travel costs incurred directly by the grantee or costs incurred for project-related non-grantee travel will be reimbursed based upon the grantee's written institutional travel policy (if available) and if the costs are reasonable and allocable under the project. In the absence of an acceptable and available institutional travel policy, allowable per diem travel costs for lodging, meals, and incidentals will be reimbursed based on the established GSA per diem rates for the relevant geographic area. These rates can be found at www.gsa.gov. Allowable airfare travel costs will be reimbursed based upon the lowest discount commercial airfare, the federal government contract airfare, if authorized and available, or standard coach airfare.

For grantees subject to 48 C.F.R. Part 31.000, et seq. (FAR-31.2) Cost Principles for Commercial Organizations, travel costs incurred directly by the grantee will be reimbursed if the costs are reasonable and allocable under the project. Travel costs for lodging, meals, and incidental expenses may be reimbursed based upon per diem, actual expenses or a combination of these methods, as long as the reimbursement rate does not exceed established GSA per diem rates as set forth in the Federal Travel Regulation. Transportation costs may be reimbursed based on mileage rates, actual costs incurred, or a combination of these methods. Allowable airfare travel costs will be reimbursed based upon standard coach fare, unless otherwise authorized in advance by the COPS Office.

The CSPP will fund grant-related travel costs for the grantee agency or other (non-grantee) individuals to attend training and technical assistance conferences, seminars, or classes, or to visit a site specified in the application. All CSPP grantees will be required, with funding from this CSPP award, to attend the 2012 24th Annual Crimes Against Children Conference hosted by the Dallas Police Department in Dallas, Texas. Please see Grant Condition #15 for detailed information regarding the 2012 24th Annual Crimes Against Children Conference. Allowable expenses for grant-related lodging, meals, and incidental expenses that were included in the application have been approved by the COPS Office as part of the CSPP award and final budget. Your agency should keep timely and accurate records of all travel expenses. If at any time these costs change, you should immediately contact your COPS Grant Program Specialist to request a grant modification.

Contracts/Consultants

Compensation for individual consultant services procured under a COPS grant must be reasonable and allocable in accordance with OMB cost principles, and consistent with that paid for similar services in the marketplace. Unless otherwise approved by the COPS Office, consultant rates will be based on the salary a consultant receives from his or her primary employer, as applicable, up to \$550 per day. For consultant or contractor rates which exceed \$550 per day, the COPS Office requires written justification if the consultants or contractors are hired through a noncompetitive bidding process, and grantees must receive COPS Office approval of those rates before drawing down grant funds. Determinations will be made on a case-by-case basis.

Other Costs

The purchase of project-related expenditures that do not conform to any other category descriptions specified above were included in this section of your FCM and FFM. In addition, items that have a direct correlation to the overall success of a grantee's project objectives and are necessary for the project to reach full implementation will be considered on a case-by-case basis by the COPS Office.

Requests may be made only for items or positions that are not otherwise budgeted with state, local, or Bureau of Indian Affairs (BIA) funds, and would not be funded in the absence of the CSPP grant. If at any time you are unsure if an item is considered allowable or not, please contact your COPS Grant Program Specialist for further assistance.

Please be advised that grantees may not use COPS funding for the same item or service also funded by another Department of Justice award.

4. Travel Costs

Travel costs for transportation, lodging and subsistence, and related items are allowable under the Child Sexual Predator Program with prior approval from the COPS Office. Payment for allowable travel costs will be in accordance with 2 C.F.R. Part 225 (OMB Circular A-87, Cost Principles for State, Local, and Indian Tribal Governments), 2 C.F.R. Part 220 (OMB Circular A-21, Cost Principles for Educational Institutions), 2 C.F.R. Part 230 (OMB Circular A-122, Cost Principles for Non-Profit Organizations), and 48 C.F.R. Part 31.000, et seq. (FAR-31.2, Cost Principles for Commercial Organizations), as applicable.

Why This Condition:

The CSPP will fund grant-related travel costs for the grantee agency or other (non-grantee) individuals to attend training and technical assistance conferences, seminars, or classes, or to visit a site specified in the original application. Allowable expenses for grant-related lodging, meals, and incidental expenses that were included in the application were approved by the COPS Office as part of your agency's CSPP award and final budget. For more information, please refer to Grant Condition #3, "Allowable Costs."

What You Should Do:

Your agency should refer to your FFM for a list of approved travel costs and use CSPP funds only for those approved travel costs incurred during the grant period. In addition, your agency should keep timely and accurate records of all travel expenses. If at any time these costs change, you should immediately contact your COPS Grant Program Specialist to request a grant modification.

5. Supplementing, Not Supplanting

State, local, and tribal governments must use Child Sexual Predator Program grant funds to supplement, and not supplant, state, local, or Bureau of Indian Affairs (BIA) funds that are already committed or otherwise would have been committed for grant purposes (hiring, training, purchases, and/or activities) during the grant period. In other words, grantees may not use COPS funds to supplant (replace) state, local, or BIA funds that would have been dedicated to the COPS-funded item(s) in the absence of the COPS grant.

Why This Condition:

The COPS statutory nonsupplanting requirement mandates that grant funds may not be used to replace state or local funds (or, for tribal grantees, BIA funds) that would, in the absence of federal aid, be made available for the grant purposes.

What You Should Do:

CSPP grantees may not use grant funds to pay for any item or cost funded under the grant (equipment, personnel, training, etc.) if that item or cost was otherwise budgeted with state, local, or BIA funds, or committed to the grantee's budget.

In addition, grantees may not reallocate state, local, or BIA funds from one area within the law enforcement budget to another as a result of receiving CSPP grant funds. For example, grantees who have budgeted funds to pay for new computer equipment may not reallocate those funds to pay for any other law enforcement cost as a result of receiving CSPP grant funds for the same computer equipment.

Personnel – To meet this grant condition, you must ensure that:

- If you are redeploying a current employee to perform the work duties of the CSPP position, the redeployed position must be paid with local funds. The COPS grant funds may be used to backfill the resulting vacancy with newly-hired personnel for an equivalent amount of time. Each individual employed under the CSPP must be newly hired on or after the grant award start date, unless an exception is authorized in writing by the COPS Office.
- Any personnel (civilian or sworn) that you are hiring not only brings your force to a number over and above the number of funded positions that you had on the date of your CSPP application (including funded but vacant positions), but over and above the number of locally-funded positions during the grant award period.
- During the life of your grant, you must continue to hire as many new, locally-funded officers or civilians as you would have if you had not received your grant. You may not cancel or postpone spending money in your budget that is committed to hiring other new officers or civilians.
- You must take active and timely steps to fill any vacancies that were created on or after the date of your grant application by retirement, resignation, or other reasons with new officers or civilians in addition to your CSPP grant-funded positions.

Example: If you are redeploying a current employee who would otherwise be paid \$30,000 in salary and benefits during the life of the grant project, your agency must continue to pay this employee with local funds. The COPS grant funds may be used to "backfill" the resulting vacancy with a new hire, even though the COPS-funded position will not be working directly on the CSPP project.

Equipment and Technology – To meet this grant condition, you must ensure that:

- Equipment and technology must be purchased on or after the award start date (unless an exception is authorized in writing by the COPS Office) and must be in addition to purchases that the grantee has obligated funding in the current budget to make. Funds currently allocated to purchase equipment or technology may not be reallocated to other purposes or reimbursed upon the award of a CSPP grant.

Example: Grantees who have budgeted local funds to pay for a new computer system may not reallocate those funds to pay for any other law enforcement cost as a result of receiving CSPP funds for the same computer system.

Training – To meet this grant condition, you must ensure that:

- Any training provided by the CSPP is in addition to the number of hours of training already provided by your agency. Funds currently allocated for training may not be reallocated to other purposes.

Note: This grant condition applies to all state or locally-funded agencies working in partnership with your agency under this grant. Your agency is responsible for ensuring that any state or locally-funded partnership agencies use COPS funds only to supplement, not supplant, their state or local funding as described in this condition.

6. Extensions

*Your agency may request an extension of the grant award period to receive additional time to implement your grant program. Such extensions do **not** provide additional funding. Only those grantees that can provide a reasonable justification for delays will be granted no-cost extensions. **Extension requests must be received prior to the end date of the award.***

Why This Condition:

Under federal regulations, requests to extend the grant award period require prior written approval from the COPS Office. Without an approved extension, your agency is not permitted to draw down federal funding for costs incurred beyond the official grant award end date. However, if justified, the COPS Office seeks to accommodate reasonable requests for no-cost time extensions to fully implement the COPS grant.

What You Should Do:

The COPS Office will contact your agency during the last quarter of the grant award period to determine whether a no-cost time extension is needed. Requests to extend the grant award period must be received by the COPS Office before the official grant award end date. Failure to submit a request for a no-cost time extension by the end date may result in the immediate deobligation of any remaining grant funds.

If your agency has excess funds remaining at the end of the grant due to salary and fringe benefits costs that were lower than anticipated, your agency cannot extend the 24-month funding period for the purpose of expending those excess funds. Grantees are entitled to a maximum of 24 months of federal funding based on the approved salary and fringe benefits costs in the FCM. The COPS Office will deobligate any remaining grant funds during the closeout process. If you have any additional questions regarding a no-cost time extension, please contact your COPS Grant Program Specialist.

7. Modifications

Occasionally, a change in an agency's fiscal or law enforcement situation necessitates a change in its Child Sexual Predator Program award. Grant modifications under the Child Sexual Predator Program are evaluated on a case-by-case basis. All modification requests involving the purchase of new budget items must be approved, in writing, by the COPS Office prior to their implementation. In addition, please be aware that the COPS Office will not approve any modification request that results in an increase of federal funds.

Why This Condition:

The COPS Office realizes that agencies may need to reprogram grant funds. Acceptable examples of such award modifications include purchasing additional equipment using cost-savings from approved items, or purchasing a different type of equipment due to changing needs. Under federal regulations, you may expend grant funds only as approved in the FCM and FFM. Any requests to change or alter grant awards require written approval from the COPS Office prior to their implementation. Without prior written approval, you must continue to implement your grant as it was originally awarded and accepted by your agency. Please be advised that reprogramming requests for unallowable costs will not be approved (e.g., construction, indirect costs).

What You Should Do:

If you wish to modify your grant award, you are required to submit your plan in writing to the COPS Office for approval. Grantees must request a modification to the award by submitting a letter on official letterhead that includes:

- ORI number
- Grant number
- Details of the original award
- A description of the proposed changes, including each new item proposed for purchase, its purpose, and how it relates to the overall project
- Revised budget worksheets that reflect all changes.

Please contact your COPS Grant Program Specialist for Modified Budget Detail Worksheets and further direction on any additional requirements that may apply to your modification request. The COPS Office will then evaluate your request and notify your agency, in writing, of our decision.

8. Evaluations

The COPS Office may conduct monitoring or sponsor national evaluations of the CSPP. The grantee agrees to cooperate with the monitors and evaluators.

Why This Condition:

The Public Safety Partnership and Community Policing Act of 1994 states that evaluations of the program may be carried out or commissioned by the Attorney General for the furtherance of the purposes of the Act. The COPS Office conducts evaluations to determine what programs are working, how programs may be improved, and why certain programs are more successful than others. Specifically, the COPS Office may assess the way in which your agency implements its CSPP grant. In some jurisdictions, COPS staff or evaluators may study the effectiveness of funded programs, projects, and activities. Evaluators may collect information about the programs' effect on crime, victims of crime, and the quality of life in communities. In addition, they may ask questions about the challenges encountered during project implementation, how residents feel about community policing, and how police feel about their work. This information will be useful to other communities and police agencies across the country.

What You Should Do:

When evaluations are undertaken, you may be contacted in writing with specific requests for information. In general, evaluators may need to speak with individuals in your agency or department, observe activities, and obtain written reports about and from your agency or department. You will be asked to facilitate any site visits and information-gathering activities. In addition, you will be asked to provide accurate and timely information about your grant activities. You should fully comply with any requests made regarding these evaluations.

9. Reports

To assist the COPS Office in the monitoring of your award, your agency will be responsible for submitting periodic programmatic progress reports and quarterly financial reports.

Why This Condition:

The Public Safety Partnership and Community Policing Act of 1994 and other federal regulations and policies require that financial assistance provided by the federal government be monitored carefully to ensure the proper use of federal funds. In addition, the COPS Office seeks to document, on a continuing basis, the progress of our programs and grantees.

What You Should Do:

This grant condition is designed to make your agency aware of reporting requirements associated with CSPP grants. These reports are discussed in greater detail in Section VI, "Reports," of this manual. All reports should be submitted within the deadlines given to avoid suspension or possible termination of grant funds or other remedial actions.

10. Federal Civil Rights Laws

As a condition of receipt of federal financial assistance, you acknowledge and agree that you will not (and will require any subgrantees, contractors, successors, transferees, and assignees not to), on the ground of race, color, religion, national origin (which includes providing limited English proficient persons meaningful access to your programs), sex, disability or age, unlawfully exclude any person from participation in, deny the benefits of or employment to any person, or subject any person to discrimination in connection with any programs or activities funded in whole or in part with federal funds. These civil rights requirements are found in the non-discrimination provisions of Title VI of the Civil Rights Act of 1964, as amended (42 U.S.C. § 2000d); the Omnibus Crime Control and Safe Streets Act of 1968, as amended (42 U.S.C. § 3789d); Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. § 794); the American with Disabilities Act (ADA) of 1990, as amended (42 U.S.C. §§ 12101-12213, 47 U.S.C. §§ 225, 611); the Age Discrimination Act of 1975 (42 U.S.C. § 6101, et seq.); Title IX of the Education Amendments of 1972, as amended (20 U.S.C. 1681 et seq.); and the corresponding DOJ regulations implementing those statutes at 28 C.F.R. part 42 (subparts C, D, E, G, and I): regulations implementing the ADA, as revised (28 C.F.R. parts 35 and 36; 29 C.F.R. parts 1630, 1640, 1641; 47 C.F.R. §§ 64.601-606, 611, and 613; 49 C.F.R. parts 37 and 38). You also agree to comply with Executive Order 13279 Equal Treatment for Faith-Based Organizations and its implementing regulations at 28 C.F.R Part 38, which requires equal treatment of religious organizations in the funding process and nondiscrimination of beneficiaries by Faith-Based Organizations on the basis of belief or non-belief.

Why This Condition:

In establishing financial assistance programs, Congress linked the receipt of federal funding to compliance with federal civil rights laws. As a result, grantees are required to comply with the civil rights requirements found in the non-discrimination provisions referenced above. A hold may be placed on your award if it is deemed that your agency is not in compliance with federal civil rights laws and/or is not cooperating with an ongoing federal civil rights investigation. If a hold is placed on your award, you will not be able to obligate or draw down federal funds under your agency's COPS grant award until you comply with federal civil rights laws and/or cooperate with any ongoing federal civil rights investigation.

What You Should Do:

As a recipient of federal financial assistance from the COPS Office, you are required to comply with the applicable federal civil rights laws and to collect data and information sufficient to permit effective enforcement of such laws and to cooperate with any federal civil rights investigation, which includes providing access to records, accounts, documents, information, facilities, and staff.

11. Equal Employment Opportunity Plan (EEO)

All recipients of funding from the COPS Office must comply with the federal regulations pertaining to the development and implementation of an Equal Employment Opportunity Plan (28 C.F.R. Part 42 subpart E).

Why This Condition:

It is the experience of the Justice Department in implementing its responsibilities under the Omnibus Crime Control and Safe Streets Act of 1968 (Safe Streets Act), the statute that established the COPS Office, that "the full and equal participation of women and minority individuals in employment opportunities in the criminal justice system is a necessary component to the Safe Streets Act's program to reduce crime and delinquency in the United States" (28 C.F.R. § 42.301). The Equal Employment Opportunity Plan (EEO) does not impose quotas or hiring requirements on recipients of federal funds.

What You Should Do:

The obligations to comply with the EEO requirement differ depending on your organization's legal status, the number of its employees, and the amount of the award.

If your organization received an award for less than \$25,000; or if your organization has less than 50 employees, regardless of the amount of the award; or if your organization is a medical institution, educational institution, nonprofit organization, or Indian tribe, then your organization is exempt from the EEO requirement. However, your organization must complete Section A of the Certification Form, which explains that your organization is eligible for this exemption, and then return the form to the Office for Civil Rights (OCR), Office of Justice Programs, U.S. Department of Justice, 810 7th Street, N.W., Washington, DC 20531. The Certification Form can be found at www.ojp.usdoj.gov/about/ocr/eeop.htm. Recipients that are exempt from the EEO requirement are still responsible for complying with all applicable federal civil rights laws that prohibit recipients from discriminating in employment or in the delivery of services or benefits.

If your organization is a governmental agency or a business *and* has received a single award between \$25,000 and \$500,000 *and* has 50 or more employees (counting both full- and part-time employees but excluding political appointees), then your organization has to prepare an EEO Short Form, but it does not have to submit the EEO Short Form to the OCR for review. Instead, your organization has to maintain the EEO Short Form on file and make it available to the OCR for review on request. For assistance in developing an EEO Short Form, please consult OCR's website at www.ojp.usdoj.gov/about/ocr/eeop.htm. You may also request technical assistance from an EEO

specialist at the OCR by calling 202.307.0690. In addition, your organization has to complete Section B of the Certification Form, which explains that your organization is eligible for the exemption from the submission requirement, and your organization must return the form to the OCR at the above address. The Certification Form can be found at www.ojp.usdoj.gov/about/ocr/eeop.htm.

If your organization is a governmental agency or a business *and* has received a single award for \$500,000 or more *and* has 50 or more employees (counting both full- and part-time employees but excluding political appointees), then it has to prepare an EEOP Short Form and submit it for review to the OCR at the above address within 60 days of the notification of the award. For assistance in developing an EEOP Short Form, please consult OCR's website at www.ojp.usdoj.gov/about/ocr/eeop.htm. You may also request technical assistance from an EEOP specialist at the OCR by calling 202.307.0690.

12. Grant Monitoring Activities

Federal law requires that law enforcement agencies receiving federal funding from the COPS Office must be monitored to ensure compliance with their grant conditions and other applicable statutory regulations. The COPS Office is also interested in tracking the progress of our programs and the advancement of community policing. Both aspects of grant implementation—compliance and programmatic benefits—are part of the monitoring process coordinated by the U.S. Department of Justice. Grant monitoring activities conducted by the COPS Office include site visits, office-based grant reviews, alleged noncompliance reviews, financial and programmatic reporting, and audit resolution. As a COPS CSPP grantee, you agree to cooperate with and respond to any requests for information pertaining to your grant.

Why This Condition:

The Public Safety Partnership and Community Policing Act of 1994, states that each grant program must contain a monitoring component. The COPS Office actively monitors how grantees are adhering to COPS grant requirements and develops the best technical assistance based on this feedback.

What You Should Do:

Your agency may be required to accommodate routine and non-routine efforts by the COPS Office, or an entity designated by the COPS Office, to examine your agency's use of federal funds, both programmatically and financially. The most common ways are:

1. **Site Visits** – The COPS Office conducts grantee site visits to ensure compliance with grant terms and conditions. These visits also provide firsthand observation of the grantee's community policing strategies. Promising practices identified during site visits are documented and may be shared with the law enforcement community. Technical assistance and follow-up are conducted to address potential and actual vulnerabilities. The purpose of site visits is therefore three-fold: review community policing activities, ensure grantee compliance, and provide customer service and technical assistance. If selected, you will be notified in writing in advance of any on-site review of your COPS grants. This review is generally performed over a one or more day period and also provides an opportunity for agency representatives to seek assistance on any grant implementation issues. Your agency will be notified in writing of the results and any action required to remedy identified grant violations.
2. **Office-Based Grant Reviews (OBGRs)** – In lieu of a site visit, certain grants are selected for a review conducted at the COPS Office. If selected, your agency will be contacted at the start of this review and our staff will work with your agency to correct any grant problems or deficiencies through telephone, e-mail, fax, and/or written correspondence with your agency.

3. **Complaints** – The COPS Office responds to complaints from citizens, labor associations, media, and other sources. Written complaints or allegations are reviewed by the COPS Office Grant Monitoring Division, and may result in a review of your agency's grants to determine compliance with grant conditions.

Grantees are responsible for remedying any grant noncompliance that is identified through these or other monitoring or auditing activities. Remedies for noncompliance may include, but are not limited to: suspending grant funding, repaying misused grant funds, voluntary withdrawal from or involuntary termination of remaining grant funds, and bars from receiving future COPS grants. To avoid findings of noncompliance, grantees are strongly encouraged to contact the COPS Office at any time during the life of a COPS grant with questions concerning grant requirements and also to maintain all relevant documentation that may demonstrate grant compliance. For more information, please contact the COPS Office Grant Monitoring Division at 800.421.6770 or at Ask.CopsRC@usdoj.gov.

13. Criminal Intelligence Systems

Grantees using CSPP funds to operate an interjurisdictional criminal intelligence system must comply with operating principles of 28 C.F.R. Part 23. The grantee acknowledges that it has completed, signed, and submitted with its grant application the relevant Special Condition certifying its compliance with 28 C.F.R. Part 23.

Why This Condition:

If your agency receives funding for equipment or technology that will be used to operate an interjurisdictional criminal intelligence system, you must comply with the operating principles found at 28 C.F.R. Part 23. An "interjurisdictional criminal intelligence system" is generally defined as a system which receives, stores, analyzes, and exchanges or disseminates data regarding ongoing pre-arrest criminal activities (examples of such activities include, but are not limited to, loan sharking, drug or stolen property trafficking, gambling, extortion, smuggling, bribery, and public corruption) and shares this data with other law enforcement jurisdictions. 28 C.F.R. Part 23 contains operating principles for these interjurisdictional criminal information systems which protect individual privacy and constitutional rights.

If your agency will use CSPP grant funds simply to operate a single agency database (or other unrelated forms of technology) and will not share criminal intelligence data with other jurisdictions, 28 C.F.R. Part 23 does not apply to this grant.

What You Should Do:

All CSPP grant recipients were required to agree to the Criminal Intelligence Systems/28 C.F.R. Part 23 Compliance Special Condition as part of their application proposal so the COPS Office can track which agencies intend to use their grant funds to operate interjurisdictional criminal intelligence systems. If your agency intends to use grant funds to operate an interjurisdictional criminal intelligence system, you should have indicated this in your application and certified your agency's agreement to comply with the operating principles found at 28 C.F.R. Part 23. Your agency now must comply with 28 C.F.R. Part 23 in operating the interjurisdictional criminal intelligence system funded through your CSPP grant.

14. Sole Source Justification

Grantees who have been awarded funding for the procurement of an item (or group of items) or service in excess of \$100,000 and who plan to seek approval for use of a noncompetitive procurement process must provide a written sole source justification to the COPS Office for approval prior to obligating, expending, or drawing down grant funds for that item.

Why This Condition:

In general, grant recipients are required to procure funded items through open and free competition. However, in some instances, grantees may have already determined that competition is not feasible.

What You Should Do:

If you have received an award for an item (or group of items) or service in excess of \$100,000 and have already determined that the award of a contract through a competitive process is infeasible, you must provide a written justification that explains why it is necessary to contract noncompetitively.

The initial determination that competition is not feasible can be made if one of the following circumstances exists:

1. The item (or group of items) or service is available only from a single source;
2. Public exigency or emergency for the requirement will not permit a delay resulting from competitive solicitation; or
3. Competition is determined inadequate after solicitation of a number of sources.

The COPS Office will review your request and the supporting information that you provide and will make a determination as to whether or not an exception can be granted to the general rule regarding competition. If submitting a sole source justification request to the COPS Office, please use the format described in Section II, "Procurement Process."

15. Training and Technical Assistance

To support the development of partnerships and the sharing of information and strategies, all CSPP grantees will be required to attend a COPS-sponsored technical assistance Workshop at the 24th Annual Crimes Against Children Conference in Dallas, Texas, in August 2012.

Why This Condition:

The mandatory training conference attendance requirement was established in order to provide CSPP grantees with the tools and training necessary to ensure effective project implementation and successful outcomes and deliverables.

What You Should Do:

To support the development of partnerships and the sharing of information and strategies, the COPS Office has provided a training and technical assistance award to the National Center for Missing and Exploited Children (NCMEC) to assist all CSPP grantees throughout their 2-year grant period. All CSPP grantees will be required, with funding from this CSPP award, to attend the 2012 24th Annual Crimes Against Children Conference hosted by the Dallas Police Department in Dallas, Texas. The goal of this conference is to provide practical instruction, using current information, the newest ideas and most successful intervention strategies, to those professionals responsible for combating the many and varied forms of crimes against children. At this conference, NCMEC will host a mandatory CSPP grantee meeting to check in on training and technical assistance needs and will facilitate a networking session

for sharing information and strategies. The attendance of two representatives per agency is required as a minimum; however, agencies were given the opportunity at the time of application to include travel costs in their budget for up to five representatives to attend the conference. (The COPS Office will fund up to five representatives through the CSPP grant; grantees may send additional representatives at their own expense.) The exact details of the conference are not available at this time; however it is typically five nights in Dallas, Texas, during the month of August. During the duration of the CSPP program, the grantee will be provided on-going training and technical assistance from NCMEC in the form of monthly webinars on topical issues, a 24-hour training and technical assistance hotline, a secured CSPP website, and additional assistance as requested.

16. Employment Eligibility

The grantee agrees to complete and keep on file, as appropriate, a Bureau of Citizenship and Immigration Services Employment Eligibility Verification Form (I-9). This form is to be used by recipients of federal funds to verify that persons are eligible to work in the United States.

Why This Condition:

Under federal immigration law, all employers are required to take certain steps to ensure that persons that are hired are legally permitted to work in the United States. The Bureau of Citizenship and Immigration Services Employment Eligibility Verification Form (I-9) outlines the types of documents that an employer should review to confirm that a new hire is eligible for employment.

What You Should Do:

You do not need to submit any documentation to the COPS Office to satisfy this condition. Rather, you should complete and maintain the I-9 forms for all new employees under the guidelines set forth by the Bureau of Citizenship and Immigration Services. For further information about this requirement, you may contact the Bureau's Office of Business Liaison at 800.357.2099 or the National Customer Service Center at 800.375.5283.

17. Sex Offender Registration and Notification Act Compliance

*If applicable to the grantee's project, the grantee agrees to comply with the requirements and guidelines established by the Office of Sex Offender Sentencing, Monitoring, Apprehending, Registering, and Tracking (the SMART Office), a component of the DOJ Office of Justice Programs. The SMART Office is authorized by law to administer the standards for sex offender registration and notification that are set forth in the Sex Offender Registration and Notification Act (SORNA), Title I of the Adam Walsh Child Protection and Safety Act of 2006 (Public Law 248-109). [Please note that SORNA applies only to projects involving sex offender registration and notification, and does **not** apply to projects that fund costs associated only with investigations or prosecutions.]*

Why This Condition:

SORNA provides a comprehensive set of minimum standards for sex offender registration and notification in the United States. SORNA aims to close potential gaps and loopholes that existed under prior law and generally strengthens the nationwide network of sex offender registration and notification programs. The SMART Office is authorized by law to administer the standards for sex offender registration and notification that are set forth in SORNA. It is further authorized to cooperate with and provide assistance to states, local governments, tribal governments, and other public and private entities in relation to sex offender registration and notification and other measures for the protection of the public from sexual abuse or exploitation. The SMART Office is a key federal partner and resource for jurisdictions as they continue to develop and strengthen their sex offender registration and notification programs.

What You Should Do:

Grantees that intend to use their funding for purposes related to sex offender registration, notification, and/or management must comply with SORNA. As explained above, SORNA is applicable only to projects involving sex offender registration and notification, and does not apply to projects that fund costs associated only with investigations or prosecutions. If your agency has questions regarding whether your project is subject to SORNA, you may contact the COPS Office Legal Division at 202.514.3750 for further guidance and information regarding compliance and program implementation.

18. False Statements

False statements or claims made in connection with COPS grants may result in fines, imprisonment, or debarment from participating in federal grants or contracts, and/or any other remedy available by law.

Why This Condition:

This condition advises recipients of the consequences of submitting false claims or statements on applications, financial and programmatic reports, or other grant documents.

What You Should Do:

Ensure that all documentation related to your agency's receipt and use of grant funding (grant applications, progress reports, Federal Financial Reports, etc.) is true and accurate.

19. Additional High-Risk Grantee Requirements

The recipient agrees to comply with any additional requirements that may be imposed during the grant performance period if the awarding agency determines that the recipient is a high-risk grantee (28 C.F.R. Parts 66 and 70).

Why This Condition:

The Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments, 28 C.F.R. 66.12, and for Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations, 28 C.F.R. 70.14, provide that a grantee or applicant may be considered "high risk" if the Department of Justice determines that there is unsatisfactory performance, financial or administrative instability, nonconformity with award terms and conditions, or other lack of responsibility. In such cases, the Department of Justice may impose special conditions or restrictions that may include requiring the production of documentation, financial grant administration training, on-site monitoring, prior approval for expenditure of funds, quarterly progress reports, separate bank accounts, or other requirements.

What You Should Do:

In order to obtain a COPS grant, recipients must agree to comply with any additional requirements that may be imposed during the grant performance period if the awarding agency determines that the recipient is a high-risk grantee.

20. Central Contractor Registration and Universal Identifier Requirements

The Office of Management and Budget requires federal agencies to include the following standard award term in all grants and cooperative agreements made on or after October 1, 2010:

A. Requirement for Central Contractor Registration (CCR)

Unless you are exempted from this requirement under 2 C.F.R. 25.110, you as the recipient must maintain the currency of your information in the CCR until you submit the final financial report required under this award or receive the final payment, whichever is later. This requires that you review and update the information at least annually after the initial registration, and more frequently if required by changes in your information or another award term.

B. Requirement for Data Universal Numbering System (DUNS) Numbers

If you are authorized to make subawards under this award, you:

1. Must notify potential subrecipients that no entity (see definition in paragraph C of this award term) may receive a subaward from you unless the entity has provided its DUNS number to you.
2. May not make a subaward to an entity unless the entity has provided its DUNS number to you.

C. Definitions

For purposes of this award term:

1. *Central Contractor Registration (CCR)* means the federal repository into which an entity must provide information required for the conduct of business as a recipient. Additional information about registration procedures may be found at the CCR Internet site at www.ccr.gov.

2. *Data Universal Numbering System (DUNS) number* means the nine- or thirteen-digit number established and assigned by Dun and Bradstreet, Inc. (D&B) to uniquely identify business entities. A DUNS number may be obtained from D&B by telephone (currently 866.705.5711) or the Internet at <http://fedgov.dnb.com/webform>.

3. *Entity*, as it is used in this award term, means all of the following, as defined at 2 C.F.R part 25, subpart C:

- a. A governmental organization, which is a state, local government, or Indian Tribe;
- b. A foreign public entity;
- c. A domestic or foreign nonprofit organization;
- d. A domestic or foreign for-profit organization; and
- e. A federal agency, but only as a subrecipient under an award or subaward to a non-federal entity.

4. *Subaward*:

- a. This term means a legal instrument to provide support for the performance of any portion of the substantive project or program for which you received this award and that you as the recipient award to an eligible subrecipient.
- b. The term does not include your procurement of property and services needed to carry out the project or program (for further explanation, see Sec. __.210 of the attachment to OMB Circular A-133, "Audits of States, Local Governments, and Non-Profit Organizations").
- c. A subaward may be provided through any legal agreement, including an agreement that you consider a contract.

5. *Subrecipient means an entity that*:

- a. Receives a subaward from you under this award; and
- b. Is accountable to you for the use of the federal funds provided by the subaward.

Why This Condition:

The purpose of this standard award term is to ensure government-wide uniformity in establishing the DUNS number as the universal identifier for federal financial assistance applicants, as well as recipients and their direct subrecipients (if applicable), and to establish the CCR as the repository for standard information about applicants and recipients.

What You Should Do:

At the time of grant application, your agency was required to provide its DUNS number and be registered in the CCR database.

Your agency should continue to use the same DUNS number provided in your grant application and update, as needed, the information associated with that DUNS number. If your agency is authorized to make subawards under its award, your agency may make subawards only to entities that have DUNS numbers. For more information about your DUNS number, please contact D&B using the toll-free number 866.705.5711 or visit <http://fedgov.dnb.com/webform>.

Your agency must maintain active registration and current information in the CCR until you submit the final financial report or receive the final payment under your award, whichever is later. **Your agency must review and update its CCR information at least once per year to maintain an active registration status.** For more information about CCR registration, please visit www.ccr.gov.

21. Reporting Subawards and Executive Compensation

The Office of Management and Budget requires federal agencies to include the following standard award term in all grants and cooperative agreements made on or after October 1, 2010:

a. Reporting of first-tier subawards.

1. *Applicability.* Unless you are exempt as provided in paragraph d. of this award term, you must report each action that obligates \$25,000 or more in federal funds that does not include Recovery funds (as defined in section 1512(a)(2) of the American Recovery and Reinvestment Act of 2009, Pub. L. 111–5) for a subaward to an entity (see definitions in paragraph e. of this award term).

2. Where and when to report.

- i. You must report each obligating action described in paragraph a.1. of this award term to www.fsrs.gov.
- ii. For subaward information, report no later than the end of the month following the month in which the obligation was made. (For example, if the obligation was made on November 7, 2010, the obligation must be reported by no later than December 31, 2010.)

3. What to report.

- i. You must report the information about each obligating action that the submission instructions posted at www.fsrs.gov specify.

b. Reporting Total Compensation of Recipient Executives.

1. *Applicability and what to report.* You must report total compensation for each of your five most highly compensated executives for the preceding completed fiscal year, if—

- i. the total federal funding authorized to date under this award is \$25,000 or more;
- ii. in the preceding fiscal year, you received—
 - (A) 80 percent or more of your annual gross revenues from federal procurement contracts (and subcontracts) and federal financial assistance subject to the Transparency Act, as defined at 2 C.F.R. 170.320 (and subawards); and

(B) \$25,000,000 or more in annual gross revenues from Federal procurement contracts (and subcontracts) and federal financial assistance subject to the Transparency Act, as defined at 2 C.F.R. 170.320 (and subawards); and

iii. The public does not have access to information about the compensation of the executives through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C. 78m(a), 78o(d)) or section 6104 of the Internal Revenue Code of 1986. (To determine if the public has access to the compensation information, see the U.S. Security and Exchange Commission total compensation filings at www.sec.gov/answers/execomp.htm.)

2. *Where and when to report.* You must report executive total compensation described in paragraph b.1. of this award term:

- i. As part of your registration profile at www.ccr.gov.
- ii. By the end of the month following the month in which this award is made, and annually thereafter.

c. *Reporting of Total Compensation of Subrecipient Executives.*

1. *Applicability and what to report.* Unless you are exempt as provided in paragraph d. of this award term, for each first-tier subrecipient under this award, you shall report the names and total compensation of each of the subrecipient's five most highly compensated executives for the subrecipient's preceding completed fiscal year, if—

i. in the subrecipient's preceding fiscal year, the subrecipient received—

(A) 80 percent or more of its annual gross revenues from federal procurement contracts (and subcontracts) and federal financial assistance subject to the Transparency Act, as defined at 2 C.F.R. 170.320 (and subawards); and

(B) \$25,000,000 or more in annual gross revenues from federal procurement contracts (and subcontracts), and federal financial assistance subject to the Transparency Act (and subawards); and

ii. The public does not have access to information about the compensation of the executives through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C. 78m(a), 78o(d)) or section 6104 of the Internal Revenue Code of 1986. (To determine if the public has access to the compensation information, see the U.S. Security and Exchange Commission total compensation filings at www.sec.gov/answers/execomp.htm.)

2. *Where and when to report.* You must report subrecipient executive total compensation described in paragraph c.1. of this award term:

- i. To the recipient.
- ii. By the end of the month following the month during which you make the subaward. For example, if a subaward is obligated on any date during the month of October of a given year (i.e., between October 1 and 31), you must report any required compensation information of the subrecipient by November 30 of that year.

d. *Exemptions*

If, in the previous tax year, you had gross income, from all sources, under \$300,000, you are exempt from the requirements to report:

i. *Subawards, and*

ii. *The total compensation of the five most highly compensated executives of any subrecipient.*

e. *Definitions.* For purposes of this award term:

1. Entity means all of the following, as defined in 2 C.F.R. part 25:
 - i. A governmental organization, which is a state, local government, or Indian tribe;
 - ii. A foreign public entity;
 - iii. A domestic or foreign nonprofit organization;
 - iv. A domestic or foreign for-profit organization;
 - v. A federal agency, but only as a subrecipient under an award or subaward to a non-federal entity.
2. *Executive* means officers, managing partners, or any other employees in management positions.
3. *Subaward*:
 - i. This term means a legal instrument to provide support for the performance of any portion of the substantive project or program for which you received this award and that you as the recipient award to an eligible subrecipient.
 - ii. The term does not include your procurement of property and services needed to carry out the project or program (for further explanation, see Sec. __.210 of the attachment to OMB Circular A-133, "Audits of States, Local Governments, and Non-Profit Organizations").
 - iii. A subaward may be provided through any legal agreement, including an agreement that you or a subrecipient considers a contract.
4. *Subrecipient means an entity that*:
 - i. Receives a subaward from you (the recipient) under this award; and
 - ii. Is accountable to you for the use of the federal funds provided by the subaward.
5. *Total compensation means the cash and noncash dollar value earned by the executive during the recipient's or subrecipient's preceding fiscal year and includes the following (for more information see 17 C.F.R. 229.402(c)(2))*:
 - i. *Salary and bonus.*
 - ii. *Awards of stock, stock options, and stock appreciation rights.* Use the dollar amount recognized for financial statement reporting purposes with respect to the fiscal year in accordance with the Statement of Financial Accounting Standards No. 123 (Revised 2004) (FAS 123R), Shared Based Payments.
 - iii. *Earnings for services under non-equity incentive plans.* This does not include group life, health, hospitalization, or medical reimbursement plans that do not discriminate in favor of executives, and are available generally to all salaried employees.
 - iv. *Change in pension value.* This is the change in present value of defined benefit and actuarial pension plans.
 - v. *Above-market earnings on deferred compensation which is not tax-qualified.*
 - vi. Other compensation, if the aggregate value of all such other compensation (e.g., severance, termination payments, value of life insurance paid on behalf of the employee, perquisites or property) for the executive exceeds \$10,000.

Why This Condition:

To further federal spending transparency, the Federal Funding Accountability and Transparency Act of 2006 (FFATA) requires, among other things, that information on federal awards (federal financial assistance and expenditures) be made available to the public via a single, searchable website, which is www.USASpending.gov. Grantees are responsible for reporting their applicable executive compensation and subaward information and the award term provides guidance to report the related information, as required by FFATA.

What You Should Do:

At the time of grant application, your agency was asked to ensure that it has the necessary processes and systems in place to comply with the applicable subaward and executive compensation reporting requirements should it receive funding. If your agency received awards of \$25,000 or more, you are required to report award information on any first-tier subawards totaling \$25,000 or more, and, in certain cases, to report information on the names and total compensation of the five most highly compensated executives of the recipient and first-tier subrecipients. The FFATA Subaward Reporting System (FSRS), accessible via the Internet at www.fsr.gov, is the reporting tool that your agency will use to capture and report subaward information and any executive compensation data required by FFATA. The subaward information entered in FSRS will then be displayed on www.USASpending.gov associated with your agency's award, furthering federal spending transparency.

For additional information regarding the executive compensation and subaward reporting requirements, please see Vol. 75, No. 177 (September 14, 2010) of the Federal Register, www.gpo.gov/fdsys/pkg/FR-2010-09-14/pdf/2010-22705.pdf.

What are the specific rules regarding termination of grant funding?

The COPS Office has the right to sanction or terminate your agency's project when there is reason to believe that your agency:

- Is not substantially complying with the grant requirements or other applicable provisions of federal law;
- Is failing to make satisfactory progress toward the goals or strategies outlined in its application;
- Is not adhering to grant requirements or conditions;
- Is proposing substantial plan changes to the extent that, if originally submitted, would have resulted in the application being denied funding;
- Is not submitting financial or programmatic reports in a timely manner;
- Is filing false statements or certifications in connection with an application, periodic report, or other grant-related documents; and/or
- Is providing other good cause for sanctions or termination as determined by the COPS Office.

In these instances, the COPS Office may:

- Temporarily withhold payments pending correction of the situation by your agency;
- Disallow all or part of the cost of the activity or action not in compliance;
- Wholly or partly suspend or terminate your grant;
- Require that some or all of the grant funds be remitted to the U.S. Department of Justice;
- Condition a future grant or elect not to provide future grant funds to your agency until appropriate actions are taken to ensure compliance;
- Withhold or bar your agency from obtaining future awards;
- Recommend civil or criminal enforcement by other agencies; and/or
- Take other remedies that may be legally available.

In the event that sanctions are imposed or your grant is terminated, your agency will be notified in writing of our decision and the reason(s) for that decision.

Accepting the Grant Award

After you have reviewed the conditions of your CSPP award and your agency agrees with these conditions, you are ready to accept the award. The Director of the COPS Office has signed the Award Document indicating approval of your grant, an obligation of federal funds to your organization, and our commitment to the award. As stated at the beginning of this section, to officially begin your grant and draw down your funds, the authorized officials (see Section IX, "Glossary of Terms") must sign the Award Document and return both sides to the COPS Office, along with all award condition pages, via one of the three options listed below.

Signed award documents may be returned to the COPS Office via one of the three options listed below:

Electronic Mail

COPS.CSPP@usdoj.gov

Fax

202.514.1335

Standard Mail

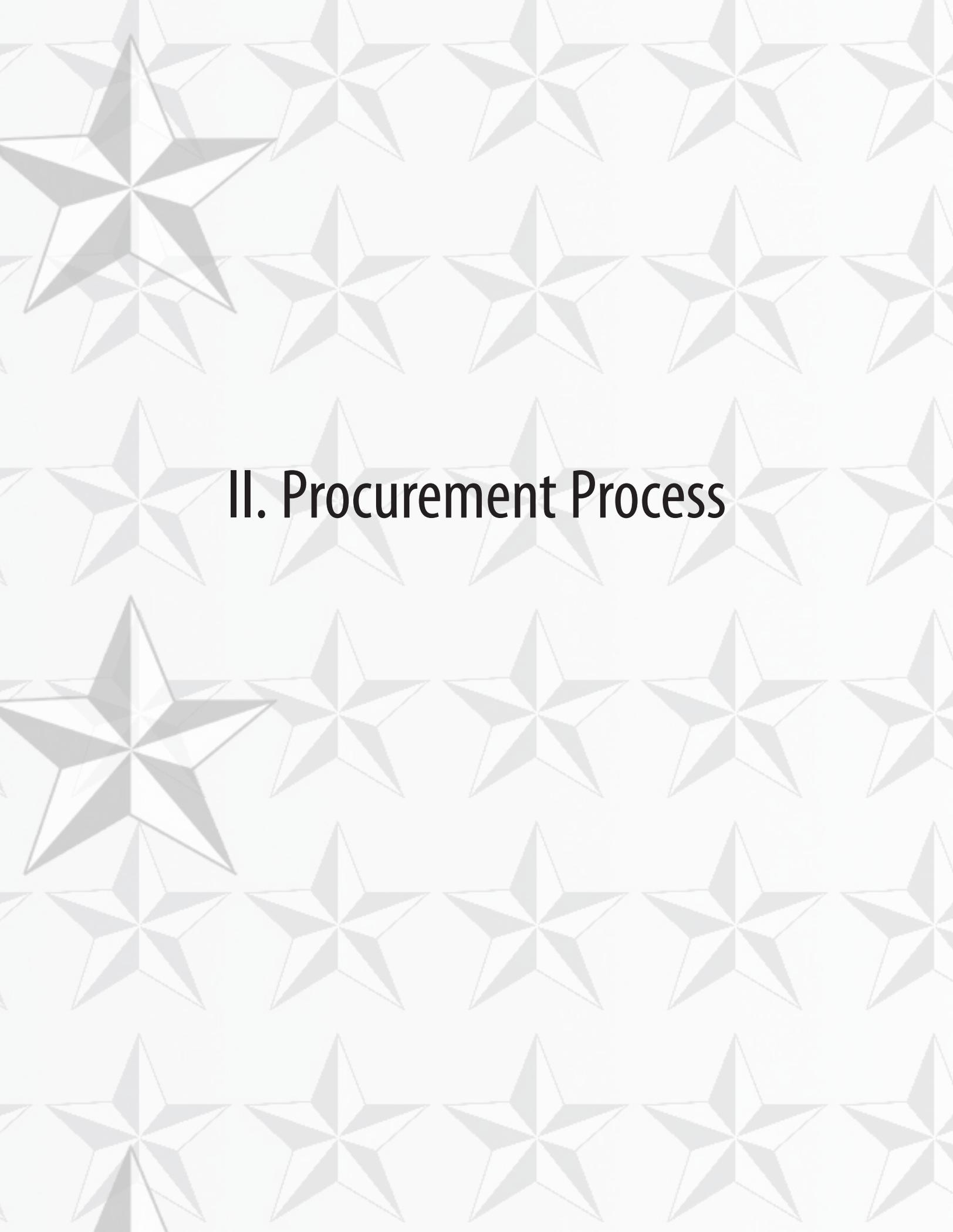
U.S. Department of Justice
Office of Community Oriented Policing Services
Attn: CSPP Control Desk
145 N Street, N.E., 11th Floor
Washington, DC 20530

Who should sign the Award Document for our agency?

The "authorized officials" are the law enforcement and government executives who have ultimate and final responsibility for all programmatic and financial decisions regarding this grant as representatives of the legal grantee. COPS grants require that both the top law enforcement executive (e.g., Chief of Police, Sheriff, or equivalent) and the top government executive (e.g., Mayor, Board Chairman, or equivalent) sign the Award Document. For non-law enforcement agencies (universities, private organizations, etc.), the authorized officials are the programmatic and financial officials who have the ultimate signatory authority to sign contracts on behalf of your organization. Typically, these are the same executives named on your agency's 2011 CSPP application (if one or both of these individuals have changed, please complete a Change of Information form online at www.cops.usdoj.gov through the Account Access option). If you have any questions as to who should sign the award, please contact your jurisdiction's local legal advisor.

When must the Award Document be returned?

Please return the signed Award Document and all award condition pages within 90 days of the date on the award congratulatory letter. Grant funds will not be released until we have received your agency's signed Award Document, your budget has received final clearance, and any other relevant grant conditions particular to your agency have been satisfied. Failure to submit your signed Award Document within the 90-day award acceptance period may result in your CSPP award being withdrawn and the funds deobligated without additional notification. To ensure we receive your signed award document in a timely manner, we encourage you to consider submitting your signed award to the COPS Office by e-mail or fax. If your agency requires an extension for accepting the award beyond the 90-day acceptance timeframe, please submit a written request to your COPS Grant Program Specialist. Be sure to explain the circumstances that prevent your agency from returning the Award Document within the 90-day period, and identify the date by which the Award Document will be signed and mailed to the COPS Office. The COPS Office will review such requests on a case-by-case basis. The COPS Office reserves the right to deny requests to extend the 90-day award acceptance period.



II. Procurement Process

II. PROCUREMENT PROCESS

In general, grant recipients are required to procure funded items through open and free competition when feasible. For the purchase of equipment, technology or services under a COPS grant award, grant recipients must follow their own policies and procedures on procurement as long as those requirements conform to the federal procurement requirements set forth in 28 C.F.R. § 66.36 and 28 C.F.R. § 70 (as applicable).

As described in Grant Condition #14, grantees are required to submit a sole source justification (SSJ) request if competitive bidding will not be possible and the threshold of \$100,000 for goods or services to be procured through a sole source is met. The COPS Office will review your request and supporting information to determine whether an exception can be granted to the general rule of open competition. Written approval from the COPS Office for the use of a sole source must be received prior to purchasing items or services, obligating funding for a contract, or entering into a contract with grant funds. All grantees are expected to review and abide by 28 C.F.R. Part 66.36 Procurement (or 28 C.F.R. Part 70.40–70.48 for institutions of higher education, hospitals and other non-profit organizations) in determining if an SSJ must be completed. Please contact your COPS Grant Program Specialist at 800.421.6770 for further assistance with this federal regulation.

A sole source justification request should be submitted if a grant recipient determines that the award of a contract through a competitive process is infeasible, and if one or more of the following circumstances apply:

1. The item (or group of items) or service is available only from one source;
2. The public exigency or emergency for the item/service will not permit a delay resulting from competitive solicitation; or
3. Competition is determined inadequate after solicitation of a number of sources.

What documentation must be submitted to the COPS Office for sole source review?

Requests for sole source procurements of equipment, technology, or services in excess of \$100,000 must be submitted to the COPS Office in writing, confirming that the award of the contract through full and open competition is infeasible. Please note that a justification must be submitted for each vendor providing goods or services in excess of \$100,000.

To ensure that all of the necessary information is included and submitted to the COPS Office, the following checklist can be used when preparing your agency's sole source request:

Letterhead – The sole source request must be signed by an authorized representative and submitted on grantee department letterhead, and must include the agency ORI and the grant number for which the approval is being sought. The request should also include the following information:

Section I. Description of Project – A brief description of the project, the amount to be designated for the sole source procurement, and the purpose of the contract.

Section II. Reason for Request

1. An explanation as to why full and open competition is infeasible (e.g., why it is necessary to contract in a noncompetitive manner); **and**
2. Which *one (or more)* of the three required categories identified below applies to the requested sole source procurement transaction(s).
 - The item/service is available only from one source;
 - The public exigency or emergency for the requirement will not permit a delay resulting from competitive solicitation; and/or
 - Competition is determined inadequate after solicitation of a number of sources.

Section III. Supporting Documentation – The information below should support the applicable category(ies) identified in Section II.

1. If the item/service is available only from one source, please include the following:
 - Uniqueness of items/services to be procured from the proposed contractor or vendor (compatibility, patent issues, etc.);
 - How the agency determined that the item/service is only available from one source (e.g., market survey results, independent agency research, patented or proprietary system);
 - Explanation of need for contractor's expertise linked to the current project (e.g., knowledge of project management, responsiveness, experience of contractor personnel, prior work on earlier phases of project); and/or
 - Any additional information that would support the case.
2. If the public exigency or emergency for the requirement will not permit a delay resulting from competitive solicitation, please include the following:
 - Explanation of the specific public emergency;
 - Impact on project if deadline/dates are not met;
 - When the contractual coverage is required by your department and why; and/or
 - Any additional information that would support the case.
3. If competition is determined inadequate after solicitation of a number of sources, please include the following:
 - Results of a market survey to determine competition availability;
 - If no survey is conducted, please explain why not; and/or
 - Any additional information that would support the case.

Section IV. Best Interest Statement – A statement declaring that this action/choice is in the best interest of the agency.

Failure to provide all of the necessary information will delay the processing of your request. Your agency will be contacted if any of the identified information is missing or if additional supporting documentation is required. The COPS Office will notify your agency in writing after completion of the review.

Please be advised that conflicts of interest are prohibited under the procurement standards set forth in 28 C.F.R. § 66 and 28 C.F.R. § 70.

Contact COPS

If you have any questions regarding the federal requirements that guide procurement procedures, please contact your COPS Grant Program Specialist or program point of contact.

For more information about COPS Office programs and resources, please call the COPS Office Response Center at 800.421.6770, or visit COPS Online at www.cops.usdoj.gov.



III. Accessing Grant Funds

III. ACCESSING GRANT FUNDS

This section provides answers to payment-related questions, including all the information needed to set up your payments. For assistance with financial management and grant administration, please contact the COPS Office Response Center at 800.421.6770, or visit our website at www.cops.usdoj.gov.

Payment Method

What method of payment is used?

There is currently one method of payment available for accessing federal grant funds—the Grant Payment Request System (GPRS). GPRS is a web-based system that enables grantees to use a secure Internet connection to request funds. Approved payment requests will automatically be scheduled for payment by the U.S. Treasury Department. A grantee will be able to review previous requests made since 2007. For more information on the GPRS please go to www.ojp.usdoj.gov/about/offices/ocfogprs.htm to view the User Guide.

Setting Up Your Account

How do we set up a GPRS account?

If you are a new grantee to the COPS Office, your law enforcement executive and/or government executive should receive notification about GPRS shortly after the COPS Office receives your signed Award Document. This notification will contain all of the information that your agency needs to set up the GPRS payment method. If your law enforcement executive and/or government executive do not perform draw down requests for your agency, your grant administrator will need to go online to <https://grants.ojp.usdoj.gov/gprs/login> to log in and register to become a Drawdown Specialist. You will receive, via e-mail, a temporary password and information on how to use GPRS. **Please note that part of the verification process may involve outreach to your law enforcement executive and/or government executive or other financial points of contact to validate information provided by the Drawdown Specialist.**

If you are already registered in GPRS, and would like to add a newly awarded grant to the existing username, please contact the COPS GPRS Registration Team via e-mail at COPSGPRSRegistration@usdoj.gov and provide the following information:

- User name
- First/Last name
- Vendor Number
- Grant numbers to be added

How do we fill out the payment enrollment forms?

If you are a new grantee to the COPS Office, your agency will need to complete an Automated Clearing House (ACH) Vendor/Miscellaneous Payment (SF-3881) enrollment form. This form can be found on the COPS Office website at the following address: www.cops.usdoj.gov/Default.asp?Item=100.

Prior to accessing your grant funds, your agency must mail the original form to:

Office of Justice Programs
Office of the Chief Financial Officer
810 7th Street, N.W.
Washington, DC 20531

Your agency must complete the "Payee/Company Information" section following the directions on the back of the form and also provide the grant number (printed on the Award Document). Next, your financial institution must complete the "Financial Institution Information" section and have the appropriate financial official sign the form.

If you are already a COPS grantee, you should already have filled out an ACH enrollment form. Therefore, your agency will not be required to submit a new ACH enrollment form for the newly awarded grant as long as your OJP vendor number has not changed. If you have any questions, or wish to verify your ACH enrollment form information, please call the COPS Office Response Center at 800.421.6770.

When should Federal Financial Reports be filed?

After your agency returns the signed Award Document to the COPS Office, under current regulations, you are required to submit quarterly Federal Financial Reports (FFRs) using a Standard Form 425 (SF-425). This report reflects the actual monies spent and unliquidated obligations incurred by your agency. **You will not be able to make draw downs from your grant account if the SF-425 for the most recent reporting quarter is not on file with the COPS Office by the deadline date.** Grantees are encouraged to submit their SF-425 reports via the Internet at www.cops.usdoj.gov.

For more information on how to complete and where to submit your quarterly SF-425, see Section VI of this Grant Owner's Manual titled "Reports."

Filing the Federal Financial Report (SF-425) identifies your federal and local expenditures made during that calendar quarter. However, to receive actual payment, you must request it through GPRS.

Additional Payment Questions

Can we receive advances?

Yes. If you receive funds through electronic transfer, the period allowed is 10 days in advance. In general, the concept of "minimum cash on hand" applies to COPS grants. This concept requires that your agency request funds based upon immediate cash disbursement needs. You should time your request for payment to ensure that federal cash on hand is the minimum that you need.

There should be no excess federal grant funds on hand, except for advances not exceeding 10 days, as noted above.

The federal government has four basic rules regarding advances. Advances can be terminated if the grantee:

- Is unwilling or unable to attain project goals;
- Maintains excess cash on hand;
- Does not adhere to the terms and conditions of the grant; or
- Fails to submit reliable and/or timely reports.

How often do we request reimbursement of costs?

There are no limitations on how often your agency may request reimbursements. However, reimbursement is only for costs that were approved in the FCM and FFM. As a general guideline, most agencies request reimbursement on a monthly or quarterly basis. Also, please note that a date range for a reimbursement request can only be used once.

Can we earn interest on our grant funds?

Your agency should minimize the time between your drawdown of grant funds and your payment of grant costs to avoid earning excess interest on your grant funds. You must account for interest earned on advances of federal funds as follows:

- Local units of government may keep interest earned on all advances of federal funds up to \$100 per federal fiscal year in the aggregate. Interest earned in excess of \$100 must be remitted promptly, but at least quarterly, to the U.S. Department of Health and Human Services, Payment Management Systems, P.O. Box 6021, Rockville, MD 20852.
- Except as provided in 28 C.F.R. 70.22(l), nonprofit organizations may keep interest earned on all advances of federal funds up to \$250 per federal fiscal year in the aggregate. Interest earned in excess of \$250 must be remitted annually to the U.S. Department of Health and Human Services, Payment Management Systems, P.O. Box 6021, Rockville, MD 20852.
- Please notify the COPS Financial Division when any interest is earned is remitted to Department of Health and Human Services, Payment Management Systems, P.O. Box 6021, Rockville, MD 20852.
- State governments, including any agency or instrumentality of a state, should follow the provisions of the Intergovernmental Cooperation Act (31 U.S.C. 6501 et. seq.) pertaining to the disposition of interest earned on federal funds.

Matching Funds

Under the 2011 CSPP, no local match is required. The COPS Office is funding 100 percent of the allowable items approved in your FCM. Any agency desiring to contribute additional funds to this project is encouraged to do so. Please note: if the total cost exceeds the approved budget, then the addition expenditures should be reported on the SF-425 as recipient's share of expenditures.



IV. Financial Record Maintenance

IV. FINANCIAL RECORD MAINTENANCE

Under the CSPP grant, your agency is required to establish and maintain accounting systems and financial records to accurately account for funds awarded and disbursed. These records must include both federal funds and any local funds contributed to this project.

Accounting Systems and Records

What accounting systems are required?

Your agency needs to establish and maintain accounting systems and financial records to accurately account for the funds awarded.

Your accounting system should:

- Present and itemize actual expenditures of funded items;
- Demonstrate that funds are spent in compliance with your grant conditions; and
- Be able to provide the necessary information for periodic financial review and audit.

What records must be kept?

Your agency's fiscal control and accounting systems should enable you to make accurate, current, and complete disclosure of the financial activity under your CSPP grant. Your accounting records should contain information showing expenditures under the grant and must be supported by items such as payroll records, time and attendance records, canceled checks, purchase orders, or similar documents.

Your agency must adequately safeguard grant funds and make sure that they are used for authorized purposes only. Your agency will be responsible for refunding any unallowable expenses.

How long must documents be kept?

All financial records, including payroll, time and attendance records, canceled checks, purchase orders, and similar documents associated with your CSPP grant should be kept for at least three years from the date the COPS Office officially closes the grant. If any litigation, claim, negotiation, audit or other action involving these records has been started before the end of the three-year period, the records should be kept until completion of the action. These records should be easily located and should be properly protected against fire or other damage. **Failure to maintain adequate records to document grant expenditures may result in a requirement to repay all federal funds that cannot be supported with appropriate records.**

Your agency should maintain records so that you can identify them by grant year or by fiscal year, whichever you find more convenient.

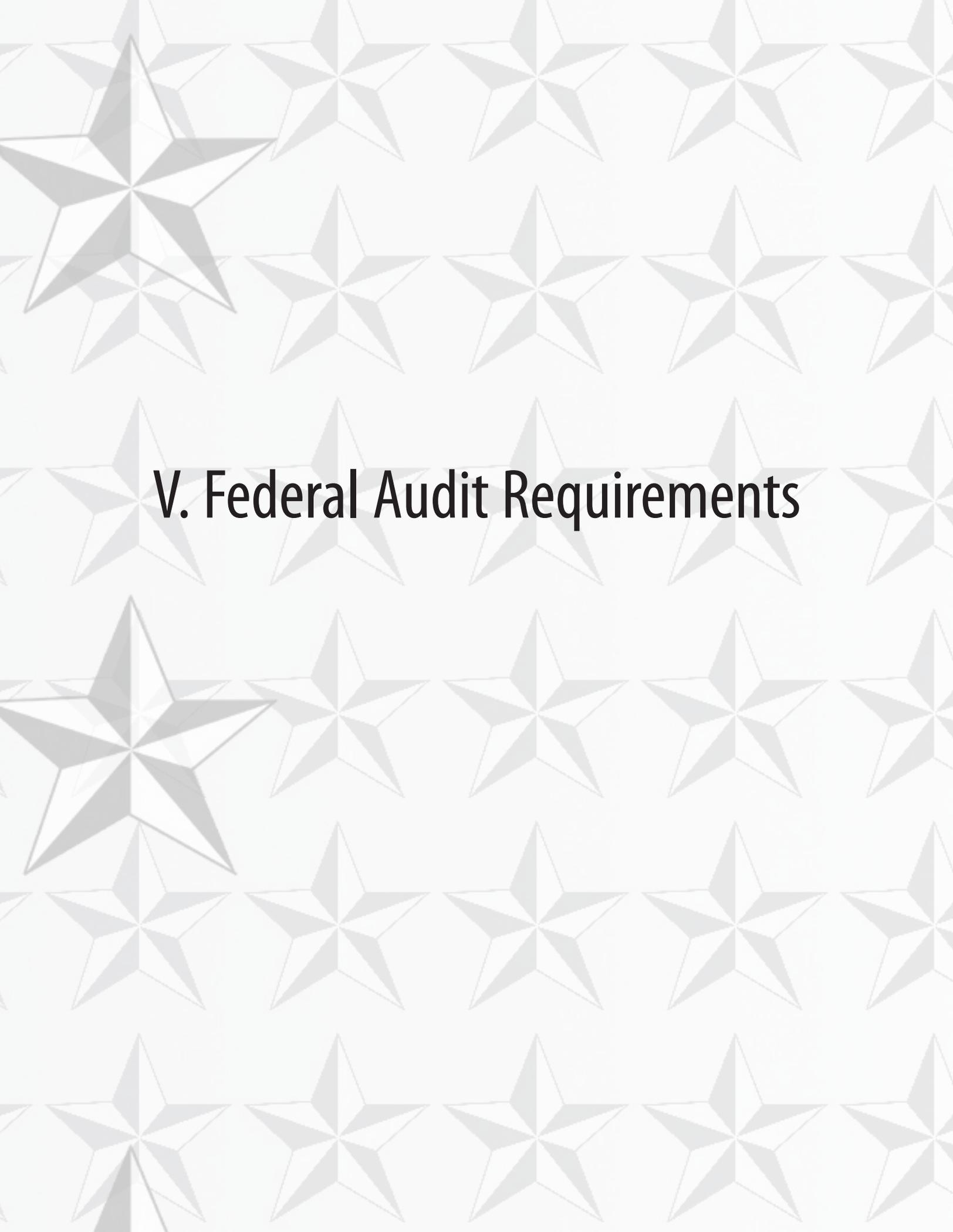
What if we have more than one grant?

If your agency has more than one COPS grant or a grant from another federal agency, funds received under one project may not be used to support another project without specific written authorization from COPS, or in the case of a grant from another agency, from both awarding agencies. Your accounting systems and financial records must reflect expenditures for each project separately.

Who may access our records?

Authorized federal representatives, including representatives from the U.S. Department of Justice, the Comptroller General of the United States, the COPS Office, and any entity designated by the COPS Office may access these records for the purposes of conducting audits, site visits, or other examinations.

Records must be kept for at least three years from the date that the COPS Office has officially closed your agency's grant.



V. Federal Audit Requirements

V. FEDERAL AUDIT REQUIREMENTS

In addition to oversight by the COPS Office, your grant may be subject to an audit by independent examiners. The two primary types of audit are Single Audit Act (SAA) audits and Department of Justice (DOJ) Office of the Inspector General (OIG) audits.

Requirements and Audits

What are the regulations governing SAA requirements?

The Single Audit Act of 1984 established uniform guidelines for state and local governments receiving federal financial assistance. The 1984 Act was amended in July 1996 and revised again June 27, 2003 and June 26, 2007, and is effective for fiscal years after December 31, 2003, to reflect revised audit criteria and reporting requirements. The Office of Management and Budget Circular A-133 (OMB A-133), Audits of States, Local Governments and Non-Profit Organizations, provides additional guidelines regarding the implementation of SAA requirements.

Who must have an SAA audit?

Each non-federal entity that expends a total amount of federal awards equal to or in excess of \$500,000 in a fiscal year is required to have a Single Audit conducted, except when it elects to have a program-specific audit conducted. An auditee may be a recipient, a subrecipient, and/or a vendor. Specifically, "Federal awards expended as a recipient or a subrecipient would be subject to an audit under A-133, Subpart B, Section 210." SAA audits are conducted annually unless a state or local government is required by constitution or statute, in effect on January 1, 1987, to undergo audits less frequently than annually. The primary objective of an SAA audit is to express opinions on the grantee's financial statements, internal controls, major and non-major grant programs, and compliance with government laws and regulations. Single Audits may also address specific compliance issues with respect to COPS grant requirements.

Failure to have an audit performed may result in sanctions imposed by federal agencies for noncompliance with OMB Circular A-133. These sanctions under A-133, Section 225 could include the following: (A) withholding a percentage of federal awards until a required audit is completed satisfactorily; (B) withholding or disallowing overhead costs, suspending your award until the audit is performed, or terminating your award.

Your Single Audit Act reports **should not** be sent to the COPS Office. If the U.S. Department of Justice is your Cognizant Federal Agency (see Section IX, "Glossary of Terms"), they should be sent to the Federal Audit Clearinghouse at:

Federal Audit Clearinghouse
Bureau of Census
1201 E. 10th Street
Jeffersonville, IN 47132

The U.S. Department of Justice, Office of Justice Programs (OJP) serves as the liaison between grantees and auditors in the conduct of SAA audits. Questions and comments regarding SAA audits may be directed to the COPS Office Response Center at 800.421.6770.

What is the role of the Office of the Inspector General (OIG)?

The OIG is a separate component of the U.S. Department of Justice and is independent of the COPS Office. The primary objective of OIG audits is to assess compliance with grant conditions. OIG audits are designed to promote economy, efficiency, and effectiveness in the administration of grants by evaluating compliance with laws, regulations, policies, and procedures governing the operations encompassed in the scope of the audit.

How are COPS grants selected for an OIG audit?

The OIG may conduct a COPS grant audit in response to a referral that the OIG believes warrants further evaluation. The OIG also surveys DOJ agencies on an annual basis to solicit input on suggested audit areas for the upcoming fiscal year. In most instances, however, the OIG selects grants based on a number of factors, including the geographical distribution of grants awarded, award amount, population served, and type of grant (both active and expired). As such, the fact that your grant has been selected for an OIG audit is not necessarily indicative of a suspected concern or problem area.

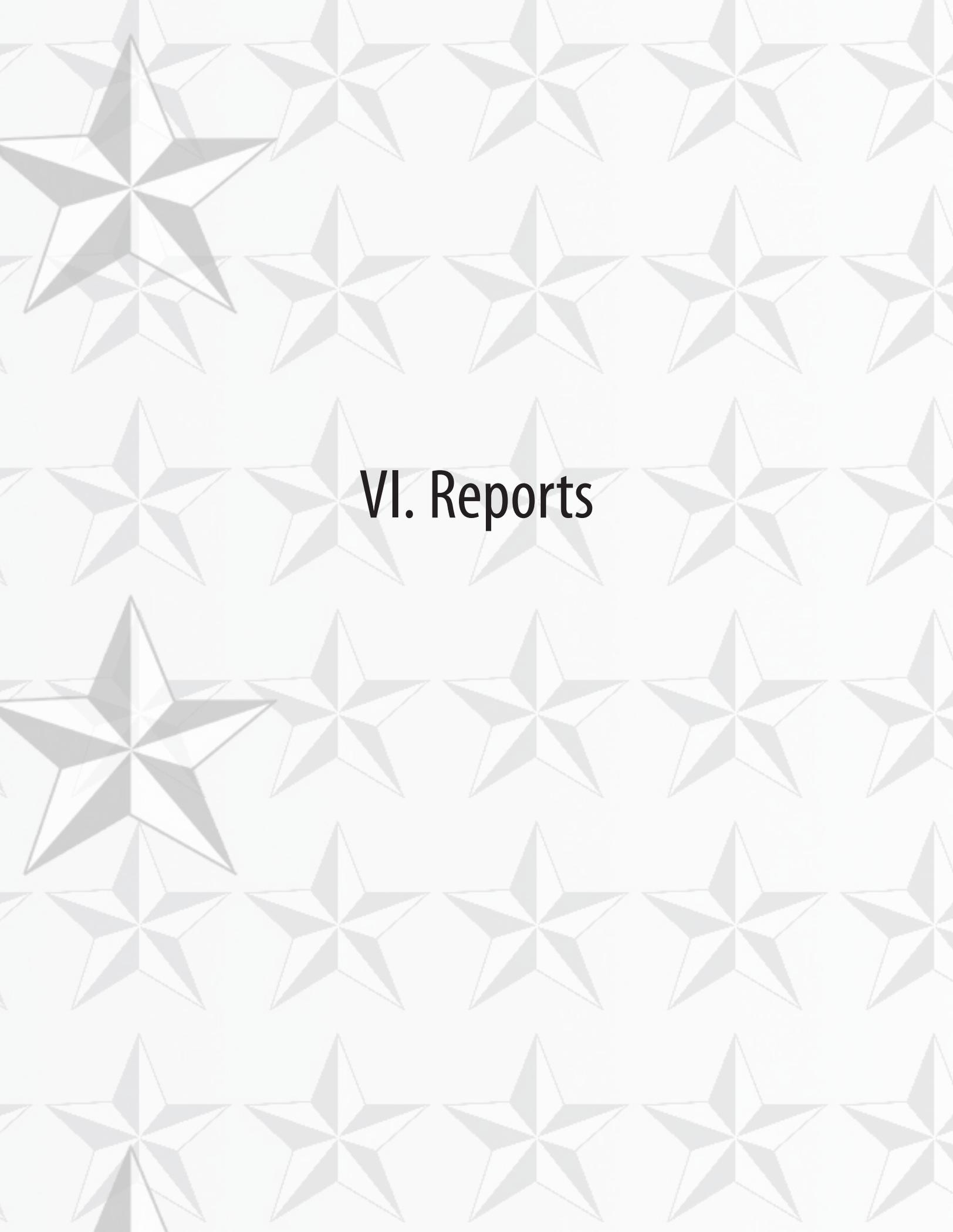
The COPS Audit Liaison Division serves as the liaison between grantees and the OIG's Audit Division, which conducts the audit. After the OIG notifies the COPS Office of upcoming audits to be conducted, the COPS Audit Liaison Division will send out a notification letter to the grantee outlining the scope of each audit and the anticipated audit timeframe. This notification letter also advises grantees of the supporting documentation required and information necessary for the OIG during their scheduled field work, and provides a COPS Office point of contact to address questions and concerns. If you have any questions regarding an OIG audit, please contact the COPS Audit Liaison Division at 800.421.6770. Questions and comments regarding the administration of your COPS grant, not specifically related to an audit, should be referred to your COPS Grant Program Specialist.

Typical Audit Findings

The OIG has typically reported the following audit findings pertaining to grants as a result of lack of proper documentation, poor business practices, or inadequate accounting and record keeping systems:

- **Unallowable costs** – Grantee incurred costs that were not approved in the original budget, were in excess of the approved budget, or were charged to the grant after the expiration date and a grant extension was not obtained.
- **Unsupported costs** – Specific grant expenditures and reimbursements could not be supported by adequate documentation, or grant expenditures were in excess of actual grant costs.
- **Lack of complete/timely programmatic and financial reporting** – Grantee failed to submit required programmatic and financial reports in a timely manner and/or had inadequate record keeping systems.
- **Supplanting** – Grantee could not document efforts to backfill vacant positions and/or grantee could not explain reductions in local law enforcement budget during the grant award period.
- **Funds to better use** – Funds could be used more efficiently based on management actions such as: a) reductions in outlays; b) deobligation of funds; c) withdrawal; d) costs not incurred by implementing recommended improvements; or e) any other savings which are specifically identified.
- **Questioned costs** – Costs that are questioned by the auditor because of an audit finding which resulted from a violation or possible violation of a provision of law, regulation, grant terms and conditions, or other document governing the use of federal funds; or because costs incurred appear unreasonable and do not reflect the actions a prudent person would take under the same circumstances; or because costs at the time of the audit are not supported by adequate documentation.

After the final OIG audit report has been issued, the COPS Audit Liaison Division will continue working as the liaison between your agency and the OIG to obtain closure on any audit findings. The COPS Office will issue a closure letter once all audit recommendations have been closed by the OIG. You must keep all documentation related to the audit for a period of three years following the audit's closure.



VI. Reports

VI. REPORTS

As part of the CSPP, your agency will be required to submit quarterly Federal Financial Reports as well as program progress reports. Awarded agencies should be prepared to track and report CSPP grant funding separately from other funding sources (including other COPS Office and federal grants) to ensure accurate financial and programmatic reporting on a timely basis. Your agency should ensure that you have financial internal controls in place to monitor the use of CSPP grant funding and ensure that its use is consistent with the grant terms and conditions. Good practices in this area would include written accounting practices, an accounting system that tracks all drawdowns and grant expenditures, and the ability to track when approved purchases are made. *Failure to submit complete reports, or submit them in a timely manner, may result in the suspension and possible termination of your agency's COPS grant funding or other remedial actions.*

Federal Financial Reports

Your agency is required to submit quarterly Federal Financial Reports (FFRs) using Standard Form 425 (SF-425) within 30 days after the end of each calendar quarter. A final SF-425 will be due within 90 days after the end of the grant period. This report reflects the actual cumulative federal monies spent, unliquidated obligations incurred, and any unobligated balance of federal funds.

How do we file Federal Financial Reports?

All COPS grantees are required to submit quarterly Federal Financial Reports using the SF-425.

SF-425s for COPS grants must be submitted every quarter and no later than 30 days after the last day of each reporting quarter, as detailed below:

Reporting Quarters	SF-425 Due Date
January 1 – March 31	April 30
April 1 – June 30	July 30
July 1 – September 30	October 30
October 1 – December 31	January 30

Grantees are strongly encouraged to submit the quarterly SF-425 online. Visit the COPS Office website at www.cops.usdoj.gov and select the Account Access link in the upper right corner to log in, complete, and submit reports online. The online SF-425 requires the same reporting information as the paper version. The use of this online application enables authorized users to view past SF-425s, and allows them to file or amend the SF-425 for the current quarter.

For your first SF-425 submission, determine when the most recent SF-425 reporting quarter ended and complete an SF-425 to cover the period from the award start date of your grant to that particular end date. **You are required to submit an SF-425 even if you have not spent any money or incurred any costs during a reporting period.** The due dates for online filing of SF-425s are the same as for the submission of paper copies.

Example:

If your award start date is 02-01-11 and the current date is 04-15-11, then your first SF-425 would be due no later than 04-30-11 and would cover the period 02-01-11 (award start date) through 03-31-11 (end of the most recent reporting quarter). This SF-425 must be on file with the COPS Office so that you can successfully complete a draw-down of funds through GPRS.

Grantees who do not submit SF-425s by the due date will be unable to draw down funds. The payment system contains a function which checks for SF-425 delinquency and will reject a drawdown attempt if the SF-425 is not up to date. Subsequent e-mail, fax, and/or hard copy reminders may be sent to the grantee if the SF-425 is delinquent.

For general information concerning online filing of SF-425 reports, go to www.cops.usdoj.gov/RIC/ResourceDetail.aspx?RID=547 or contact the COPS Office Response Center by phone at 800.421.6770, or by e-mail at: AskCopsRC@usdoj.gov.

If you need assistance in completing the SF-425, please contact the COPS Office Response Center at 800.421.6770, by e-mail at AskCopsRC@usdoj.gov, or review the "Helpful Hints Guide for Completing the Federal Financial Report (SF-425)" at www.cops.usdoj.gov/RIC/ResourceDetail.aspx?RID=545.

How will grant funds be monitored?

The COPS Office and designated representatives from the Office of the Chief Financial Officer, Office of Justice Programs monitor the financial aspects of your agency's grant through financial reports, on-site visits, office based grant reviews, meetings, telephone contacts, reports, audits, reviews of grant change requests, and special request submissions.

Program Progress Reports

Program progress reports and a final closeout report will be required as requested by the COPS Office during the life of the grant. The COPS Office will notify the agency when the progress report is due and provide instructions for submission. The report may be submitted online or by phone by the grantee agency's representative.

What kind of information will these reports require?

These reports will request information about the status of your grant in terms of the purchase of equipment and services and hiring of personnel, as well as general information about your department.

Do we need to request a progress report?

No. The COPS Office will contact your agency when progress reports are being requested.

How do we file progress reports?

All grantees will be required to submit their periodic COPS Office reports through the COPS Account Access site at www.cops.usdoj.gov.

If your agency has any questions regarding the submission of these required reports, please call the COPS Progress Report Team at 800.659.7379.

Will the data that I submit be publicly available?

Reports submitted to the COPS Office may be reported publicly in response to a Freedom of Information Act request.

How can I complete a COPS progress report online?

Please access the COPS Office website at www.cops.usdoj.gov and click on Account Access at the top right-hand side of the page. Once you are logged in, select "Applications" from the Agency Portal Menu, click on the "Progress Report" icon and follow the instructions to complete your report.

If you do not have login access, you should contact your agency portal administrator to setup an account for you.

If you have a registered account, but do not remember your password you may reset your password by going to the agency portal homepage, in Account Access enter your e-mail address, click on the "Forgot Password" link. For additional assistance, you may contact the COPS Office Response Center by phone at 800.421.6770, or send an e-mail to AskCopsRC@usdoj.gov.

How do I obtain access to complete the COPS progress report?

If you do not have your user name and/or password, please contact the COPS Office Response Center by phone at 800.421.6770 (from Monday through Friday between 9 AM and 5 PM Eastern time), or e-mail the Response Center at AskCopsRC@usdoj.gov.

What if I make a mistake or need to modify my progress report after it is submitted?

Grantees may need to make a change or may be asked by a subsequent COPS Office reviewer to make a correction to a submission. The recipient can update the submission by logging on to the COPS Office website or by calling the COPS Progress Report Team at 800.659.7379.

Contact Points to Obtain Technical Assistance and Report Violations

Any alleged violations, serious irregularities, or acts that may result in the use of public funds in a manner inconsistent with the Public Safety Partnership and Community Policing Act of 1994 or the purposes of this grant may be reported to the U.S. Department of Justice. Furthermore, the COPS Office welcomes the opportunity to provide assistance regarding the implementation of grant provisions to help ensure that federal grant funds are spent responsibly. As such, the following contacts are provided to address noncompliance and technical assistance issues:

- If you suspect grant violations of a criminal nature, please contact the U.S. Department of Justice, Office of the Inspector General (OIG) at OIG.hotline@usdoj.gov, www.justice.gov/oig/FOIA/hotline.htm or 800.869.4499.
- If you suspect grant violations (*not* criminal in nature) related to the grant conditions listed in this manual, please contact the COPS Grant Monitoring Division at 202.514.9202.
- If you have any questions and/or need assistance regarding your grant, please contact your COPS Grant Program Specialist at 800.421.6770.



VII. When The Grant Period Has Ended

VII. WHEN THE GRANT PERIOD HAS ENDED

At the end of your agency's CSPP grant period, the COPS Office is responsible for the "closeout" of your grant. As part of this process, the COPS Office requires documentation demonstrating that your agency has met all of the programmatic and financial requirements of the grant.

After the end of the grant period, your agency will be asked to submit a final Federal Financial Report and any applicable final program reports.

Final Federal Financial Report (SF-425)

The final Federal Financial Report (SF-425) for your grant is due to the COPS Office no later than 90 days after the end of the grant period. The final report should reflect the total amount of federal expenditures and the amount of unobligated funds, if any. Additionally, it should reconcile with the amount of funds drawn down by your agency.

When should all of the grant monies be spent?

Grant funds reflecting allowable project costs must be obligated before the end of the grant period. Obligated funds cover monies spent and expenses for all approved items in the FCM and FFM that your agency has incurred but not yet paid. Your agency has up to 90 days after the end of the grant period to request reimbursement for funds obligated.

Please be advised that 28 C.F.R. 66.50(c) requires grantees to submit final Federal Financial Reports (SF-425) and to draw down the final reimbursement for expended funds within 90 days after the expiration of the grant. In addition, be advised that failure to complete the draw down of funds within the 90-day period following award expiration will result in the forfeiture of the remaining eligible balance.

It is possible that your agency may have excess grant funds remaining in your account following the grant period due to an overestimate of item costs during the grant period. Your agency should review its records carefully to ensure that it draws down and expends only the amount required for actual costs incurred during the grant period. Any excess unobligated or unspent funds should remain in your account, and will be deobligated during the closeout process.

Final Program Progress (Closeout) Report

After your grant period has ended, your agency may be sent a final progress or closeout report from the COPS Office and asked to complete it. This report will serve as your agency's final programmatic report on the grant, and the information your agency provides in this report will be used to make a final assessment of your grant progress.

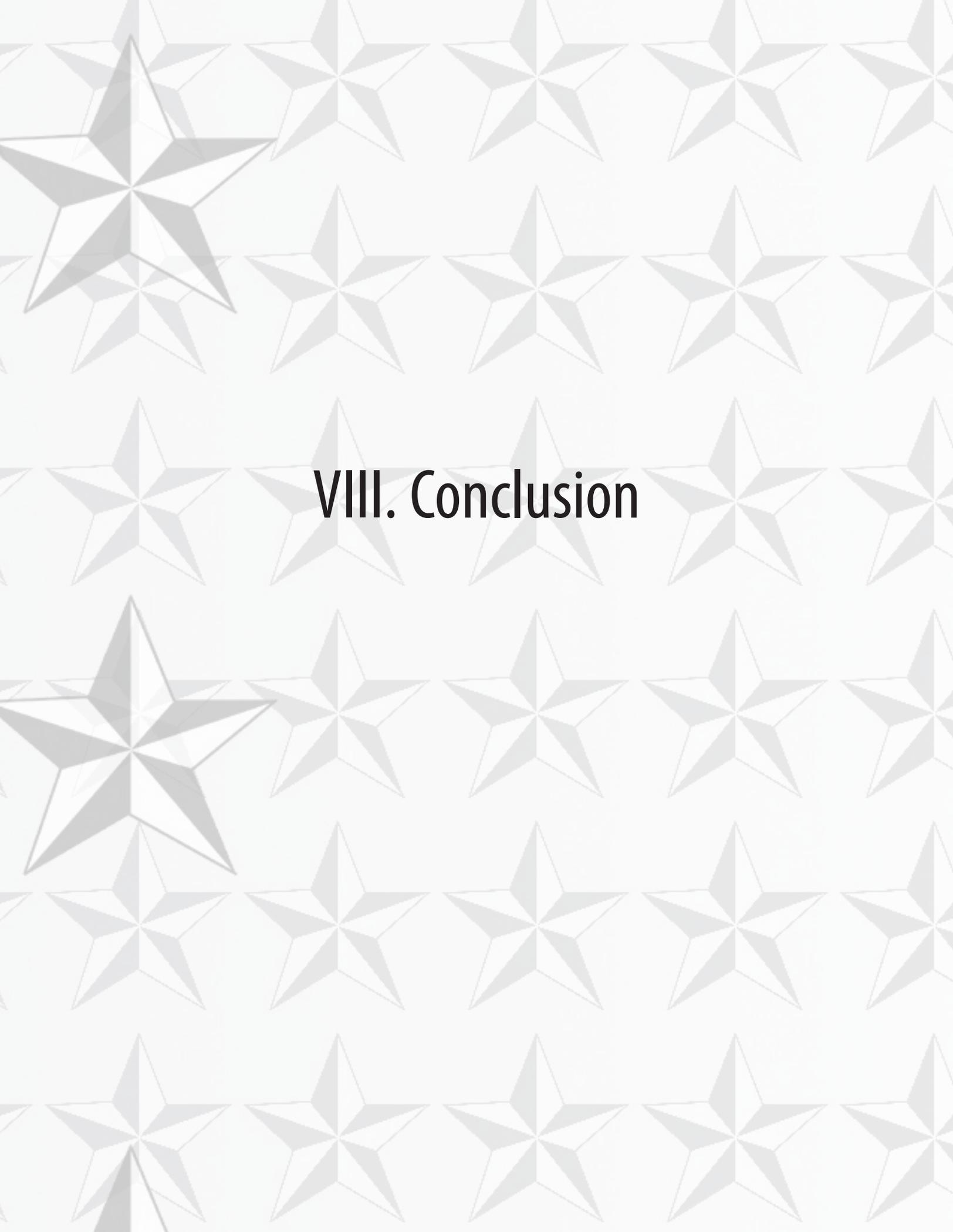
Equipment Disposition

Each grantee must use any equipment funded through a COPS award for approved grant-related purposes and must retain the equipment for the life of the grant. After the conclusion of the grant period, property records must be maintained by the grantee. The records should include a description of the property; a serial number or other identification number; the source of the property; the name of the person or entity that holds the title; the acquisition date and cost of the property; the percentage of federal participation in the cost of the property; the location, use, and condition of the property; and any ultimate disposition data, including the date of disposal and sale price of the property. A control system must be developed to ensure adequate safeguards to prevent loss, damage, or theft of the property.

When the grant has expired and original or replacement equipment obtained under the grant is no longer needed for the original project or for other activities currently or previously supported by a federal agency, disposition of the equipment shall be made as follows:

- Items of equipment with a current per-unit fair market value of less than \$5,000 may be retained, sold, or otherwise disposed of with no further obligation to the awarding agency.
- Items of equipment with a current per-unit fair market value in excess of \$5,000 may be retained or sold and the awarding agency shall have a right to an amount calculated by multiplying the current market value or proceeds from sale by the awarding agency's share of the equipment.

For more information, please see 28 C.F.R. Part 66.32 or 28 C.F.R. Part 70.34, as applicable.



VIII. Conclusion

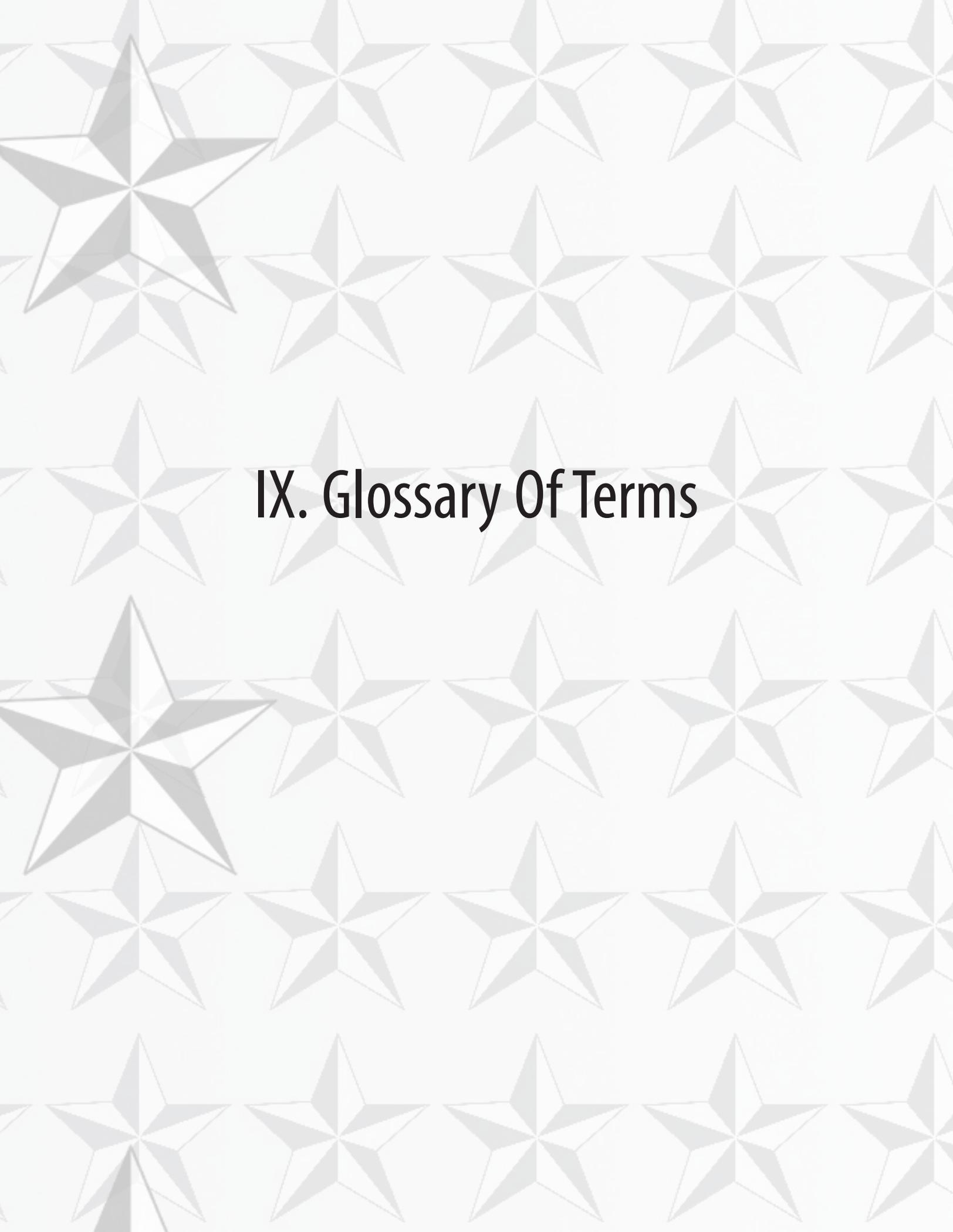
VIII. CONCLUSION

We hope that this manual has assisted you and your agency with your grant questions. We welcome and encourage any comments you have regarding the CSPP and the materials we have developed for its administration. If you have specific comments regarding this manual, please send them to:

**U.S. Department of Justice
Office of Community Oriented Policing Services
Attn: CSPP Control Desk
145 N Street, N.E., 11th Floor
Washington, DC 20530**

If you have any questions about your grant, please call your COPS Grant Program Specialist or the COPS Office Response Center at 800.421.6770.

Pursuant to Executive Order 13513, "Federal Leadership on Reducing Text Messaging While Driving," the COPS Office encourages recipients of Department of Justice funds to adopt and enforce policies that ban text messaging while driving and to establish workplace safety policies to decrease crashes caused by distracted drivers.



IX. Glossary Of Terms

IX. GLOSSARY OF TERMS

Allowable Costs

Allowable costs are expenses that may be funded by this grant program. COPS CSPP provides funding for equipment, services, personnel, and other costs purchased or hired on or after the award start date. Upon review of your submitted budget, any unallowable costs were removed. The FCM and FFM that were included in your award package outlined your allowable costs and noted any relevant revisions that were made to your original budget submission.

Audit

Work done by auditors, including both the Office of the Inspector General (OIG) and state or local auditors, to examine financial statements and to review: (a) compliance with laws and regulations; (b) economy and efficiency of operations; (c) effectiveness in achieving program results; and (d) allowability of costs claimed against the award.

Authorized Officials

The authorized officials are the individuals in your organization who have final authority and responsibility for all programmatic and financial decisions regarding this grant award. At the time of grant application, your agency listed the law enforcement executive (usually the Chief of Police, Sheriff, etc.) and the government executive (usually the Mayor, Board President, etc.) for your agency. These executives are listed on your Award Document and are understood to be your authorized officials. If any of the executive information is incorrect, please submit the correct information to the COPS Office by completing an official Change of Information form available online at www.cops.usdoj.gov.

Award Start Date

This is the date on or after which your agency is authorized to purchase or hire any allowable equipment, services, personnel, or other costs that were approved by the COPS Office. The award start date is found on your grant Award Document. *Grantees may not expend funds prior to this date without written approval from the COPS Office.*

Career Law Enforcement Officer

The COPS statute defines a "career law enforcement officer" as a person hired on a permanent basis who is authorized by law, or by a state or local public agency, to engage in or oversee the prevention, detection, or investigation of violations of criminal laws.

Catalog of Federal Domestic Assistance (CFDA)

The CFDA is an annual government-wide publication that contains a description and index of all forms of federal assistance. Each program is assigned a "CFDA number," which is used by auditors to track grant revenues under the Single Audit Act. It is also used in participating states by State Single Points of Contact in conducting the required intergovernmental reviews under Executive Order 12372. The CFDA number for the COPS CSPP grant is 16.710.

Central Contractor Registration (CCR)

The CCR database is the repository for standard information about federal financial assistance applicants, recipients, and sub-recipients. Organizations that have previously submitted applications via Grants.gov are already registered with CCR, as it is a requirement for Grants.gov registration. Please note, however, that applicants must update or renew their CCR at least once per year to maintain an active status. Information about registration procedures can be accessed at www.ccr.gov.

Closeout

The process in which the awarding agency, the COPS Office, determines that all applicable administrative actions and all required work and conditions of the award have been completed and met by the recipient and awarding agency.

Cognizant Federal Agency

Your Cognizant Federal Agency is generally the federal agency that provides your agency with the most federal money. The Office of Management and Budget (OMB) may have already assigned your Cognizant Federal Agency to you. If this is the first federal grant that your organization has received, the U.S. Department of Justice (DOJ) is your Cognizant Federal Agency.

Community Policing

Community policing is a philosophy that promotes organizational strategies, which support the systematic use of partnerships and problem-solving techniques, to proactively address the immediate conditions that give rise to public safety issues such as crime, social disorder, and fear of crime.

Computer Aided Dispatch (CAD) system

A computer database that can track calls for service, maintain status of units available, provide various reports, produce address histories, and support electronic mail. With the installation of integrated CAD systems, officers are able to receive calls for service on their mobile data computers rather than over the radio. Radios can then be used only for serious emergencies.

Consortium

A consortium is a group of two or more governmental entities that agree to form a partnership to provide law enforcement services to their constituent communities.

COPS Office Finance Staff

The COPS Office Finance Staff handles your agency's financial and budgetary needs related to this grant. A staff accountant has been assigned to your state and is available to answer any questions that you may have concerning the financial aspects of your grant. To identify your staff accountant, please call the COPS Office Response Center at 800.421.6770, or visit the COPS website at www.cops.usdoj.gov.

COPS Office

The Office of Community Oriented Policing Services (the COPS Office) is the division of the U.S. Department of Justice that is the "grantor agency" for your grant. The COPS Office is responsible for assisting your agency with the administration and maintenance of your grant for the entire grant period. You can reach the COPS Office at 800.421.6770.

Data Universal Numbering System (DUNS) Number

Since FY2004, the Office of Management and Budget (OMB) has required all agencies applying for federal funding to obtain this number prior to application. The DUNS number is a unique nine- or thirteen-digit identification number that is assigned upon request to agencies by Dun & Bradstreet (D&B). This number will be used by the federal government to better track grant recipient information throughout the grant cycle and to provide consistent name and address data for electronic grant application systems. To obtain a DUNS number, visit the Dun & Bradstreet website at www.dnb.com or call 866.705.5711.

Employer Identification Number (EIN) / OJP Vendor Number

This number is usually your agency's nine-digit federal tax identification number as assigned to you by the Internal Revenue Service (IRS). Your accounting/bookkeeping department should have this number. In some cases, the EIN has been previously assigned to another agency within your jurisdiction. In this instance, a new vendor number will be assigned to you by the Office of the Chief Financial Officer. The newly assigned number is to be used for COPS Office administrative purposes only and should not be used for IRS purposes.

Federally Recognized Tribe

Tribal entities that are recognized and eligible for funding and services from the BIA by virtue of their status as Indian Tribes. They are acknowledged to have the immunities and privileges available to other federally acknowledged Indian Tribes by virtue of their government-to-government relationship with the United States as well as the responsibilities, power, limitation, and obligations of such tribes. Only federally recognized tribes are eligible to apply for COPS grant funds. For further information, contact: BIA, Division of Tribal Government Services, MS-4631-MIB, 1849 C Street, N.W., Washington, DC 20240, 202.208.2475.

Grant Monitoring Specialist

COPS Grant Monitoring Specialists are trained and available to assist you in addressing any compliance-related questions regarding your grant. Grant Monitoring Specialists plan and conduct site visits and office-based grant reviews. During the life of your grant, you may be selected for a monitoring site visit to assess your compliance with the terms and agreements of the grant program, to review your community policing initiatives, and to provide technical and administrative support for your grant award. Please contact the COPS Office Response Center at 800.421.6770 if you have any compliance-related questions.

Grant Number

The grant number identifies your agency's specific CSPP grant, and can be found on your grant Award Document. This number should be used as a reference when corresponding with the COPS Office. Your grant number is in the following format: 2011-CSWX-0000 for grants awarded in FY2011. The COPS Office tracks grant information based upon this number.

Grant Program Specialist

COPS Grant Program Specialists are trained to assist you with implementing and maintaining your grant. A Grant Program Specialist is assigned to your state, and is available to answer any questions that you may have concerning the administrative aspects of your grant. Your Grant Program Specialist can assist you with such matters as requesting an extension on your grant or modifying the grant award. To obtain the name and phone number of your Grant Program Specialist, please contact the COPS Office Response Center at 800.421.6770, or refer to the COPS website at www.cops.usdoj.gov.

Interoperable Communications

Communications interoperability refers to the ability of emergency response officials to share information via voice and data signals on demand, in real time, when needed, and as authorized. Interoperable communications policies, procedures, and technology are used to increase voice and data information sharing among the law enforcement, fire service, and emergency medical service communities.

Local Budget Cycle

Your agency's fiscal year. Some common examples include January 1 to December 31, October 1 to September 30, and July 1 to June 30. Some local budget cycles may extend up to 24 months.

Mobile Data Computer/Laptop

A Mobile Data Computer (MDC) is a computer terminal mounted in a vehicle that is linked via wireless communication to a network that is often integrated with a CAD system. MDCs enable officers to complete previously handwritten reports on a computer. This often eliminates the need to enter duplicate information on multiple reports.

Obligation of Funds

The COPS Office obligates federal funds when the grant Award Document is signed by the COPS Director or his/her designated official. For the grantee, grant funds are obligated when monies are spent or orders are placed for purchasing approved items or services under your grant. The term "encumbrance" is often used at the local and state levels to describe this type of transaction. Liquidated obligations are considered cash outlays or monies actually spent. Unliquidated obligations are obligations incurred and recorded but not yet paid (accrual basis of accounting) or not yet recorded and not yet paid (cash basis of accounting).

Originating Agency Identifier (ORI) Number

This number is assigned by the FBI, and it is your agency's unique identifier. The first two letters are your state abbreviation, the next three numbers are your county's code, and the final two numbers identify your jurisdiction within your county. If your agency does not have an ORI number assigned by the FBI, the COPS Office assigns a non-official ORI code to use as an agency identifier (in such cases, the last two digits will be "ZZ"). It can be found on your grant Award Document. When you contact the COPS Office with a question, please reference your ORI number (and/or your grant number).

Primary Law Enforcement Authority

An agency with primary law enforcement authority is the agency that is the first responder to calls for service, and has ultimate and final responsibility for the prevention, detection, and/or investigation of violations of criminal laws within its jurisdiction.

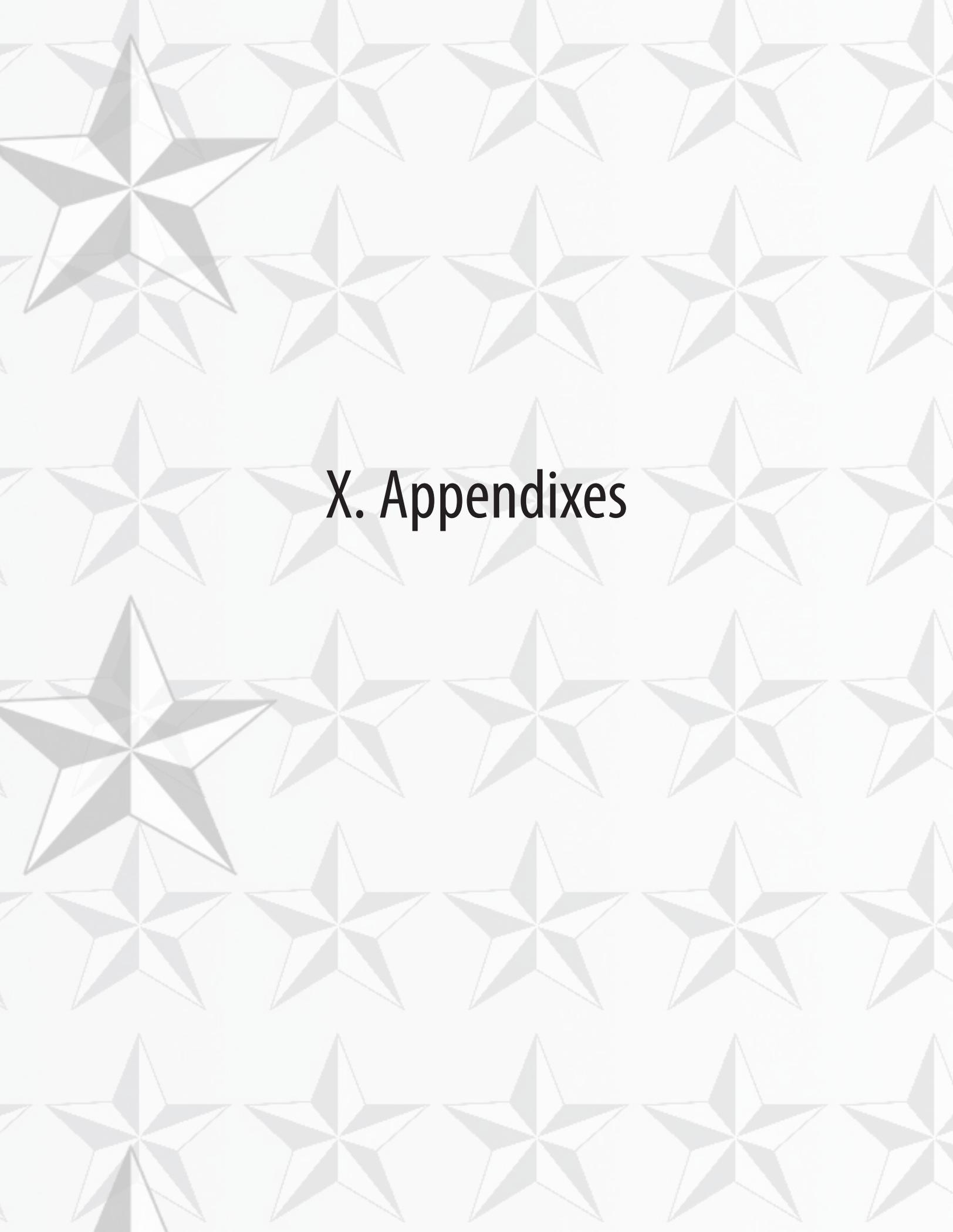
The Public Safety Partnership and Community Policing Act of 1994

The COPS Office is charged with fulfilling the mandates of this law. The purposes of the law are to:

- Increase the number of community policing officers on the beat
- Provide additional and more effective training to law enforcement officers to enhance their problem-solving, service, and other skills needed in interacting with members of the community
- Encourage the development and implementation of innovative programs to permit members of the community to assist law enforcement agencies in the prevention of crime
- Encourage the development of new technologies to assist law enforcement agencies in reorienting the emphasis of their activities from reacting to crime to preventing crime.

Supplanting

For the purposes of your COPS grant, supplanting means replacing state, local, or BIA funds that otherwise would have been spent on law enforcement purposes with federal COPS funds. State, local and tribal governments are prohibited from supplanting throughout the grant period. This means that your agency may not use COPS funds to pay for any equipment/technology, services, or other items which, in the absence of the COPS program, would otherwise have been funded with state and/or local funds, or funds supplied by the BIA. COPS funds must instead be used to supplement, or increase, your law enforcement budget. For additional information on supplanting, please review Grant Condition #5 in this manual.



X. Appendixes

X. APPENDIXES

Appendix A – List of Source Documents

A. Primary Sources

Public Safety Partnership and Community Policing Act of 1994, 42 U.S.C.

B. Secondary Sources

Code of Federal Regulations (C.F.R)/Office of Management and Budget (OMB):

4 C.F.R. Parts 101-105, Department of Justice/Government Accountability Office, "Joint Federal Claims Collections Standards"

5 C.F.R. Part 1320, "Controlling the Paperwork Burden on the Public"

5 C.F.R. Part 151, "Political Activities of State and Local Officials or Employees"

28 C.F.R. Part 23, "Criminal Intelligence Systems Operating Policies"

28 C.F.R. Part 61, "Procedures for Implementing the National Environmental Policy Act"

28 C.F.R. Part 66, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments"

28 C.F.R. Part 67, "Government-wide Requirements for Drug-Free Workplaces (Grants)"

28 C.F.R. Part 69, "Government-wide New Restrictions on Lobbying"

28 C.F.R. Part 70, "Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations"

31 C.F.R. Part 205, "Treasury Department Regulations Implementing for Cash Management Improvement Act of 1990"

2 C.F.R. Part 220 (OMB Circular A-21), "Cost Principles for Educational Institutions"

OMB Circular A-33, "Audits of Educational Institutions"

2 C.F.R. Part 225 (OMB Circular A-87), "Cost Principles for State and Local Governments"

2 C.F.R. Part 230 (OMB Circular A-122), "Cost Principles for Non-Profit Organizations"

OMB Circular A-129, "Managing Federal Credit Programs"

OMB Circular A-133, "Audits of States, Local Governments, and Non-Profit Organizations"

48 C.F.R. Part 31.000, et seq. (FAR-31.2), "Cost Principles for Commercial Organizations"

Executive Orders:

Executive Order 12291, "Regulations"

Executive Order 12372, 28 C.F.R., Part 30 "Intergovernmental Review of Federal Programs"

Executive Order 12547, "Non-Procurement Debarments and Suspension"

Appendix B – Assurances and Certifications

Assurances

ORI# _____

Standard Application Forms

SECTION 15A: ASSURANCES

Several provisions of federal law and policy apply to all grant programs. The Office of Community Oriented Policing Services needs to secure your assurance that the applicant will comply with these provisions. If you would like further information about any of these assurances, please contact your state's COPS Grant Program Specialist at 800-421-6770.

By signing this form, the applicant assures that it will comply with all legal and administrative requirements that govern the applicant for acceptance and use of federal grant funds. In particular, the applicant assures us that:

1. It has been legally and officially authorized by the appropriate governing body (for example, mayor or city council) to apply for this grant and that the persons signing the application and these assurances on its behalf are authorized to do so and to act on its behalf with respect to any issues that may arise during processing of this application.
2. It will comply with the provisions of federal law, which limit certain political activities of grantee employees whose principal employment is in connection with an activity financed in whole or in part with this grant. These restrictions are set forth in 5 U.S.C. § 1501, et seq.
3. It will comply with the minimum wage and maximum hours provisions of the Federal Fair Labor Standards Act, if applicable.
4. It will establish safeguards, if it has not done so already, to prohibit employees from using their positions for a purpose that is, or gives the appearance of being, motivated by a desire for private gain for themselves or others, particularly those with whom they have family, business or other ties.
5. It will give the Department of Justice or the Comptroller General access to and the right to examine records and documents related to the grant.
6. It will comply with all requirements imposed by the Department of Justice as a condition or administrative requirement of the grant, including but not limited to: the requirements of 28 CFR Part 66 and 28 CFR Part 70 (governing administrative requirements for grants and cooperative agreements); 2 CFR Part 225 (OMB Circular A-87), 2 CFR 220 (OMB Circular A-21), 2 CFR Part 230 (OMB Circular A-122) and 48 CFR Part 31.000, et seq. (FAR 31) (governing cost principles); OMB Circular A-133 (governing audits) and other applicable OMB circulars; the applicable provisions of the Omnibus Crime Control and Safe Streets Act of 1968, as amended; 28 CFR Part 38.1; the applicable COPS Application Guidelines; the applicable COPS Grant Owner's Manuals; and with all other applicable program requirements, laws, orders, regulations, or circulars.
7. It will, to the extent practicable and consistent with applicable law, seek, recruit and hire qualified members of racial and ethnic minority groups and qualified women in order to further effective law enforcement by increasing their ranks within the sworn positions in the agency.
8. It will not, on the ground of race, color, religion, national origin, gender, disability or age, unlawfully exclude any person from participation in, deny the benefits of or employment to any person, or subject any person to discrimination in connection with any programs or activities funded in whole or in part with federal funds. These civil rights requirements are found in the non-discrimination provisions of the Omnibus Crime Control and Safe Streets Act of 1968, as amended (42 U.S.C. § 3789d); Title VI of the Civil Rights Act of 1964, as amended (42 U.S.C. § 2000d); the Indian Civil Rights Act (25 U.S.C. §§ 1301-1303); Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. § 794); Title II, Subtitle A of the Americans with Disabilities Act (ADA) (42 U.S.C. § 12101, et seq.); the Age Discrimination Act of 1975 (42 U.S.C. § 6101, et seq.); and Department of Justice Non-Discrimination Regulations contained in Title 28, Parts 35 and 42 (subparts C, D, E, G and I) of the Code of Federal Regulations.
 - A. In the event that any court or administrative agency makes a finding of discrimination on grounds of race, color, religion, national origin, gender, disability or age against the applicant after a due process hearing, it agrees to forward a copy of the finding to the Office for Civil Rights, Office of Justice Programs, 810 7th Street, NW, Washington, D.C. 20531.
 - B. If your organization has received an award for \$500,000 or more and has 50 or more employees, then it has to prepare an Equal Employment Opportunity Plan (EEO Plan) and submit it to the Office for Civil Rights ("OCR"), Office of Justice Programs, 810 7th Street, N.W., Washington, DC 20531, for review within 60 days of the notification of the award. If your organization received an award between \$25,000 and \$500,000 and has 50 or more employees, your organization still has to prepare an EEO Plan, but it does not have to submit the EEO Plan to OCR for review. Instead, your organization has to maintain the EEO Plan on file and make it available for review on request. In addition, your organization has to complete Section B of the Certification Form and return it to OCR. If your organization received an award for less than \$25,000; or if your organization has less than 50 employees, regardless of the amount of the award; or if your organization is a medical institution, educational institution, nonprofit organization or Indian tribe, then your organization is exempt from the EEO Plan requirement. However, your organization must complete Section A of the Certification Form and return it to OCR.
9. Pursuant to Department of Justice guidelines (June 18, 2002 Federal Register (Volume 67, Number 117, pages 41455-41472)), under Title VI of the Civil Rights Act of 1964, it will ensure meaningful access to its programs and activities by persons with limited English proficiency.
10. It will ensure that any facilities under its ownership, lease or supervision which shall be utilized in the accomplishment of the project are not listed on the Environmental Protection Agency's (EPA) list of Violating Facilities and that it will notify us if advised by the EPA that a facility to be used in this grant is under consideration for such listing by the EPA.
11. If the applicant's state has established a review and comment procedure under Executive Order 12372 and has selected this program for review, it has made this application available for review by the state Single Point of Contact.
12. It will submit all surveys, interview protocols, and other information collections to the COPS Office for submission to the Office of Management and Budget for clearance under the Paperwork Reduction Act of 1995 if required.

ORI# _____

Standard Application Forms

13. It will comply with the Human Subjects Research Risk Protections requirements of 28 CFR Part 46 if any part of the funded project contains non-exempt research or statistical activities which involve human subjects and also with 28 CFR Part 22, requiring the safeguarding of individually identifiable information collected from research participants.
14. Pursuant to Executive Order 13043, it will enforce on-the-job seat belt policies and programs for employees when operating agency-owned, rented or personally-owned vehicles.
15. It will not use COPS funds to supplant (replace) state, local, or Bureau of Indian Affairs funds that otherwise would be made available for the purposes of this grant, as applicable.
16. If the awarded grant contains a retention requirement, it will retain the increased officer staffing level and/or the increased officer redeployment level, as applicable, with state or local funds for a minimum of 12 months following expiration of the grant period.
17. It will not use any federal funding directly or indirectly to influence in any manner a Member of Congress, a jurisdiction, or an official of any government, to favor, adopt, or oppose, by vote or otherwise, any legislation, law ratification, policy or appropriation whether before or after the introduction of any bill, measure, or resolution proposing such legislation, law, ratification, policy or appropriation as set forth in the Anti- Lobby Act, 18 U.S.C. 1913.
18. In the event that a portion of grant reimbursements are seized to pay off delinquent federal debts through the Treasury Offset Program or other debt collection process, it agrees to increase the non-federal share (or, if the awarded grant does not contain a cost sharing requirement, contribute a non-federal share) equal to the amount seized in order to fully implement the grant project.

False statements or claims made in connection with COPS grants (including cooperative agreements) may result in fines, imprisonment, disbarment from participating in federal grants or contracts, and/or any other remedy available by law.

I certify that the assurances provided are true and accurate to the best of my knowledge.

Elections or other selections of new officials will not relieve the grantee entity of its obligations under this grant.

Signature of Law Enforcement Executive/Agency Executive
(For your electronic signature, please type in your name)

Date

Signature of Government Executive/Financial Official
(For your electronic signature, please type in your name)

Date

Certifications

ORI# _____

Standard Application Forms

SECTION 15B: CERTIFICATIONS

Regarding Lobbying; Debarment, Suspension and Other Responsibility Matters; Federal Taxes and Assessments; Drug-Free Workplace Requirements; and Coordination with Affected Agencies.

Although the Department of Justice has made every effort to simplify the application process, other provisions of federal law require us to seek your agency's certification regarding certain matters. Applicants should read the regulations cited below and the instructions for certification included in the regulations to understand the requirements and whether they apply to a particular applicant. Signing this form complies with certification requirements under 28 CFR Part 69, "New Restrictions on Lobbying," 2 CFR Part 2867, "Nonprocurement Debarment and Suspension," Public Law 111-117 or the most recent applicable appropriations Act, 28 CFR Part 83, "Government-Wide Requirements for Drug-Free Workplace (Grants)," and the coordination requirements of the Public Safety Partnership and Community Policing Act of 1994. The certifications shall be treated as a material representation of fact upon which reliance will be placed when the Department of Justice determines to award the covered grant.

1. Lobbying

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

- A. No federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a member of Congress, an officer or employee of Congress, or an employee of a member of Congress in connection with the making of any federal grant; the entering into of any cooperative agreement; and the extension, continuation, renewal, amendment or modification of any federal grant or cooperative agreement;
- B. If any funds other than federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a member of Congress, an officer or employee of Congress, or an employee of a member of Congress in connection with this federal grant or cooperative agreement, the undersigned shall complete and submit Standard Form - LLL, "Disclosure of Lobbying Activities," in accordance with its instructions; and
- C. The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subgrants, contracts under grants and cooperative agreements, and subcontracts) and that all sub-recipients shall certify and disclose accordingly.

2. Debarment, Suspension and Other Responsibility Matters (Direct Recipient)

As required by Executive Order 12549, Debarment and Suspension, and implemented at 2 CFR Part 2867, for prospective participants in primary covered transactions, as defined at 2 CFR Part 2867.20(a), the applicant certifies that it and its principals:

- A. Are not presently debarred, suspended, proposed for debarment, declared ineligible, sentenced to a denial of federal benefits by a state or federal court, or voluntarily excluded from covered transactions by any federal department or agency;
- B. Have not within a three-year period preceding this application been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (federal, state or local) or private agreement or transaction; violation of federal or state antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, tax evasion or receiving stolen property, making false claims, or obstruction of justice, or commission of any offense indicating a lack of business integrity or business honesty that seriously and directly affects your present responsibility;
- C. Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (federal, state or local) with commission of any of the offenses enumerated in paragraph (A)(ii) of this certification; and
- D. Have not within a three-year period preceding this application had one or more public transactions (federal, state or local) terminated for cause or default.

3. Federal Taxes and Assessments

If applicable, an applicant who receives an award in excess of \$5,000,000 certifies that, to the best of its knowledge and belief, the applicant has filed all federal tax returns required during the three years preceding the certification, has not been convicted of a criminal offense under the Internal Revenue Code of 1986, and has not, more than 90 days prior to certification, been notified of any unpaid federal tax assessment for which the liability remains unsatisfied, unless the assessment is the subject of an installment agreement or offer in compromise that has been approved by the Internal Revenue Service and is not in default, or the assessment is the subject of a non-frivolous administrative or judicial proceeding.

4. Drug-Free Workplace (Grantees Other Than Individuals)

As required by the Drug-Free Workplace Act of 1988, and implemented at 28 CFR Part 83, for grantees/recipients, as defined at 28 CFR Part 83.660 -

- A. The applicant certifies that it will, or will continue to, provide a drug-free workplace by:
 - (i) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;
 - (ii) Establishing an on-going drug-free awareness program to inform employees about -
 - (a) The dangers of drug abuse in the workplace;
 - (b) The grantee's policy of maintaining a drug-free workplace;
 - (c) Any available drug counseling, rehabilitation and employee assistance programs; and
 - (d) The penalties that may be imposed upon employees for drug-abuse violations occurring in the workplace;

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Standard Application Forms

- (iii) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (i);
- (iv) Notifying the employee in the statement required by paragraph (i) that, as a condition of employment under the grant, the employee will -
 - (a) Abide by the terms of the statement; and
 - (b) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;
- (v) Notifying the agency, in writing, within 10 calendar days after receiving notice under subparagraph (iv)(b) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to: COPS Office, 145 N St, NE, Washington, D.C. 20530. Notice shall include the identification number(s) of each affected grant;
- (vi) Taking one of the following actions, within 30 calendar days of receiving notice under subparagraph (iv)(b), with respect to any employee who is so convicted -
 - (a) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or
 - (b) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a federal, state or local health, law enforcement or other appropriate agency;
- (vii) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (i), (ii), (iii), (iv), (v), and (vi).

Grantee Agency Name and Address:

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

Place of performance (street address, city, county, state, zip code)

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

- 5. The Public Safety Partnership and Community Policing Act of 1994 requires applicants to certify that there has been appropriate coordination with all agencies that may be affected by the applicant's grant proposal if approved. Affected agencies may include, among others, the Office of the United States Attorney, state or local prosecutors, or correctional agencies. The applicant certifies that there has been appropriate coordination with all affected agencies.

Where the applicant is unable to certify to any of the statements in this Certifications form, he or she shall attach an explanation to this application regarding the particular statement that cannot be certified. Please check here if an explanation is attached to this application. Please note that the applicant is still required to sign the Certifications form to certify to all the other applicable statements.

Grantee Agency Name and Address:

Grantee IRS/ Vendor Number:

False statements or claims made in connection with COPS grants (including cooperative agreements) may result in fines, imprisonment, disbarment from participating in federal grants or contracts, and/or any other remedy available by law.

I certify that the assurances provided are true and accurate to the best of my knowledge.

Elections or other selections of new officials will not relieve the grantee entity of its obligations under this grant.

Signature of Law Enforcement Executive/Agency Executive
(For your electronic signature, please type in your name)

Date

Signature of Government Executive/Financial Official
(For your electronic signature, please type in your name)

Date



U.S. Department of Justice
Office of Community Oriented Policing Services
145 N Street, N.E.
Washington, DC 20530

To obtain details on COPS programs, call the
COPS Office Response Center at 800.421.6770.
Visit COPS Online at www.cops.usdoj.gov.

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